Introduction to Proposal Submission

Hilda Vasquez, Sponsored Projects Officer, Office of Research
Sarah Payne, Sponsored Projects Analyst, Office of Research
Amanda Hart, Contract and Grant Manager, Mechanical Engineering

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STAR Program and Class Logistics:

- For course descriptions visit: https://www.research.ucsb.edu/star-class
- STAR Certificate = Completion of 11 courses
  *Coursework must be completed within 2 years from the date you begin the course series.
  * Exception to 2 year timeframe granted due to pandemic.
- Email training@research.ucsb.edu for questions and/or concerns
- STAR Class evaluation request will be sent to participants after the class

FOR QUESTIONS DURING THIS CLASS:
Please Use ‘CHAT’ feature and post to ‘Everyone’
Proposal Scenario throughout Presentation:

• It’s Monday morning at 8:05am.

• A post doc, Jim Brown, comes into your office to tell you that he and Dr. Smith are working on a proposal.

• They plan to feed a type of dye to baby chicks, X-ray the baby chicks, and show those X-rays to 5th graders to find out what they think about them.

• They want to submit this proposal to NSF’s INCLUDES program (NSF 20-569).

By the end of this session you should have the foundational understanding on what questions to ask and how to help put a proposal together for SPO review and endorsement!
Proposal Lifecycle

PI Has an Idea

- Proposal Preparation
  - Department/Unit Liaison
  - Budget
  - Internal Forms

Research Development

- Fund searches
- Proposal Development
- Limited Submissions

Proposal Review and Submission
  - Sponsored Projects

Agency Review

Award Negotiation and Acceptance
  - Sponsored Projects

Project Management
  - Department/Unit Liaison
  - Compliance
  - Accounting
  - Sponsored Projects

No Cost Extension / Close out
  - Department/Unit Accounting
  - Sponsored Projects

Office of Research
Overview of Proposal
Roles & Responsibilities
Research Development
(Office of Research)

http://www.research.ucsb.edu/research-development/

Services offered to faculty include:

• Funding Search Tools https://www.research.ucsb.edu/find-funding
• Coordination of campus Limited Submissions https://www.research.ucsb.edu/limited-submissions
• Workshops, Trainings, Sponsor Visits https://www.research.ucsb.edu/research-development/events
• Proposal Preparation and Review
• Faculty Mentoring
• Publicizing UCSB Research

Refer back to STAR Class 1 - Overview of Contract & Grant Administration for additional information.
C&G Administering Department/ Organized Research Unit (ORU)

Contract & Grant Liaison:
• Assists Principal Investigator (PI) in preparing proposal
• Assists in administration of the funded project(s)
• Coordinates with PI’s home department, as needed
• Serves as interface between Office of Research and PI

Department Head (Chair/Director/Dean):
• Reviews and verifies appropriateness and resources committed with proposal
• Confirms Departmental support to administer project, if funded
Sponsored Projects Office (SPO) (Office of Research)

• Reviews the proposal for consistency with UC and sponsor policy
• Interface between Administering Department/Organized Research Unit (ORU) and the sponsor
• Submits proposals on behalf of The Regents of the University of California
• Negotiates and executes award instrument and assists with award administration

http://www.research.ucsb.edu/spo/
Principal Investigator (PI)

- Responsible for:
  - The programmatic and financial design of the proposal
  - The technical, fiscal, and administrative management of the award
  - All report requirements
  - Compliance with award terms & conditions
  - Ensuring project costs incurred are allocable, allowable, and reasonable
  - Ensuring project performance is consistent and compliant with UC policies
Campus Interactions

Office of Research
- Sponsored Projects
- Research Development
- Research Administration
- Research Integrity

Business & Financial Services
- Extramural Funds Accounting
- Accounts Payable/Receivable
- Payroll Accounting
- Travel Accounting
- Procurement Services
- Equipment Management

Administering Unit

PI (Co-PIs)

Other units
- Academic Personnel
- Human Resources
- Environmental Health & Safety
- Audit Services
- Risk Management
Proposal Scenario:

From our earlier example, we have the post-doc, Jim Brown, and faculty member Assistant Professor Joan Smith.

Need to determine if these individuals serve as PI/Co-Pi?
Who is automatically eligible to serve as a PI?

• Members of the Academic Senate
• Professional Researchers appointed over 50%

Why are they automatically eligible to serve as PI?

