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
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

ORBiT

ORahs
- Human Subject Protocol

ORams
- Animal Subject Protocol

ORCOI
- Financial Conflict of Interest
Help and how to get around

https:\\orbit.research.ucsb.edu
Help and how to get around

https:\\orbit.research.ucsb.edu

<table>
<thead>
<tr>
<th>Orbit Help</th>
<th>Help</th>
<th>Logout</th>
</tr>
</thead>
<tbody>
<tr>
<td>Office of Research IS Department</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Brett Fortier</td>
<td>Director, Information Systems</td>
<td><a href="mailto:orbit@research.ucsb.edu">orbit@research.ucsb.edu</a></td>
</tr>
<tr>
<td>Cameron McNair</td>
<td>Software Developer</td>
<td><a href="mailto:orbit@research.ucsb.edu">orbit@research.ucsb.edu</a></td>
</tr>
</tbody>
</table>

**User manuals**
- Department Liaison manual

<table>
<thead>
<tr>
<th>Condition Codes</th>
<th>ORBiT Glossary</th>
<th>Request new user</th>
</tr>
</thead>
<tbody>
<tr>
<td>Condition Codes</td>
<td>ORBiT Glossary</td>
<td>Request new user</td>
</tr>
</tbody>
</table>
# Help and how to get around

https:\\orbit.research.ucsb.edu

## Orbit Help
For any Orbit related help questions please contact:

**Office of Research IS Department**
- Brett Fortier
- Cameron McNair
  - Director, Information Systems
  - Software Developer
  - orbithelp@research.ucsb.edu

**User manuals**
- Department Liaison manual

**Condition Codes**
- ORBiT Glossary

- Request new user
- Request new user
# How to get around

## ORBIT

**Office of Research**

**Record Search**

### Queues

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

## Starting point

**Record Number:**

- [Search active awards only]

- **Title:**
- **Award #:**
- **Control #:**
- **Solicitation #/Title:**
- **Fund # (5 digit number):**

- **Project Number:**
- **Master Agreement Number:**

## Compliance

**Queues**

## Ending point

- [Image of ORBIT interface with arrows pointing to starting point, compliance queues, and 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

- PI Has an Idea
- Research Development
  - Fund searches
  - Proposal Development
  - Limited Submissions
- Proposal Preparation
  - Department/Unit Liaison
    - Budget
    - Internal Forms
- Proposal Review
  - and Submission
    - Sponsored Projects
- Award Negotiation
  - and Acceptance
    - Sponsored Projects
- Project Management
  - Department/Unit
    - Compliance
    - Accounting
    - Sponsored Projects
- No Cost Extension / Close out
  - Department/Unit
    - Accounting
    - Sponsored Projects
Overview of Proposal
Roles & Responsibilities
Research Development  
(Office of Research)  
http://www.research.ucsb.edu/research-development/

Services offered to faculty include:

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

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

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

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

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

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

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

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

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

Administering Unit

PI (Co-PIs)

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

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

Need to determine if these individuals serve as PI/Co-Pi?

Determine PI Eligibility
https://www.research.ucsb.edu/spo/proposal-prep/pi-eligibility
Who is automatically eligible to serve as a PI?

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

Why are they automatically eligible to serve as PI?

