

# Orbit Department Liaison User Manual

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## 1. Login

### 1.A. Login Page

Welcome to ORBiT (Office of Research - Bit of Information)! The URL is <https://orbit.research.ucsb.edu>. Upon reaching the URL you will be routed to the campus SSO login page. Upon successful login with your NetID, you will be routed back to ORBiT.

### 1.B. Search Page

This is the default page after you login. You have access to all of your administrative dept(s) data.

**ORBiT** Office of Research  
bit of INFORMATION

Brett Fortier - Dept. Liaison Record Search

Queues	Count
WIP	0
Key Personnel	0
Intake	0/0
Liaison Proposal	0
Desk Actions	0
HS Liaison	0
Animal Subjects	0
EH+S	0
Stem Cell	0
COI	0
Export Control	0
Sponsor	0
Awards	0
SPO Student	0
Accounting	0
Overdue/Pending	0/0
Other Agreement	1
Subaward	0

Record Search

Record Number:

☐ Search active awards only.

Active Awards: Award Approved Date, not denied, not closed.

Title:   Beginning with or exact text.

Award #:   Beginning with or exact, like: OCE-

Control #:   Anywhere in control #

Solicitation #/Title:   Anywhere in # or title

Fund # (5 digit number):   Beginning with or exact, like: 57515

Project Number:   Exact, like 2000PR0238.

Master Agreement Number:   Exact, like MA20100001.

Create Proposal/WIP  
Create Proposal/Award Action  
Find/Edit Datasheet  
Record Search  
Sponsor Record Search  
PI Record Search  
Other Agreement Search  
Subaward Search  
Reports  
User Info

Search consists of four major search sections: record, sponsor, PI (Principal Investigator), other agreement, and subaward search. The search pages enable you to perform a search using any of the criteria listed above. To search by active awards only, check the "Search active awards only" check box. This option is available on the Record Search page and for Title, Award, Fund, Control #, Solicitation #/title fields. The definition of an Active Award is: awarded by Sponsored Projects, is not denied for any reason, and is not closed.

A search can be executed by Project and Master Agreement number. Each Contract or Grant (ORBIT record) will automatically belong to a Project. A Project is a way to organize and track related records that have the same Sponsor. A Master Agreement is a method used to track and organize related Projects that may not have the same Sponsor. A project may or may not belong to a Master Agreement.

#### Other Agreement Notes:

The Other Agreement (See Other Agreement Queue section for definition) PI search mechanism will search agreements and contract and grants where the PI is listed.

Other Agreements can be associated to one or more award(s) (ORBIT record number) or an award can be associated with one or more Other Agreements. This association is visible on the Other Agreement data screen and in the header section of the ORBIT record.

#### Subaward Notes:

Subawards can be associated to one or more award(s) (ORBIT record number) or an award can be associated with one or more Subawards. This association is visible on the Subaward data screen and in the header section of the ORBIT record.

## 2. Queues

The Queues section represents where all of proposals / awards are with respect to their approval. To view the record details for each Queue click on the Queue name.

Queues WIP, Liaison Proposal, Sponsor, Awards, Accounting, and Overdue/Pending are sequential, meaning that a specific record will only show-up once in each of these Queues.

Queues HS Liaison, Animal Subjects, EH&S, Stem Cell, COI, Export Control, and Key Personnel are parallel queues, meaning a specific record can be listed in Animal Subjects, for instance, and the Awards Queue at the same time (depending on what approvals are needed.) The records in each Queue are defined by the following:

### 2.A. WIP Queue

All (Work-in-Progress) records created but not officially submitted to the Office of Research. Used as a temporary work area that can be accessed by all Liaisons in dept. After you "submit" this record, the count goes down by one and the Liaison Proposal Queue goes up by one.

### 2.B. Key Personnel Queue

This Queue, like other ORBIT Queues, holds records where action is needed. A record populates the queue in four ways: 1) at proposal stage for COI Workflow (NSF, PHS, and UARC) 2) when SPO/TIA create a continuation for COI Workflow (NSF, PHS, and UARC) 3) At the Award stage when the Date Award In is entered and 4) When an NCE action is created. Queue population signals the Liaison Team to review the Key Personnel page and make updates where necessary. In addition, when the Date Award In date is entered a notification email is also sent to the Liaison Team. After the "Key Personnel Complete" check box on the KP page is checked the record will leave the queue.

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## **2.C. Intake Queue**

Proposals or Desk Action Requests that have been submitted to SPO but have yet to be assigned within SPO.

## **2.D. Liaison Proposal**

This Queue represents all proposals that have been submitted to the Office of Research. The submitted date has the field label "O.R. Proposal Received Date", is displayed on the Proposal Processing screen, and is the date and time that the "Submit to SPO" button was clicked on the Datasheet. This is the stage where SPO begins processing the proposal. Once SPO enters the "Sent to Sponsor Date" in the system, the count goes down by one and the Sponsor Queue goes up by one.

## **2.E. Desk Actions Management**

This Queue represents all pre-award and post-award actions not on the Proposal and Award Processing pages. Examples include: Pre-Contract Negotiations, JIT, Revised Budget, Request to Re-budget, Transfer (Outgoing), De-obligation, Request to Carryforward Funds, Closeout TEAM, Proposal Update, NCE, RAS, Termination, Change PI, Change Department, Addition of Subaward, Closeout Assistant, Pre-Award, Interim Reporting, Other.

## **2.F. Human Subject Liaison**

This Queue represents all proposals or awards with both Human Subjects = yes, and research at UCSB or by UCSB personnel = yes. The HS protocol or Other Activity (IAA/External IRB, Reliance Registry) information will be entered in ORahs (Office of Research Application for Human Subjects) by the HSC, Researcher, Research Assistant, or HS Department Liaison.

## **2.G. Animal Subjects**

This Queue represents all proposals or awards with Animal Subjects = yes, and research at UCSB or by UCSB personnel = yes. Once the Animal Subjects (IACUC) Coordinator enters their approval (in the system) the record is removed from the Queue and no further action is required.

## **2.H. EH&S**

This Queue represents all records submitted where EH&S = Yes. However, the EH&S department checks all records for EH&S activity regardless of EH&S Yes or No. A record is removed from the queue when EH&S enters an approval date for the record.

## **2.I. Stem Cell**

This Queue represents all records submitted where Stem Cell = Yes. A record is removed from the queue when the Stem Cell Coordinator enters a stem cell approval date for the record.

## **2.J. COI**

Represents all the proposals requiring conflict of interest actions. The COI Coordinator utilizes the COI Queue to relay all pertinent information to departments regarding COI actions. A record populates the Queue when: 1) Datasheet Assurance #16 (Non-Government Sponsor) is marked 'Yes' and the 'Exempt' check box is un-checked. 2) Datasheet Assurance #17 (NSF Sponsor, including NSF Flow-through) is marked 'Yes' 3) Datasheet Assurance #18 (PHS Sponsor, including PHS flow-through) is marked 'Yes' 4) Datasheet Assurance #14 (Sub-agreement) is marked 'Yes' and SPO has checked the 'Sub following UCSB COI' drop down on the Proposal Processing page. Pre-Proposals (Pre-Proposal dropdown marked 'Yes' on the Datasheet page 1) will not populate the Queue as COI disclosures are not required for Pre-Proposals. They will however populate the Queue when the dropdown is marked 'No' from 'Yes' in the case that the Pre-Proposal becomes a full proposal.

Records are removed from the queue when the COI Coordinator marks the 'Pos/Neg' field 'Negative' on the COI Queue or when the field value is marked 'Positive' and the 'COI Approved' date is populated.

