Introduction to Proposal Submission

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April 2, 2025

UC SANTA BARBARA
Office of Research

STAR Program and Class Logistics:

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

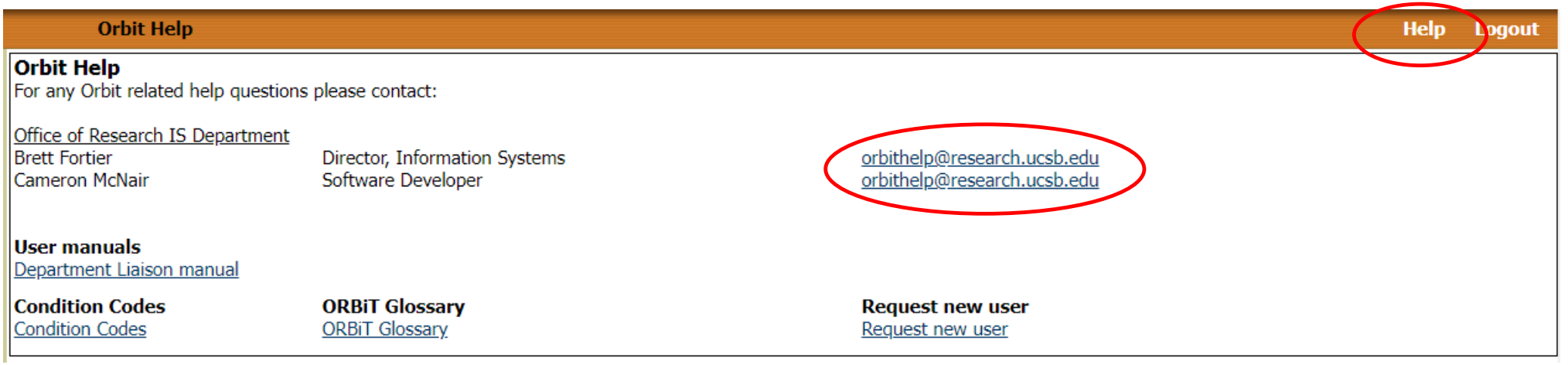
  **Coursework must be completed within 2 years from the date you begin the course series.*
- *Email Betsy Lazarine and/or Clarissa Cabrera at training@research.ucsb.edu for questions and/or concerns.*
- *STAR Class evaluation request will be sent to participants after the class via e-mail used in UCLC.*
- *Zoom Classes will NOT be recorded for this 2025 series.*

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

ORBiT Overview

Help and how to get around

https:\\orbit.research.ucsb.edu



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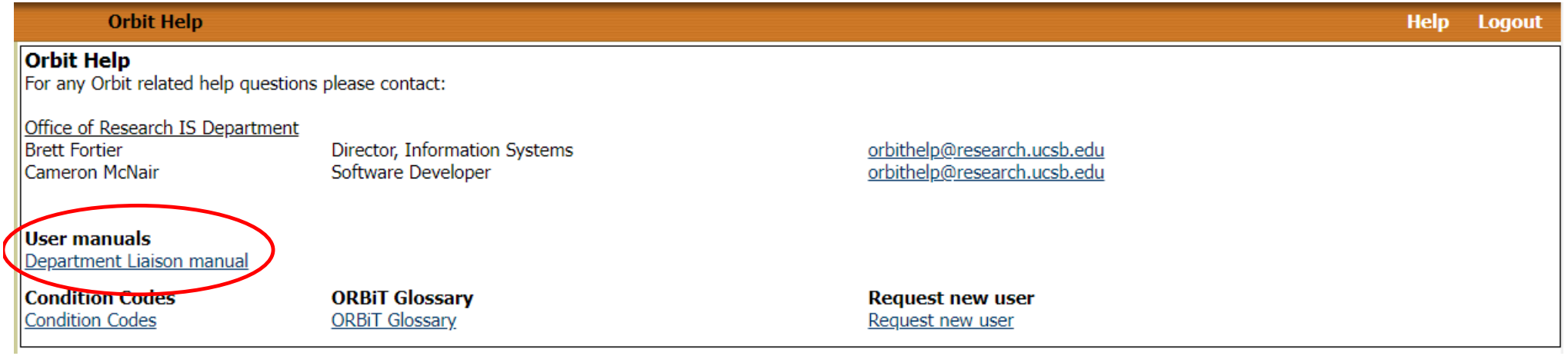

