

Proposal Preparation & Submission Resources

Office of Research

<https://www.research.ucsb.edu/>

Proposal Preparation

<https://www.research.ucsb.edu/spo/proposal-prep/proposal-review>

Proposal Submission Checklist

<https://www.research.ucsb.edu/spo/proposal-prep/submission-checklist>

Project Contribution Guidance

<https://www.research.ucsb.edu/spo/proposal-prep/project-contributions>

Subawards

<https://www.research.ucsb.edu/subawards>

Foreign Involvement Disclosure Requirements

<https://www.research.ucsb.edu/foreign-involvement-disclosure-requirements>

UC Policy/UCSB Policy & Research Circulars

<https://www.research.ucsb.edu/policies>

- A.1 Policy on Submittal of Proposals, Acceptance of Awards, and Administration of Contracts and Grants
- B.1 Policy on Principal Investigator Roles and Responsibilities and Eligibility to Serve as Principal Investigator
- C.1 Policy on Expenditures Against Pending Contracts and Grants
- D.1 Policy on Disclosure of Financial Interests Related to Public Health Service Sponsored Projects for Promoting Objectivity in Research
- D.2 Pending Revisions - Policy on the Use of Human Subjects
- D.3 Policy on Disclosure of Financial Interests Related to National Science Foundation Sponsored Projects for Promoting Objectivity in Research
- D.5 Policy on Disclosure of Financial Interests Related to Acceptance of Private Funds for Research to Promote Objectivity in Research
- D.7 Policy on the Administration of Subagreements Under Extramurally Funded Projects
- D.8 Implementation of Regental Policy on Research Funded by the Tobacco Industry
- E.1 Policy on Material Transfer Agreements

700U Exemption List

<https://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-from-disclosure-requirement.html>

Attachment A

		Payroll Title	Appointment Type	Project Type	Approval as sole PI	Approval as Co-PI ‡	
Academic	Academic Senate Member	Academic Senate Member (All Titles)†	All Appts.	All	Eligible	Eligible	
	Faculty Titles	Ladder Faculty	UC Emeriti	All Appts.	All	Eligible	Eligible
			Research Professor	All Appts.	All	Eligible	Eligible
		Ladder Faculty	Professor, Associate Professor, Assistant Professor	Regular Appt.	All	Eligible	Eligible
				Visiting	All	OR	OR
			Adjunct Professor	≥50% with paid appt.	All	Eligible	Eligible
			<50% or WOS Appt.		OR	OR	
	Teaching Titles	Lecturer with Security of Employment (LSOE) & Lecturer with Potential Security of Employment (LPSOE)	100%	All	Eligible	Eligible	
			<100%	Projects that are closely aligned with the nature of their position **	OR	OR	
	Research Titles	Professional Researcher	Researcher, Associate Researcher, Assistant Researcher	Regular Appt. ≥50%	All	Eligible	Eligible
				Regular Appt. <50%		OR	Head of Administering Unit
				Visiting or WOS (Courtesy)	All	Not eligible	OR
		Project Scientist	Project Scientist , Associate Project Scientist	Regular Appt.	All	OR	OR
				Visiting or WOS (Courtesy)	All	Not eligible	OR
			Assistant Project Scientist	Regular Appt.	All	Not Eligible	OR
		Specialist	Specialist, Associate Specialist, Assistant Specialist, Junior Specialist	Regular Appt.	All	Not Eligible	OR
				WOS (Courtesy)			
		PostDoc	PostDoctoral Scholar	Employee/Fellow	Fellowship/Field Research Projects	Not eligible	Head of Administering Unit
					All other projects	Not Eligible	OR
	Paid Direct			All	Not Eligible	OR*	
Student Academic Titles	Graduate Students	All Appts.	Fellowship/Dissertation Research Grants/Field Research Grants	Not Eligible	Head of Administering Unit		
			All other projects	Not Eligible	OR*		
	Undergraduates	All Appts.	All	Not Eligible	Not Eligible		
Other Academic Titles	Academic Coordinator	All Appts.	Projects that are closely aligned with the nature of their position **	Not Eligible	OR		
	Librarian	All Appts.	Projects that are closely aligned with the nature of their position **	Eligible	Eligible		
	Associate Librarian, Assistant Librarian	All Appts.	Projects that are closely aligned with the nature of their position **	OR	OR		
	Temporary/Continuing Lecturer (Lecturers without Security of Employment)	Regular Appt.	All	Not Eligible	OR		
Staff	Other Specialty Titles	Director of the Art Museum, Director of Orfaea Family Children's Center, Chief of Police	All Appts.	Projects that are closely aligned with the nature of their position **	Eligible	Eligible	
		Physical Education Specialist University Extension Specialist	All Appts.	Training or Training Related Projects **	Eligible	Eligible	
Other	Other	All Appts.	All	OR	OR		