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## **2.K. Export Control**

Represents all records where: 1) research involves any of the following: foreign sponsor, foreign collaboration, foreign sub-recipient(s), international shipments of any commodities or technology (e.g. materials, software, etc.), or travel to foreign countries or research at foreign sites by UCSB personnel. This is Assurance question eleven. 2) If there is a Human Subjects protocol where location of study is marked as International. This field is on the location tab of the Human Subjects Protocol Application (ORahs).

## **2.L. Sponsor**

This Queue represents all records submitted to the Sponsor and no response has yet been received. Sort options are available for the Sponsor Queue and include: Record Number, Sponsor Name, Sponsor Code, Date To Sponsor, Dept., and PI.

## **2.M. Awards**

The Award Queue is comprised of two sections, a RAS section and an Award section.

A record will move into the RAS section (labeled as RAS Approval To Spend Funds) when it becomes a RAS. A RAS record will remain in the RAS section until the record has been completely processed by Accounting and until SPO has entered the Award Total amount. A record has been completely processed by Accounting when the RAS/Award Notification Email has been sent, the RAS Approval Date entered, and the Budget Transfer report pulled. Once processed by Accounting the RAS record row will change color to orange indicating that SPO can now edit the record. When SPO enters the Award Total the record will leave the RAS section of the Award Queue.

The Award section (not labeled as such, just the default section) represents all records that have been received from the Sponsor as an award (Award In Date).

## **2.N. SPO Student**

This Queue represents all records Awarded by the Sponsored Projects Officer or Analyst that need the appropriate documents scanned into the ORBiT system before release to Accounting. Once the SPO student enters the "Sent to Accounting Date" in the system, the count goes down by one and the Accounting Queue goes up by one.

## **2.O. Accounting**

Represents awards approved by SPO, RAS records, Other Action Records, and No Cost Extension records that either need preparer's approval, revision, or final approval.

The RAS records in the RAS section of the accounting queue are color coded. A row is white (normal color) if preparer and manager need to process the RAS. Once the preparer has processed the record, and the manager has processed the record (RAS Approval date and Transfer = "Yes") then the row will turn orange, indicating that processing is complete but the last step needs to be done. The last step before the record leaves the Accounting Queue and SPO can edit the record is to pull the budget transfer report. When the report is pulled then the record will be removed from the accounting queue.

A record with a grey color code indicates that the record has a condition code of 93.

## **2.P. Overdue/Pending**

Represents records that have technical or patent reports overdue. It means that the "Sponsor Due Date" field has passed but the "Date Received From Department" field on the Close out page is empty. There are four sections to the queue: 1 -30, 31-60, 61-90, 90+ days overdue. The closeout Specialist, reviews this queue. The Specialist may choose to send a report overdue email, from the [closeout@research.ucsb.edu](mailto:closeout@research.ucsb.edu) email account, to the first PI, Liaisons, and a copy to the closeout specialist. When the email is sent the record will move from the Overdue queue to the Pending queue and the checkbox under the field heading "E" for email will be checked. A record can also move to the Pending queue if the Closeout Specialist reviews the record but does not send an email. When a record is reviewed the checkbox under the field heading "C" for complete will be checked. Upon receipt of an email, the PI or Liaison should reply to it and attach the reports. The closeout specialist will then enter the "Date Received From Department" field and it will leave the Pending queue. It is important to send the reports to the closeout specialist. If a report is

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90+ days overdue then all PIs listed on the award may become ineligible to receive matching funds. Note: any record that enters the Pending queue because an email was sent or reviewed can move back to the Overdue queue if the Closeout Specialist unchecks the "Send inactive email" or "Inactive Complete" checkboxes on the Closeout screen.

## **2.Q. Other Agreement**

ORBIT includes a mechanism to track "other" types of agreements such as : Non-Disclosure (NDA), Memorandum of Understanding (MOU), Material Transfer Agreement (MTA), and other types of miscellaneous agreements.

These other agreements are created and maintained by SPO (Sponsored Project Office) and TIA (Technology and Industrial Alliances Office). Dept Liaisons and Analysts have read only access for records assigned to their department.

The Other Agreement Queue contains agreements that are in process. The Other Agreement Queue will automatically increment by one when an Other Agreement is created. A record will leave the queue when an agreement is approved; a negation impasse is reached, or is archived for some other reason.

## **2.R. Subaward**

ORBIT includes a mechanism to track subawards. Subawards are associated to one or more ORBIT record numbers.

These subawards are created and maintained by the SPO (Sponsored Project Office) Subaward Officer. Dept Liaisons and Analysts have read only access to subawards that associated to their proposals and awards in their assigned department(s).

The Subaward Queue contains records that are in process. The Subaward Queue will automatically increment by one when 1) a subaward is created or 2) when an approved subaward has a new modification added. A record will leave the queue when 1) the subaward is approved by entering the Fully Executed Date or 2) When the subaward modification Executed Date is entered.

**NOTE: If a record is changed to "Denied" by OR, it is automatically removed from all Queues!**

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### 3. Datasheet Creation and Submission

#### 3.A. Create Proposal / WIP

Click on Create Proposal/WIP to begin the proposal datasheet process.

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Brett Fortier - Dept. Liaison      Create new Record

Queues	
WIP	4
Intake	4/0
Liaison Proposal	16
Desk Actions	12
HS Liaison	50
Animal Subjects	6
EH+S	6
Stem Cell	0
COI	46
Export Control	446
Sponsor	87
Awards	5
SPO Student	1
Accounting	4
Overdue/Pending	28/8
Other Agreement	3
Subaward	1

### Create New Record

Title

Admin Department:  Contract/Grant/COOP:

Proposal Type (Previous record number required if type C,R, or S):

Previous record - in order to associate with an existing project.

How would you like to submit this proposal to SPO?

☐ Electronic (upload documents)

☒ Standard (hand-deliver documents to SPO)

Create Proposal/WIP  
Create Proposal/Award  
Action  
Find/Edit Datasheet

Now you are in "Create New Record".

Start by typing in your Title, select your Admin Department, select Contract, Grant or Cooperative Agreement, and Proposal Type. If you selected Continuation, Renewal, or Supplement enter the "Previous Record" number in the box below and ORBIT will then copy all of the field values from the Previous Record into your new datasheet except for the following fields: Support Requested, Begin Date Requested, End Date Requested, IDC Requested, IDC Cost Base, UC Cash, UC In-Kind, Third Party Contribution, and Program Income. Then click on "Create".

Your WIP Queue (Work in Progress) will now increase by 1.

### 3.B. Datasheet Sponsor/Dept. Page

Continue with selecting "Sponsor Deadline Type," "Sponsor Deadline Date" (if needed), and "Requested Deadline Date" (if needed). If you do not know what time the proposal is due, enter 5:00 PM. Both fields are Pacific Time.

If the Proposal Type is "New" then the Sponsor may be added or edited. If the Proposal Type is "Continuation", "Renewal" or "Supplement", then the Sponsor added is that of the previous record and cannot be edited. If type "New", click on "Find/Edit Sponsor" to search for the Funding Sponsor.

There are three ways to search for a Sponsor:

Search by Sponsor Keyword - returns all Sponsors with "National" somewhere in the name.

Search by Sponsor Name – returns all Sponsors starting with "National" (Alpha)

Search by Code – returns the specific Sponsor (5400 = National Science Foundation)

When selected, ORBIT fills in the Sponsor Name and Sponsor Code automatically. Division and Program options are then displayed (if any). Please click on the specific Program (If you don't know, click Unknown). Once you pick the Sponsor information the system take you back to the first page.