• They are vested members of the University community and are considered ‘full participants’ in meeting the University’s goals & objectives
• Tend to be at UCSB for an extended period of time and are subject to regular University reviews
<table>
<thead>
<tr>
<th>Title/Government</th>
<th>Appointment Type</th>
<th>Project Type</th>
<th>Approval as PI</th>
<th>Approval as Co-PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Senate Member (All Titles)</td>
<td>All Aspts.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
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<tr>
<td>UC Grants</td>
<td>All Aspts.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
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<tr>
<td>Research Professor</td>
<td>All Aspts.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Professor, Associate Professor, Assistant Professor</td>
<td>Regular Aspt.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Adjunct Professor</td>
<td>350% with paid aspt.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Lecturer with Security of Employment (LSE) &amp; Lecturer without Security of Employment (LWSO)</td>
<td>100%</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Researcher, Associate Researcher, Assistant Researcher</td>
<td>Regular Aspt. 250%</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Project Scientist, Associate Project Scientist</td>
<td>Regular Aspt.</td>
<td>All</td>
<td>Not eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Assistant Project Scientist</td>
<td>Regular Aspt.</td>
<td>All</td>
<td>Not eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Specialist, Associate Specialist, Assistant Specialist, Junior Specialist</td>
<td>Regular Aspt.</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Post-Doctoral Scholar</td>
<td>Employees/Fellow</td>
<td>Fellowship/Field Research Projects</td>
<td>Not Eligible</td>
<td>Head of Administering Unit</td>
</tr>
<tr>
<td>Graduate Students</td>
<td>All Aspts.</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Undergraduates</td>
<td>All Aspts.</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Academic Coordinator</td>
<td>All Aspts.</td>
<td>Projects that are closely aligned with the nature of their position</td>
<td>Not Eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Librarian</td>
<td>All Aspts.</td>
<td>Projects that are closely aligned with the nature of their position</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Associate Librarian, Assistant Librarian</td>
<td>All Aspts.</td>
<td>Projects that are closely aligned with the nature of their position</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Temporary/Contingent (Lecturer)</td>
<td>Regular Aspt.</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Director of the Art Museum, Director of Ojai Family Children's Center, Chief of Police</td>
<td>All Aspts.</td>
<td>Projects that are closely aligned with the nature of their position</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Physical Education Specialist</td>
<td>All Aspts.</td>
<td>Training or Training Related Projects</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
</tbody>
</table>

For more detailed information, please visit [https://www.research.ucsb.edu/sites/default/files/SPO/PI%20Eligibility/Table%20of%20PI%20Eligibility.pdf](https://www.research.ucsb.edu/sites/default/files/SPO/PI%20Eligibility/Table%20of%20PI%20Eligibility.pdf)
Campus Policy Research Circular B.1

• Policy on Principal Investigator Roles and Responsibilities and Eligibility to Serve as Principal Investigator

• In accordance with UC policy, RC B.1 outlines our campus policy on who may act as a PI/Co-PI on a proposal, and the process for securing an exception to this policy.

• Resource: Includes an eligibility chart for easy reference (see Handouts)

Difference between PI and Co-PI

• Principal Investigator (PI): leader on a project
• Co-Principal Investigator (Co-PI): two or more co-leaders for a project
• The first Principal Investigator will typically be the Lead/Contact PI for the sponsor’s communication
• Some sponsors may only recognize one PI (i.e. the lead PI)
• UCSB recognizes Co-PIs, individually and equally responsible for the project
Collaborators (Non-PI)

Who might they be and what is our relationship?
• Key Personnel from other universities, non-profit or for-profit organizations

Why does the type of relationship matter?
• Determines the role they will be represented in within proposal
• Determines which documentation will be required
• Affects the project budget

How do I confirm the role they should have?
• Discuss with the PI
• Review against the proposed project activities
• Resources available on our website and Business Services’ website (i.e. Procurement service, Subaward, funded/unfunded collaborators)

Also covered in STAR Class 5 Business Contract and Subawards scheduled 05/12/2021
• Contact your Sponsored Projects team to help make for further determination
Scenario Proposal

Reminder: Dr. Brown and Dr. Smith are applying to the NSF INCLUDES Program

National Science Foundation (NSF) = a Federal Government Agency
Sponsor Types
Direct and/or Flow-through sponsor

- **Federal Government**: National Science Foundation (NSF), National Institutes of Health (NIH), Department of Defense (Army, Air Force, DARPA, Office of Naval Research, etc.) U.S. Dept. of Education
- **State Government**: California Energy Commission, California Department of Education
- **Local Government**: County of Santa Barbara, City of Santa Barbara
- **Private/Non-Profit**: Sloan Foundation, Gordon and Betty Moore Foundation
- **Industry**: Intel, Olympus, Honeywell
- **National Labs**: Private contractors who administer federal funds (Los Alamos Natl Lab, Pacific Northwest Natl Lab, Oak Ridge Natl Lab)
- **International**: European Union
- **Other Universities**: USC (non-UC), any UC sister campus = Multi-campus Award
Proposal Scenario

• How do we know what documents are required for the NSF’s INCLUDES program?