* Requests may be considered, but exceptions are rarely granted, and only with demonstration of a strong justification.

** For all other projects see the "Other" category.

† Please see the UCSB Academic Senate Bylaws and Regulations Chapter I: Membership (https://senate.ucsb.edu/bylaws.and.regulations/division/Part_I/Chapter_I/)

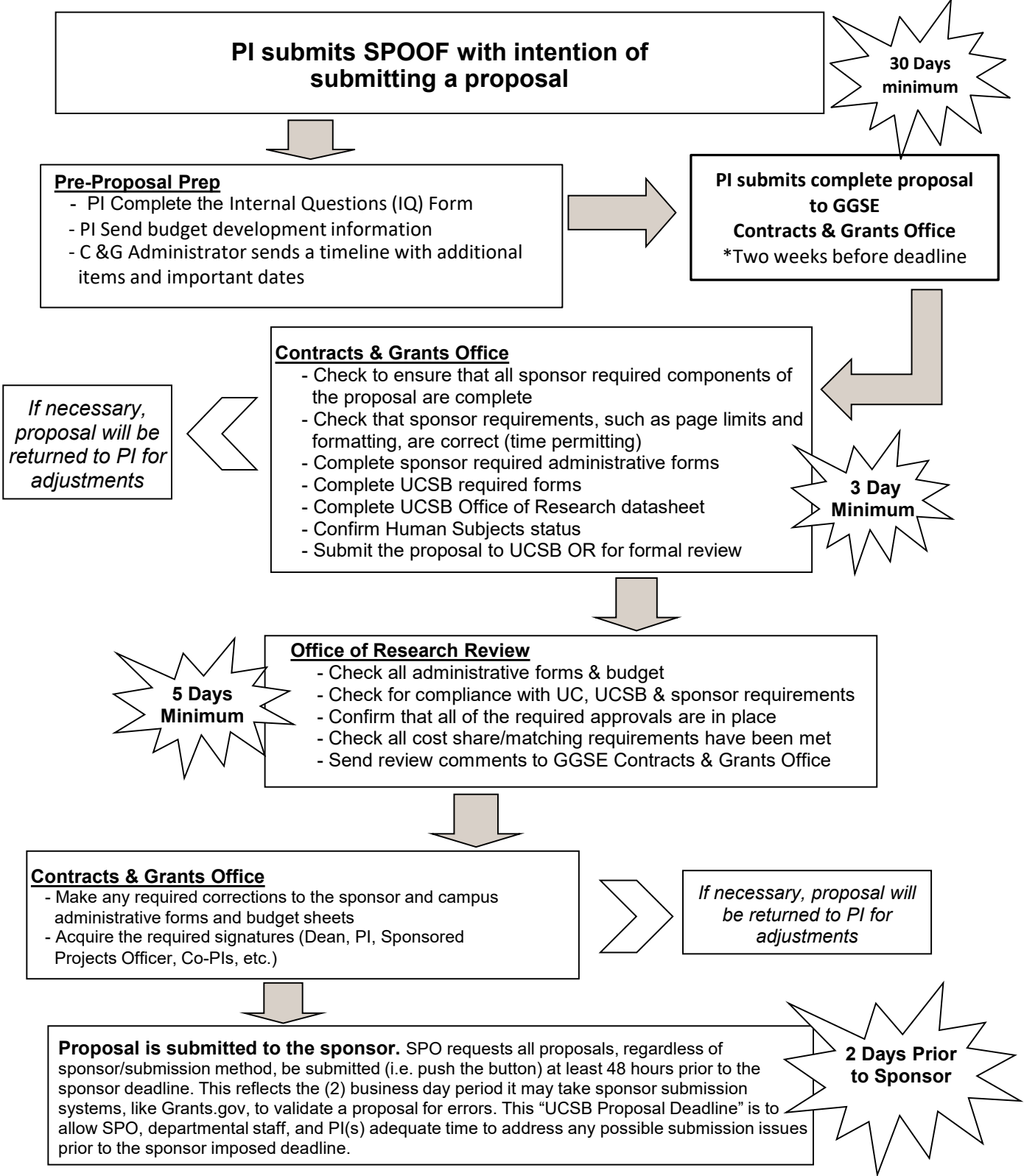
‡ The Co-PI may be listed first on the data sheet and/or proposal as the Lead PI, but the data sheet must include at least one eligible Co-PI.