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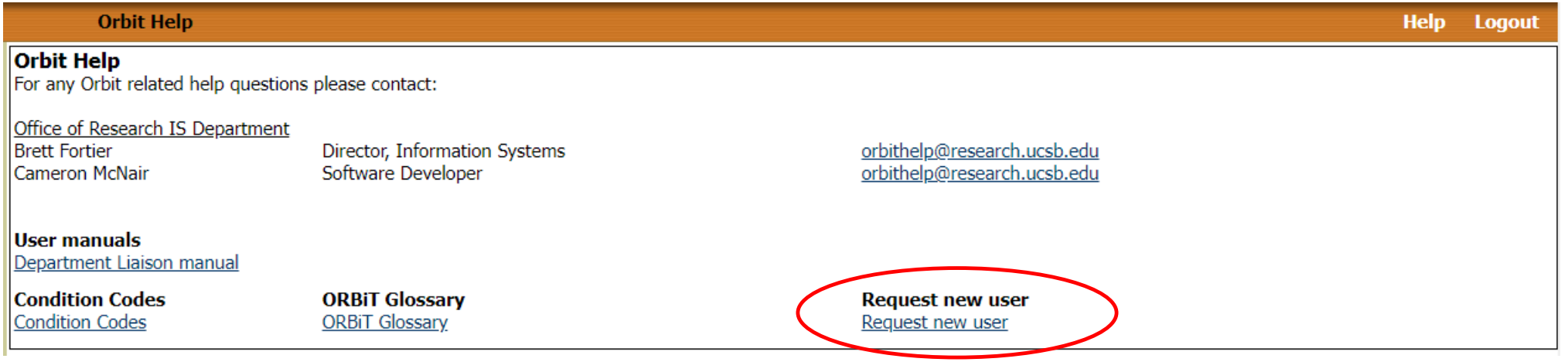
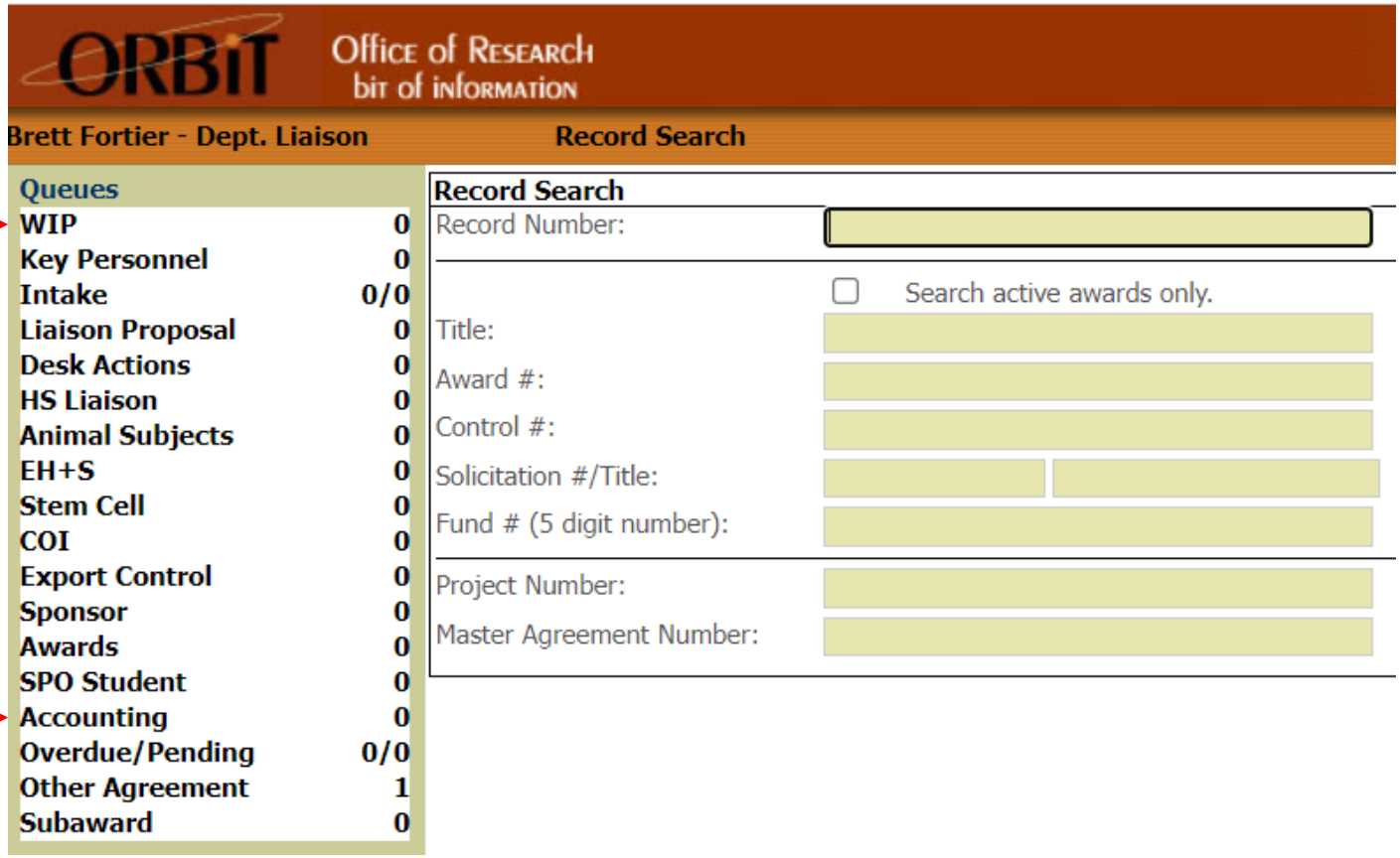