Check Sponsor Guidelines
Sponsor Guidelines (cont.)

- They are called many different names – guidelines, solicitation, program announcement, funding opportunity, broad agency announcement (BAA), request for proposals (RFP), request for applications (RFA), etc. – each with their own unique format, and many with their own numbering system.

Examples: NSF: NSF 20-569 (Program Solicitation)  
NIH: PA-20-185 (Funding Opportunity Announcement)  
ONR: N00014-21-S-B001 (Broad Agency Announcement)

- Some sponsors have a standard set of guidelines and then issue specific program descriptions for various topics with specific submission deadlines.
  - Example: All NSF proposals must follow the NSF Proposal & Award Policies & Procedures Guide (PAPPG) NSF 22-1. A professor may want to submit a proposal to the NSF’s Program Solicitation NSF 20-569. This proposal must follow both NSF 22-1 and NSF 20-569.
Sponsor Guidelines

Provides information about the who, what, when, where/how of proposal requirements:

**WHO**
- Who is soliciting proposals?
- Who can submit proposals to this opportunity?
- Are there any limitations?

**WHAT**
- What topic of research is going to be funded?
- What documents must be submitted?
- What format should the documents be in?
- What type of award mechanism will be funded?
- What types of costs are allowed and/or unallowable?
- What types of proposals are accepted? (new, renewal, supplement)

**WHERE/HOW**
- Where are proposals submitted to?
- How are they submitted? By whom?

**WHEN**
- When is the deadline for proposals be submitted?
Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES)

Office of Research

Sponsor Guidelines (cont.)

PROPOSED SOLICITATION

NSF 20-569

REPLACES DOCUMENT(S):

NSF 18-529

IMPORTANT INFORMATION AND REVISION NOTES

- All information contained in all proposed submissions and materials is provided for full compliance with the terms and conditions of this Solicitation.
- Freshman-funded projects are eligible to obtain full-time stipends for the entire duration of the project.

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Description

Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES) is a National Science Foundation (NSF) initiative to support a broad range of activities that promote the inclusion of learners from underrepresented communities of learners in engineering and science disciplines.

Program Description

In FY 2020, the National Science Foundation (NSF) examined a new initiative called "NSF INCLUDES," which aimed to promote inclusion in engineering and science disciplines.

There are additional requirements:

Limit on Number of Proposers per Organization:

- A number of proposers per organization is specified for the entire Solicitation process.
- Proposals accepted until the NSF INCLUDES Solicitation is closed for FY 2022.

Proposal Preparation and Submission Instructions

A. Proposal Preparation Instructions

- Letters of Intent: Submission of Letters of Intent is required. Please review the full-text instructions for submitting a letter of intent.
- Preliminary Proposal Submissions: Mandatory
- Full Proposals:
  - Full proposals must be submitted online using the NSF Online Proposal Submission (OPGr) system.

B. Budgetary Guidelines

- Cost Sharing Requirement: Inclusion of mandatory cost-sharing is prohibited.
- Indirect Cost (Grants): not applicable
- Other Budgetary Limitations: not applicable
- Cost Sharing:
  - Letter of Intent (required) (due by 5:00 p.m. local time on the due date)

Proposal Review Information Criteria

Grant Review Criteria:

National Science Board-appointed review.
Add additional review criteria. Please see the full-text instructions for further information.

Award Administration Information

Awardees:

Office of Research
When UCSB is a subrecipient:

• our “flow-through” or “pass-through entity (PTE)” should provide us with information about the prime sponsor’s guidelines, as well as guidance regarding any additional information they may need for their subagreement processing. This request will typically come to UCSB via email.

Example: USC is submitting a proposal to NSF with UCSB included as a subrecipient. USC should provide us with information about the NSF Program Solicitation as well as information about any additional documents USC needs from UCSB for their internal processing.

• Sometimes, guidelines may not be provided in an official document, but may be sent directly to UCSB via email.
Back to our Scenario Proposal

As the administering department for Dr. Smith’s awards:

• You know Dr. Smith has 2 other NSF awards and is always in the lab working with baby chicks. Something to keep in mind - Is the new proposal related to any existing project?