If the Sponsor cannot be found then email [orbithelp@research.ucsb.edu](mailto:orbithelp@research.ucsb.edu) and request that the Sponsor be entered into ORBIT. ORBIT tech support will then check the UCOP REMS database for

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the sponsor. If the sponsor is not in REMS then the Liaison must supply the physical mailing address and home page URL of the sponsor. ORBiT Tech support will then request a Sponsor code from REMS and then enter the sponsor and the sponsor code into ORBiT. If the sponsor is a Non-Profit Business (REMS Category Code 5) or Other Charitable Organization (Code 7) then additional information is needed from the Liaison. Foundations and Trusts do not need this additional information. The additional information is:

- 1) The IRS Form 990. This form may be available on the website <http://www.guidestar.org/>. This site is free but requires an account. The form can also be obtained from the sponsor, or by searching the Net.
- 2) The Form 990 is the requirement for almost requests. If it cannot be found then proof of IRS 501 3 C exempt statuses is required. This can be obtained from the sponsor.

Select Site of Work and Project Purpose. Complete the Detail Information area.

ORBiT Office of Research bit of INFORMATION		Data Sheet		Help	Logout
Brett Test_Liaison - Dept. Liaison		Record No: - Pending submit -		View page: <b>Sponsor/Dept</b> PI(s) Assurances	
<b>Queues</b> WIP 1 Liaison Proposal 26 HS Liaison 12 Animal Subjects 11 EH+S 58 Stem Cell 4 COI 5 Sponsor 95 Awards 7 SPO Student 9 Accounting 10 Overdue/Pending 69/27 Other Agreement 6 Sub Award 2		<b>Sponsor and Department Information</b> Title: Research Topic Record Number: - Pending submit - Project Number: - Pending submit - Proposal Type: N - New Proposal Submitted: G - Grant Sponsor Deadline Type: Sponsor Deadline date (mm/dd/yyyy): Pre-Proposal: No Admin Dept: CHEM Admin Dept. name: CHEMISTRY & BIOCHEMISTRY Sponsor Code: Sponsor Name: <a href="#">Find/Edit Sponsor</a> Liaison Information Name: Brett Test_Liaison Phone: 893-4584 Email: <a href="mailto:fortier@research.ucsb.edu">fortier@research.ucsb.edu</a> F&A Class Code: Site of Work: N - On-Campus SBIR/STTR: Previous Award Number:			
<b>Create Proposal/WIP</b> <b>Find/Edit Datasheet</b> <b>Record Search</b> <b>Sponsor Record Search</b> <b>PI Record Search</b> <b>Other Agreement Search</b> <b>Sub Award Search</b> <b>Reports</b> <b>User Info</b>		<b>Project Purpose Information</b> <div> <input type="radio"/> Research  <input type="radio"/> Training  <input type="radio"/> Equipment  <input type="radio"/> Instruction  <input type="radio"/> Student scholarship/fellowship (paid by stipend only)  <input type="radio"/> Other           </div> <div>             If Research:  <input type="radio"/> Applied  <input type="radio"/> Basic  <input type="radio"/> Developmental  <input type="radio"/> Other           </div> <div>             Field of Research:  <input type="radio"/> Air Pollution  <input type="radio"/> Cancer  <input type="radio"/> Drug  <input type="radio"/> Energy  <input type="radio"/> Water  <input type="radio"/> Ins Dev  <input type="radio"/> Environmental  <input type="radio"/> Other           </div>			
		<b>Detail Information</b> Support Requested: 0 Begin Date Requested: (mm/dd/yyyy) End Date Requested: (mm/dd/yyyy) IDC Requested: 0 IDC Rate Requested: (47.5 = 47.5%) IDC Cost Base: 0 UC Cash: 0 UC In-kind: 0 Third Party Contribution: 0 Program Income: 0			
		<div> <input type="button" value="Save"/> <input type="button" value="Save and Continue"/> <input type="button" value="Remove"/> </div>			

Click on the Save button if you're not ready to submit. When you are ready to move on to the next page, click on Save and Continue. This validates the data entered and takes you to the second page. If you decide that this record is not needed, then click on "Remove" and the Record is removed from WIP. ORBiT will return you to the Record Search page, with the notation Record Removed.



### 3.C. Datasheet PI(s) Page

This next page is devoted to entering information on the Principal Investigator(s).

To select an Employee/PI enter search criteria in the Employee Search section. Search by last name, last and first name, or home department. The search will combine results from the UCSB employee directory and the ORBiT PI database. When the search results are returned, select the desired PI by clicking on the last name (hyper-linked) or select (hyper-linked) columns. This action will add the PI to the record. Up to 25 PIs can be added. If a desired PI is not found using search, add the Employee/PI in the Add New Employee section.

Once the PIs have been added, select an Eligibility code for each.

#### Eligibility Codes

- 1-Professor
- 2-Associate Professor
- 3-Assistant Professor
- 4-Researcher
- 5-Associate Researcher
- 6-Assistant Researcher
- 7-Other

For the % field, enter the percent time the principal investigator(s) will devote to the project, dependent on the type of appointment each principal investigator has. Time spent on a project by a PI that is outside of their appointment at UCSB should not be included when calculating the percentage (e.g. summer time for 9-month appointees). Information entered into this field will not appear on the Current and Pending Reports.

Appointment Type	% time devoted to this project
9-month Academic Appointee	During the academic year only (October –June)
All Other Appointments	During the entire year (January – December)


Enter Calendar, Academic, and Summer person-months. The values entered here should represent the yearly average each person will dedicate to the project. Information entered into these fields are displayed in the Current and Pending Reports. See the Glossary hyperlink in the Find PI page and the ORBiT Help page for additional information, including NIH's "Time and Effort to Person-Months" calculator.

Month Type	Acceptable Values
Calendar	0-12
Academic	0-10
Summer	0-4

Then check either Eligible or Exception.

Only the Eligibility code and PI number are required to continue to the next page. Click in the select circle and then click Update Each PI. Repeat process for each PI.

Click the "Remove" hyper-link to remove the PI from the record. Updating the values in the Number column on the left side can change the order of the PIs. In order to continue to the next page, there must be a minimum of one PI added to the record and this PI must be marked as 1 in the Number column.



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Brett Test\_Liaison - Dept. Liaison

Data Sheet - Find PI

Help Logout

Record No: - Pending submit -

View page: Sponsor/Dept PI(s) Assurances

Principal Investigators- Edit

No.	F. Name	M. Name	Last Name	Email	Dept.	Eligibility	%	Cal	Acad	Sumr	Elig.	Excp.ActionSelect
No PIs assigned to record.												
<a href="#">ORBIT Glossary</a> <a href="#">Time and Effort to Person-Months Calculator</a> <div>Save</div> <div>Save and Continue</div>												

Employee Search - searching employee directory and ORBIT PIs

Home Dept.

First Name

Last Name

Mic x

Search Employee

Available search types are last name and first name, last name, and home dept.

No	Last Name (Select)	First Name	Middle Name	Dept.	Email	Action
1	Michael	Brittany	L.M.	RECR	bmichael@mail.ucsb.edu	Select
2	Michael	Galeela		DEVL	gmichael@mail.ucsb.edu	Select
3	Michaels	George	H	INST	george@d.ucsb.edu	Select
4	Michaels	Spencer	Alexander	DRAM	samichaels@mail.ucsb.edu	Select
5	Michaelsen	Joel	C	GEOS	joel.michaelsen@mail.ucsb.edu	Select
6	Michaelsen	Benjamin	Lewis	PHYS	bmichaelsen@mail.ucsb.edu	Select
7	Michel	Claudine		BLST	claudine.michel@sa.ucsb.edu	Select
8	Michel	Isai		ELEG	isai@mail.ucsb.edu	Select
9	Micheletti	Mary	Clare	ALUM	mary.micheletti@ia.ucsb.edu	Select
10	Michelotti	Erika	A.	ENST	erika02@mail.ucsb.edu	Select
11	Michelson	Ari	David	ESMS	amichelson@mail.ucsb.edu	Select
12	Micon	Samuel	A	CLSR	smicon@mail.ucsb.edu	Select

Add New PI (To be used when not found in Employee search)

First Name

M. Name

Last Name

Email

Home Dept.