How to get around

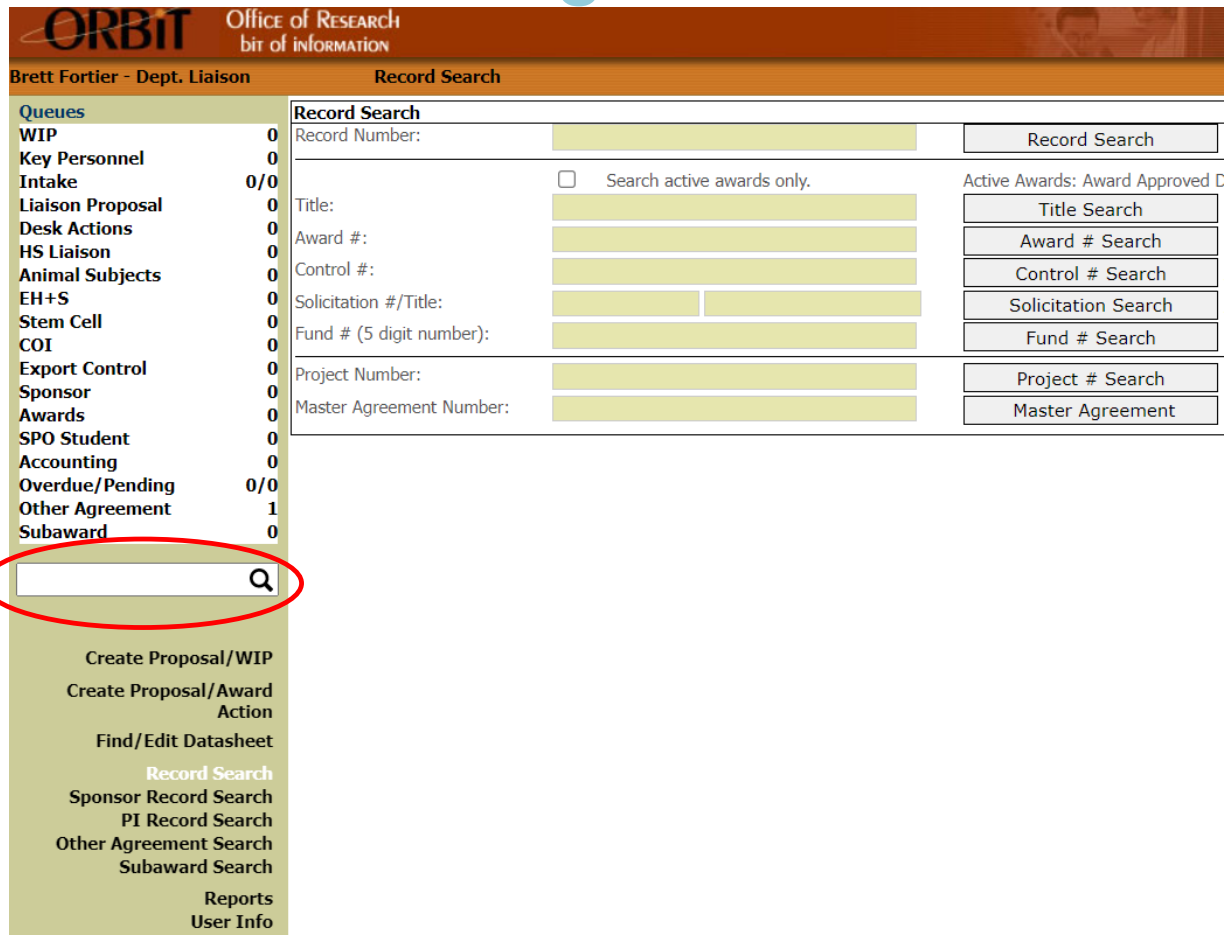


Starting point

Compliance Queues

Ending point

How to get around



Proposal Scenario throughout Presentation:

- It's Monday morning at 8:05am.
- A post doc, Jim Brown, comes into your office to tell you that he and Dr. Smith are working on a proposal.
- They plan to feed a type of dye to baby chicks, X-ray the baby chicks, and show those X-rays to 5th graders to find out what they think about them.
- They want to submit this proposal to NSF's INCLUDES program (NSF 20-569).