Head of Administering Unit: Depending on type of unit, this approval may come from the Department Chair, ORU Director, or the Dean of the School. Signature on UCSB Data Sheet constitutes evidence of approval of the exception, unless the Department, ORU, or School has established alternative procedures.

OR (Office of Research): Requests shall be in the form of a completed Form 99 and directed to the Contract and Grant Officer serving the administering unit.

Last updated: 2/23/2016 JM

Approved by CD: 2/23/2016



GGSE Internal Questions (IQ) Form

For Office Use Only

Date Sent to PI: _____

Received by C&G Office: _____

PI: _____

% of academic year apt: _____

Co-PI: _____

% of academic year apt: _____

Co-PI: _____

% of academic year apt: _____

Please Confirm - Project Title: _____

Work Site: On Campus Off Campus

Purpose:

Organized Research

Project Type: Applied Basic Developmental Other: _____

Field of Research: _____

Training

Instruction

Other Sponsored Projects: _____

Project Assurances

YES NO

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 h.s. research to be conducted at multiple sites w/NIH funds?
4. Will you be using protected health (HIPAA) information?
5. Will your research involve the use of personal identity information (SSN or Driver's License with First & Last Name)
6. Will additional space or alteration be necessary for this project? If no, 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: *(If yes, provide details in comments section below)*
- Foreign sponsor, collaboration, sub, or
 - International shipments, commodities or technology
 - Foreign travel or research at foreign sites
9. Does the PI/CoPI have a relationship with the subrecipient(s) requiring COI review?
- Yes No N/A (no subrecipient on proposal)
10. Is PI or anyone other employee or student participating in this project:
- Debarred, proposed for debarment, suspended or otherwise excluded from or declared ineligible for participation in federal assistance programs or activities? OR award of federal contracts
 - Presently indicted for, or otherwise criminally or civilly charged by a government agency?
 - have within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contract or subcontract; 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? OR had one or more contracts terminated for default by any federal agency
11. Provide a list of who at UCSB will be responsible for the design, conduct or reporting of activities associated with this project. 1) _____ 2) _____ 3) _____ 4) _____ **IF**
APPLICABLE: Each individual will have to complete a disclosure of financial interests PRIOR to submission via <https://ucsb.coi-smart.com/login.php>.
12. Will the project generate any program income? Yes No

Additional Comments or Information:

Proposal Preparation Checklist

Submission to GSER On time? <input type="checkbox"/> Late? <input type="checkbox"/> No deadline? <input type="checkbox"/>
--

PI: _____ Co-PI(s): _____ Sponsor: _____ Deadline: _____ Time: _____ Deadline Type: _____ SPOOF Date: _____ Submission by: GSER <input type="checkbox"/> SPO <input type="checkbox"/> PI <input type="checkbox"/>

Set Up the Electronic Proposal File under the PIs name

- ___ Download all applicable sponsor forms & campus forms (e.g. Project Contribution form, UC Cash request form, cover page, Letters of Support, subcontract forms)

Guidelines

- ___ Print and save to proposal folder
- ___ Read and note special conditions, budgetary specifications, etc.