Add

When you are ready to continue, click on "Save and Continue".

### 3.D. Datasheet Key Personnel Page

The Key Personnel page is similar to the PI page, but has a different purpose. The Key Personnel data is used for two purposes, one for NOA Workflow and one for COI Workflow.

COI Workflow: For NSF, PHS, (NSF and PHS includes flow-through) and UARC the Key Personnel page must be reviewed and completed at both the proposal or datasheet stage and award stage. At the proposal stage the Key Personnel page will appear as the fourth page of the data sheet. See figure below. As the PIs are also Key Personnel they are listed in a table above the Key Personnel entry section. After confirming with the lead PI, enter in the additional Investigators that will be contributing to the project as defined on the [OR website](#) in the section titled "Identifying Investigators." This includes anyone who can directly or materially influence the research, or who is responsible for the design, conduct, or reporting of such research, and is not limited to Key Personnel.

The "On-NOA" dropdown is an indication of whether the listed person appears on the Notice of Award. At the proposal stage is not visible and will become visible only at award stage. Check the "Key Personnel Complete" check box once finalized. The page must be complete before the datasheet can be submitted to SPO. Note that the Key Personnel page remains open and editable after submission. The page is not locked like other pages of the datasheet.

For the award stage, when SPO or TIA (for NSF & PHS flow-through awards from Industry) enters the Date Award In, the KP Checkbox which was checked as part of the proposal process will be unchecked placing the record on the Key Personnel Queue. In addition, a notification email will also be sent to the Liaison Team. This is an indication to the Liaison Team that the Key Personnel page needs to be reviewed. After confirming with the lead PI, go to the KP page and make any updates to personnel that have occurred since the proposal stage. At this point the NOA dropdown field is visible. Review the Principal Investigators/Key Personnel section of the Notice of Award and select "OnNOA" in the dropdown for these investigators. Once finalized Check the Key Personnel Complete check box and the record will leave the queue. The page must be completed and the disclosures submitted before SPO can enter the Award Approval date. The Date Award In entry by SPO/TIA will also trigger a COI disclosure check, meaning that if a COI disclosure, which is active for one year, is still current in ORCOI then no action is needed. If the disclosure has expired then an email notification will be sent to the investigator as a new disclosure would need to be completed in ORCOI.

## NOA Workflow

For the award stage, when SPO or TIA (for NSF & PHS flow-through awards from Industry) enters the Date Award In, the KP Checkbox which was checked as part of the proposal process will be unchecked placing the record on the Key Personnel Queue. In addition, a notification email will also be sent to the Liaison Team. This is an indication to the Liaison Team that the Key Personnel page needs to be reviewed. After confirming with the lead PI, go to the KP page and make any updates to personnel that have occurred since the proposal stage. At this point the NOA dropdown field is visible. Review the Principal Investigators/Key Personnel section of the Notice of Award and select "OnNOA" in the dropdown for these investigators. Once finalized Check the Key Personnel Complete check box and the record will leave the queue. The page must be completed and the disclosures submitted before SPO can enter the Award Approval date. The Date Award In entry by SPO/TIA will also trigger a COI disclosure check, meaning that if a COI disclosure, which is active for one year, is still current in ORCOI then no action is needed. If the disclosure has expired then an email notification will be sent to the investigator as a new disclosure would need to be completed in ORCOI.

**NCEs:** a review of Key Personnel is required for both the COI and NOA workflows. When an NCE action occurs the Key Personnel checkbox will be unchecked, the record will populate the KP Queue, and a notification email will be sent to the Liaison Team. SPO cannot enter the NCE Complete Date unless the KP review has occurred, the checkbox checked, and COI disclosures have been submitted (NSF, PHS, and UARC) or there are active COI disclosure is on file.

Part of the NOA workflow is the quarterly report.

The report is for the NOA workflow only and not for the COI workflow or a COI requirement. At the beginning of each calendar quarter, ORBiT will automatically email the Dept. Liaison Team an Excel report containing Key Personnel listed on Current awards. Only awards that have been marked "Key Personnel Complete" will populate the report. The team should review the list and make any changes to personnel or percentage of time on the Key Personnel page. The report is for notification purposes only. It is not for certification of any kind.

### Key Personnel Page:

Record No: 20191284										View page: Sponsor/Dept PI(s) <b>Key Personnel</b> Assurances Uploads			
<b>Principle Investigators</b> Principle Investigators are considered Key Personnel													
#	Last Name, F. M	Email	Dept.	Time	Eligibility	Elig.	Excp.						
1	Fortier, Brett	ghaugen@ucsb.edu	RESO	0.0	1 - Professor	No	No						
<b>Key Personnel</b>													
No.	F. Name	M. Name	Last Name	Email	Dept.	Eligibility	%	Cal	Acad	Sumr	Elig.	Excp.	Action
1	Jan		Fejt	ghaugen@ucsb.edu	RESO	1 - Professor	50.0	0.00	0.00	1.50	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Remove
<a href="#">How to identify Key Personnel</a> <a href="#">ORBIT Glossary</a> <a href="#">Time and Effort to Person-Months Calculator</a> <input checked="" type="checkbox"/> Key Personnel Complete <input type="button" value="Save"/> <input type="button" value="Save and Continue"/>													
<b>Add New Key Personnel</b>													
<b>Employee Search - searching employee directory and ORBIT PIs/KP</b>													
Home Dept. <input type="text"/>													
First Name <input type="text"/>													
Last Name <input type="text"/> <input type="button" value="Search Employee"/> Available search types are last name and first name, last name, and home dept.													
No	Last Name (Select)	First Name	Middle Name	Dept.	Email	Action							
<b>Create New Key Personnel (To be used when not found in Employee search)</b>													
First Name <input type="text"/>		M. Name <input type="text"/>		Last Name <input type="text"/>									
Email <input type="text"/>		Home Dept. <input type="text"/>		<input type="button" value="Add"/>									

### 3.E. Datasheet Assurances Page:

Now you've come to the Assurance page. Click Yes or No for each question. Complete additional information where requested. Links to forms are provided for your convenience. Again, you are provided with the option to "Save" for later, "Remove" if you want to delete the entire WIP record, and "Submit" when you are ready to create an official Record into ORBiT. You will be prompted if there are any assurances without data.

