Introduction to Proposal Submission

Brett Fortier, Director of Information Systems, Office of Research
Sarah Payne, Senior Sponsored Projects Analyst, Office of Research
Amanda Hart, Financial Manager, Mechanical Engineering

March 15, 2023

UC SANTA BARBARA
Office of Research

STAR Program and Class Logistics:

- For course descriptions visit: https://www.research.ucsb.edu/star-class
- STAR Certificate = Completion of 11 courses

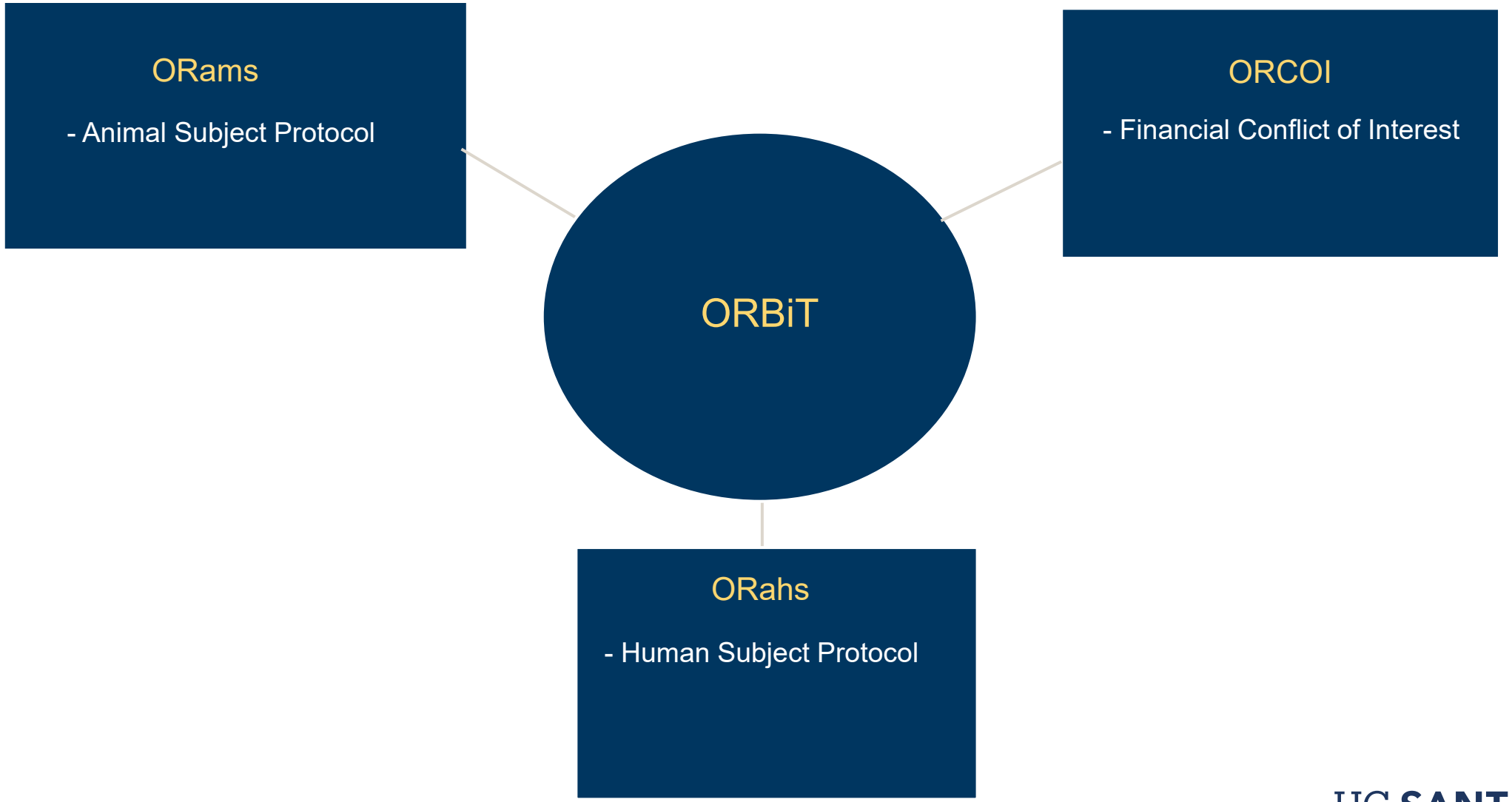
  **Coursework must be completed within 2 years from the date you begin the course series.*

  ** 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*
- *Zoom Classes will NOT be recorded for this 2023 series.*

FOR QUESTIONS DURING THIS CLASS:
Please Use 'CHAT' feature and post to 'Everyone'

