



## 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 13, 2024

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## STAR Program and Class Logistics:

- For course descriptions visit: <https://www.research.ucsb.edu/star-class>
- STAR Certificate = Completion of 11 courses
- *\*Coursework must be completed within 2 years from the date you begin the course series.*
- *Email Betsy Lazarine and/or Clarissa Cabrera at [training@research.ucsb.edu](mailto:training@research.ucsb.edu) for questions and/or concerns.*
- *STAR Class evaluation request will be sent to participants after the class via e-mail used in UCLC.*
- *Zoom Classes will NOT be recorded for this 2024 series.*

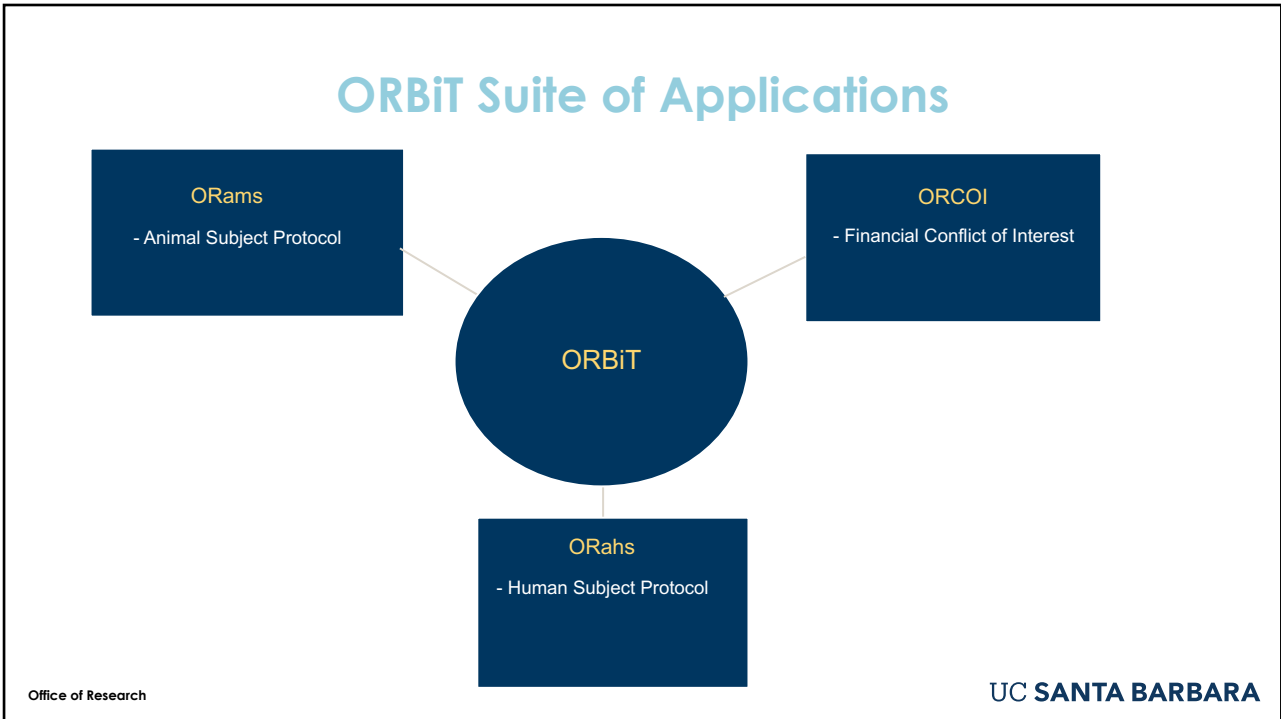
**FOR QUESTIONS DURING THIS CLASS:  
Please Use 'CHAT' feature and post to 'Everyone'**

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# ORBiT Overview

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## Help and how to get around

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

Orbit Help
Help Logout

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

<p><u>Office of Research IS Department</u> Brett Fortier Cameron McNair</p>	<p>Director, Information Systems Software Developer</p>	<p><a href="mailto:orbithelp@research.ucsb.edu">orbithelp@research.ucsb.edu</a> <a href="mailto:orbithelp@research.ucsb.edu">orbithelp@research.ucsb.edu</a></p>
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**User manuals**  
[Department Liaison manual](#)

<p><b>Condition Codes</b> <a href="#">Condition Codes</a></p>	<p><b>ORBIT Glossary</b> <a href="#">ORBIT Glossary</a></p>	<p><b>Request new user</b> <a href="#">Request new user</a></p>
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## How to get around

**ORBIT** Office of RESEARCH  
bit of INFORMATION
Brett Fortier - Dept. Liaison                      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

**Record Search**

Record Number:

Search active awards only.