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## Assurances Form

#	Yes	No	Question
1.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Will any human subject research be conducted on this proposal?</p> <p><b>1A.</b></p> <p>If <b>Yes</b>, will any of the H.S. research be performed at UCSB or by UCSB personnel? <input type="radio"/> Yes <input type="radio"/> No</p> <p>"Human subjects" means a living individual about whom an investigator conducting research: <b>1)</b> Obtains information or biospecimens through intervention or interaction with an individual, and uses, studies, or analyzes the information or biospecimens; or <b>2)</b> Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens.</p>
2.	<input type="radio"/>	<input checked="" type="radio"/>	<p>For federally supported proposals which require a Single IRB (sIRB) review, does this project involve multiple US institutions conducting non-exempt human subjects research at more than one domestic site?</p> <p>If <b>Yes</b>, IRB review fees may need to be included in the budget proposal.</p>
3.	<input type="radio"/>	<input checked="" type="radio"/>	<p>For federally supported or FDA-regulated proposals, does this project involve a clinical trial?</p> <p>Answer "yes" if (1) the project involves one or more human subjects, (2) who are prospectively assigned to one or more interventions and (3) the study is designed to evaluate the effect of the intervention on participants, (4) in a health-related behavioral or health-related biomedical outcome.</p>
4.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Does this research involve the use, collection, or analysis of data covered under (i.e.,) <u>Protected Health Information (PHI)</u>?</p> <p>Protected Health Information includes any information about health status collected, created, maintained, or transmitted by a "covered entity" (such as a health care provider or health care facility) and can be linked to a specific individual. Examples of PHI include, but are not limited to, demographic information (age, name, gender, etc.), medical diagnosis, treatment information, medical test results, etc.</p>
5.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Does this research involve the use, collection or analysis of <u>Personally Identifiable Information (PII)</u>?</p> <p>Identifiable Information includes any information that can be used to identify, contact, or locate a single person or can be used with other sources to identify a single individual. Examples of PII include, but are not limited to, name, date of birth, address, telephone numbers, social security number, photographic image, finder or voice print, or other unique characteristics.</p>
6.	<input type="radio"/>	<input checked="" type="radio"/>	<p>If the proposal is being submitted to PHS/NIH, will the research generate large scale human and/or non-human genomic data? If <b>Yes</b>, a Genomic Data Sharing plan needs to be included with the proposal.</p> <p>Large scale genomic data includes phenotypic data, genome wide association studies (GWAS), single nucleotide polymorphisms (SNP) arrays, genomic sequencing, transcriptomic metagenomic and epigenomic data, gene expression data, and any use of that data for future research.</p> <p>If the proposal involves sharing human data, then you will need to obtain an Institutional Certification from the Research Integrity Office to assure compliance with NIH regulations. You are encouraged to contact a Research Integrity Specialist (<a href="mailto:researchintegrity@research.ucsb.edu">researchintegrity@research.ucsb.edu</a>) at the initial "Just in Time" notification to obtain the Certification.</p>
7.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Does this proposal involve any use of vertebrate animals?</p> <p>Answer "yes" if your study includes the direct and/or indirect use of vertebrate animals for research and/or teaching purposes. All such studies must be overseen by the IACUC. If your proposal includes the use of vertebrate animals and you do not yet have an approved protocol, or if you are unsure of whether the animal use in your proposal requires IACUC oversight, please contact the IACUC Office at <a href="mailto:iacuc@lifesci.ucsb.edu">iacuc@lifesci.ucsb.edu</a>. Please note that receiving an award, or IACUC approval of your protocol, does not guarantee animal housing or procedure space in the Animal Resource Center, satellite facilities, or Natural Reserves. Contact the appropriate facility manager to determine availability.</p> <p><b>7A.</b></p> <p>Will the use of any vertebrate animals occur on UCSB property or by UCSB personnel?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p> <p><b>7B.</b></p> <p>Is there a subawardee associated with this award that will be working with vertebrate animals?</p> <p><input type="radio"/> Yes <input type="radio"/> No</p>

8. ☐ ☒ Will Human Stem Cells be used?

Answer "yes" if your study includes the use of gametes, blastocysts, derivation and/or use of human embryonic stem cells (hESCs), embryonic or fetal germ cells, adult and fetal stem cells, or human induced pluripotent stem cells.

Do not check "yes" if you are using adult tissue-specific stem cells such as hematopoietic cells or mesenchymal cells, unless they are being induced to differentiate into the three major germ lines.

**8A.**  
For NIH proposals, does the use of stem cells involve human fetal tissue (HFT) derived from an elective abortion?  
☐ Yes ☐ No

If "yes" there are additional NIH documents required to be submitted with your proposal. Please contact the Research Integrity Office at [researchintegrity@research.ucsb.edu](mailto:researchintegrity@research.ucsb.edu) for assistance.

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9. ☒ ☐ Will any of the following be used for this project: Chemicals (solids, liquids, or gases); Radioactive materials; X-ray producing machines; Non-ionizing radiation (lasers, UV, microwave); Biosafety Level 2, Level 3, or "Select" Biological agents; Recombinant DNA; Human/primate tissues or fluids; Animals or animal tissue/fluids; Research divers/dive equipment/small boats; Controlled Substances (DEA Schedule I-IV)?

**If Yes**, complete the EH&S Contract and Grant Questionnaire ( <http://www.ehs.ucsb.edu/labsafety/ehs-contract-and-grant-approvals> )

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10. ☐ ☒ Will additional space or alterations be necessary for this project? (**NOTE:** Any use of Natural Reserve Systems sites, whether ongoing or new, is considered additional space and requires NRS approval.)  
**If Yes**, indicate additional space requirements or alterations necessary:

**If No**, specify buildings & rooms for project:  
Elings Hall Rooms 3434, 3428, 2407, 1407

In addition, if servers and/or computing peripherals will be acquired (other than desktop or laptop workstations), then please contact Enterprise Technology Services (ETS) for assistance finding data center space with adequate power, cooling, connectivity, and security. Email [ETS-NHDC@ucsb.edu](mailto:ETS-NHDC@ucsb.edu).

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11. ☐ ☒ Does the proposed research involve any of the following: foreign sponsor, foreign collaboration, foreign sub-recipient(s), or international shipments of any commodities or technology (e.g. materials, software, etc.)? Additionally, does the proposal involve collaborations with or travel to Cuba, Iran, Syria, North Korea, Ukraine (Crimea, Luhansk and Donetsk Region) by UCSB personnel? Please contact Research Integrity staff at [exportcontrol@research.ucsb.edu](mailto:exportcontrol@research.ucsb.edu) for any questions regarding this assurance.

**11A.**  
Does the proposed/funded research involve collaborations with or travel to any of these countries: Cuba, Iran, Syria, North Korea, Ukraine (Crimea, Luhansk and Donetsk Region)?  
☐ Yes ☒ No

**11B.**  
Does the proposed/funded research involve: 1) the transfer of controlled technical information, including technical data, to persons or entities outside the United States, or 2) the shipment of controlled physical items, such as scientific equipment, from the United States to a foreign country?  
(NOTE: This question does not cover information that is publicly available or information generated from a sponsored project that is ordinarily published and shared broadly within the scientific community.)  
☐ Yes ☒ No

**11C.**  
Does the proposed/funded research involve a foreign sponsor, foreign collaborator(s), foreign subcontract(s), financial support to a foreign entity or other foreign entities (e.g. non-US Company, University or other organization)?  
☐ Yes ☒ No

Please provide a brief description of the foreign/international involvement:

12.	<input checked="" type="radio"/>	<input type="radio"/>	<p>Is the proposal being submitted to a federal sponsor (or a federal flow-through sponsor)?</p> <p>If yes, the federal sponsor may impose certain requirements related to foreign involvement. Please review the sponsor's policies to determine to what extent they require disclosure of external sources of support (including in-kind), as well as outside activities, affiliations, and collaborations; pay special attention to foreign disclosure obligations.</p> <p>Please visit the Sponsored Projects' webpage (<a href="https://www.research.ucsb.edu/foreign-involvement-disclosure-requirements">https://www.research.ucsb.edu/foreign-involvement-disclosure-requirements</a>) to review the requirements for the particular sponsor to whom you are submitting.</p> <p>For background on foreign involvement, please visit Research Integrity's webpage: <a href="https://www.research.ucsb.edu/research-integrity/international-engagement">https://www.research.ucsb.edu/research-integrity/international-engagement</a>.</p> <p>If you have any questions on this matter, please contact the SPO team assigned to your department (<a href="https://www.research.ucsb.edu/sponsored-projects-teams">https://www.research.ucsb.edu/sponsored-projects-teams</a>).</p>
13.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Has the PI or any other employee or student participating in this project purchased, or do they plan to purchase or to use, any telecommunications or video surveillance equipment or services produced or provided by Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities)? The use of such equipment and services extends to use for any University-related purpose, whether in the performance of a sponsored research project or otherwise. The equipment and services referenced in this paragraph include personal devices, such as cell phones, when they are used for research purposes or as a substantial or essential component of a system.</p>
14.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Will this project include one or more subawards?</p>
15.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Will requested funds be considered flow-through? Who is the ultimate source of funds?</p> <p><b>If Yes:</b></p> <p>Code: _____ Prime Sponsor's Name: _____</p> <p style="text-align: right;"><a href="#">Add Prime Sponsor</a></p>
16.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Is the proposal being submitted to a non-government sponsor, or supported in part by a non-government flow-through sponsor? (Note: State institutions of higher education are considered government entities.)</p> <p><b>If yes:</b></p> <p><b>16A.</b> Is the sponsor(NIH Biomedical Imaging And Bioengineering, Natl Institute Of (NIBIB)) non-governmental? <input type="radio"/> Yes <input type="radio"/> No <a href="#">Clear Selection</a></p> <p>The organization may be exempt from the disclosure requirement. A list of exempt organizations can be found <a href="#">here</a>. Additionally, a U.S. private Institution of Higher Education is exempt from disclosure when that Institution is a non-profit and is tax exempt.</p> <p><b>16A-1.</b> Is sponsor <b>EXEMPT</b> from COI review? <input type="radio"/> Yes <input type="radio"/> No <a href="#">Clear Selection</a></p> <p><b>16B.</b> Is the prime sponsor (if applicable from question 15) non governmental? <input type="radio"/> Yes <input type="radio"/> No <a href="#">Clear Selection</a></p> <p>The organization may be exempt from the disclosure requirement. A list of exempt organizations can be found <a href="#">here</a>. Additionally, a U.S. private Institution of Higher Education is exempt from disclosure when that Institution is a non-profit and is tax exempt.</p> <p><b>16B-1.</b> Is prime sponsor <b>EXEMPT</b> from COI review? <input type="radio"/> Yes <input type="radio"/> No <a href="#">Clear Selection</a></p> <p><b>If Yes, and either sponsor or prime sponsor are not exempt</b> from this requirement per the guidance above, Principal Investigators must complete the '700U - Statement of Economic Interests for Principal Investigators' disclosure through the O.R.'s Conflict of Interest disclosure system - ORCOI at <a href="https://orcoi.research.ucsb.edu">https://orcoi.research.ucsb.edu</a> if/when the proposal is funded.</p>
17.	<input type="radio"/>	<input checked="" type="radio"/>	<p>Is proposal being submitted to the NSF (including NSF flow-through funding) or any other sponsor requiring similar Federal Financial disclosure?</p> <p><b>If Yes,</b> after confirming with the lead PI, enter in the Key Personnel page any additional Investigators that will be contributing to the project as defined on the OR website in the section titled "Identifying Investigators." This includes anyone who can directly or materially influence the research, or who is responsible for the design, conduct, or reporting of such research, and is not limited to Key Personnel. All PIs and Key Personnel must complete the 'The NSF Annual Disclosure Form' through OR's Conflict of Interest Disclosure System ORCOI: <a href="https://orcoi.research.ucsb.edu">https://orcoi.research.ucsb.edu</a>. See <a href="#">Research Circular D.3</a>, and the COI website: <a href="https://www.research.ucsb.edu/coi/conflict-interest-research">https://www.research.ucsb.edu/coi/conflict-interest-research</a>.</p>
18.	<input checked="" type="radio"/>	<input type="radio"/>	<p>Is the proposal being submitted to the PHS/NIH (including PHS/NIH flow-through funding) or any other sponsor requiring similar PHS/NIH financial COI disclosure?</p> <p><b>If Yes,</b> after confirming with the lead PI, enter in the Key Personnel page any additional Investigators that will be contributing to the project as defined on the OR website in the section titled "Identifying Investigators." This includes anyone who can directly or materially influence the research, or who is responsible for the design, conduct, or reporting of such research, and is not limited to Key Personnel. All PIs and Key Personnel must <b>1)</b> complete 'The PHS Annual Disclosure Form' through O.R.'s Conflict of Interest Disclosure System at <a href="https://orcoi.research.ucsb.edu">https://orcoi.research.ucsb.edu</a> and <b>2)</b> take the Ethics and Compliance Briefing for Researchers (ECBR) through the campus's Learning Management System (LMS).</p>
19.	<input type="radio"/>	<input checked="" type="radio"/>	<p><b>Debarment, Suspension, Proposed Debarment</b></p> <p>If any of the below questions are answered in the affirmative, then mark "Yes" and contact the Director and/or Associate Director of Sponsored Projects. By answering "No" and signing this document, the PI certifies that they or any other employee or student participating in this project is not debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities.</p> <p>Is the PI or any other employee or student participating in this project:</p> <ul style="list-style-type: none"> <li>• debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities?</li> <li>• presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts?</li> <li>• presently indicted for, or otherwise criminally or civilly charged by a government agency?</li> <li>• have within three (3) years preceding this offer, been convicted of or had a civil judgment entered against them for commission of fraud or a criminal offense in connection with obtaining , attempting to obtain, or performing a public (federal, state, or local) contract or subcontract, including but not limited to violating a gratuity regulation; violation of Federal or State antitrust statutes relating to the submission of offers; or commissions of contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements or receiving stolen property?</li> <li>• have within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency?</li> </ul>



### 3.F. Datasheet Uploads Page

On the Uploads page complete the following steps:

1. Upload the following PDF documents by selecting "Browse" and assigning a "Document Type" once uploaded. Document types are:
  - i. Complete proposal (including but not limited to, a draft Statement of Work and any required sponsor documents)
  - ii. Detailed Budget
  - iii. Sponsor Guidelines
  - iv. Any other document required by SPO as "Other" (e.g. NASA Certification, bundled Subaward documents). For these documents, please give the file a descriptive name as this will become the name of the file in ORBiT (e.g. for a NASA Certification name the file, "NASA Certification").

Upon datasheet submission each document will be renamed with its type description and date/time stamp. For type Other, the filename will also contain the user's filename.

Examples:

Proposal\_YYYY-MM-DD\_3\_30\_59\_004.pdf

Guidelines\_YYYY-MM-DD\_3\_32\_59\_000.pdf

Other\_MyFileName\_YYYY-MM-DD\_3-35\_59\_010.pdf

File size is up to 100 MB and only .pdf, .doc, .docx, .xls, and .xlsx files are allowed. At least one file upload is required to submit. Note that the "Green Sheet" will not be required for E-Proposals.

After submission, links to the files will be 1) on the Datasheet uploads page and 2) In the header section of the Proposal, Award, and Accounting pages in the Datasheet Uploads section.

2. Select who will submit the proposal to the sponsor from the drop-down menu.
3. Provide any comments in the "Comments" field regarding method of submission, deadline, or special considerations SPO should be aware of when conducting its review.
4. Once the electronic proposal is submitted, the record will be move from the WIP Queue to the Intake Queue until SPO assigns the proposal to a team at which point it will move to the Liaison Proposal queue. In addition, an email is sent to [proposals@research.ucsb.edu](mailto:proposals@research.ucsb.edu) notifying SPO that an E-Proposal has arrived in the Intake Queue. In the body of the email is the "Comments" field from the Uploads page.
5. If SPO has not started reviewing the proposal, ORBiT allows for the ability to upload additional proposal and sub-recipient documents after submission, however, this option should be utilized rarely and only in specific situations. Examples of situations include:
  - i. Accidentally uploading incorrect documents or forgetting to attach a document at time of first submission.
  - ii. PI provides a revised version of a key document included in a submitted electronic proposal.
6. Upon Electronic submission the Uploads page is locked. The other datasheet pages however, remain unlocked for a period of 7 days. Only SPO has the ability to unlock the Uploads page in ORBiT. If needed, email your SPO team and request that they unlock the Uploads page. Please include a justification for the need to re-upload in your request. Repeat Step 1 above once SPO unlocks the upload function and include a description of the re-uploaded documents in the "Comments" field.
7. You cannot manually delete subrecipients from the datasheet after it has been submitted to SPO. If you need to remove a subrecipient, contact your SPO team and ask them to archive it for you.