Proposal Types
Proposal Type: New

• A **new** research or project idea submitted to a sponsor for funding for the first time
• Usually competitively reviewed against other proposals requesting funding
• Often proposes a multi-year project period
Proposal Type: Continuation

- Subsequent year of funding **within a previously approved project** period (incremental funding)
- Usually not competitively reviewed against other proposal submissions
- For some sponsors, this can be an abbreviated version of the original proposal submitted (i.e. progress reports/budget)
- Often based upon or triggered by submission of a progress report

Example: Dr. Johnson submitted a proposal to a sponsor to study the effects of how knitting helps cognitive behavior. The proposal was for knitting 10 sweaters each year for 2 years at the cost of $1,000 each year. The sponsor chose to fund Dr. Johnson’s project, and awarded $1,000 to cover the first year of work. After submitting the annual progress report (which detailed the effects of the 10 sweaters knitted during the first year), Dr. Johnson then received a continuation award for an additional $1,000 to cover the second year of effort to knit the remaining 10 sweaters.
Proposal Type: Renewal

• Request to **continue support** for an existing project **beyond its originally scheduled project period**
• Typically requests a subsequent project period to be established
• May be awarded as a new award or as an amendment to an existing award
• Competitively reviewed

Example: For the past 5 years, Dr. Jungle has taught monkeys caretaking skills with a $1,000,000 grant from NIH. In the last year of this project, Dr. Jungle submitted a renewal proposal requesting another $1,000,000 for an additional 5 years to teach caretaking monkeys to care for kittens.
Proposal Type: Supplement

• Request for **additional support** not contemplated in the original proposal, but to be **added to the existing budget period of an award**
• Often requires a simple letter of request or statement of work and budget
• Typically small in comparison to the original budget

Example: Dr. Bob was awarded $100,000 to research the best way to build an underwater house. Halfway through his project, Dr. Bob realized that he could also figure out how to build an underwater garage if he had more money. He then submitted a supplement proposal to the sponsor requesting an additional $25,000 to add the underwater garage to his scope of work, and still finish his project by Thanksgiving.
Scenario Proposal

• What will be needed for the baby chick project? Post doc salary and benefits? Housing for the baby chicks?

Budget Preparation
Budget Preparation

DIRECT COSTS
- Salaries and Wages
- Fringe Benefits
- Equipment
- Travel
- Participant Support
- Supplies and Expenses
- Consultant Costs
- Subawards
- Other Direct Costs

+ INDIRECT COSTS

TOTAL COSTS

Refer back to STAR Class 2 – Cost Principles & Cost Accounting Standards, and STAR Class 3 – Budget Preparation for additional information.
Scenario

- A doctor at UCLA hospital will be helping analyze the X-rays. How will they be paid? Can we give them some NSF money?

Subagreement/MCA/
Service agreement
Subagreements

• The transfer of substantive programmatic effort, or significant research expected to be conducted under the project.

**STAR Class 5 - Business Contracts & Subawards** will go into greater detail.

http://www.research.ucsb.edu/spo/subawards/
Scenario

• In order to accomplish the work, we will need to purchase a $6,000 X-ray machine. NSF will not allow for the purchase of equipment.

May need Project Contributions
Project Contributions

• Resources that are contributed to a sponsored project over and above the support provided by the extramural sponsor of that project.

• All costs budgeted as project contributions must meet the same standards as those costs being requested of the sponsor.
  • Must be allowable, allocable, reasonable, and consistent.
  • Must be compliant with all applicable policies and guidelines.

• Does the sponsor allow for project contributions?

http://www.research.ucsb.edu/spo/proposal-preparation/project-contributions/
Project Contributions

Depending on sponsor guidelines, project contributions will fall under one of two types:

• Mandatory Committed
  • Required by sponsor
  • Tracking of mandatory, committed funds is required by the administering department and Extramural Funds Accounting (can be audited)

• Voluntary Committed
  • Not required by sponsor but quantified in the proposal
  • If quantified to sponsor, the “voluntary” contribution becomes “mandatory” at award stage
  • Tracking of mandatory, committed funds is required by the administering department and Extramural Funds Accounting (can be audited)
  • If not required by sponsor, SPO strongly suggests that quantified amounts not be included
Project Contributions

Four categories of project contributions:

- **UC Cash**
  University resources specifically set aside for the project that would not normally be available to the PI
  - Examples: Cash, new technical staff dedicated to the project, equipment purchase

- **UC In-Kind**
  University resources already available to the project; a value of non-cash contributions provided to the project
  - Examples: PI academic salary/benefits, unrecovered indirect costs

- **Third Party Contribution**
  Resources provided from a non-UC source
  - Examples: Existing extramurally funded award (if allowed by sponsor), volunteers, use of industry owned equipment

- **Project/Program Income**
  Money earned by the University during the project period that is earned because of the existence of the funded project
  - Example: Ticket sales
# Project Contributions