Title:

Award #:

Control #:

Solicitation #/Title:

Fund # (5 digit number):

Project Number:

Master Agreement Number:

Starting point →

Ending point →

Compliance Queues

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## How to get around

**ORBIT** Office of RESEARCH  
bit of INFORMATION

Brett Fortier - Dept. Liaison      Record Search

Queues		Record Search	
WIP	0	Record Number:	Record Search
Key Personnel	0	<input type="checkbox"/> Search active awards only.	Active Awards: Award Approved C
Intake	0/0	Title:	Title Search
Liaison Proposal	0	Award #:	Award # Search
Desk Actions	0	Control #:	Control # Search
HS Liaison	0	Solicitation #/Title:	Solicitation Search
Animal Subjects	0	Fund # (5 digit number):	Fund # Search
EH+S	0	Project Number:	Project # Search
Stem Cell	0	Master Agreement Number:	Master Agreement
COI	0		
Export Control	0		
Sponsor	0		
Awards	0		
SPO Student	0		
Accounting	0		
Overdue/Pending	0/0		
Other Agreement	1		
Subaward	0		

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## Proposal Scenario throughout Presentation:

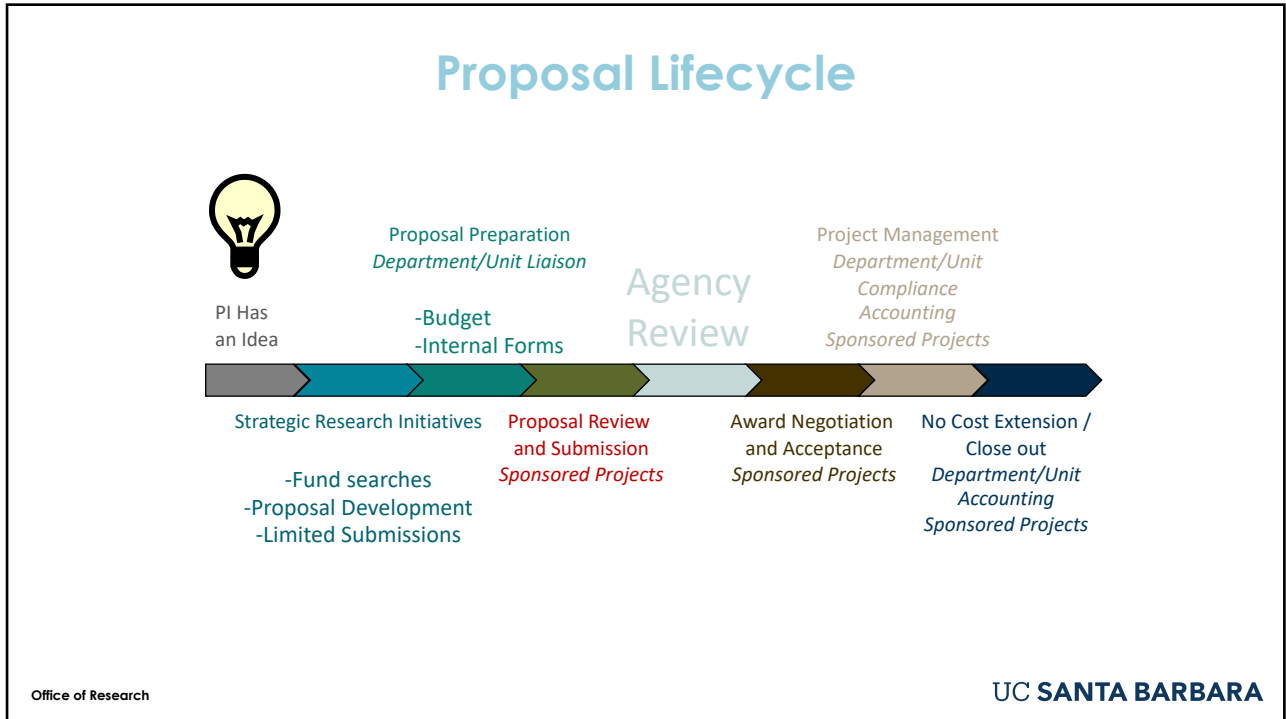
- It's Monday morning at 8:05am.
- A post doc, Jim Brown, comes into your office to tell you that he and Dr. Smith are working on a proposal.
- They plan to feed a type of dye to baby chicks, X-ray the baby chicks, and show those X-rays to 5<sup>th</sup> graders to find out what they think about them.
- 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!*