ORBiT Overview

ORBiT Suite of Applications

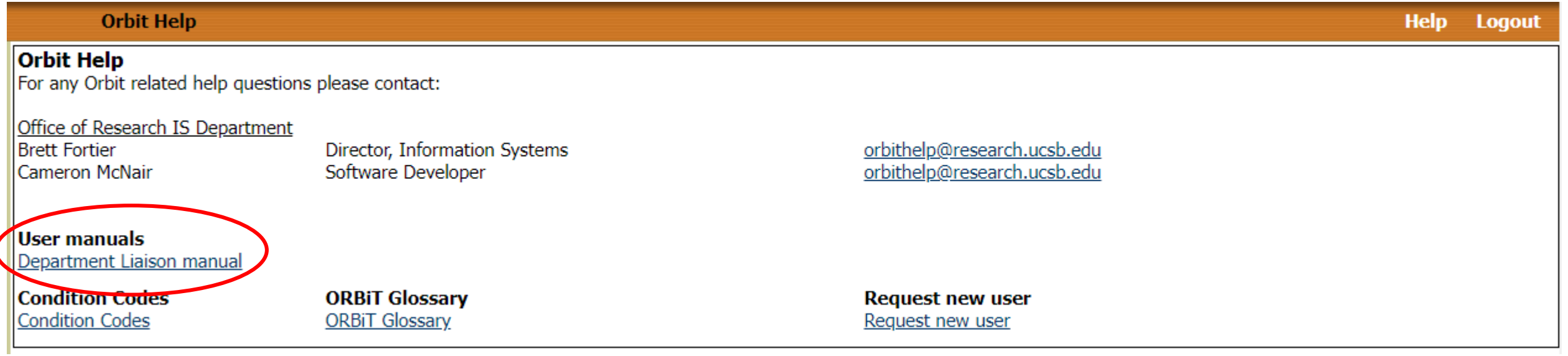


Help and how to get around

https:\\orbit.research.ucsb.edu

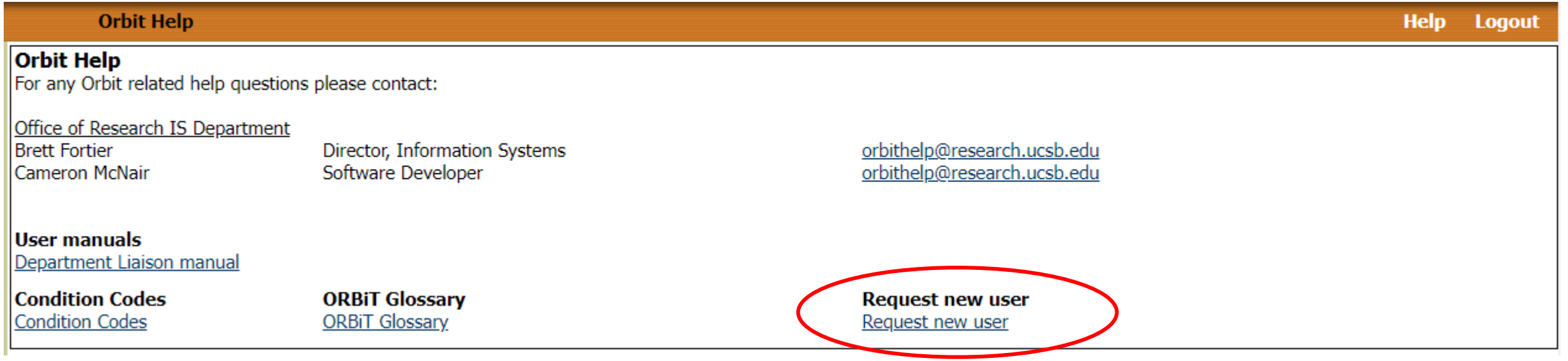
Help and how to get around

https:\\orbit.research.ucsb.edu

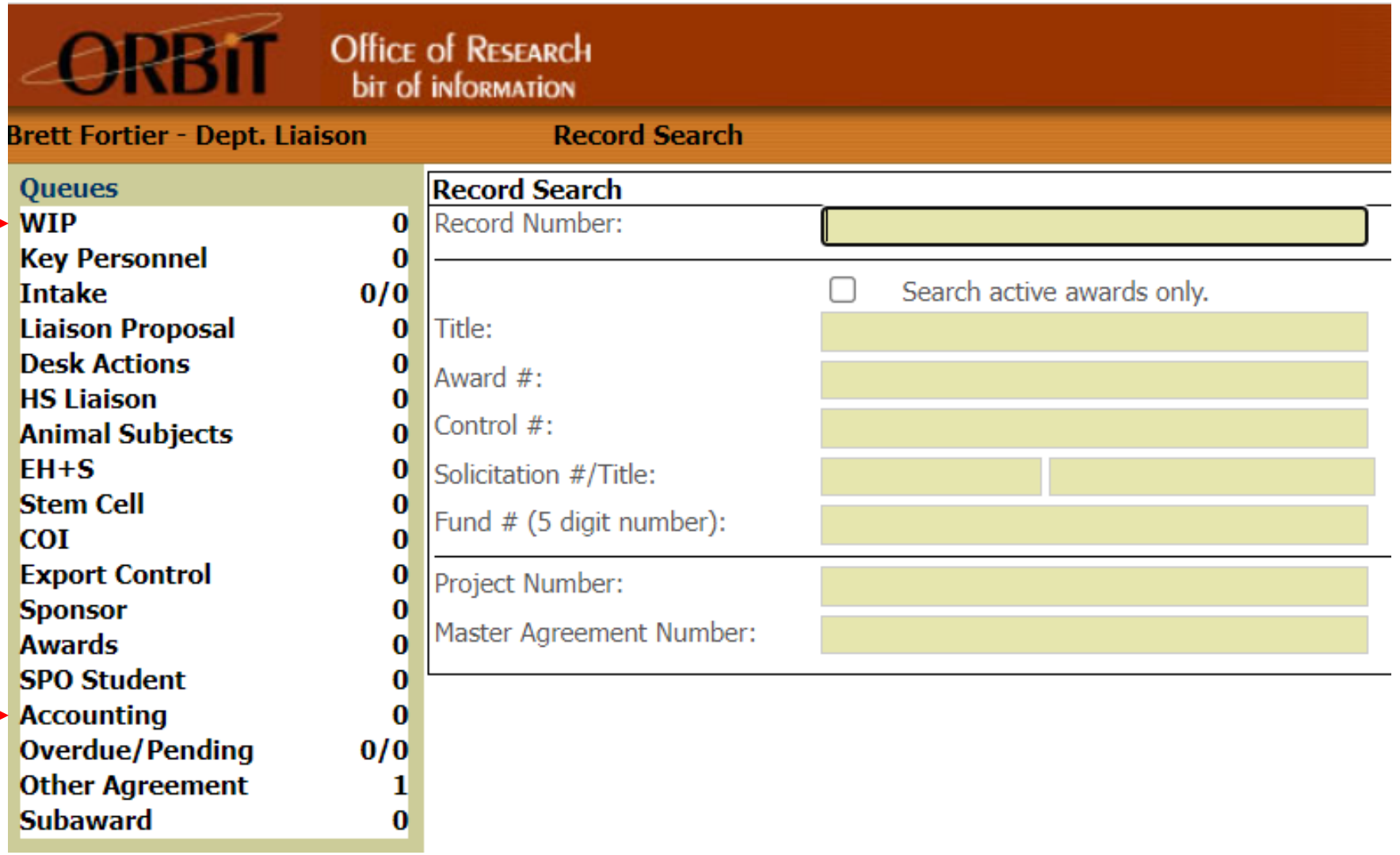


Help and how to get around

https:\\orbit.research.ucsb.edu



How to get around

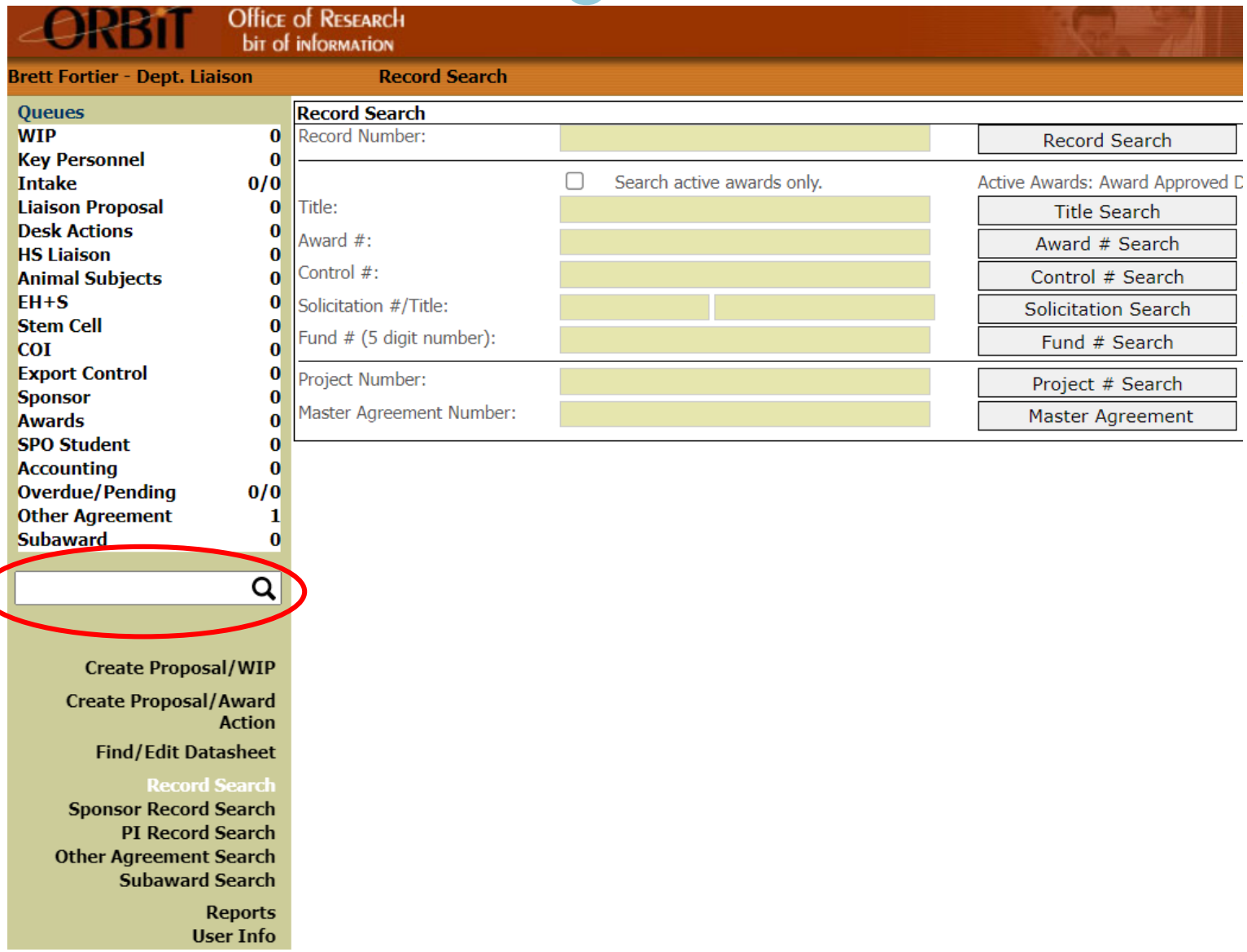


Starting point →

Compliance Queues

Ending point →

How to get around

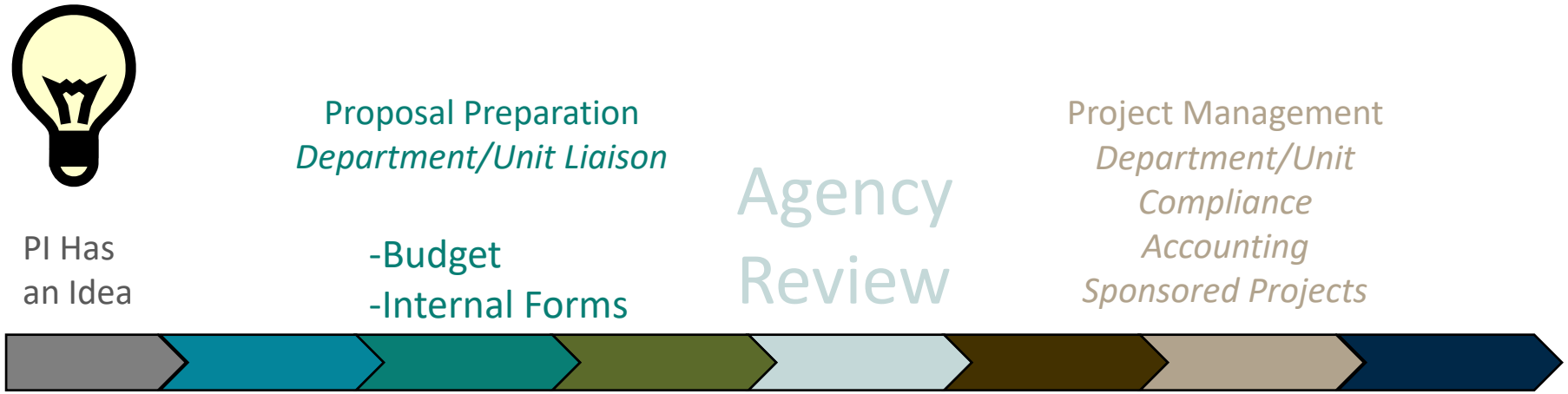


Proposal Scenario throughout Presentation:

- 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



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)