<table>
<thead>
<tr>
<th></th>
<th>Sponsor</th>
<th>UCSB</th>
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</thead>
<tbody>
<tr>
<td><strong>Salaries</strong></td>
<td></td>
<td></td>
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<tr>
<td>Prin. Investigator: Professor Smith (Professor V) $104,283 annual</td>
<td>$23,174</td>
<td>$0</td>
</tr>
<tr>
<td>Summer 201 11,587 2 100% 9</td>
<td>$23,174</td>
<td>$0</td>
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<td><strong>Total Salaries</strong></td>
<td>$23,174</td>
<td>$0</td>
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<td><strong>Fringe Benefits</strong></td>
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<tr>
<td>Principal Investigator</td>
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<tr>
<td>Summer 201 23,17 9 4 4</td>
<td>$2,29</td>
<td>$0</td>
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<tr>
<td><strong>Total Fringe Benefits</strong></td>
<td>$2,29</td>
<td>$0</td>
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<tr>
<td><strong>Equipment (includes tax and shipping)</strong></td>
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<td></td>
</tr>
<tr>
<td>Xray</td>
<td>$0</td>
<td>$6,000</td>
</tr>
<tr>
<td><strong>Total Equipment</strong></td>
<td>$0</td>
<td>$6,000</td>
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<tr>
<td><strong>Travel</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3-day trip for 1 traveler to Boston - National Society of Scientists (Airfare = $500; Registration = $250; Lodging = $125/day; Meals = $50/day)</td>
<td>$1,275</td>
<td>$0</td>
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<tr>
<td><strong>Total Travel</strong></td>
<td>$1,275</td>
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<td><strong>Total Direct Costs</strong></td>
<td>$26,743</td>
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<td>Rate 55%</td>
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<tr>
<td><strong>Total Project Costs</strong></td>
<td>$41,452</td>
<td>$6,000</td>
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Zoom Break

“See” you in 3 minutes.
Proposal Scenario:

When is the NSF deadline due 01/25/2022
UCSB Proposal Submission Timeline for a standard proposal review:

- **Pre-review Proposal to be received in OR by 5pm**
- **SPO Pre-review submission via ORBiT**
- **UCSB Submission to Sponsor (48 hrs before Deadline date)**
- **Adjust Sponsor Deadline to UCSB business day if deadline falls on Holiday or Weekend**
- **Deadline per Guidelines**

+ **Friday 01/14/2022**
+ **Friday 01/21/2022**
+ **Tuesday 01/25/2022**

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**http://www.research.ucsb.edu/spo/proposal-preparation/**
Proposal Flowchart

Office of Research Review:
- Check all administrative forms & budget
- Check for compliance with UC, UCSC & sponsor requirements
- Confirm that all of the required approvals are in place
- Check all cost share/matching requirements have been met
- Send review comments to OIR Contracts & Grants Office

Contracts & Grants Office:
- Make any required corrections to the sponsor and campus administrative forms and budget sheets
- Acquire the required signatures (Dean, PI, Sponsored Projects Officer, Co-PIs, etc.)

If necessary, proposal will be returned to PI for adjustments

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Proposal is submitted to the sponsor. SPO requests all proposals, regardless of sponsor submission method, be submitted (i.e., push the button) at least 48 hours prior to the sponsor deadline. This reflects the 2 business day period it may take sponsor submission systems, like Grants.gov, to validate a proposal for errors. This "UCSB Proposal Deadline" is in addition to SPO expedited submission and it is adequat to address any post submission issues prior to the sponsor imposed deadline.

PI submits SPOF with intention of submitting a proposal

Pre-Proposal Prep:
- PI Complete the Internal Questions (IQ) Form
- PI Send budget development information
- C.S.G Administrator sends a timeline with additional item and important dates

Contracts & Grants Office:
- PI submits complete proposal to OIR
  - Contracts & Grants Office
  - Two weeks before deadline

If necessary, proposal will be returned to PI for adjustments

30 Days Minimum

5 Days Minimum

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UC SANTA BARBARA
Department Liaison Responsibilities

- Guidelines, Timelines and Deadlines
- Create a budget for the PI
- Ensure compliance with sponsor guidelines, UC policy and State/Federal Regulations
- Complete campus and sponsor required forms
- Gather and review subrecipient forms and documents
Step One

• Review Guidelines
  • What is the deadline?
  • Is PI eligible? Is UC eligible?
  • Submission Method – Cayuse, Fastlane, other sponsor portal, hard copy?
  • Who is submitting? SPO, Department or PI?
  • Are Project Contributions allowable?
  • Period of performance limitations?
  • Budget restrictions / requirements?
  • Other restrictions?
Proposal Checklist