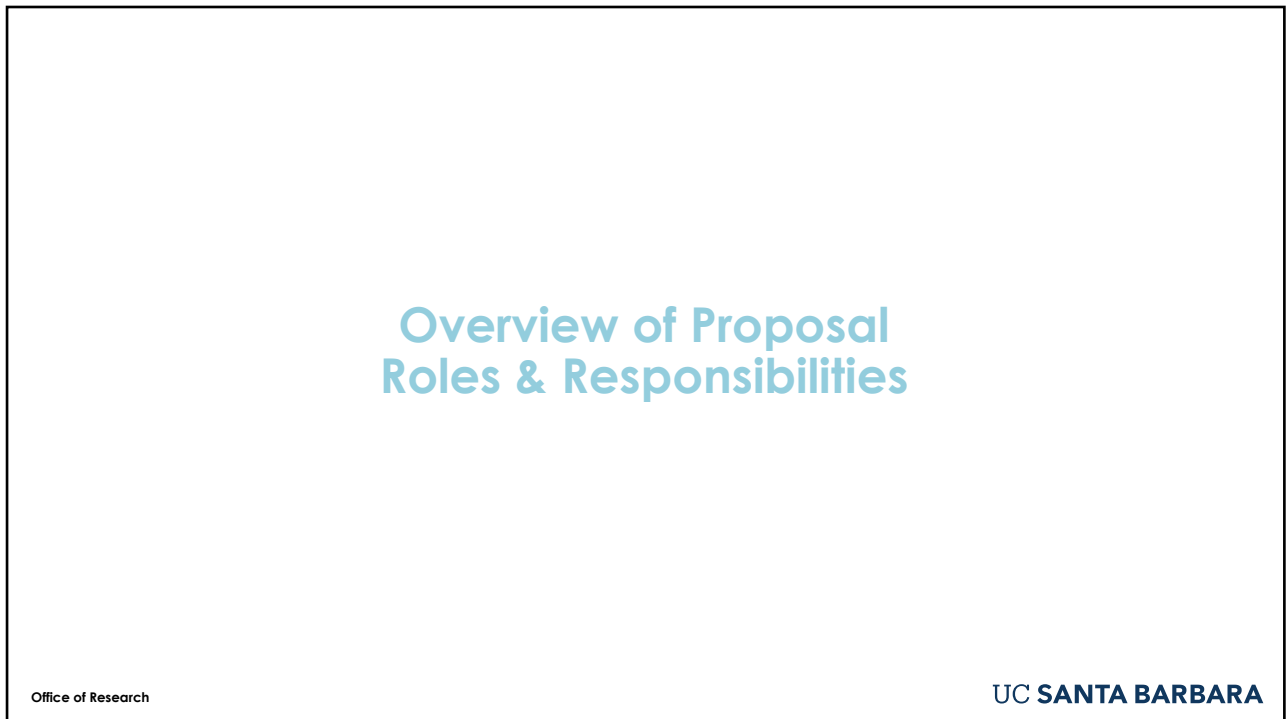
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## Strategic Research Initiatives (Office of Research)

<http://www.research.ucsb.edu/sri>

Services offered to faculty include:

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

Refer back to **STAR Class 1 - Overview of Contract & Grant Administration** for additional information.