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

Proposal Lifecycle

PI Has an Idea

Proposal Preparation
Department/Unit Liaison

-Budget
-Internal Forms

Agency Review

Project Management
Department/Unit
Compliance
Accounting
Sponsored Projects

Strategic Research Initiatives

-Fund searches
-Proposal Development
-Limited Submissions

Proposal Review and Submission
Sponsored Projects

Award Negotiation and Acceptance
Sponsored Projects

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

Overview of Proposal Roles & Responsibilities

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.

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)

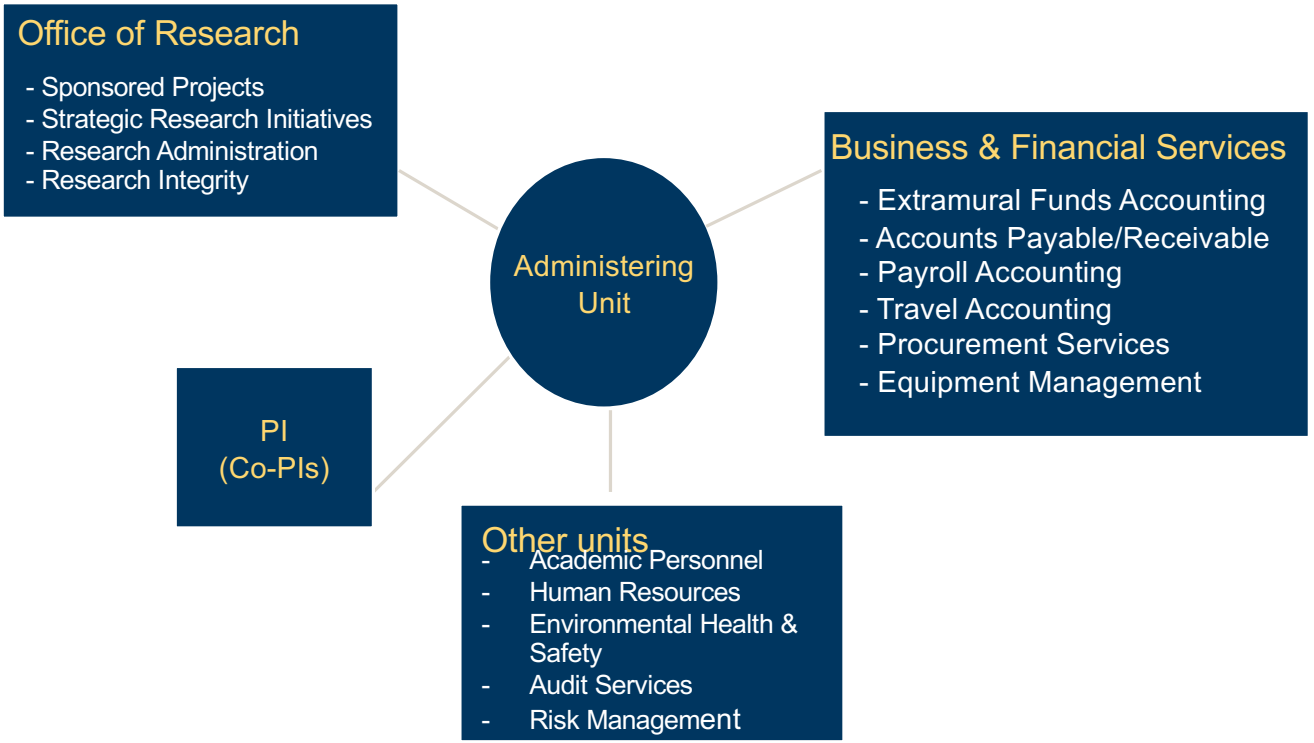
- Reviews the proposal for consistency with UC and sponsor policy
- Interface between Administering Department/ Organized Research Unit (ORU) and the sponsor
- Submits proposals on behalf of The Regents of the University of California
- Negotiates and executes award instrument and assists with award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

http://www.research.ucsb.edu/spo/sponsored-projects

Principal Investigator (PI)

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

Campus Interactions



Determine PI Eligibility

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

Proposal Scenario:

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

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

Who is automatically eligible to serve as a PI?

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

Why are they automatically eligible to serve as PI?

- They are vested members of the University community and are considered 'full participants' in meeting the University's goals & objectives
- Tend to be at UCSB for an extended period of time and are subject to regular University reviews

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)

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

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 04/30/2025
- 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 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.

Sponsor Guidelines

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

WHO	Who is soliciting proposals? Who can submit proposals to this opportunity? Are there any limitations?
WHAT	What topic of research is going to be funded? What documents must be submitted? What format should the documents be in? What type of award mechanism will be funded? What types of costs are allowed and/or unallowable? What types of proposals are accepted? (new, renewal, supplement)
WHERE/HOW	Where are proposals submitted to? How are they submitted? By whom?
WHEN	When is the deadline for proposals be submitted?