Proposal Preparation Checklist

When proposal is received: ____________________

1. Analyze sponsor forms
2. Consider campus forms
3. Consider subgrant forms
4. Set up the Electronic Proposal File under the File name: __________________________
5. Check for applicable sponsor forms: __________________________
6. Check for applicable campus forms: __________________________
7. Check for applicable subgrant forms: __________________________

Notes:

Timeline:

Deadline: __________________________

Notes:

Sponsor Submission Deadline: __________________________

Proposed date of submission: __________________________

Unfavorable dates: __________________________

No ads allowed: __________________________

Project Contributions or other special requirements: __________________________

Email to PI:

Date: __________________________ Follow-up: __________________________

Notes:

Proposal Preparation Checklist

When proposal is received: ____________________

1. Analyze sponsor forms
2. Consider campus forms
3. Consider subgrant forms

Notes:

Set up the Electronic Proposal File under the File name: __________________________

Deadline: __________________________

Deadline: __________________________

Proposed date of submission: __________________________

Unfavorable dates: __________________________

No ads allowed: __________________________

Project Contributions or other special requirements: __________________________

Email to PI:

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Notes:

Proposal Preparation Checklist

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Deadline: __________________________

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Proposed date of submission: __________________________

Unfavorable dates: __________________________

No ads allowed: __________________________

Project Contributions or other special requirements: __________________________

Email to PI:

Date: __________________________ Follow-up: __________________________

Notes:
Step Two

• Communicate with PI
  • Start a dialogue / ask questions
  • Provide timeline for submission
  • Note highlights from guidelines
  • Request budget information
  • Provide PI with a list of documents required
  • Inform PI of the documents you will complete/provide
  • Obtain ‘Internal Questions’ information
Internal Questions Form

GGSE Internal Questions (IQ) Form

1. Will any human subjects be conducted on this proposal?
2. Will any of the H.S. research be performed at UCSB or by UCSB Personnel? If either, check yes.
3. Does the proposal involve non-exempt human research to be conducted at multiple sites or NIH funds?
4. Will you be using protected health (HIPAA) information?
5. Will your research involve the use of personal identity information (PIN or Driver’s License with First & Last Name)
6. Will additional space or alteration be necessary for this project? If so, what room(s) will you be using? 1) 2) 3)
7. Is the funding for this project ultimately coming from another source via the sponsor you are applying to? If yes, source:
8. Does the proposed research involve any of the following: (Type, provide details in common section below)
   - Foreign support, collaboration, aid, or
   - Information obtained, descriptive anatomical
   - Foreign travel or research at design site
   - Does the PI/CoP have a relationship with the subrecipient(s) requiring COO review?
9. Yes No N/A (non-subrecipient on proposal)
10. Is there any other employee or student participating in this project?
    - Denies, prepares for defense, suspends or otherwise excluded from or declined eligibility for
    - Will award federal contract
    - If awarded by a federal, state, or local government agency?
    - Have written three (3) years preceding this offer, been convicted of or had an event judged rendered
    - Will award federal contract
11. Provide a list of who at UCSB will be responsible for the design, conduct or reporting of activities associated with this project:
12. Will the project generate any program income either:

Additional Comments or Information

Office of Research

UC SANTA BARBARA
ORBiT

• Office of Research's contract and grant electronic database
• All proposals submitted by the campus and all awards accepted by the campus are tracked in this system
• To request an account, email: orbithelp@research.ucsb.edu
• Once you login to ORBiT there are user manuals available if you click the Help button on the upper right-hand side

https://orbit.research.ucsb.edu
Complete the Proposal Documents

• Create a record in ORBiT – this generates the datasheet
• Create a UCSB detailed budget
• Assist the PI with the completion of any sponsor required documents
• Work with the PI to address any PI eligibility exception request documents, if applicable
• Work with subrecipients to secure their proposal documents, if applicable
• Work with the PI and the Office of Research to secure any Project Contribution documentation, if applicable
• Compile all proposal documents and upload in ORBIT for pre-review, including the guidelines
UCSB Datasheet (Page 1)

- Most recently updated in November 2020.
- Provides mechanism for entry of essential data about each proposal into the University’s contract and grant system, ORBit.
- Provides SPO the assurance that internal approval and compliance requirements have been met regarding each contract and grant.
- Must be generated and submitted with every new proposal (new, renewal, continuation, supplement)
Page 2 of the datasheet includes assurances 1-10.