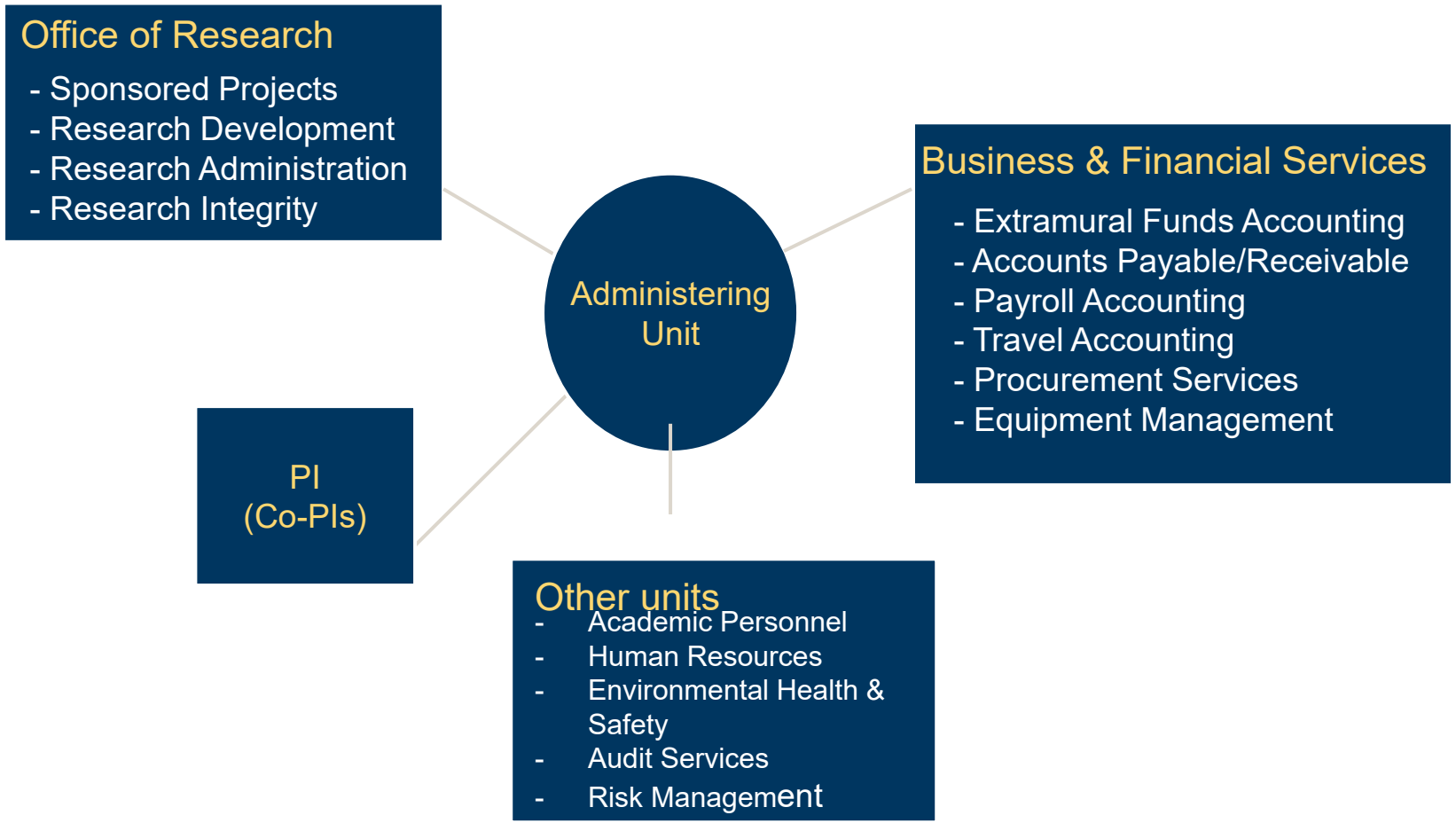
- Reviews the proposal for consistency with UC and sponsor policy
- Interface between Administering Department/ Organized Research Unit (ORU) and the sponsor
- Submits proposals on behalf of The Regents of the University of California
- Negotiates and executes award instrument and assists with award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



Determine PI Eligibility

https://www.research.ucsb.edu/spo/proposal-prep/pi-eligibility

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

			Payroll Title	Appointment Type	Project Type	Approval as sole PI	Approval as Co-PI ‡
Academic	Academic Senate Member		Academic Senate Member (All Titles)ǂ	All Appts.	All	Eligible	Eligible
	Faculty Titles	Ladder Faculty	UC Emeriti	All Appts.	All	Eligible	Eligible
			Research Professor	All Appts.	All	Eligible	Eligible
			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 Orfalea 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

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)

https://live-research-ucsb-edu-v01.pantheonsite.io/sites/default/files/SPO/PI%20Eligibility/Research%20Circular%20B.1.pdf

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, DAPRA, 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

Questions?

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?

Sponsor Guidelines (cont.)

Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES)

NSF INCLUDES Alliances

PROGRAM SOLICITATION
NSF 20-569

REPLACES DOCUMENT(S):
NSF 18-529

National Science Foundation

Letter of Intent Due Date(s) ***(required)*** (due by 5 p.m. submitter's local time):

October 05, 2020

October 04, 2021

Full Proposal Deadline(s) (due by 5 p.m. submitter's local time):

January 26, 2021

January 25, 2022

IMPORTANT INFORMATION AND REVISION NOTES

- A Letter of Intent is required for all proposal submissions and must be submitted via FastLane by the due dates listed above.
- Prior NSF INCLUDES funding is not required to be eligible to submit an Alliance proposal.
- An NSF INCLUDES Planning Grant is not a prerequisite to submit an Alliance proposal.
- The inclusion of an NSF INCLUDES Design and Development Launch Pilot Project Principal Investigator and/or Co-Principal Investigator is encouraged but not required.
- There are limits on the number of proposals that may be submitted per organization and per PI or Co-PI.

Any proposal submitted in response to this solicitation should be submitted in accordance with the revised *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 20-1), which is effective for proposals submitted, or due, on or after June 1, 2020.

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:

Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES)
NSF INCLUDES Alliances

Synopsis of Program:

In 2016, the National Science Foundation (NSF) unveiled a set of "Big Ideas," 10 bold, long-term research and process ideas that identify areas for future investment at the frontiers of science and engineering (see https://www.nsf.gov/news/special_reports/big_ideas/index.jsp). The Big Ideas represent unique opportunities to position our Nation at the cutting edge of global science and engineering leadership by bringing together diverse disciplinary perspectives to support convergence research. As such, when responding to this solicitation, even though proposals must be submitted to the Education and Human Resources (EHR) Directorate/Division of Human Resource Development (HRD), once received, the proposals will be managed

There are no restrictions or limits.

Limit on Number of Proposals per Organization:

An organization may serve as a lead organization on only one proposal. Proposals that exceed the organizational limit (beyond the first submission based on timestamp) will be returned without review. **No exceptions will be made.**

Full proposals involving multiple organizations may be submitted two ways:

- a single submission from a lead organization, with other collaborating organizations included as subawardees, OR
- separate submissions from a lead organization and ONE collaborating organization, with any additional collaborating organizations included as subawardees.

See PAPPG Chapter II.D.3 for additional information on collaborative proposals.

Limit on Number of Proposals per PI or Co-PI:

An individual may serve as a PI or Co-PI on only one NSF INCLUDES Alliance proposal. Proposals that exceed the PI or Co-PI limit (beyond the first submission based on timestamp) will be returned without review. **No exceptions will be made.**

Proposal Preparation and Submission Instructions

A. Proposal Preparation Instructions

- **Letters of Intent:** Submission of Letters of Intent is required. Please see the full text of this solicitation for further information.
- **Preliminary Proposal Submission:** Not required
- **Full Proposals:**
  - Full Proposals submitted via FastLane: *NSF Proposal and Award Policies and Procedures Guide* (PAPPG) guidelines apply. The complete text of the PAPPG is available electronically on the NSF website at: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=pappg.
  - Full Proposals submitted via Grants.gov: *NSF Grants.gov Application Guide: A Guide for the Preparation and Submission of NSF Applications via Grants.gov* guidelines apply (Note: The *NSF Grants.gov Application Guide* is available on the Grants.gov website and on the NSF website at: https://www.nsf.gov/publications/pub_summ.jsp?ods_key=grantsgovguide).

B. Budgetary Information

- **Cost Sharing Requirements:**

  Inclusion of voluntary committed cost sharing is prohibited.

- **Indirect Cost (F&A) Limitations:**

  Not Applicable

- **Other Budgetary Limitations:**

  Not Applicable

C. Due Dates

- **Letter of Intent Due Date(s)** ***(required)*** (due by 5 p.m. submitter's local time):

  October 05, 2020

  October 04, 2021

- **Full Proposal Deadline(s)** (due by 5 p.m. submitter's local time):

  January 26, 2021

  January 25, 2022

Proposal Review Information Criteria

Merit Review Criteria:

National Science Board approved criteria. Additional merit review criteria apply. Please see the full text of this solicitation for further information.

Award Administration Information

Award Conditions:

Sponsor Guidelines (cont.)

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

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

Questions?