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## 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

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## 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/sponsored-projects>

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## Principal Investigator (PI)

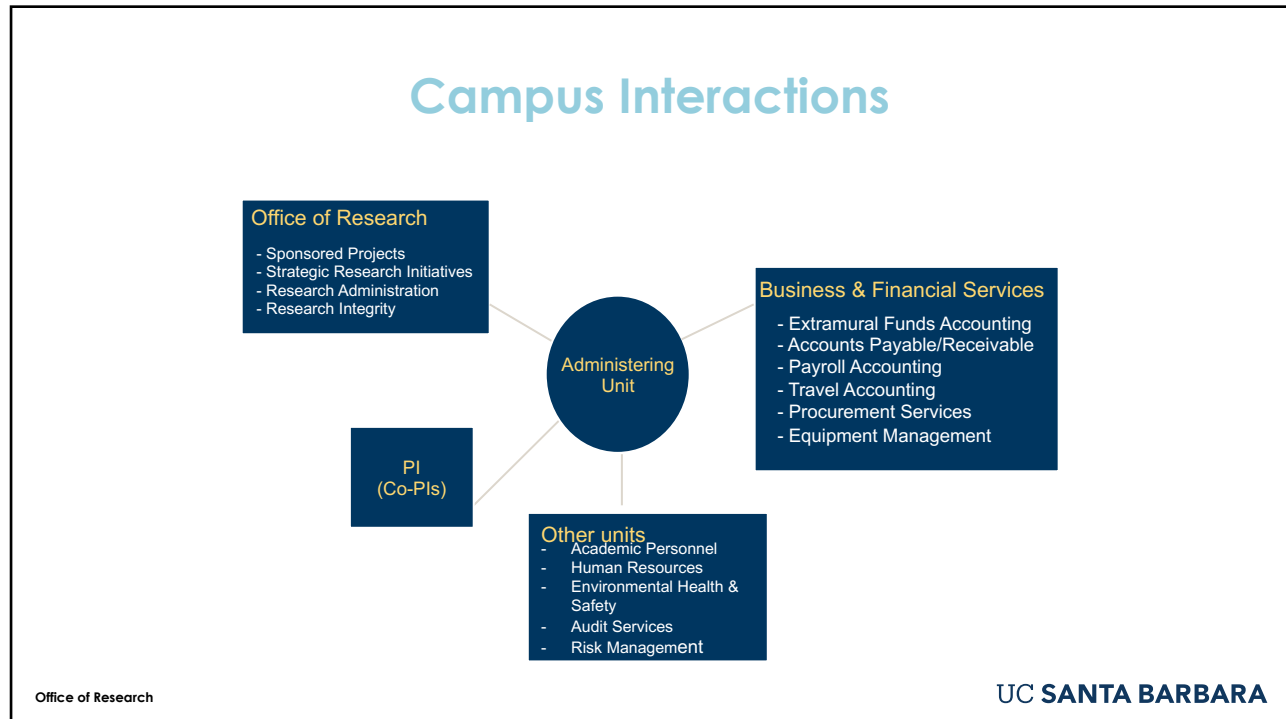
- Responsible for:
  - The programmatic and financial design of the proposal
  - The technical, fiscal, and administrative management of the award
  - All report requirements
  - Compliance with award terms & conditions
  - Ensuring project costs incurred are allocable, allowable, and reasonable
  -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

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## 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?**

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## 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

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	Payroll Title	Appointment Type	Project Type	Approval as sole PI	Approval as Co-PI †		
Academic	Academic Senate Member (All Titles)	All Appts.	All	Eligible	Eligible		
	Faculty Titles Ladder Faculty	UC Emeriti	All Appts.	All	Eligible	Eligible	
		Research Professor	All Appts.	All	Eligible	Eligible	
		Professor, Associate Professor, Assistant Professor	Regular Appt.	All	Eligible	Eligible	
		Visiting	All	All	OR	OR	
		Adjunct Professor	<50% with paid appt. <50% or WOS Appt.	All	Eligible	Eligible	
		100%	All	All	OR	OR	
	Teaching Titles	Lecturer with Security of Employment (LDOE) & Lecturer with Potential Security of Employment (LPSOE)	<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% Regular Appt. <50%	All	Eligible	Eligible	
		Project Scientist	Visiting or WOS (Courtesy)	All	OR	Head of Administering Unit	
			Project Scientist, Associate Project Scientist	Regular Appt.	All	Not eligible	OR
			Visiting or WOS (Courtesy)	All	All	OR	OR
			Assistant Project Scientist	Regular Appt.	All	Not eligible	OR
		Specialist	Specialist, Associate Specialist, Assistant Specialist, Junior Specialist	Regular Appt. WOS (Courtesy)	All	Not Eligible	OR
	PostDoc	Postdoctoral Scholar	Employee/Fellow	Fellowship/Field Research Projects	Not eligible	Head of Administering Unit	
	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	
				Projects that are closely aligned with the nature of their position **	Not Eligible	OR	
	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 Staff 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	All Appts.	Training or Training Related Projects **	Eligible	Eligible		
	University Extension Specialist	All Appts.	All	OR	OR		
	Other	All Appts.	All	OR	OR		