A few assurance questions:
- Will human subjects be involved?
- Will animal subjects be involved?
- Will stem cells be involved?
- Foreign activities?
UCSB Datasheet (Page 3)

- Assurances 11-16 cover subawards, type of sponsor, and conflict of interest (COI)

- New – assurance #11 asks if the proposal is being submitted to a federal sponsor due to the new foreign involvement requirements.
• Assurance 17 is a certification that the PI is not debarred, suspended, or otherwise ineligible for participation.
PI, Co-PI, and Chair/Director/Dean sign and certify regarding:

- Responsibility for the project
- Project conforms with UC Policy and Mission
- Project budget is reasonable, allowable, and allocable per the Uniform Guidance
Key Personnel Module

• The Public Health Service (PHS) and the National Science Foundation (NSF), or any institution that follows their COI policies, require that the lead Principal Investigator (PI) on funded projects identify project Investigators.

• Those Investigators are required to disclose their significant financial interests, and each disclosure must be reviewed before funds may be spent.

• An Investigator 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 lead PI should make the determination of who is an Investigator for every proposal submission, continuation, personnel change or no cost extension via the Key Personnel tab on the ORBiT datasheet.
Below is a quick reference to help PIs in identifying investigators:

<table>
<thead>
<tr>
<th>Roles</th>
<th>Investigator?</th>
<th>Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Co-PI</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>Postdoctoral Scholars</td>
<td>Almost Always</td>
<td>When a postdoc’s role on a project involves a significant degree of autonomy and responsibility, they should be listed as an Investigator.</td>
</tr>
<tr>
<td>Graduate Student Researchers</td>
<td>Occasionally</td>
<td>Graduate students are considered an Investigator when they receive a fellowship for a project that they lead. Graduate student researchers working on faculty-led projects do not meet the definition of Investigator.</td>
</tr>
<tr>
<td>Other Roles</td>
<td>Situational</td>
<td>These individuals should only be considered Investigators if they are responsible for the design, conduct, or reporting of the research project.</td>
</tr>
</tbody>
</table>
Key Personnel, continued

• Adding Key Personnel in ORBiT:

![Add Key Personnel in ORBiT](Image)
Conflict of Interest Policies

• UCSB Research Circular D. 1 “Policy on Disclosure of Financial Interests Related to Public Health Service Sponsored Projects for Promoting Objectivity in Research”

• UCSB Research Circular D. 3 “Policy on Disclosure of Financial Interests Related to National Science Foundation Sponsored Projects for Promoting Objectivity in Research”

• UCSB Research Circular D.5 “Policy on Disclosure of Financial Interests Related to Acceptance of Private Funds for Research to Promote Objectivity in Research”

Conflict of Interest is covered in depth in

STAR Class 9 -Research Administration and Compliance I
Proposal is submitted to SPO for review... What should you do now?

• Take the time to review the proposal
  • Is the proposal compliant with UC policy and the sponsor’s guidelines?
  • Do you need signatures on any sponsor or campus documents?
  • If necessary, are the PI/co-PI annual Conflict of Interest (COI) disclosures done?
  • Have you received final versions of the proposal documents?
Electronic Proposal Routing to SPO

• SPO has converted to an electronic review processes. Training sessions are still available to familiarize department liaisons with routing documents to SPO electronically. Please contact your SPO team if you would like to arrange a training or contact orbithelp@research.ucsb.edu

• Proposal documents are routed to SPO via ORBiT by uploading all pertinent PDFs

• If Datasheet Assurances #16, 17, or 18 were marked as “Yes”, the Key Personnel Module will need to be addressed at award stage.
UCSB Proposal Forms

• **OR Information Sheet** (Form 411) – no longer used (sample still in handouts). Replaced with electronic submission

• **Datasheet** (Form 100)

If applicable:

• Subagreement Forms (SK Form 100, 101, etc. RC D.7)


https://live-research-ucsb-edu-v01.pantheonsite.io/forms
Electronic Routing via ORBiT (replaced Form 411)

- Submission is received into an intake queue and logged onto SPO teams queue.
- Comments section can be used to provide additional information to SPO team pertinent to proposal review.
- If a requested deadline is entered, please include a justification.
- REQUESTED DEADLINE VS. SPONSOR DEADLINE
The following documents should be received by SPO via electronic PDF uploads to SPO at least 7 business working days prior to the sponsor deadline:

- UCSB Datasheet
- Sponsor Guidelines (may be an email depending on sponsor)
- All proposal documents, including any sponsor required documents (can be in draft)
- UCSB Detailed Budget and narrative budget justification
- PI eligibility exception request documentation, if applicable
- Sub-agreement/MCA documentation, if applicable
- Project Contribution documentation, if applicable

https://www.research.ucsb.edu/spo/proposal-prep/proposal-review
Required Subrecipient Documents