Data Sheet - Uploads		Help   Logout								
Record No: <b>20180832</b>		View page: <a href="#">Sponsor/Dept</a> <a href="#">PI(s)</a> <a href="#">Assurances</a> <a href="#">Uploads</a>								
Prime Documents: Select file(s) to upload - Maximum file size is 100 MB <input type="button" value="Browse..."/>										
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Document Type</th> <th style="text-align: left;">File Name</th> <th style="text-align: left;">File Size (KB)</th> <th style="text-align: left;">Action</th> </tr> </thead> <tbody> <tr> <td>Guidelines</td> <td>Guidelines.pdf</td> <td>124</td> <td><a href="#">Remove</a></td> </tr> </tbody> </table>	Document Type	File Name	File Size (KB)	Action	Guidelines	Guidelines.pdf	124	<a href="#">Remove</a>		
Document Type	File Name	File Size (KB)	Action							
Guidelines	Guidelines.pdf	124	<a href="#">Remove</a>							
Who will be submitting to the sponsor? <input type="text" value="SPO"/>										
Comments: <div style="border: 1px solid #ccc; height: 20px; width: 100%;"></div>										
<input type="button" value="Save"/> <input type="button" value="Remove"/>										
<input type="button" value="Submit to SPO"/>										

### 3.G. Datasheet Submission

When you click on "Submit", several things occur:

1. An official record number and project number is created within the ORBIT system.
2. If standard submission a second browser screen (Pop-ups need to be allowed for this site) opens with an Adobe Acrobat PDF file of the datasheet you just created (with a Record & Project #). This datasheet needs to be signed with the appropriate signatures.
3. If standard submission the record leaves the WIP Queue and enters the Liaison Proposal Queue. Also, the parallel queues: Animal Subjects, EH&S, Stem Cell, and COI may go up by one.

Finished! You've completed the Datasheet submission process.

## 4. HS Department Liaison Procedures

### 4.A. HS Yes Procedure

The first question on the assurances page of the datasheet is the Human Subject use question. Select "Yes" here if human subjects will be used. The second part of the question asks whether research will be conducted at UCSB or by UCSB personnel. For an action in which both Questions are answered "Yes" a HS Protocol is required. HS Protocols are created by using the ORaHS System (Office of Research Application for Human Subjects). The URL is <https://orahs.research.ucsb.edu>

After submittal the record will remain in the HS Liaison Queue until the record is released which is a HS Coordinator action. Upon release the record will leave the queue.

## 5. Desk Action Routing

A "Desk Action" is a term SPO uses when referencing a Pre-award or Post-award action, such as JIT, NCE, Revised Budget, PI Transfer, etc. They typically occur from the time between submission to the sponsor through the entire life of the award. They can be created and processed by SPO, a request can be created by the Liaison and routed or submitted to SPO, or created by SPO and routed to the Dept. Liaison. The following are definitions of each type of action:

Addition of Subaward – The addition of a subaward to a project after we have received the award.

Change Department – A change in the administering department/ORU for an award.

Change IDC – A change to the IDC Award amount, IDC Rate, IDC Type, Waiver Type, or Waiver number.

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Change Principal Investigator (PI) – A change in the PI on an award due to the PI’s transfer to another institution or the PI’s extended disengagement in the project.

Change Project Contributions – A change to the Project Contributions section of the synopsis or to the PCSS upload in ORBiT.

Deobligation – The withdrawal of support under an award, in whole or in part, at any time prior to the date of completion.

Interim Reporting – Reports that require AOR/SPO endorsement.

Just-In-Time (JIT) – The National Institute of Health's (NIH) specific mechanism for a proposal file update.

No-Cost Extension (NCE) – An extension of the period of performance beyond the expiration date to allow the principal investigator to finalize a project in which no additional funds are provided.

Pre-Award – A request for approval to spend funds before the period of performance start date.

Proposal Update – an update or revision to a proposal that has already been submitted to the sponsor for review, commonly referred to as a ‘post-proposal submission action.’

Request for Approval to Spend Funds (RAS) – A request for an advance of funds against an anticipated contract or grant prior to its execution.

Request to Carry-forward funds – A request to move unspent funds from one year to the next.

Request to Rebudget – A request to spend funds in a different category than what was originally approved with the proposal. This is a revision to the award budget after it has been awarded.

Revised Budget – A revision to a proposal budget before it has been awarded (pre-award).

Termination – The act of completing all internal procedures and sponsor requirements to complete a research project prior to its end date.

Transfer (Outgoing) – When a PI will no longer be employed at UCSB and has accepted a position at another institution, they may request to transfer their award(s) to another institution.

To create a Desk Action Request follow these steps:

- 1) Select “Create Proposal/Award Action” from the left side navigation.
- 2) From the Desk Action drop down menu, select the type of action.  
Pre-award actions are Black font and Post-award actions are in Orange font.

\*Note that TIA (Industry Contracts) does not receive pre-award actions and will not be using the Desk Action Routing feature in ORBiT.

**Request Desk Action:**

Record Number:

Desk Action:

~Select-

JIT  
Pre-Award  
Proposal Update  
RAS Approval To Spend Funds  
Revised Budget  
Addition of Subaward  
Change Department  
Change IDC  
Change PI  
Change Project Contributions  
Deobligation  
Interim Reporting  
No Cost Extension  
Request to Carryforward Funds  
Request to Rebudget  
Termination  
Transfer (Outgoing)

- 3) Click "Create" which brings you to the Desk Action Request Screen.
  - a. Upload documents (if any such as Guidelines, Justifications, Revised Budget)
  - b. Enter Deadline Date and/or Requested Deadline Date of Desk Action (if any)
  - c. Select who will submit to sponsor (SPO, PI, Dept.)
  - d. Enter comments to SPO (if any)

#### Desk Action Request - Record 20170230

Desk Action:

Select file(s) to upload - Maximum file size is 100 MB

No files attached

Deadline Date (mm/dd/yyyy hh:mm AM/PM):

Requested Deadline Date (mm/dd/yyyy hh:mm AM/PM):

Who will be submitting to the sponsor?

Department Comments:

my comments

- 4) Select "Save" if you're not ready to submit to SPO. The desk action will be remain on the WIP queue in the Desk Action Request section.
- 5) Select "Submit to SPO" when the desk action request is ready for SPO to review.
  - a. Once a desk action request is submitted to SPO, with the exception of the file upload function, the department is unable to edit the request. The desk action request is added to SPO's Intake Queue and removed from the department's WIP queue. The department is able to add documents via upload as long as the record is in the intake queue by clicking the "View Action" hyperlink.
  - b. If a desk action request is missing documents or needs to be revised, SPO will "return" the request to the department and explain why the request is being returned. The department Liaison(s) will receive a notification email. The desk action will go back onto the department's WIP queue and will be added to SPO's desk action queue.
  - c. If the incorrect desk action is requested for a record number or the desk action does not need to be routed through ORBiT, SPO will "delete" the request after corresponding with the department.
- 6) SPO will accept the desk action request for review once they have all required components to review. An email of the review comments will be sent from SPO after reviewing the desk action.