Notes: _____

Timeline

- GSER Deadline: _____
- OR Deadline: _____
- Campus Submission Deadline: _____
- Sponsor Submission Deadline: _____

Budget

- Proposed period of performance? _____ to _____
- Substantial ITG needs? Y N
- Unallowable Expenses: _____

Project Contributions or other special requirements: _____

Email to PI

Date: _____ **Follow Up:** _____

- ___ Timeline
- ___ Include the Internal Questions (IQ) form as an attachment
- ___ Request information to start budget development
- ___ Outline documents needed from PI (Form B, if applicable)
- ___ Outline what C&G will prepare (Sponsor forms, campus forms, etc.)
- ___ Note sponsor required registrations (e.g. eRA commons / Fastlane)
- ___ Note signatures on internal forms required PRIOR to submission
 - o Will PI or Co-PIs be available for signatures the week before submission?
- ___ *If applicable*, note ORCOI requirements for ALL key personnel
- ___ Is PI eligible? Y N *If no*, attach exception Form 99 & explain process
- ___ Request letter of commitment from any off-campus sites
- ___ Will there be incentives? Y N *If yes*, inform of need to match HS protocol
- ___ Will there be PSAs? Y N *If yes*, inform of insurance requirements/process
- ___ Subcontracts? Y N **Date sent to subcontractor:** _____
 - o Alter submission timeline **Sub's deadline:** _____
 - o Prepare subk determination form & Part A
 - o Request contact information and forward list of requirements
 - SOW, detailed budget, budget justification, Commitment Form & if applicable, sponsor forms

Notes: _____

Proposal Preparation Checklist

When proposal is received

date received: _____

- ___ Complete sponsor forms
- ___ Complete campus forms
- ___ Complete data sheet

Proposal to OR for review

date sent: _____

- ___ Assemble package
 1. OR info sheet / datasheet
 2. Internal documents (including subk forms)
 3. Proposal
 4. Guidelines

Route to KH for Review: _____

- ___ Notify PI that proposal is at OR for review
 - ___ if applicable: provide a PDF of Cayuse/Fastlane proposal for review

Receive OR comments

date received: _____

- ___ Make corrections
- ___ Obtain all necessary signatures
 - ___ PI on data sheet, DCR, internal forms, proposal
 - ___ Dean on data sheet, Form 110, proposal
 - ___ OR on proposal, internal forms (eg Form 99)

date responded: _____

- ___ PI confirmed required ORCOI disclosures have been completed

Signed data sheet to OR

date sent: _____

Signed DCR to COI@research.ucsb.edu n/a

date sent: _____

Human Subjects Status: n/a pending submission/review linked to ORBiT record

Transmittal Obtain PI OK to submit Y

date submitted: _____

- ___ Via online system, submitted by _____
- ___ Via email, submitted by _____
- ___ In hard copy (FedEx), submitted by _____
 - Multiple copies?

Email to PI/OR

- ___ Notice of proposal submission

Final actions

- ___ Electronic finals to OR
- ___ Complete copy in paper file
- ___ Ensure electronic file complete
- ___ KH - Add to quarterly proposal list

UC SANTA BARBARA

Kelly Hayton <khayton@ucsb.edu>

NSF INCLUDES proposal: Timeline & Details - 3/18/19 GGSE Deadline

1 message

Kelly Hayton <kelly.hayton@ucsb.edu>
To: Kelly Hayton <kelly.hayton@ucsb.edu>

Mon, Nov 5, 2018 at 8:21 AM

Good morning,

I've read through the guidelines and noted the following points for you to keep in mind:

1. Please provide me with the proposal PIN and ID for this proposal in Fastlane

Please send what you would like to see in the budget along with proposed period of performance, and I can put together a draft for you.