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

				Sponsor	UCSB
Salaries	Rate	Months	Time		
Prin. Investigator: Professor Smith					
(Professor V) $104,283 annual					
Summer 2019	11,587	2	100%	$23,174	$0
			Total Salaries	**$23,174**	**$0**
Fringe Benefits	Base		Rate		
Principal Investigator					
Summer 2019	23,174		9.9%	$2,294	$0
			Total Fringe Benefits	**$2,294**	**$0**
			Total Salaries and Fringe Benefits	**$25,468**	**$0**
Equipment (includes tax and shipping)					
Xray				$0	$6,000
			Total Equipment	**$0**	**$6,000**
Travel					
3-day trip for 1 traveler to Boston - National Society of Scientists				$1,275	$0
(Airfare = $500; Registration = $250; Lodging = $125/day; Meals = $50/day)					
			Total Travel	**$1,275**	**$0**
			Total Direct Costs	**$26,743**	**$6,000**
			MTDC	**$26,743**	**$0**
			Rate 55% **IDC**	**$14,709**	**$0**
			Total Project Costs	**$41,452**	**$6,000**

Zoom Break

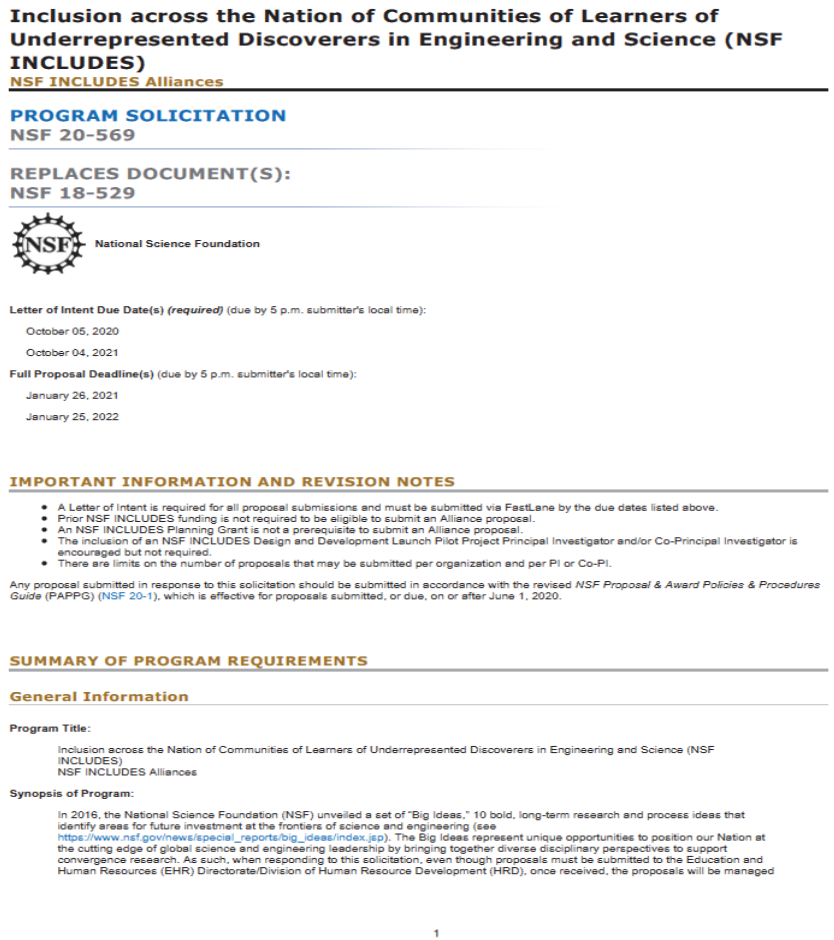
"See" you in 3 minutes.

Proposal Timelines & Sponsor Deadlines

Proposal Scenario:

When is the NSF deadline →

due 01/25/2022



Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES)

NSF INCLUDES Alliances

PROGRAM SOLICITATION
NSF 20-569

REPLACES DOCUMENT(S):
NSF 18-529

National Science Foundation

Letter of Intent Due Date(s) ***(required)*** (due by 5 p.m. submitter's local time):

October 05, 2020

October 04, 2021

Full Proposal Deadline(s) (due by 5 p.m. submitter's local time):

January 26, 2021

January 25, 2022

IMPORTANT INFORMATION AND REVISION NOTES

- A Letter of Intent is required for all proposal submissions and must be submitted via FastLane by the due dates listed above.
- Prior NSF INCLUDES funding is not required to be eligible to submit an Alliance proposal.
- An NSF INCLUDES Planning Grant is not a prerequisite to submit an Alliance proposal.
- The inclusion of an NSF INCLUDES Design and Development Launch Pilot Project Principal Investigator and/or Co-Principal Investigator is encouraged but not required.
- There are limits on the number of proposals that may be submitted per organization and per PI or Co-PI.

Any proposal submitted in response to this solicitation should be submitted in accordance with the revised *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 20-1), which is effective for proposals submitted, or due, on or after June 1, 2020.

SUMMARY OF PROGRAM REQUIREMENTS

General Information

Program Title:

Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES)
NSF INCLUDES Alliances

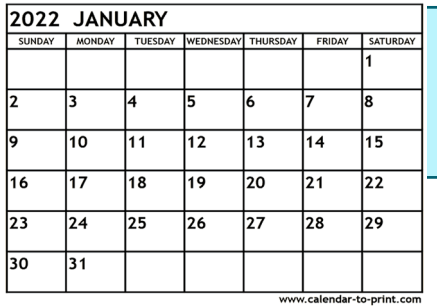
Synopsis of Program:

In 2016, the National Science Foundation (NSF) unveiled a set of "Big Ideas," 10 bold, long-term research and process ideas that identify areas for future investment at the frontiers of science and engineering (see https://www.nsf.gov/news/special_reports/big_ideas/index.jsp). The Big Ideas represent unique opportunities to position our Nation at the cutting edge of global science and engineering leadership by bringing together diverse disciplinary perspectives to support convergence research. As such, when responding to this solicitation, even though proposals must be submitted to the Education and Human Resources (EHR) Directorate/Division of Human Resource Development (HRD), once received, the proposals will be managed

1

UCSB Proposal Submission Timeline for a standard proposal review:

Monday	Tuesday	Wednesday	Thursday	Friday
		Pre-review Proposal to be received in OR by 5pm		
Monday	Tuesday	Wednesday	Thursday	Friday
		UCSB Proposal Deadline All proposals should be submitted by 5pm to allow adequate time to address possible submission issues. **Grants.gov 48 hour window begins at 5pm**		**Sponsor Proposal Deadline**



PI's deadline to have proposal to Dept. Liaison for submission to SPO

To be determined by Admin. Dept but consider the following:

SPO Pre-review submission via ORBiT — *Friday 01/14/2022*

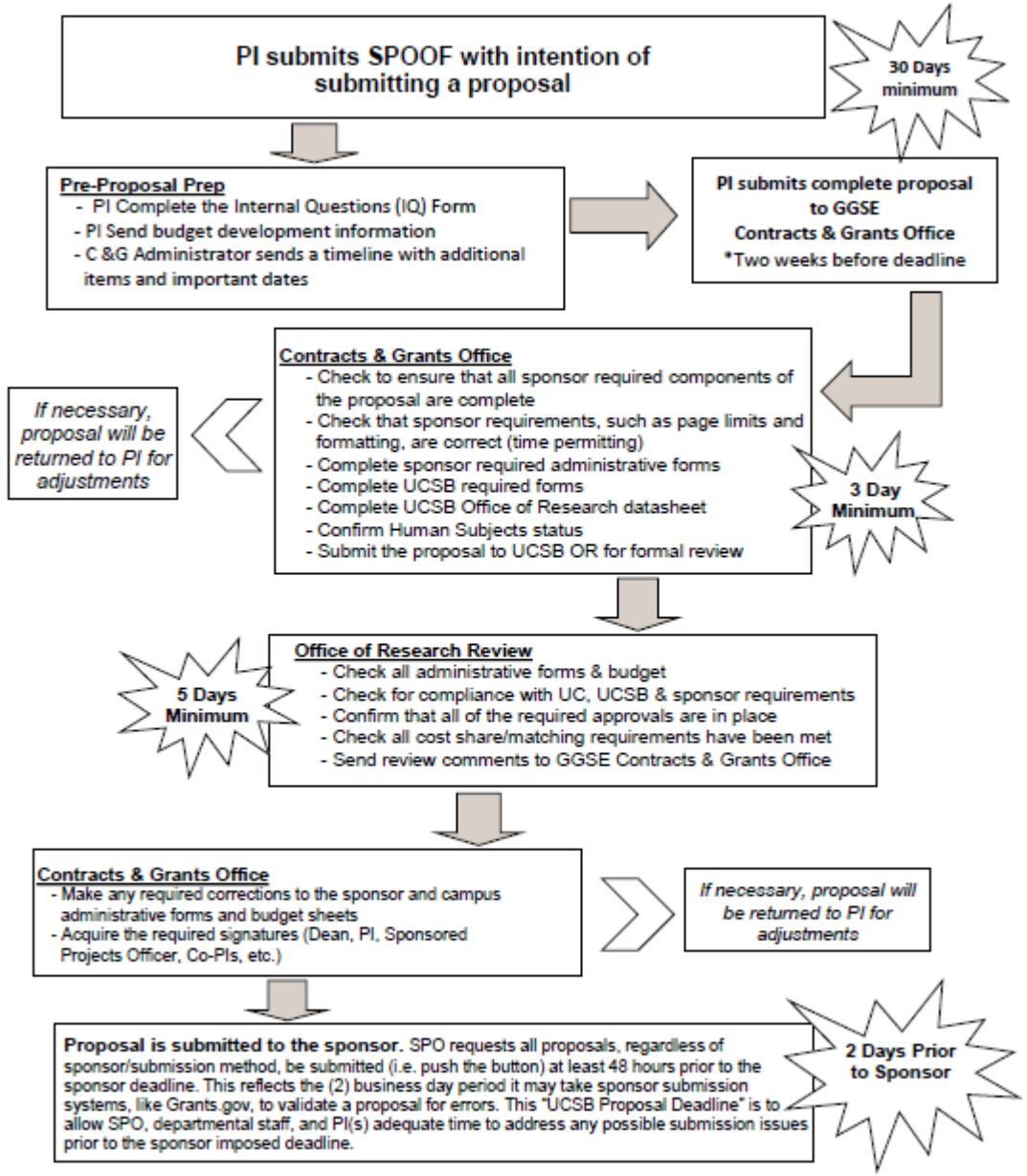
UCSB Submission to Sponsor (48 hrs before Deadline date) — *Friday 01/21/2022*