<https://www.research.ucsb.edu/sites/default/files/SPO/PI%20Eligibility/Table%20of%20PI%20eligibility.pdf>

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## 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://www.research.ucsb.edu/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 Subawards scheduled 04/17/2024*
- 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

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## Questions?

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## Proposal Scenario

- How do we know what documents are required for the NSF's INCLUDES program?

## Check Sponsor Guidelines

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## 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 23-1. A professor may want to submit a proposal to the NSF's Program Solicitation NSF 20-569. This proposal must follow both NSF 23-1 and NSF 20-569.

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# 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.)

Refer to handout of NSF Program Solicitation NSF 20-569.

## 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



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.
- **Fast 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 2018, 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/pressroom/2018/s18011>). 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 convergent research. As such, when responding to the application, 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

## 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

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## 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.

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## 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.

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## 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.

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## Scenario Proposal

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

## Budget Preparation

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## 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 – Proposal Budget Preparation** for additional information.

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## 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

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## Subagreements

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

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

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

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## 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

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## 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-prep/project-contributions/>

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## 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

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

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# Zoom Break

“See” you in 5 minutes.

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# Proposal Timelines & Sponsor Deadlines

## Proposal Scenario:

When is the NSF deadline →  
due 01/25/2022

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- The inclusion of an NSF INCLUDES Design and Development Award that Proposed Principal Investigator and/or Co-Principal Investigator is anticipated but not required.
- There are limits on the number of proposals that may be submitted per organization and per PI or Co-PI.

For proposal submission requirements in this solicitation, please refer to the revised NSF Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 20-1), which is effective for proposals submitted, or due, on or after June 11, 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) Alliances

**Synopsis of Program:**  
In 2016, the National Science Foundation (NSF) unveiled a set of "Big Ideas," 10 basic, long-term research and process ideas that would address the future challenges of the United States and the world. One of these Big Ideas is "Inclusion across the Nation of Communities of Learners of Underrepresented Discoverers in Engineering and Science (NSF INCLUDES) Alliances." The Big Idea offers unique opportunities to address our nation's pressing needs for global science and engineering leadership by bringing together diverse disciplinary perspectives to support collaborative research. As such, when responding to this solicitation, each design proposal must be approved by the Education and Human Resources (EDHR) Directorate/Division of Human Resource Development (HRD), once received, the proposal will be managed

## 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

2022 JANUARY						
Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

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

Tuesday 01/25/2022

Deadline per Guidelines

<http://www.research.ucsb.edu/proposal-preparation/>



## 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

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## Step One

- Review Guidelines
  - What is the deadline?
  - Is PI eligible? Is UC eligible?
  - Submission Method – Cayuse, Research.gov, 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?

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## 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

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## 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](mailto: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>

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### UCSB Datasheet (Page 2)

- Page 2 of the datasheet includes assurances 1-9.
- A few assurance questions:
  - Will human subjects be involved?
  - Will animal subjects be involved?
  - Will stem cells be involved?
  - Will hazardous materials be used?

Record #: \_\_\_\_\_ Primary PI: \_\_\_\_\_  
 Previous Assent #: \_\_\_\_\_ DATASHEET & APPROVAL FORM Proposal Type: \_\_\_\_\_  
 Project #: \_\_\_\_\_

**ASSURANCES:**

1. Will any human subject research be conducted on this project?  Yes  No  
 If Yes, will any of the U.S. research be performed at UCSB or by UCSB personnel?  
 Human "subjects" means a living individual about whom an investigator conducting research: (1) obtains information or biospecimens through 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.