The following is required prior to submission. Please ensure that you will be available for signature.

- Completed Conflict of Interest disclosures via ORCOI by PI and Co-PIs
- Signed Design, Conduct & Reporting (DCR)
- Signed datasheet by PI and Co-PIs

The time line for submission of the proposal is as follows:

- 3/18 - due to GGSE Contracts & Grants Office
- 3/21 - due to Office of Research (OR)
- 3/28 - campus deadline for submission
- 4/2 - sponsor deadline for submission

To clarify, our office will complete the following:

- Detailed Budget
- Required Campus Forms
- Fastlane system entry and document upload

We will expect to receive from you the following:

- IQ Form
- Project Summary (must have included project type, and Overview, Intellectual Merit, and Broader Impacts)
- Project Description (must have included project type, 18 page max, Broader Impacts section..see page 16 of guidelines for required sections)
- Budget must include a line item for the PI to travel to NSF for two days
- Budget Justification
- References
- Bios for each PI/co-PI
- Current and Pending (this proposal listed first)
- Facilities
- Data Management Plan
- Letters of Collab. are allowed if you have any

As a reminder: In order to guarantee that a proposal meets the sponsor deadline OR requires at least 5 working days for review, and 2 for submission.

Lastly, if there will be any subcontracts with the proposal, please let me know as soon as possible as there will be many additional documents required that will take some time to prepare.

Please let me know if there is anything I can help with, or if you have any questions at this time. I've attached the guidelines here for your convenience.

--

Kelly Hayton

Manager, Finance & Administration

Gevirtz Graduate School of Education
4101 Education Building
Santa Barbara, CA 93106-9490
Office: (805) 893-5922

UC SANTA BARBARA

Record #:

OFFICE OF RESEARCH
DATASHEET & APPROVAL FORM

Primary PI:

Previous Award #:

Proposal Type:

Project #:

Sponsor Deadline Type: Back-in Electronic Postmark Receipt No Deadline

Deadline Date: Requested Deadline Date:

Title:

Admin Dept: Admin Dept. Name:

Datasheet Created By: Phone: Email:

Sponsor Code: Sponsor Name:

Proposal Submitted: Contract Grant Cooperative Agreement

Proposal Type: New Continuation Supplement Renewal

Pre-Proposal:

Full Cost Recovery Code: Organized Research Instruction Other Sponsored Activities Special Rates (UARC/KITP only)

Site of Work: Off-Campus On-Campus SBIR/STTR: Previous Award Number:

PROJECT PURPOSE INFORMATION:

- | | | |
|---|--|---|
| <input type="checkbox"/> Research | If Research: | Field of Research: |
| <input type="checkbox"/> Training | <input type="checkbox"/> Applied | <input type="checkbox"/> Air Pollution <input type="checkbox"/> Water |
| <input type="checkbox"/> Equipment | <input type="checkbox"/> Basic | <input type="checkbox"/> Cancer <input type="checkbox"/> Ins Dev |
| <input type="checkbox"/> Instruction | <input type="checkbox"/> Developmental | <input type="checkbox"/> Drug <input type="checkbox"/> Environ |
| <input type="checkbox"/> Student Scholarship/
Fellowship (paid by
stipend only) | <input type="checkbox"/> Other: | <input type="checkbox"/> Energy <input type="checkbox"/> Other: |
| <input type="checkbox"/> Other: | | |

PRINCIPAL INVESTIGATOR(S):

KEY PERSONNEL:

DETAIL INFORMATION:

Support Requested: Third Party Contribution:
(formerly Matching Funds)

Begin Date Requested: IDC Requested:

End Date Requested: IDC Rate Requested:

UC Cash: (formerly UC Participation) IDC Base:

UC In-kind: (formerly UC Cost Share) Program Income:

Record #:

OFFICE OF RESEARCH
DATASHEET & APPROVAL FORM

Primary PI:

Previous Award: #:

Proposal Type:

Project #:

#	Yes	No	ASSURANCES:
1.			<p>Will any human subject research be conducted on this proposal? 1A. If Yes, will any of the H.S. research be performed at UCSB or by UCSB personnel? <input type="checkbox"/> Yes <input type="checkbox"/> No "Human subjects" means a living individual about whom an investigator conducting research: 1) Obtains information or biospecimens through intervention or interaction with an individual, and uses, studies, or analyzes the information or biospecimens; or 2) Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens.</p>
2.			<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? If Yes, IRB review fees may need to be included in the budget proposal.</p>
3.			<p>For federally supported or FDA-regulated proposals, does this project involve a clinical trial? 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.			<p>Does this research involve the use, collection, or analysis of data covered under (i.e.,) Protected Health Information (PHI)? 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.			<p>Does this research involve the use, collection or analysis of Personally Identifiable Information (PII)? 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.			<p>If the proposal is being submitted to PHS/NIH, will the research generate large scale human and/or non-human genomic data? If Yes, a Genomic Data Sharing plan needs to be included with the proposal. 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. 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 (researchintegrity@research.ucsb.edu) at the initial "Just in Time" notification to obtain the Certification.</p>
7.			<p>Does this proposal involve any use of vertebrate animals? 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 iacuc@lifesci.ucsb.edu. 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. 7A. Will the use of any vertebrate animals occur on UCSB property or by UCSB personnel? <input type="checkbox"/> Yes <input type="checkbox"/> No 7B. Is there a subawardee associated with this award that will be working with vertebrate animals? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>
8.			<p>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? <input type="checkbox"/> Yes <input type="checkbox"/> 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 for assistance.</p>
9.			<p>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)</p>

Record #:

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Primary PI:

Previous Award: #:

Proposal Type:

Project #:

Yes No ASSURANCES:

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:

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.

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 (Crimean Region) by UCSB personnel? Please contact Research Integrity staff at 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 (Crimean 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. Is the proposal being submitted to a federal sponsor (or a federal flow-through sponsor)?

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.

Please visit the Sponsored Projects' webpage (<https://www.research.ucsb.edu/foreign-involvement-disclosure-requirements>) to review the requirements for the particular sponsor to whom you are submitting.

For background on foreign involvement, please visit Research Integrity's webpage: <https://www.research.ucsb.edu/research-integrity/international-engagement>.

If you have any questions on this matter, please contact the SPO team assigned to your department (<https://www.research.ucsb.edu/sponsored-projects-teams>).

13. 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.

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Primary PI:

Previous Award: #:

Proposal Type:

Project #:

Yes No ASSURANCES:

14. Will this project include one or more subawards?
 Subrecipient Does the PI/Co-PI have a financial relationship with this subrecipient that would require COI review?

If Yes, all Principal Investigators who identify the existence of a financial relationship with a subrecipient must complete the '700U - Statement of Economic Interests for Principal Investigators' disclosure through O.R.'s Conflict of Interest disclosure system - ORCOI at <https://ucsb.coi-smart.com>.

15. Will requested funds be considered flow-through? (Who is the ultimate source source of funds?)
 If Yes:
 Code Prime Sponsor's Name

16. 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.)
 If yes:
 16A. Is the sponsor non-governmental? Yes No
 The organization may be exempt from the disclosure requirement. A list of exempt organizations can be found <http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-from-disclosure-requirement.html>. Additionally, a U.S. private Institution of Higher Education is exempt from disclosure when that Institution is a non-profit and is tax exempt.
 16A-1. Is sponsor EXEMPT from COI review? Yes No
 16B. Is the prime sponsor (if applicable from question 15) non governmental? Yes No
 The organization may be exempt from the disclosure requirement. A list of exempt organizations can be found <http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-from-disclosure-requirement.html>. Additionally, a U.S. private Institution of Higher Education is exempt from disclosure when that Institution is a non-profit and is tax exempt.
 16B-1. Is prime sponsor EXEMPT from COI review? Yes No
 If Yes, and either sponsor or prime sponsor are not exempt 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 <https://orcoi.research.ucsb.edu> if/when the proposal is funded.