Adjust Sponsor Deadline to UCSB business day if deadline falls on Holiday or Weekend

Deadline per Guidelines — *Tuesday 01/25/2022*

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

Proposal Flowchart



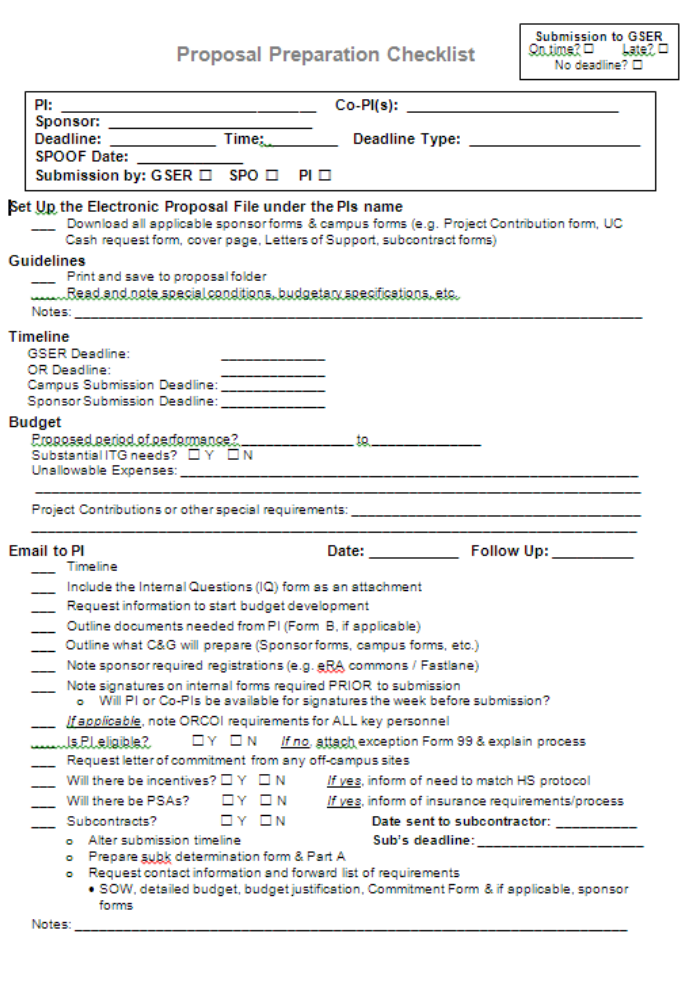
Department Liaison Responsibilities

- 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

Submission to GSER
On time? ☐ Late? ☐
No deadline? ☐

PI: _____ Co-PI(s): _____
Sponsor: _____
Deadline: _____ Time: _____ Deadline Type: _____
SPOOF Date: _____
Submission by: GSER ☐ SPO ☐ PI ☐

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)

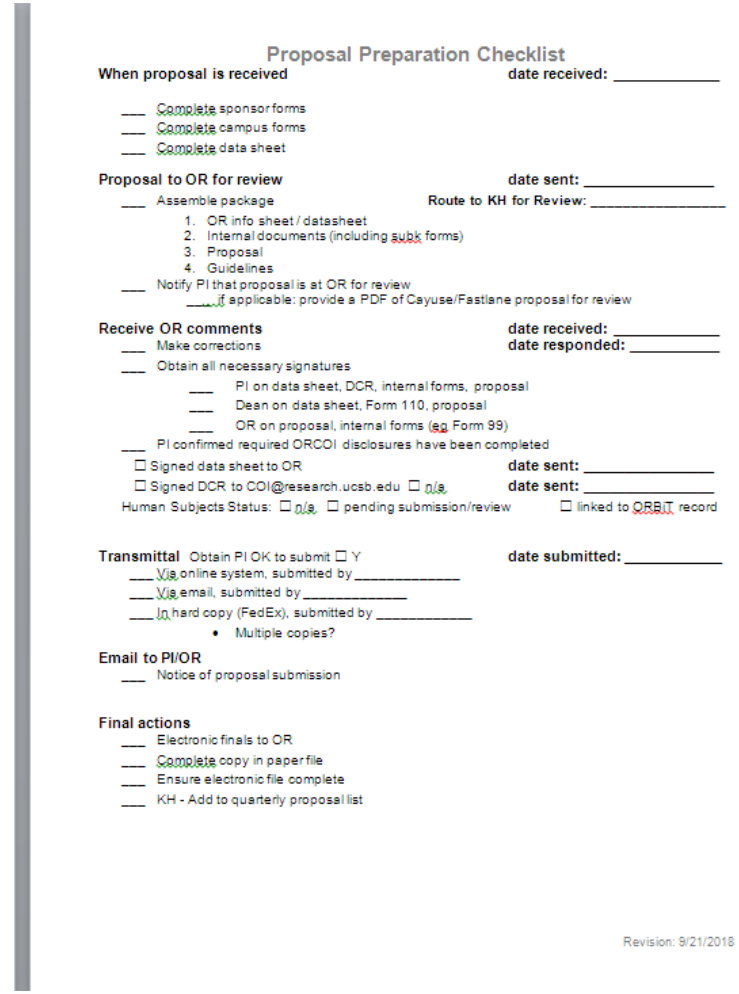
Guidelines
___ Print and save to proposal folder
___ Read and note special conditions, budgetary specifications, etc.
Notes: _____

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
  - 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:** _____
  - Alter submission timeline **Sub's deadline:** _____
  - Prepare subk determination form & Part A
  - 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 **Route to KH for Review:** _____
1. OR info sheet / datasheet
2. Internal documents (including subk forms)
3. Proposal
4. Guidelines

___ 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:** _____ **date responded:** _____
___ 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)

___ 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

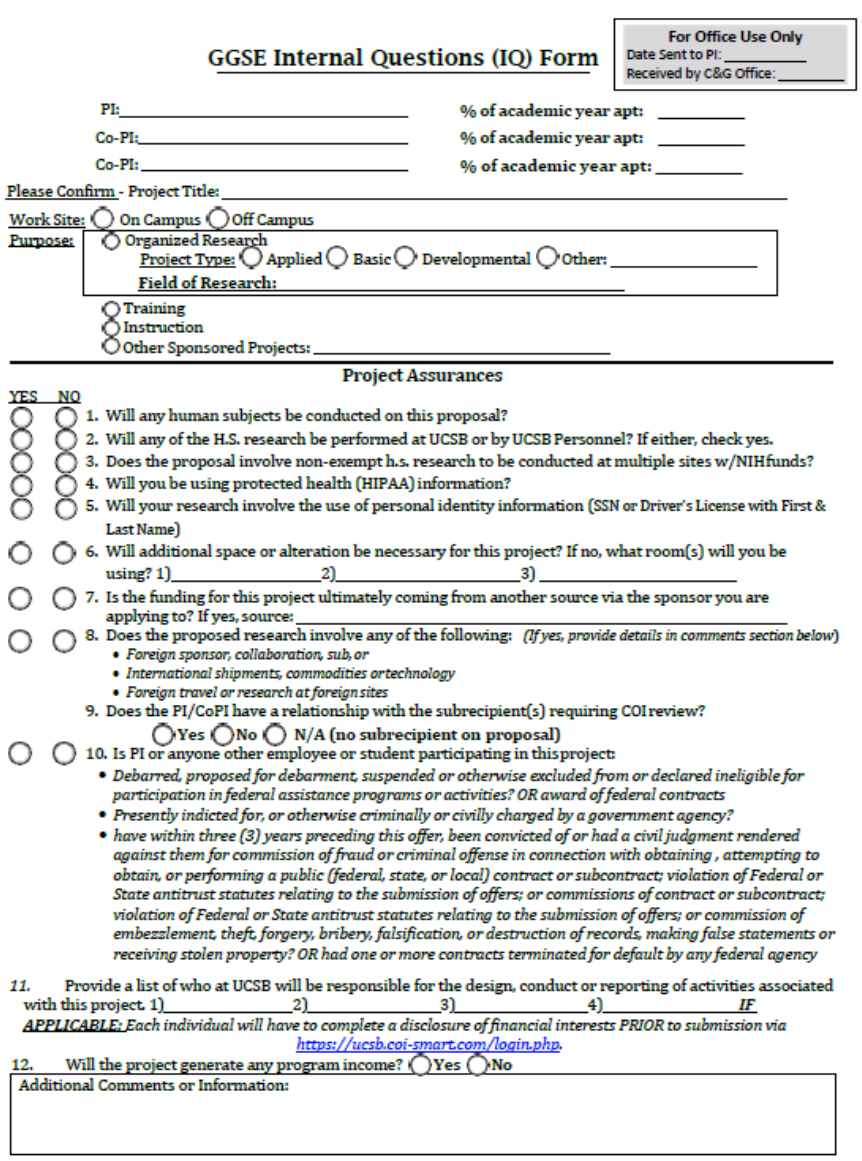
Final actions
___ Electronic finals to OR
___ Complete copy in paper file
___ Ensure electronic file complete
___ KH - Add to quarterly proposal list

Revision: 9/21/2018

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

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:

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

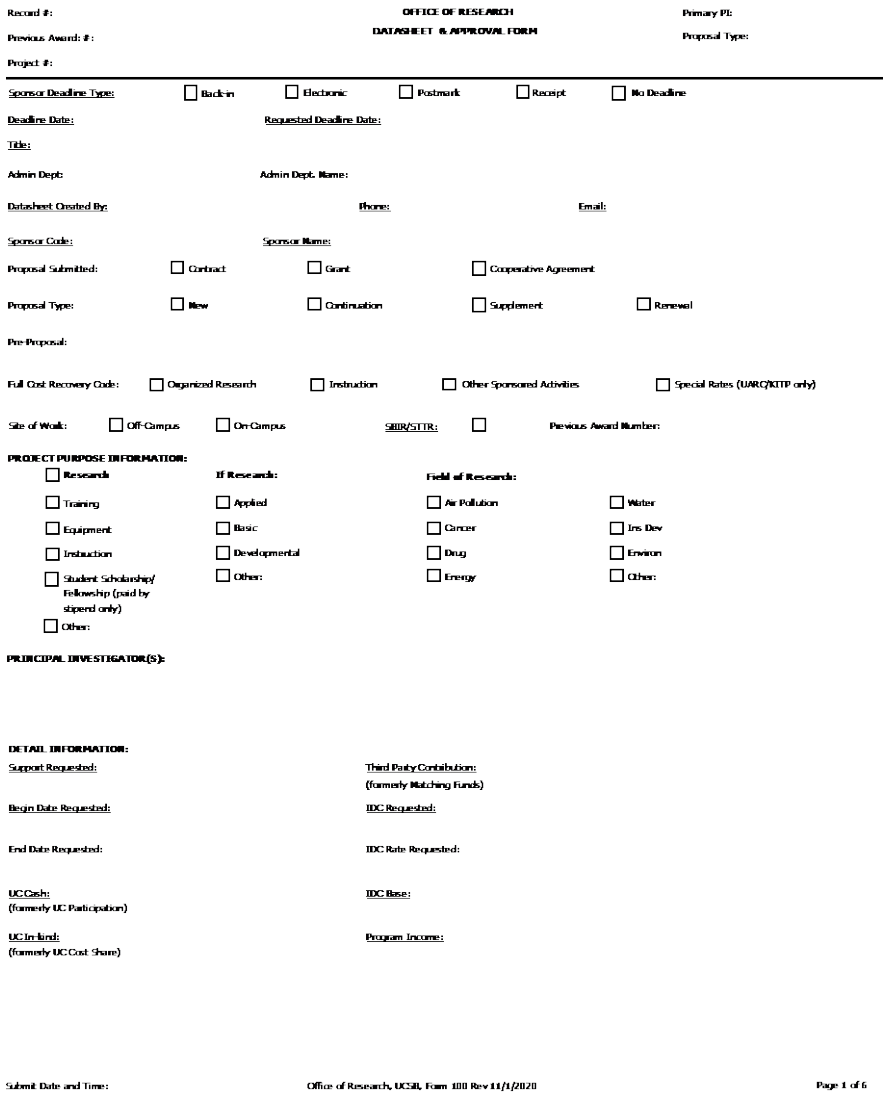
https://orbit.research.ucsb.edu

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)



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:

☐ Research
☐ Training
☐ Equipment
☐ Instruction
☐ Student Scholarship/ Fellowship (paid by stipend only)
☐ Other:

If Research:
☐ Applied
☐ Basic
☐ Developmental
☐ Other:

Field of Research:
☐ Air Pollution
☐ Cancer
☐ Drug
☐ Energy
☐ Water
☐ Ins Dev
☐ Environ
☐ Other:

PRINCIPAL INVESTIGATOR(S):

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:

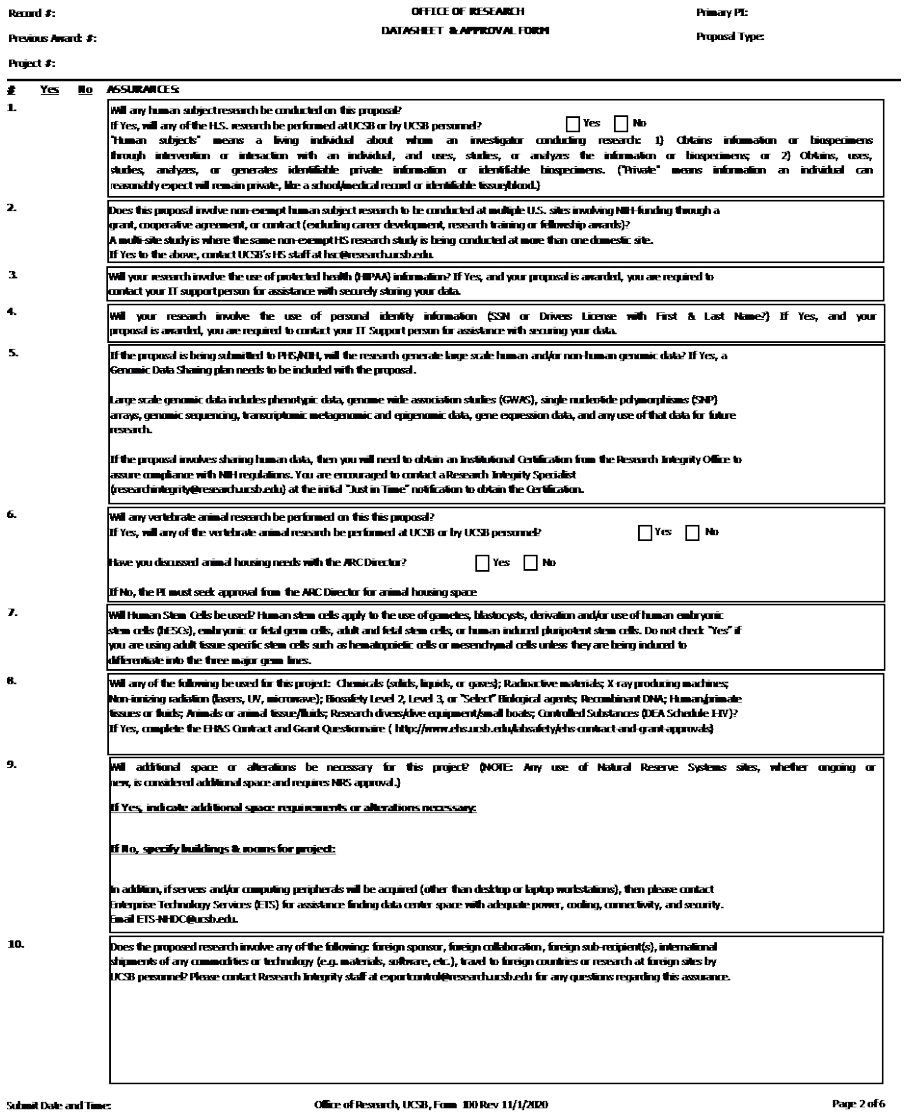
Submit Date and Time:

Office of Research, UCSB, Form 1001 Rev 11/1/2020

Page 1 of 6

UCSB Datasheet (Page 2)

- 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?



Record #:

Previous Award #:

Project #:

OFFICE OF RESEARCH

DATASHEET & APPROVAL FORM

Primary PI:

Proposal Type:

#	Yes	No	ASSURANCES:
1.			Will any human subject research be conducted on this proposal? If Yes, will any of the H.S. research be performed at UCSB or by UCSB personnel? ☐ Yes ☐ 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. ("Private" means information an individual can reasonably expect will remain private, like a school/medical record or identifiable tissue/blood.)
2.			Does this proposal involve non-exempt human subject research to be conducted at multiple U.S. sites involving NIH funding through a grant, cooperative agreement, or contract (excluding career development, research training or fellowship awards)? A multi-site study is where the same non-exempt HS research study is being conducted at more than one domestic site. If Yes to the above, contact UCSB's HS staff at hsr@research.ucsb.edu.
3.			Will your research involve the use of protected health (HIPAA) information? If Yes, and your proposal is awarded, you are required to contact your IT support person for assistance with securely storing your data.
4.			Will your research involve the use of personal identity information (SSN or Drivers License with First & Last Name?) If Yes, and your proposal is awarded, you are required to contact your IT Support person for assistance with securing your data.
5.			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.
6.			Will any vertebrate animal research be performed on this this proposal? If Yes, will any of the vertebrate animal research be performed at UCSB or by UCSB personnel? ☐ Yes ☐ No Have you discussed animal housing needs with the ARC Director? ☐ Yes ☐ No If No, the PI must seek approval from the ARC Director for animal housing space
7.			Will Human Stem Cells be used? Human stem cells apply to 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.
8.			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 dives/dive equipment/small boats; Controlled Substances (DEA Schedule I-V)? If Yes, complete the EH&S Contract and Grant Questionnaire (http://www.ehs.ucsb.edu/labsafety/ehs-contract-and-grant-approvals)
9.			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.
10.			Does the proposed research involve any of the following: foreign sponsor, foreign collaboration, foreign sub-recipient(s), international shipments of any commodities or technology (e.g. materials, software, etc.), travel to foreign countries or research at foreign sites by UCSB personnel? Please contact Research Integrity staff at exportcontrol@research.ucsb.edu for any questions regarding this assurance.