2. For federally supported projects which require a Single SBIR (SBS) review, does this project involve multiple (2) institutions conducting research?  Yes  No  
 If Yes, SBIR review fees need to be included in the budget proposal.

3. Are human subjects of research included in the project?  Yes  No  
 Human "subjects" means a living individual about whom an investigator conducting research: (1) obtains information or biospecimens through 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.

4. Does the research involve the use, collection, or analysis of data covered under (a.) Protected Health Information (PHI)?  
 Protected Health Information includes any information about health status, covered, manifested, or transmitted by a "covered entity" (such as a health care provider or health care facility) and can be linked to specific individual. Examples of PHI include, but are not limited to: demographic information (age, race, gender, etc.), medical diagnosis, treatment information, medical test results, etc.

5. Does the research involve the use, collection or analysis of Personally Identifiable Information (PII)?  
 Personally Identifiable Information (PII) includes any information that can be used to identify, contact, or locate a single person or can be used with other information to identify a single individual. Examples of PII include, but are not limited to: name, date of birth, address, telephone numbers, email addresses, digital signatures, fingerprints or other biometric characteristics.

6. Does the research involve the use, collection or analysis of Genetically Identifiable Information (GI)?  
 Large scale genomic data includes phenotypic data, genome wide association studies (GWAS), single nucleotide polymorphisms (SNP) arrays, genetic sequencing, transcriptomic, metabolomic, and epigenetic data, gene expression data, and any use of that data for future research.

7. Does the proposed research involve human data, then you will need to obtain an Institutional Certification from the Research Integrity Office to ensure compliance with IRB requirements. You are encouraged to contact a Research Integrity Specialist: [researchintegrity@research.ucsb.edu](mailto:researchintegrity@research.ucsb.edu) at the email "ask a team" notification to obtain the Certification.

8. Does the proposed research involve any use of vertebrate animals?  
 Research "use" of vertebrate animals includes the use of vertebrate animals for research and/or teaching purposes. At each institution must be approved by the IACUC. If your proposal includes the use of vertebrate animals and you do not yet have an approved protocol, or if you are unsure of whether you are using vertebrate animals, please contact the IACUC Office at [iaucuc@ucsb.edu](mailto:iaucuc@ucsb.edu). Please note that receiving an animal, or IACUC approval of your protocol, does not guarantee animal housing or procedure space at the Animal Resource Center, scientific facilities, or Animal Resources. Contact the appropriate facility manager for resource availability.

9. Will the use of any vertebrate animals occur on UCSB property or by UCSB personnel?  Yes  No

10. Is there a subsistence associated with the asset that will be working with vertebrate animals?  Yes  No

11. Will Human Stem Cells be used?  
 Research "use" of stem cells includes the use of gametes, blastocysts, derivation and/or use of human embryonic stem cells (hESC), embryonic or fetal germ cells, adult and fetal stem cells, or human-derived pluripotent stem cells.  
 Do not check "yes" if you are using adult human-specific stem cells, such as hematopoietic cells or mesenchymal cells, when they are being cultured in vitro for the biological question.

12. Do NOT propose, does the use of stem cells involve human fetal tissue (hFT) derived from an elective abortion?  Yes  No

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

14. All of the following should be used in the proposal: Chemical Safety, Health, or Safety; Biohazard materials; Fire protecting machines; Non-ionizing radiation (X-rays, UV, microwaves); Biohazard Level 2, Level 3, or "Select" Biological agents; Recombinant DNA; Nanomaterials; Nanotechnology; or other hazardous materials. Research activities requiring such levels: Controlled Substances (21a Schedule I-IV). If "yes", complete the ERBS Contract and Grant Questionnaire (http://www.rrs.ucsb.edu/faculty/rrs/contract-and-grant-approval/)

Submit Date and Time: \_\_\_\_\_ Office of Research, UCSB, Form 100 Rev 06/18/2021 Page 2 of 6

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### UCSB Datasheet (Page 3)

- Assurances 10-13 cover the location of the project, foreign involvement, and the use of technology from specific companies in China.