Sponsor Guidelines (cont.)

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

NSF INCLUDES Alliances

PROGRAM SOLICITATION
NSF 20-569

REPLACES DOCUMENT(S):
NSF 18-529

National Science Foundation

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

October 05, 2020

October 04, 2021

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

January 26, 2021

January 25, 2022

Sponsor Guidelines (cont.)

Award Information

Anticipated Type of Award: Cooperative Agreement

Estimated Number of Awards: 1 to 3

NSF INCLUDES anticipates funding up to three Alliances with a duration of five years, contingent upon the availability of funds and receipt of competitive proposals. Awards will range from $1,000,000 - $2,000,000 per year.

Anticipated Funding Amount: $2,000,000 to $3,000,000

In FY 2021, approximately $3,000,000 is available to fund the first year of Alliance cooperative agreements. NSF INCLUDES expects to provide up to $10 million in support for each Alliance over a five-year period of performance, contingent upon the availability of funds.

Eligibility Information

Who May Submit Proposals:

The categories of proposers eligible to submit proposals to the National Science Foundation are identified in the *NSF Proposal & Award Policies & Procedures Guide* (PAPPG), Chapter I.E. Unaffiliated individuals are not eligible to submit proposals in response to this solicitation.

Who May Serve as PI:

Sponsor Guidelines (cont.)

There are no restrictions or limits.

Limit on Number of Proposals per Organization:

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

Full proposals involving multiple organizations may be submitted two ways:

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

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

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

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

Sponsor Guidelines (cont.)

When UCSB is a subrecipient:

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

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

- Sometimes, guidelines may not be provided in an official document, but may be sent directly to UCSB via email.

Back to our Scenario Proposal

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

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

Proposal Types

Proposal Type: New

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

Proposal Type: Continuation

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

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

Proposal Type: Renewal

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

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

Proposal Type: Supplement

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

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

Scenario Proposal

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

Budget Preparation

Budget Preparation

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.

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 - Subawards will go into greater detail.

http://www.research.ucsb.edu/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-prep/project-contributions/

Project Contributions

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

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

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

Project Contributions

Four categories of project contributions:

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

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

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

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

Project Contributions

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

Zoom Break

"See" you in 5 minutes.

Proposal Timelines & Sponsor Deadlines

Proposal Scenario:

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

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January 26, 2021

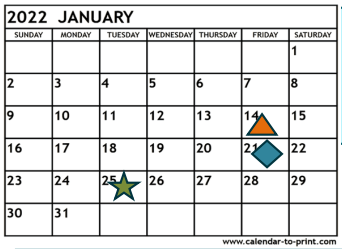
January 25, 2022

When is the NSF deadline?

due 01/25/2022 →

UCSB Proposal Submission Timeline for a standard proposal review:

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



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

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

SPO Pre-review submission via ORBiT (7 business days) — ▲ **Friday 01/14/2022**

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

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

Deadline to Sponsor — ★ **Tuesday 01/25/2022**

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

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?