17. Is proposal being submitted to the NSF (including NSF flow-through funding) or any other sponsor requiring similar Federal Financial disclosure?
 If Yes, 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: <https://orcoi.research.ucsb.edu>. See Research Circular D.3. and the COI website:

18. 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?
 If Yes, 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 1) complete 'The PHS Annual Disclosure Form' through O.R.'s Conflict of Interest Disclosure System at <https://orcoi.research.ucsb.edu> and 2) take the Compliance & Conflict of Interest for Researchers Briefing (COIR) through the campus's Learning Management System (LMS).

Record #:

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Primary PI:

Previous Award: #:

Proposal Type:

Project #:

19.

Debarment, Suspension, Proposed Debarment. 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.

Is the PI or any other employee or student participating in this project:

-debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities?

-presently debarred, suspended, proposed for debarment, or declared ineligible for award of federal contracts?

-presently indicted for, or otherwise criminally or civilly charged by a government agency?

-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.

-have within three (3) years preceding this offer, had one or more contracts terminated for default by any federal agency.

Record #:

**OFFICE OF RESEARCH
DATASHEET & APPROVAL FORM**

Primary PI:

Previous Award: #:

Proposal Type:

Project #:

As Principal Investigator (/Co-Principal Investigator), I certify that:

The information contained on this data sheet is accurate.

The information submitted within the application/proposal and this certification is true, complete and accurate to the best of my knowledge; that any false, fictitious, or fraudulent statements or claims may subject me personally to criminal, civil, or administrative penalties; and that I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application/proposal.

I am aware of the duties and responsibilities for the management of the sponsored project, including but not limited to, 1) having primary responsibility for the scientific integrity and management of the sponsored project, 2) ensuring that the project program is appropriate to the mission and policies of the University, 3) ensuring that adequate space and resources exist to conduct the project, if funded, 4) ensuring that the project work complies with applicable health, safety and environmental regulations and UC policies, and 5) ensuring adherence to externally imposed sponsor terms and conditions, including reporting and record keeping requirements.

I am aware of my responsibilities relating to the financial management of the sponsored project, including, but not limited to, ensuring that 1) costs identified in my project budget are reasonable, allowable, and allocable in accordance with applicable OMB policies (either the Uniform Guidance or OMB A-21) and 2) direct costs identified in my project budget that are typically covered under the Facilities & Administration (indirect cost) rate are appropriately described and justified in the proposal budget narrative, explicitly stating the reason the costs are required to perform the project and that the costs are appropriate in accordance with applicable OMB policies (either the Uniform Guidance or OMB A-21), as a direct charge to the project.

I understand that if the proposal is awarded, I have an ongoing obligation throughout the term of the project to report to Sponsored Projects, as soon as I become aware, whether I or any other employee or student participating in the project becomes debarred or suspended, as described in Assurance #13, or is convicted, indicted, or has a civil judgment entered for committing any of the offenses listed in Assurance #13 above.

If the Sponsor requires Responsible Conduct of Research Training, I am aware and certify that I will ensure that all undergraduates, graduate students, and postdoctoral researchers who will be supported by this proposal will take the required training on responsible and ethical conduct of research.

If this proposal is being submitted to a federal agency (including federal flow-through) or to any sponsor requiring Financial Conflict of Interest disclosure (FCOI), I certify that all personnel responsible for the design, conduct, and reporting (DCR personnel) have completed the required COI training, the annual disclosure form and certify that all DCR personnel shall maintain current updated disclosures in O.R's Conflict of Interest Disclosure System (<http://ucsb.coi.smart.com>) throughout the life of this project in accordance with Research Circular D.1.