Record #: \_\_\_\_\_ Primary PI: \_\_\_\_\_  
 Previous Assent #: \_\_\_\_\_ DATASHEET & APPROVAL FORM Proposal Type: \_\_\_\_\_  
 Project #: \_\_\_\_\_

**ASSURANCES:**

10. Will additional sites or laboratories be necessary for this project? (NOTE: Any use of National Science System sites, whether ongoing or new, is considered additional sites and requires IRB approval.)  
 If Yes, indicate additional space requirements or alterations necessary.

11. Does the research involve any of the following: Foreign sponsor, foreign collaboration, foreign sub-contracting, or international shipment of any commodities or technology (e.g., materials, software, etc.)? Additionally, does the proposed research involve collaboration with or receipt of data, from, Santa North Korea, Chinese Citizens, Licensed and Domestic Agents by UCSB personnel? Please contact Research Integrity staff at [researchintegrity@research.ucsb.edu](mailto:researchintegrity@research.ucsb.edu) for any questions regarding the assurance.

12. Does the proposed/funded research involve collaborations with or receipt of any of these countries: Cuba, Iran, Syria, North Korea, or any of the following: Lebanon and Chinese Republic?  Yes  No

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

14. Does the proposed/funded research involve a foreign sponsor, foreign collaboration(s), foreign subcontracting, foreign funding to a foreign entity or other foreign entities (e.g., non-U.S. company, university or other organization)?  Yes  No  
 Please provide a brief description of the foreign/international involvement:

15. Is the proposed being submitted to a federal sponsor (or a federal free-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 advisors, affiliations, and collaborations. See 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: <http://www.research.ucsb.edu/researchintegrity/foreigninvolvement>.

16. Do you have any questions on this matter, please contact the SPO team assigned to your department: [spointeam@research.ucsb.edu](mailto:spointeam@research.ucsb.edu) (external email address).

17. Has the PI or any other employee or student participating in the project purchased, or do they plan to purchase or to use, any equipment or other assets or services that are manufactured or produced by Huawei Technologies Company, ZTE Corporation, Hwale Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities)? The use of such equipment or other assets or services is prohibited by the terms and conditions of the performance of a sponsored research project or otherwise. The equipment and services referenced in this paragraph include personal devices, such as cell phones, when they are used for research purposes or in a substantial or essential component of a system.

Submit Date and Time: \_\_\_\_\_ Office of Research, UCSB, Form 100 Rev 06/18/2021 Page 3 of 6

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## 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.

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## 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.

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## Key Personnel, continued

- Adding Key Personnel in ORBIT:

Record No: 20191284 View page: Sponsor/Dept PI(s) **Key Personnel** Assurances Uploads

**Principle Investigators**  
Principle Investigators are considered Key Personnel

#	Last Name, F. M	Email	Dept.	Time	Eligibility	No	Elig.	Excp.
1	Forber, Brett	ghaugen@ucsb.edu	RESO	0.0	1 - Professor	No	No	No

**Key Personnel**

No.	F. Name	M. Name	Last Name	Email	Dept.	Eligibility	%	Cal	Acad	Sumr	Elig.	Excp.	Action
1	Dan		Fejt	ghaugen@ucsb.edu	RESO	1 - Professor	50.0	0.00	0.00	1.50	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Remove

[How to identify Key Personnel](#)  
 [ORBIT Glossary](#)  
 [Time and Effort to Person-Months Calculator](#)  
  Key Personnel Complete  
   

**Add New Key Personnel**

**Employee Search - searching employee directory and ORBIT PIs/KP**

Home Dept:

First Name:

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

No	Last Name (Select)	First Name	Middle Name	Dept.	Email	Action

**Create New Key Personnel (To be used when not found in Employee search)**

First Name:  M. Name:  Last Name:

Email:  Home Dept:

## 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?
  - 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](mailto:orbithelp@research.ucsb.edu)
- Proposal documents are routed to SPO via ORBiT by uploading all pertinent PDFs
- If Datasheet Assurances #12, 17, or 18 were marked as "Yes", the Key Personnel Module will need to be addressed at award stage.