When a proposal includes a subrecipient, we will need:

- Subrecipient Commitment Form (SK Form 100) for Subrecipient NOT part of PDF Clearinghouse, or Short Form if they ARE part of the FDP.
- Fair & Reasonable Cost Analysis (SK Form 800 Part A-1 (grants and cooperative agreements) or SK Form 800 Part A-2 (contracts)
- Sole Source Justification (SK Form 200), if applicable
- Full copy of subrecipient’s proposal
- Any required sponsor forms relating to the subrecipient

Subawards are covered in depth in

STAR Class 5 - Business Contracts & Subawards

https://www.research.ucsb.edu/subawards
Required Multi-Campus Award (MCA) Documents

When another UC campus will perform a portion of the proposal’s statement of work, a Multi-Campus award (MCA) is issued to that campus and we need:

- Multi-Campus Commitment form (SK Form 101)
- Full copy of the sister campus’ proposal
- Any required sponsor forms relating to the sister campus

MCAs are covered in depth in

STAR Class 5 - Business Contracts & Subawards

https://www.research.ucsb.edu/subawards
SPO Proposal Review

What?
- Log proposal into ORBiT
- Prioritize
- Review:
  - Data Sheet
  - Commitments
  - Budget
  - Compliance
  - Subagreement Documents

Transmit to Sponsor
Sponsored Projects Review

• SPO review ensures proposal is consistent with University and sponsor policies prior to submission of the proposal to the sponsor.

• Ensures compliance with applicable Federal regulations per UC Policy (despite not submitted directly to Federal sponsor).

• Reminder: Type of SPO review dependent on time submitted to SPO for review prior sponsor deadline!

  *Standard, Expedited or Same-day proposal review.*
UCSB Proposal Submission Timeline for a standard proposal review:

<table>
<thead>
<tr>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
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<tbody>
<tr>
<td></td>
<td>Pre-review Proposal to be received in OR by 5pm</td>
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</tr>
<tr>
<td>Monday</td>
<td>Tuesday</td>
<td>Wednesday</td>
<td>Thursday</td>
<td>Friday</td>
</tr>
<tr>
<td>UCSB Proposal Deadline</td>
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<tr>
<td>All proposals should be submitted by 5pm to allow adequate time to address possible submission issues.</td>
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<tr>
<td>Grants.gov 48 hour window begins at 5pm</td>
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</tbody>
</table>

*Expedited Review if SPO receives Proposal documents less than seven (7) full business days. SPO’s review:*
- checks only minimum proposal elements to ensure compliance with UC and Federal regulations.
- does not review specific proposal requirements or check to ensure that all proposal elements are correct or included for submission.
- Liaison and PI responsible for ensuring proposal is compliant with all applicable guidelines

https://www.research.ucsb.edu/spo/proposal-prep/proposal-review
Coordination with Sponsored Projects on Proposal Review

• **Review Comments via orbit:** Once the SPO Team has completes their review, they contact the department liaison with recommended and/or mandatory corrections to the proposal.

• **Liaison email response to review comments:** All required to confirm all mandatory corrections were made to proposal.

• **Coordinate with SPO Team for official submission to sponsor**
Submission to Sponsor

• If Sponsored Projects Team (Officer/Analyst) is submitting:
  • Notify SPO team that proposal is ready for submission within the applicable online system.
  • Provide the final PDF of proposal to submit if submission by email, If applicable

If Department/PI is submitting:
• WAIT FOR SPO TEAM OFFICIAL OKAY TO SUBMIT
• Notify SPO Team of submission completed, if done through a agency specific portal
• Copy SPO Team on submission of email transmittal of proposal
Electronic Finals (i.e. “eFinals”)

• Office of Research serves as the Office of Record for all submitted extramural proposals

• Administrative Department must provide the SPO Team with a complete PDF copy of the proposal submitted to the sponsor (i.e. “eFinals”)
  • Must include the UCSB detailed budget as part of PDF (regardless of sponsor requirement for project budget)

• Email SPO Team copy of eFinal within 48 hours of proposal submission

* See handouts for instructions on the “Efinal”
What happens next?
Sponsor Review

• Review period can take 6-9 months, depending on the sponsor
• Sponsor Guidelines may contain information on their review process
• During sponsor review, sponsors may request:
  • Supplemental information
  • Compliance approvals
  • Revised budget
  • Proposal Update
• Some sponsors issue ‘Notice of Intent to Fund’
• If sponsor does not select the proposal, may issue official Denial notice
• Next STAR Class 6 covers the Award negotiation and acceptance process in-depth
ALMOST DONE!

Any Questions? ……
Okay, now you’re done!