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

ORBiT

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

https://orbit.research.ucsb.edu

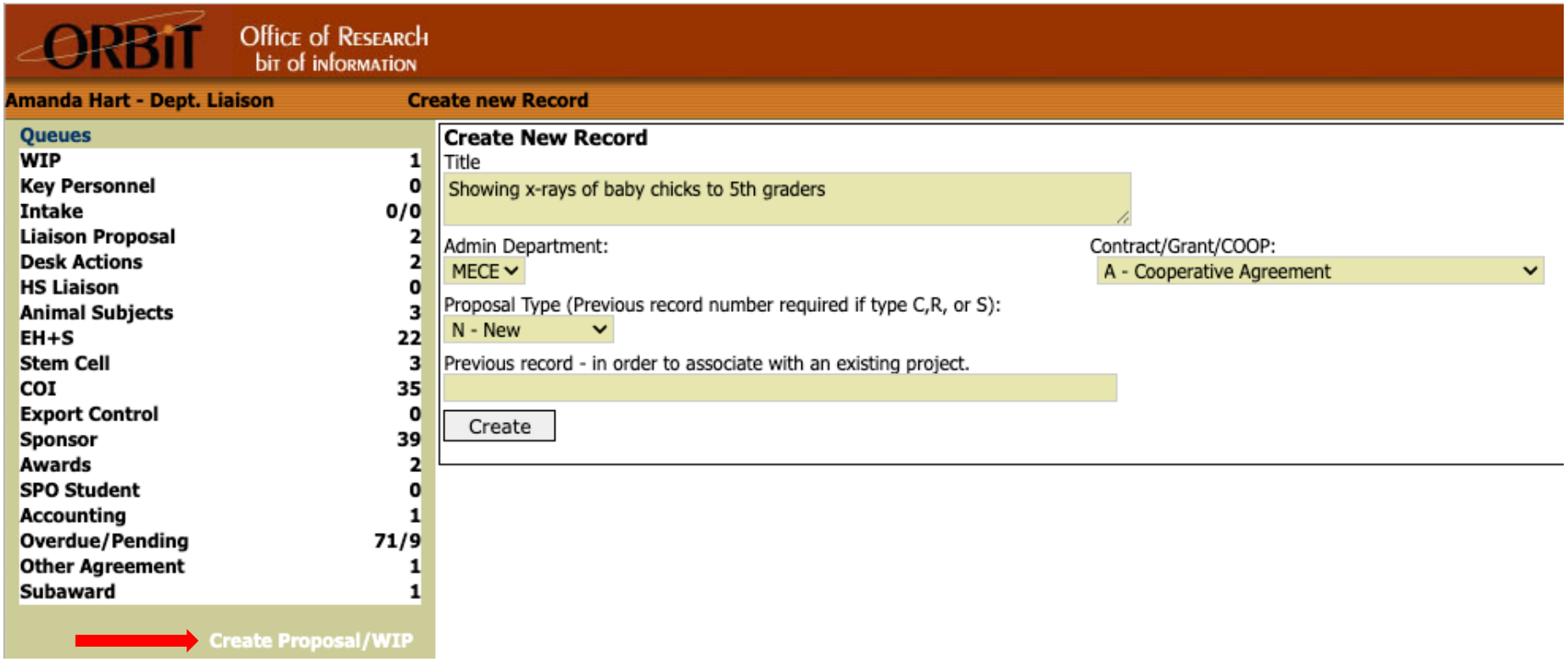
Complete the Proposal Documents

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

The UCSB Datasheet

- Most recently updated in June 2021.
- 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

Creating the UCSB Datasheet



**See blue highlights on Datasheet Page 1.

Creating the UCSB Datasheet (cont.)

Sponsor and Department Information

Title: Showing x-rays of baby chicks to 5th graders

Record Number: - Pending submit -

Project Number: - Pending submit -

Proposal Type: N - New

Proposal Submitted: A - Cooperative Agreement

Sponsor Deadline Type: E - Electronic

Sponsor Deadline date (mm/dd/yyyy hh:mm AM/PM): 1/25/2022 5:00 PM

Requested Deadline date (mm/dd/yyyy hh:mm AM/PM):

Pre-Proposal: No

Admin Dept: MECE

Admin Dept. name: MECHANICAL ENGINEERING

Sponsor

Sponsor Code: 5400

Sponsor Name: National Science Foundation (NSF)

Find/Edit Sponsor

Datasheet Created By

Name: Amanda Hart

Phone: 893-7460

Email: ahart@engineering.ucsb.edu

Full Cost Recovery Code: R - Organized Research

Site of Work: N - On-Campus

SBIR/STTR:

Previous Award Number:

Project Purpose Information

- (●) Research
- ( ) Training
- ( ) Equipment
- ( ) Instruction
- ( ) Student scholarship/fellowship (paid by stipend only)
- ( ) Other

If Research:

- ( ) Applied
- (●) Basic
- ( ) Developmental
- ( ) Other

Field of Research:

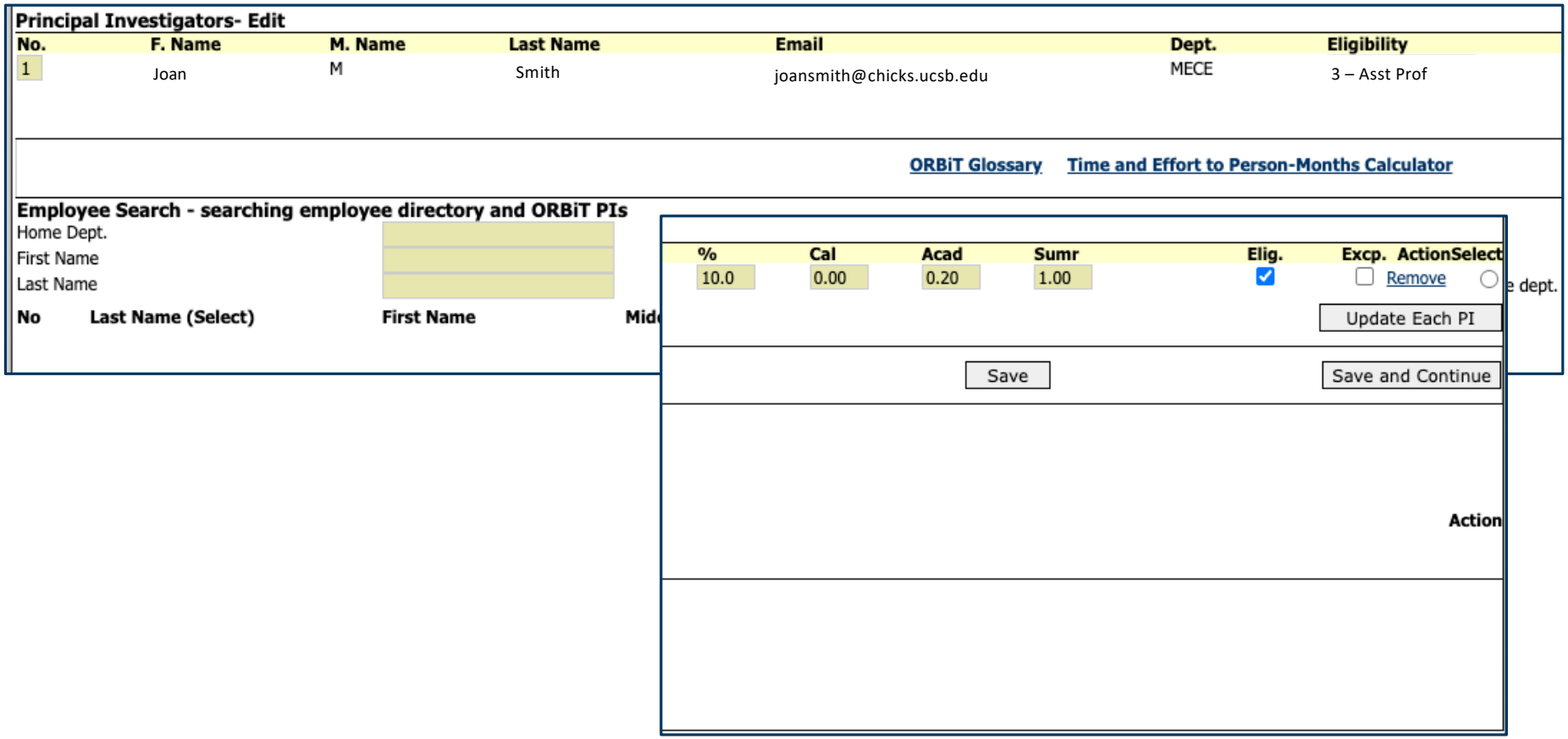
- ( ) Air Pollution
- ( ) Cancer
- ( ) Drug
- ( ) Energy
- ( ) Water
- ( ) Ins Dev
- ( ) Environmental
- (●) Other

Detail Information

Support Requested:	300,000	IDC Cost Base:	191,693
Begin Date Requested: (mm/dd/yyyy)	7/1/2022	UC Cash:	0
End Date Requested: (mm/dd/yyyy)	6/30/2025	UC In-kind:	6,000
IDC Requested:	108307	Third Party Contribution:	0
IDC Rate Requested: (47.5 = 47.5%)	56.50	Program Income:	0

**See yellow highlights on Datasheet Page 1.

Creating the UCSB Datasheet (cont.)



Principal Investigators- Edit

No.	F. Name	M. Name	Last Name	Email	Dept.	Eligibility
1	Joan	M	Smith	joansmith@chicks.ucsb.edu	MECE	3 – Asst Prof

ORBiT Glossary Time and Effort to Person-Months Calculator

Employee Search - searching employee directory and ORBiT PIs

Home Dept.
First Name
Last Name

No Last Name (Select) First Name Mid

%	Cal	Acad	Sumr	Elig.	Excp.	ActionSelect
10.0	0.00	0.20	1.00	☑	☐ Remove	○

e dept.

Update Each PI

Save Save and Continue

Action

**See purple highlights on Datasheet Page 1.

Creating the UCSB Datasheet (cont.)