If the Desk Action is created by SPO and routed to the Dept. Liaison follow these steps:

- 1) When SPO initiates a desk action request, an email will be sent to the department and the Desk Action record added to the department's WIP Queue.
- 2) Click on the record number to view the Desk Action Request screen.
- 3) On the Desk Action Request screen:
  - a. Upload documents (if any)
  - b. Enter Deadline Date and/or Requested Deadline Date (if any)
  - c. Select who will submit to sponsor
  - d. Enter comments to SPO (if any)
- 4) Select "Submit to SPO" when the desk action request is ready for SPO to review.
  - a. Once a desk action request is submitted to SPO, with the exception of file uploads, the department is unable to edit the request. The desk action request is added to SPO's Intake Queue and removed from the department's WIP queue.
  - b. If a desk action request is missing documents or needs to be revised, SPO will "return" the request to the department with "Intake Review Comments" that inform the department what needs revising. The desk action will be on the department's WIP queue.
- 5) SPO will accept the desk action request for review once they have all required components to review. An email of the review comments will be sent from SPO after reviewing the desk action.

## 6. Award Notification Process

After SPO has approved the award and it is sent electronically to Extramural Accounting, the Accounting Preparer (Accounting Staff) allocates the funding and approves the record. Then the Preparer clicks on "Update & Send Email Notification", which emails the Primary PI, All Liaisons (for that dept.), Purchasing, and all officially carbon copied UCSB Management (selected by SPO), the electronic award.

The Subject of the email contains the Primary PI name, Sponsor name, Record #, Fund # and Award Type/Action. The email attachments are the Synopsis\_xxx.pdf, AccountingAwardLetter\_xxx.pdf and e\_Award.pdf (Award Document from Sponsor).

The body of the email contains PI Responsibilities and Extramural Accounting language.

## 7. Record Status

As a record progresses from a datasheet to a proposal to an award, it can have a number of different statuses. The status is usually in the upper right side of each page:



A record may have one of the following statuses: Pending, Sponsor Review, Award Under Review, Awaiting Sponsor Signature, Awarded, Closed, Denied, Pending.

## 8. Help Page

Items to note on the Help Page are the Office of Research Information Systems staff contact info, user manuals, list of condition codes, ORBiT Glossary, and list of PI NIH accounts.

The "Request new user" function can be used to request a new Liaison account for a colleague who may be transferring into the department. The function may also be used if you are transferring out of your department and into another department.

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## 9. Labeling of Synopsis Packets

An "E\_" means it will be distributed to all appropriate email addresses (PI, Liaison, Equipment Mgmt, VCR and others)

### AWARD PACKET

Award Action		Scanned Documents will be Named in ORBiT
<b>New/Renewal</b> If you need documents to be distributed to the departments, please identify as " <b>E_Award</b> ". Otherwise, label as "Award" and the dept. can print documents from the record number. *Place a record label in the lower right hand corner of first page. *		<b>E_Award mmddyy</b> (SPO student process date)
<b>Continuation</b> If you need documents to be distributed to the departments, please identify as " <b>E_Cont</b> ". Otherwise, label as "Cont" and the Dept. can print documents from the record number. Place a record label in the lower right hand corner of first page. *		<b>E_Cont mmddyy</b> (SPO student process date)
<b>No Cost Extension</b> If you need documents to be distributed to the departments, please identify as " <b>E_NCE</b> ". Otherwise, label as "NCE" and the dept. can print documents from the record number. Place a record label in the lower right hand corner of first page. *		<b>E_NCE mmddyy</b> (SPO student process date)
<b>Supplement</b> If you need documents to be distributed to the departments, please identify packet as " <b>E_Suppl</b> ". Otherwise, label as "Suppl" and the dept. can print docs from the record number. Place a record label in the lower right hand corner of first page. *		<b>E_Suppl mmddyy</b> (SPO student process date)
<b>Other Actions</b>  <b>RAS/Approval to Spend Funds</b> If you need documents to be distributed to the departments, please identify packet as " <b>E_RAS</b> ". Otherwise, label as "RAS" and the dept. can print docs from the record number. Place a record label in the lower right had corner of first page. *  <b>Change in Department</b> Please identify packet as " <b>E_ChangeDept</b> " Otherwise, label as "Change Dept" and the dept. can print docs from the record number.  <b>Change IDC</b> Please identify packet as " <b>E_ChangeIDC</b> ". Otherwise, label as "Change IDC" and the dept. can print docs from the record number.  <b>Change PI</b> Please identify packet as " <b>E_ChangePI</b> ". Otherwise, label as "Change PI" and the dept. can print docs from the record number.  <b>Change Project Contribution</b> Please identify packet as " <b>E_ChangeContrib</b> ". Otherwise, label as "Change Contrib" and the dept. can print docs from the record number.  <b>Deobligation of Funds</b> Please identify packet as " <b>E_Deob</b> ". Otherwise, label as "Deob" and the dept. can print docs from the record number.  <b>Pre Award</b> Please identify packet as " <b>E_PreAward</b> ". Otherwise, label as "Pre Award" and the dept. can print docs from the record number.  <b>See Synopsis Remarks</b> Please identify packet as " <b>E_SeeSynRem</b> ". Otherwise, label as "Syn Rem" and the dept. can print docs from the record number.		<b>E_RAS mmddyy</b> (SPO student process date)  <b>E_ChangeDept mmddyy</b> (SPO student process date)  <b>E_ChangeIDC mmddyy</b> (SPO student process date)  <b>E_ChangePI mmddyy</b> (SPO student process date)  <b>E_ChangeContrib mmddyy</b> (SPO student process date)
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Place a record label in the lower right hand corner of first page. *	<p><b>E_Deob mmddyy</b> (SPO student process date)</p> <p><b>E_PreAward mmddyy</b> (SPO student process date)</p> <p><b>E_SeeSynRem mmddyy</b> (SPO student process date)</p>
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## **SUMMARY PACKET**

After scanning, this packet will be shredded. There can only be one Summarydocs.pdf file per record # Packet can include Abstract, Cover Pg, Budget, Proposal etc. This packet has to be opened from within the record number to be printed.	<b>Summarydocs.pdf</b>
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## **IMPORTANT DOCUMENTS**

Officers/Analysts will label document with "IMP" in the upper right corner. Documents should only be scanned and attached to record number but not disseminated with processing of synopsis.  These documents will be filed under a a Lime Green tab in the award file.	<b>ImpDoc.pdf</b>
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## **10. Department Liaison Pre-Proposal Procedures**

1. Prepare Proposal as usual with the following exceptions:
  - a. Mark Pre-proposal as 'Yes'
  - b. Assurances on Data Sheet should be completed where appropriate for future full proposal submission
  - c. No signature is needed on Data Sheet, no Conflict of Interest disclosures are needed, and no eFinals are needed at this time
  - d. Budget is only needed if required by the sponsor
2. Review sponsor guidelines for any special pre-proposal requirements
3. If pre-proposal is approved for submission, **don't create a new record number**. Contact SPO to unlock Data Sheet so you can make appropriate changes to the existing record;
  - a. Deadline date (correct to full proposal deadline)
  - b. Mark Pre-proposal box as 'No'
  - c. Make any further corrections and/or changes to proposal information as needed (i.e. budget amounts, project title, period of performance)
4. Verify the following before sending to SPO for full proposal review at least 5 business days before deadline;
  - a. Signature on Datasheet (required). To print the Datasheet goto the report screen in ORBiT.
  - b. Conflict of Interest disclosures have been completed (required, when appropriate)
5. Once proposal submitted, make sure to send eFinals.

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