# UCSB Proposal Forms

- **Datasheet** (Form 100)

If applicable:

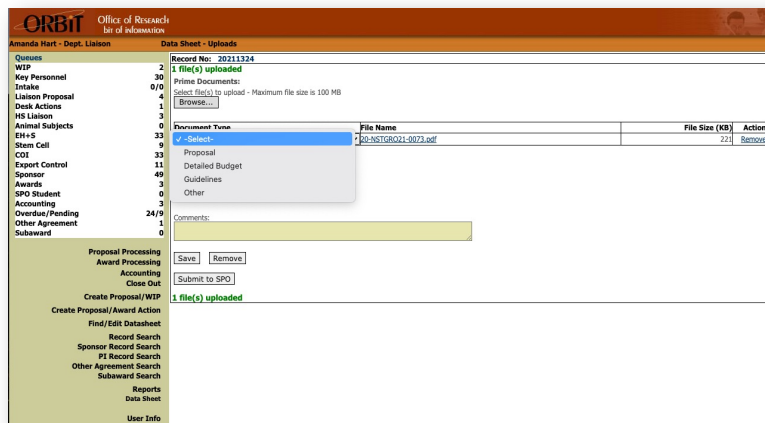
- Subagreement Forms (SK Form 100, 101, etc. RC D.7)

[https://www.research.ucsb.edu/sites/default/files/orbit/orbit\\_liaison\\_manual.pdf](https://www.research.ucsb.edu/sites/default/files/orbit/orbit_liaison_manual.pdf)

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

## Electronic Routing via ORBIT

- 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>

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## 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))
- Subrecipient vs Contractor Determination Sheet
- 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 - Subawards**

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

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## 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:

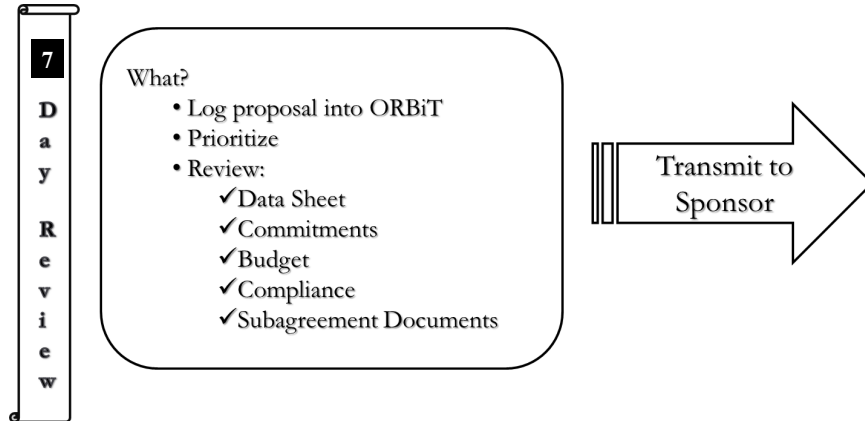
- Multi-Campus Commitment form (SK Form 101)
- Full copies of the sister campus' proposal documents
- Any required sponsor forms relating to the sister campus

MCA's are covered in depth in  
**STAR Class 5 - Subawards**

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

## Questions?

## SPO Proposal Review



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## 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.*

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## 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
		<b>UCSB Proposal Deadline</b> All proposals should be submitted by 5pm to allow adequate time to address possible submission issues. Grants.gov 48 hour window begins at 5pm		<b>Sponsor Proposal Deadline</b>

### ***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>

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## Coordination with Sponsored Projects on Proposal Review

- **Review Comments via ORBit:** Once the SPO Team has completed their review, they contact the department liaison with recommended and/or mandatory corrections to the proposal
- **Liaison email response to review comments:** Required to confirm all mandatory corrections were made to proposal
  - Note: SPO must receive a copy of the signed data sheet with acceptable signature.
- **Coordinate with SPO Team for official submission to sponsor**

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## Submission to Sponsor

- **If Sponsored Projects Team (Officer/Analyst) is submitting:**

- Release or electronically route the proposal to AOR (SPO) in applicable online system
- Notify SPO team that proposal is ready for submission
- 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 an 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 last page 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+ 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
- STAR Class 6 covers the award negotiation and acceptance process in-depth

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## Any Final Questions??

## Thank you!

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