- They are vested members of the University community and are considered ‘full participants’ in meeting the University’s goals & objectives
- Tend to be at UCSB for an extended period of time and are subject to regular University reviews
<table>
<thead>
<tr>
<th>Faculty Title</th>
<th>Appointment Type</th>
<th>Project Type</th>
<th>Approval as sole PI</th>
<th>Approval as Co-PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Senate Member (All Titles)</td>
<td>All Appts.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>UC Irvine</td>
<td>All Appts.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Research Professor</td>
<td>All Appts.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Professor, Associate Professor, Assistant Professor</td>
<td>Regular Appt.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Visiting</td>
<td>OR</td>
<td>OR</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Adjunct Professor</td>
<td>100% with paid appt.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Walker &amp; WOS</td>
<td>100% with paid appt.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Lecturer with Security of Employment (LSEO) &amp; Lecturer with Potential Security of Employment (LPSO)</td>
<td>100%</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Professional Researcher, Associate Researcher, Assistant Researcher</td>
<td>Regular Appt.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Project Scientist, Associate Project Scientist</td>
<td>Regular Appt.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Visiting or WOS (Courtey)</td>
<td>OR</td>
<td>OR</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Assistant Project Scientist</td>
<td>Regular Appt.</td>
<td>All</td>
<td>Not eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Specialist, Associate Specialist, Assistant Specialist, Junior Specialist</td>
<td>Regular Appt.</td>
<td>All</td>
<td>Not eligible</td>
<td>OR</td>
</tr>
<tr>
<td>PostDoctoral Scholar</td>
<td>Employees/Fellow</td>
<td>Fellowship/Field Research Projects</td>
<td>Not eligible</td>
<td>Head of Administering Unit</td>
</tr>
<tr>
<td>Paid Direct</td>
<td>All other projects</td>
<td>Not eligible</td>
<td>Head of Administering Unit</td>
<td></td>
</tr>
<tr>
<td>Graduate Students</td>
<td>All Appts.</td>
<td>Fellowship/Disertation Research Grants/Field Research Grants</td>
<td>Not eligible</td>
<td>Head of Administering Unit</td>
</tr>
<tr>
<td>Undergraduates</td>
<td>All Appts.</td>
<td>All other projects</td>
<td>Not eligible</td>
<td>Head of Administering Unit</td>
</tr>
<tr>
<td>Academic Coordinator</td>
<td>All Appts.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Not eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Librarian</td>
<td>All Appts.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Associate Librarian, Assistant Librarian</td>
<td>All Appts.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Temporary/Continuing Lecturer Lecturers without Security of Employment</td>
<td>Regular Appt.</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Curator</td>
<td>All Appts.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Director of the Art Museum, Director of Orfalea Family Children’s Center, Chief of Police</td>
<td>All Appts.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Physical Education Specialist</td>
<td>All Appts.</td>
<td>Training or Training Related Projects **</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>University Extension Specialist</td>
<td>All Appts.</td>
<td>All</td>
<td>OR</td>
<td>OR</td>
</tr>
<tr>
<td>Other</td>
<td>All Appts.</td>
<td>All</td>
<td>OR</td>
<td>OR</td>
</tr>
</tbody>
</table>

https://www.research.ucsb.edu/sites/default/files/SPO/PI%20Eligibility/Table%20PI%20Eligibility.pdf
Campus Policy Research Circular B.1

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

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

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

**Difference between PI and Co-PI**

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

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

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

How do I confirm the role they should have?
• Discuss with the PI
• Review against the proposed project activities
• Resources available on our website and Business Services’ website (i.e. Procurement service, Subaward, funded/unfunded collaborators)
  Also covered in STAR Class 5 Business Contract and Subawards scheduled 05/12/2021
• Contact your Sponsored Projects team to help make for further determination
Scenario Proposal

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

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

- **Federal Government**: National Science Foundation (NSF), National Institutes of Health (NIH), Department of Defense (Army, Air Force, 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?
Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES) 
Sponsor Guidelines (cont.)

There are no restrictions or limits.

Limit on Number of Proposers per Organization:
An organization may name at least one proposer and up to three non-lead proposers. Proposers that exceed the organizational limit (and the first substitution list) will be charged for their full proposals. No exceptions will be made.

Full proposals involving multiple organizations may be submitted two ways:
- Two or more organizations from the same organization may submit a complete proposal. OR
- One organization may submit a complete proposal, and other collaborating organizations within the same organization may submit a complete proposal as well. See the PAPPG Chapter E.0 for additional information on collaborative proposals.

Limit on Number of Proposers per PI or Co-PI:
An individual may serve as PI or Co-PI on an annual NSF INCLUDES Alliance proposal. Proposers take their places in the Co-PI limit. Beyond the submission date, these limits will be viewed when an offer is issued. No exceptions will be made.

Proposal Preparation and Submissions Instructions

A. Proposal Preparation Instructions

- Letters of intent: Submission of letters of intent is required. Please see the limited solicitation for further information.
- Preparation Proposal Submission: Not required.
- Full Proposals

B. Budgetary Information

- Cost Sharing Requirements:
  - Inclusion of cost-sharing is mandatory. Cost sharing is expected.
- Submit Cost Sharing Information:
  - NSF Affordable
- Other Solicitations/Limitations:
  - NSF Ineligible

C. Due Dates

- Letter of Intent Due Date(s) (required): (due by 5 p.m. EDT on Monday)
- Full Proposal Due Date(s) (due by 5 p.m. EDT on Monday)

Proposal Review Information Criteria

Mark Internal Criteria:
National Science Board approved criteria. Additional mark items may apply. Please see the full text of this section for further information.