I certify that I have read and understand that: 1) Federal law prohibits trafficking in persons, procuring commercial sex acts (even in a location where it is otherwise legal such as Nevada), or using forced labor during the period of performance of a federal grant, cooperative agreement or contract. 2) Instances of employees working on federally funded projects who violate this condition must be reported to the government and penalties up to and including removal from the project, termination, and possible criminal prosecution may ensue. 3) I understand that as the Principal Investigator for a federal project I am responsible for informing project personnel that they are subject to this requirement. For additional guidance and information, refer to UCOP RPAC C&G Memo 13-07 - Federal Clauses on Trafficking in Persons, Prostitution, and Related Activities (<http://researchmemos.ucop.edu/php-app/index.php/site/document?memo=UIBBQy0xMy0wNw==&doc=29>).

Foreign Involvement: If this proposal is being submitted to a federal sponsor (or federal flow-through sponsor), I confirm that I have reviewed the sponsor's policies that are referenced in Assurance #12, above. I also understand that I am responsible for accurately and fully reporting the required information to the sponsor.

Further, I certify, to the best of my knowledge at the time of the submission, that the information regarding foreign involvement provided in the proposal is complete, accurate, and compliant with the federal sponsor's policies.

Principal Investigator	Date	Co-Principal Investigator	Date
Chair/ORU Director	Date	Dean of School or College	Date
Other Signature (if applicable)	Date	Other Signature (if applicable)	Date

Sponsored Projects will use all efforts to thoroughly review proposals under the circumstances surrounding submission. However, please note that it remains the primary responsibility of the principal investigator to assure that proposals adhere to UC policy and sponsor guidelines.

UCSB Departmental Finals Procedures

The Office of Research serves as the official office of record for all sponsored projects. Each proposal and post-submission proposal action (prior to the receipt of an award) must be documented in the proposal file and in ORBIT. This documentation is called “finals,” and is required to be completed and sent to SPO by the administering department within 48 hours of submission to the sponsor.

For every proposal submission or any post-submission proposal action listed below, an eFinal (i.e. electronic final) is required.

There are four types of eFinals:

OR Proposal – an electronic copy of all documents that were sent to a sponsor, and a UCSB detailed budget. A UCSB detailed budget is required for all proposal eFinals, even when the budget was not submitted to the sponsor. The only exception to this rule is when an NIH Modular Budget is submitted. Please do not include internal campus compliance documentation in this document.

Sub Proposal & MCA Proposal – an electronic copy of all required sub-recipient documentation, including a sub-recipient detailed budget and internal forms (including links to or copies of A-133 audit and IDC rate agreement). A separate eFinal is required for each sub-recipient/MCA.

Proposal Update – an electronic copy of all proposal update documents submitted to the sponsor. NIH Just-in-Time (JIT) actions should follow the Proposal Update guidance. If the proposal update results in any changes to the budget, the update should be processed as a revised budget instead (see below).

Revised Budget – an electronic copy of all revised budget documents, including the UCSB detailed budget.

Departments are expected to email the eFinal to the assigned SPO Team within 48 hours of submission to the sponsor. The subject line of the email in which the eFinal is sent must match the naming convention of the pdf. All eFinals must be a pdf document format (not a pdf package) and follow the SPO naming convention below.

Type of Action	eFinal Naming System	Example
OR Proposal	PI Name, “ORFinal”, Record #	SmithORFinal20130852
Sub Proposal	PI Name, “Sub”, Sub Institution, Record #	SmithSubHarvard20130852
MCA Proposal	PI Name, “MCA”, UC Campus, Record #	SmithMCAUCLA20130852
Proposal Update	PI Name, Record #, “_Update”, MMDDYY	Smith20130852_Update040313
Revised Budget	PI Name, Record #, “_RevisedBudget”, MMDDYY	Smith20130852_RevisedBudget040313
Revised Budget of a Sub	PI Name, “Sub”, Sub Institution, Record#, “_RevisedBudget”, MMDDYY	SmithSubHarvard20130852_RevisedBudget040313
Revised Budget of an MCA	PI Name, “MCA”, UC Campus, Record#, “_RevisedBudget”, MMDDYY	SmithMCAUCLA20130852_RevisedBudget040313