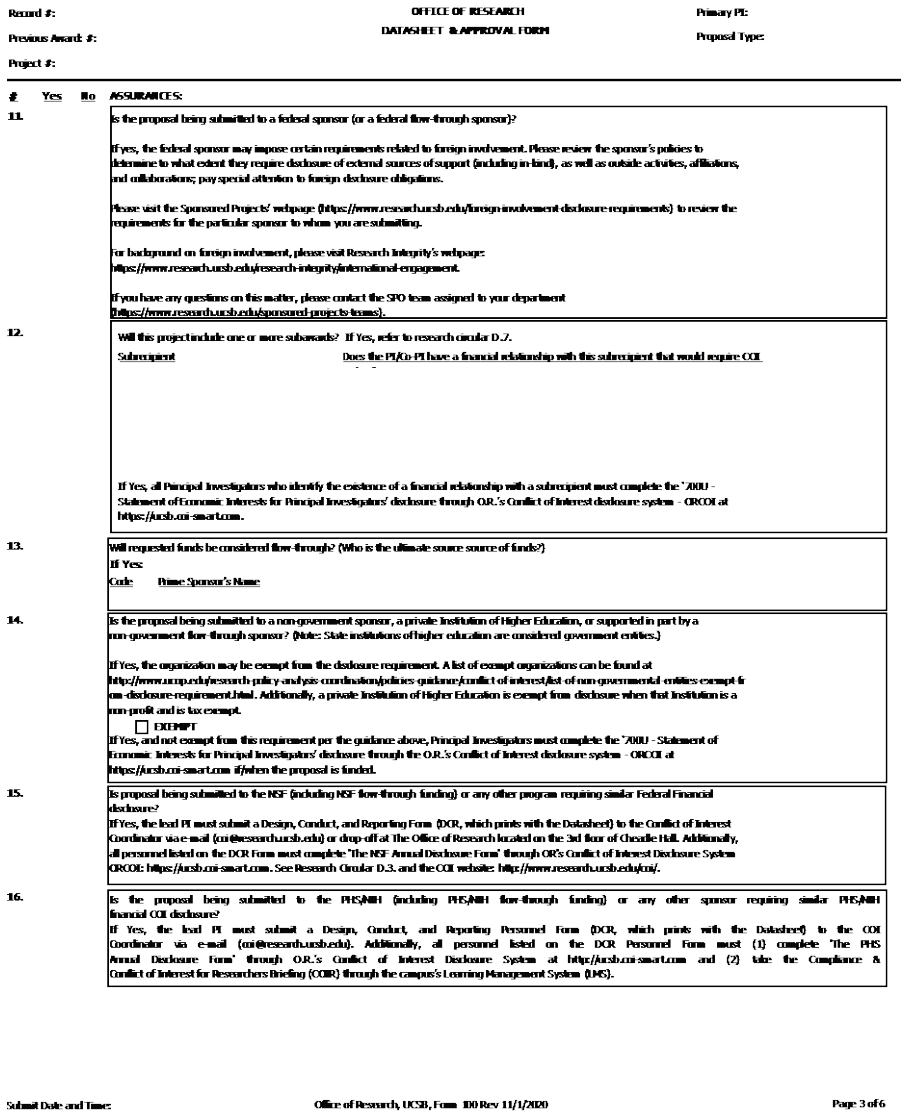
Submit Date and Time:

Office of Research, UCSB, Form 100 Rev 11/1/2020

Page 2 of 6

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.



Record #:
Previous Award #:
Project #:

OFFICE OF RESEARCH
DATASHEET & APPROVAL FORM

Primary PI:
Proposal Type:

#	Yes	No	ASSURANCES:
11.			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).
12.			Will this project include one or more subawards? If Yes, refer to research circular D.7. Subrecipient Does the PI/Co-PI have a financial relationship with this subrecipient that would require COI 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.
13.			Will requested funds be considered flow-through? (Who is the ultimate source source of funds?) If Yes: Code: Prime Sponsor's Name:
14.			Is the proposal being submitted to a non-government sponsor, a private Institution of Higher Education, or supported in part by a non-government flow-through sponsor? (Note: State institutions of higher education are considered government entities.) If Yes, the organization may be exempt from the disclosure requirement. A list of exempt organizations can be found at http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-fr on-disclosure-requirement.html. Additionally, a private Institution of Higher Education is exempt from disclosure when that Institution is a non-profit and is tax exempt. ☐ EXEMPT If Yes, and 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://ucsb.coi-smart.com #/when the proposal is funded.
15.			Is proposal being submitted to the NSF (including NSF flow-through funding) or any other program requiring similar Federal Financial disclosure? If Yes, the lead PI must submit a Design, Conduct, and Reporting Form (DCR, which prints with the Datasheet) to the Conflict of Interest Coordinator via e-mail (coi@research.ucsb.edu) or drop-off at The Office of Research located on the 3rd floor of Cheadle Hall. Additionally, all personnel listed on the DCR Form must complete "The NSF Annual Disclosure Form" through OR's Conflict of Interest Disclosure System ORCOI: https://ucsb.coi-smart.com. See Research Circular D.3. and the COI website: http://www.research.ucsb.edu/coi/.
16.			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, the lead PI must submit a Design, Conduct, and Reporting Personnel Form (DCR, which prints with the Datasheet) to the COI Coordinator via e-mail (coi@research.ucsb.edu). Additionally, all personnel listed on the DCR Personnel Form must (1) complete "The PHS Annual Disclosure Form" through O.R.'s Conflict of Interest Disclosure System at http://ucsb.coi-smart.com and (2) take the Compliance & Conflict of Interest for Researchers Briefing (COIR) through the campus's Learning Management System (LMS).

Submit Date and Time:

Office of Research, UCSB, Form 100 Rev 11/1/2020

Page 3 of 6

UCSB Datasheet (Page 4)

- Assurance 17 is a certification that the PI is not debarred, suspended, or otherwise ineligible for participation.

Record #:

OFFICE OF RESEARCH

Primary PI:

Previous Award #:

DATASHEET & APPROVAL FORM

Proposal Type:

Project #:

17.

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.

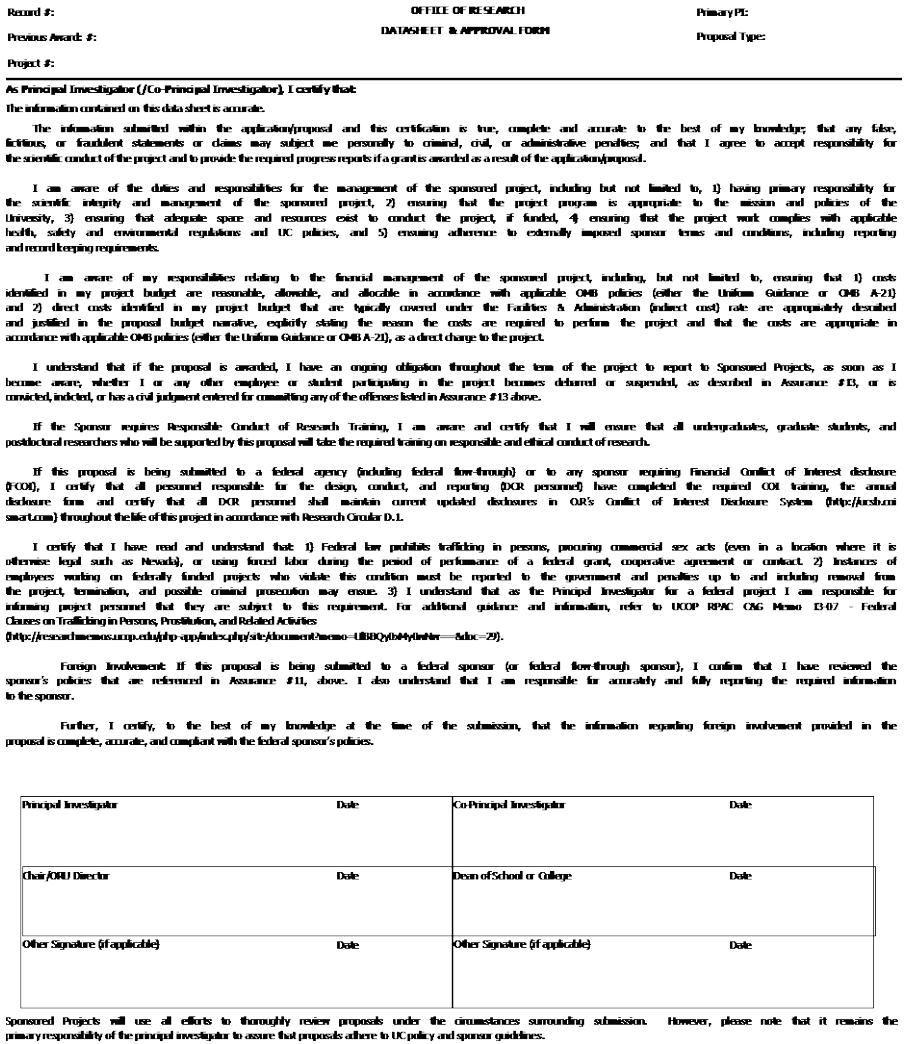
Submit Date and Time:

Office of Research, UCSB, Form 100 Rev 11/1/2020

Page 4 of 6

UCSB Datasheet (Page 5)

- 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



Record #:

Previous Award: #:

Project #:

OFFICE OF RESEARCH

DATASHEET & APPROVAL FORM

Primary PI:

Proposal Type:

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=UfBBQyUxMyUwNw==&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 #11, 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.

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.