Award Administration Information

Award Conditions:

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

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

Proposal Types
Proposal Type: New

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

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

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

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

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

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

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

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

Budget Preparation
Budget Preparation

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

+ INDIRECT COSTS

TOTAL COSTS

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

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

Subagreement/MCA/Service agreement
Subagreements

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

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

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

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

May need Project Contributions
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/
Depending on sponsor guidelines, project contributions will fall under one of two types:

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

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

Four categories of project contributions:

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

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

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

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

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

“See” you in 3 minutes.
Proposal Scenario:

When is the NSF deadline ➔

due 01/25/2022
UCSB Proposal Submission Timeline for a standard proposal review:

- **Monday, January 24, 2022**: Pre-review Proposal to be received in OR by 5pm
- **Monday, January 24, 2022**: 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
- **Tuesday, January 25, 2022**: Sponsor Proposal Deadline
- **Friday, January 21, 2022**: UCSB Submission to Sponsor (48 hrs before Deadline date)
- **Friday, January 14, 2022**: SPO Pre-review submission via ORBiT
- **Tuesday, January 25, 2022**: Adjust Sponsor Deadline to UCSB business day if deadline falls on Holiday or Weekend
- **Deadline per Guidelines**

For more information, visit: [UCSB Proposal Submission Timeline](http://www.research.ucsb.edu/spo/proposal-preparation/)

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

- **Friday, January 14, 2022**: UCSB Submission to Sponsor (48 hrs before Deadline date)
- **Friday, January 21, 2022**: SPO Pre-review submission via ORBiT
- **Tuesday, January 25, 2022**: Adjust Sponsor Deadline to UCSB business day if deadline falls on Holiday or Weekend

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

- **Friday, January 14, 2022**: UCSB Submission to Sponsor (48 hrs before Deadline date)
- **Friday, January 21, 2022**: SPO Pre-review submission via ORBiT
- **Tuesday, January 25, 2022**: Adjust Sponsor Deadline to UCSB business day if deadline falls on Holiday or Weekend

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

- **Friday, January 14, 2022**: UCSB Submission to Sponsor (48 hrs before Deadline date)
- **Friday, January 21, 2022**: SPO Pre-review submission via ORBiT
- **Tuesday, January 25, 2022**: Adjust Sponsor Deadline to UCSB business day if deadline falls on Holiday or Weekend

**Deadline per Guidelines**
Proposal Flowchart

1. PI submits SPOOF with intention of submitting a proposal
2. Pre-Proposal Prep:
   - PI completes the internal questions (IQ) form
   - PI sends budget development information
   - OSG Administrator sends a timeline with additional items and important dates
3. PI submits complete proposal to OSGE Contracts & Grants Office
   - Two weeks before the deadline
4. If necessary, proposal will be returned to PI for adjustments
5. Contracts & Grants Office:
   - Check to ensure that all sponsor required components of the proposal are complete
   - Check that sponsor requirements, such as page limits and formatting, are correct (time permitting)
   - Complete sponsor required administrative forms
   - Complete UCSB required forms
   - Complete UCSB Office of Research data sheet
   - Confirm Human Subjects status
   - Submit the proposal to UCSB OR, formal review
6. Office of Research Review:
   - Check all administrative forms & budget
   - Check for compliance with UC, UCSB & sponsor requirements
   - Confirm that all of the required approvals are in place
   - Check all cost share/matching requirements have been met
   - Send review comments to OSGE Contracts & Grants Office
7. Office of Research Review:
   - If necessary, proposal will be returned to PI for adjustments
8. Contracts & Grants Office:
   - Make any required corrections to the sponsor and campus administrative forms and budget sheets
   - Acquire the required signatures (Dean, PI, Sponsored Projects Officer, Co-PIs, etc.)
9. Proposal is submitted to the sponsor. SPO requests all proposals, regardless of sponsor submission method, be submitted (i.e., push the button) at least 48 hours prior to the sponsor deadline. (This reflects the 2 business day period it may take sponsor submission systems, like Grants.gov, to validate a proposal for errors. The "UCSB Proposal Deadline" is to allow SPO, campus staff, and PI(s) adequate time to address any potential submission issues prior to the sponsor’s proposal deadline.)
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?
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**

- **PI:** % of academic year spent:
- **Co-PI:** % of academic year spent:
- **Graded:** % of academic year spent:

**Please Confirm:** Project Title:

- **Work Site:** On Campus/Off Campus
- **Aims:**
  - [ ] Organized Research
  - [ ] Applied Research
  - [ ] Basic Research
  - [ ] Developmental Research
  - [ ] Other
  - Field of Research:
  - [ ] Training
  - [ ] Instruction
  - [ ] Other/Sponsored Projects:

## Project Assurances

- **YES**
  - 1. Will any human subjects be conducted on this project?
  - 2. Will any of the research be performed at UCSC or by UCSC Personnel? If so, check yes.
  - 3. Does the proposal involve non-employee research to be conducted at multiple sites with NIH funds?
  - 4. Will you be using protected health information (PHI) or protected health information?
  - 5. Will your research involve the use of personal identity information (PIN or Driver’s License with Photo)

- **NO**
  - 6. Will additional space or alteration be necessary for this project? If no, what record(s) will you be using?
  - 7. Is the funding for this project ultimately coming from another source via the sponsor you are applying? If yes, source:
  - 8. Does the project involve any of the following:
    - Foreign or international collaboration
    - Invasive research, invasive intervention
    - Foreign travel or research at design site
  - 9. Does the PI/GGSE have a relationship with the subcontractor requiring COI review?
  - 10. If no, will any other employee or student participating in this project:
    - Have been proposed for federal, suspect or otherwise, or as declined ineligible for participation in any federal assistance programs or activities? All award of federal contracts
    - Presently funded for, or otherwise criminally, or civilly, on criminal charges by any government agency?
  - 11. Provide a list of who at UCSC will be responsible for the design, conduct of any activities associated with this project.
  - 12. Will the project generate any financial interests?

**Additional Comments or Information:**

---

**Office of Research**

**UC SANTA BARBARA**
• 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
• Most recently updated in November 2020.

• Provides mechanism for entry of essential data about each proposal into the University’s contract and grant system, ORBit.

• Provides SPO the assurance that internal approval and compliance requirements have been met regarding each contract and grant.

• Must be generated and submitted with every new proposal (new, renewal, continuation, supplement)
Page 2 of the datasheet includes assurances 1-10.

A few assurance questions:
- Will human subjects be involved?
- Will animal subjects be involved?
- Will stem cells be involved?
- Foreign activities?
Assurances 11-16 cover subawards, type of sponsor, and conflict of interest (COI).

New – assurance #11 asks if the proposal is being submitted to a federal sponsor due to the new foreign involvement requirements.
• Assurance 17 is a certification that the PI is not debarred, suspended, or otherwise ineligible for participation.
• PI, Co-PI, and Chair/Director/Dean sign and certify regarding:
  • Responsibility for the project
  • Project conforms with UC Policy and Mission
  • Project budget is reasonable, allowable, and allocable per the Uniform Guidance
Key Personnel Module

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

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

- An Investigator includes anyone who can directly or materially influence the research, or who is responsible for the design, conduct, or reporting of such research, and is not limited to Key Personnel. The lead PI should make the determination of who is an Investigator for every proposal submission, continuation, personnel change or no cost extension via the Key Personnel tab on the ORBiT datasheet.
### Key Personnel, continued

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

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

- Adding Key Personnel in ORBiT:
Conflict of Interest Policies

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

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

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

Conflict of Interest is covered in depth in

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

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

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

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

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

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

• Datasheet (Form 100)
If applicable:
• Subagreement Forms (SK Form 100, 101, etc. RC D.7)

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

- Submission is received into an intake queue and logged onto SPO teams queue.
- Comments section can be used to provide additional information to SPO team pertinent to proposal review.
- If a requested deadline is entered, please include a justification.
- REQUESTED DEADLINE VS. SPONSOR DEADLINE
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
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

Transmit to Sponsor
Sponsored Projects Review

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

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

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

  *Standard, Expedited or Same-day proposal review.*
## UCSB Proposal Submission Timeline

for a standard proposal review:

<table>
<thead>
<tr>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Pre-review Proposal to be received in OR by 5pm</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>UCSB Proposal Deadline</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Expedited Review if SPO receives Proposal documents less than seven (7) full business days. SPO’s review:**

- checks only minimum proposal elements to ensure compliance with UC and Federal regulations.
- does not review specific proposal requirements or check to ensure that all proposal elements are correct or included for submission.
- Liaison and PI responsible for ensuring proposal is compliant with all applicable guidelines

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

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

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

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

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

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

- Office of Research serves as the Office of Record for all submitted extramural proposals
- Administrative Department must provide the SPO Team with a complete PDF copy of the proposal submitted to the sponsor (i.e. “eFinals”)
  - Must include the UCSB detailed budget as part of PDF (regardless of sponsor requirement for project budget)
- Email SPO Team copy of eFinal within 48 hours of proposal submission

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

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

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