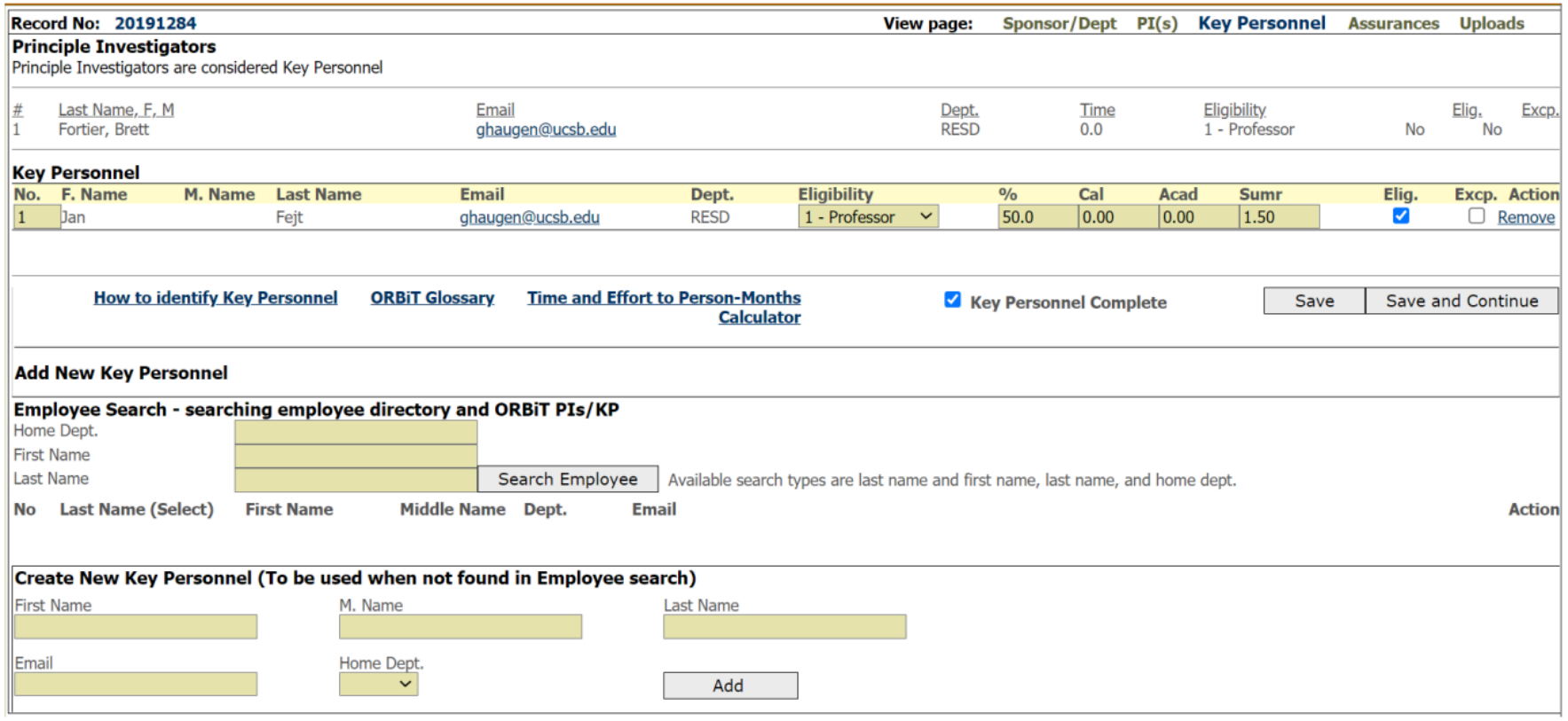
Key Personnel, continued

Below is a quick reference to help PIs in identifying investigators:

Roles	Investigator?	Guidance
Principal Investigator	Yes	
Co-PI	Yes	
Postdoctoral Scholars	Almost Always	When a postdoc's role on a project involves a significant degree of autonomy and responsibility, they should be listed as an Investigator.
Graduate Student Researchers	Occasionally	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.
Other Roles	Situational	These individuals should only be considered Investigators if they are responsible for the design, conduct, or reporting of the research project.

Key Personnel, continued

- Adding Key Personnel in ORBiT:



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:

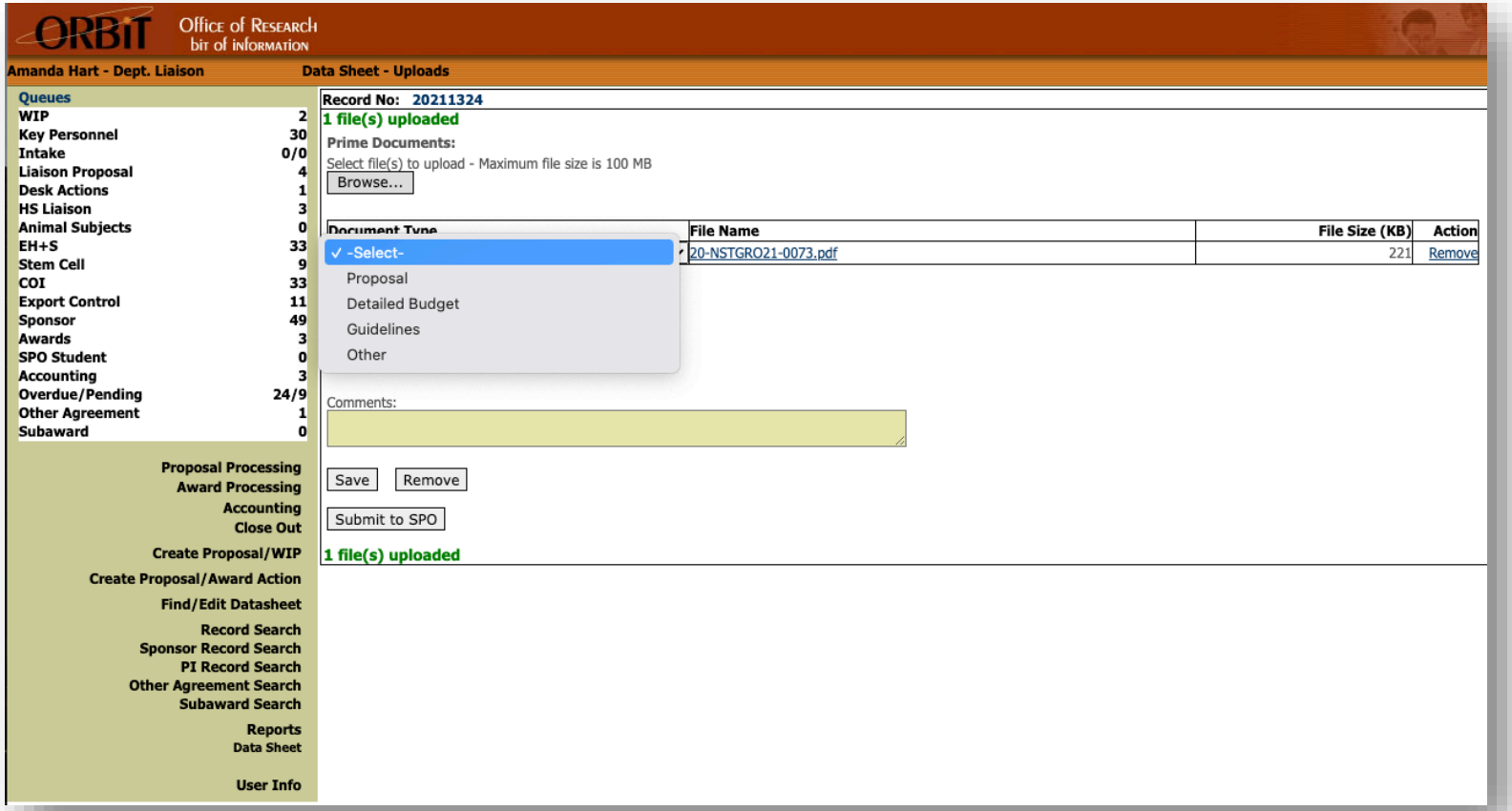
- Subagreement Forms (SK Form 100, 101, etc. RC D.7)

https://www.research.ucsb.edu/sites/default/files/orbit/orbit_liaison_manual.pdf

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



Proposal Pre-Review Packet

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

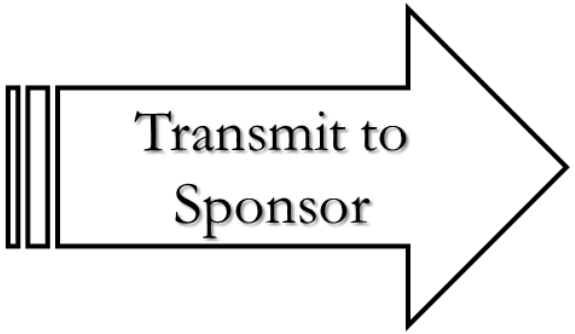
https://www.research.ucsb.edu/subawards

Questions?

SPO Proposal Review

What?

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



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:

Monday	Tuesday	Wednesday	Thursday	Friday
		Pre-review Proposal to be received in OR by 5pm		
Monday	Tuesday	Wednesday	Thursday	Friday
		UCSB Proposal Deadline All proposals should be submitted by 5pm to allow adequate time to address possible submission issues. **Grants.gov 48 hour window begins at 5pm**		**Sponsor Proposal Deadline**

***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
  - Note: SPO must receive a copy of the signed data sheet with acceptable signature. See http://www.research.ucsb.edu/spo/proposal-preparation/ for a chart of acceptable signature types.
- **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 specif 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 !