Assurances Form

#	Yes	No	Question
1.	◯	◯	Will any human subject research be conducted on this proposal? **1A.** **If Yes,** will any of the H.S. research be performed at UCSB or by UCSB personnel? ◯ Yes ◯ No "Human subjects" means a living individual about whom an investigator conducting research: **1)** Obtains information or biospecimens th information or biospecimens; or **2)** Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecir
2.	◯	◯	For federally supported proposals which require a Single IRB (sIRB) review, does this project involve multiple US institutions conducting r **If Yes,** IRB review fees may need to be included in the budget proposal.
3.	◯	◯	For federally supported or FDA-regulated proposals, does this project involve a clinical trial? Answer "yes" if (1) the project involves one or more human subjects, (2) who are prospectively assigned to one or more interventions ar health-related behavioral or health-related biomedical outcome.
4.	◯	◯	Does this research involve the use, collection, or analysis of data covered under (i.e.,) Protected Health Information (PHI)? Protected Health Information includes any information about health status collected, created, maintained, or transmitted by a "covered e individual. Examples of PHI include, but are not limited to, demographic information (age, name, gender, etc.), medical diagnosis, treatm
5.	◯	◯	Does this research involve the use, collection or analysis of Personally Identifiable Information (PII)? Identifiable Information includes any information that can be used to identify, contact, or locate a single person or can be used with othe date of birth, address, telephone numbers, social security number, photographic image, finder or voice print, or other unique characterist
6.	◯	◯	If the proposal is being submitted to PHS/NIH, will the research generate large scale human and/or non-human genomic data? **If Yes,** a Large scale genomic data includes phenotypic data, genome wide association studies (GWAS), single nucleotide polymorphisms (SNP) ar data, and any use of that data for future research. If the proposal involves sharing human data, then you will need to obtain an Institutional Certification from the Research Integrity Office Integrity Specialist (researchintegrity@research.ucsb.edu) at the initial "Just in Time" notification to obtain the Certification.
7.	◯	◯	Does this proposal involve any use of vertebrate animals? Answer "yes" if your study includes the direct and/or indirect use of vertebrate animals for research and/or teaching purposes. All such s and you do not yet have an approved protocol, or if you are unsure of whether the animal use in your proposal requires IACUC oversight award, or IACUC approval of your protocol, does not guarantee animal housing or procedure space in the Animal Resource Center, satelli availability.

**See all 19 assurances on Datasheet pages 2 – 5.

Conflict of Interest Policies

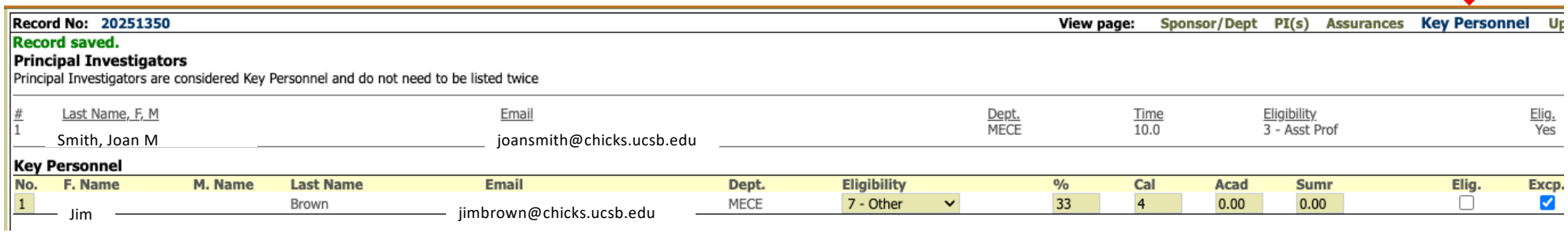
- UCSB Research Circular D. 1 "Policy on Disclosure of Financial Interests Related to Public Health Service Sponsored Projects for Promoting Objectivity in Research"
- UCSB Research Circular D. 3 "Policy on Disclosure of Financial Interests Related to National Science Foundation Sponsored Projects for 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

Creating the UCSB Datasheet (cont.)

The Key Personnel module will appear at proposal stage if you are submitting to a federal or federal flow-through sponsor (assurance 12 = yes).



Record No: 20251350 View page: Sponsor/Dept PI(s) Assurances Key Personnel Up

Record saved.

Principal Investigators

Principal Investigators are considered Key Personnel and do not need to be listed twice

#	Last Name, F, M	Email	Dept.	Time	Eligibility	Elig.
1	Smith, Joan M	joansmith@chicks.ucsb.edu	MECE	10.0	3 - Asst Prof	Yes

Key Personnel

No.	F. Name	M. Name	Last Name	Email	Dept.	Eligibility	%	Cal	Acad	Sumr	Elig.	Excp.
1	Jim		Brown	jimbrown@chicks.ucsb.edu	MECE	7 - Other	33	4	0.00	0.00	☐	☑

**See orange highlights on Datasheet page 1.

Key Personnel Module

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

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

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

Key Personnel, continued

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

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

UCSB Datasheet (Page 6)

- PI, Co-PI, and Chair/Director/Dean sign and certify regarding:
  - Responsibility for the project
  - Project conforms with UC Policy and Mission
  - Project budget is reasonable, allowable, and allocable per the Uniform Guidance

Record #:

Previous Award: #:

Project #:

OFFICE OF RESEARCH

DATASHEET & APPROVAL FORM

Primary PI:

Proposal Type:

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

The information contained on this data sheet is accurate.

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

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

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

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

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

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

I certify that I have read and understand that: 1) Federal law prohibits trafficking in persons, procuring commercial sex acts (even in a location where it is otherwise legal such as Nevada), or using forced labor during the period of performance of a federal grant, cooperative agreement or contract. 2) Instances of employees working on federally funded projects who violate this condition must be reported to the government and penalties up to and including removal from the project, termination, and possible criminal prosecution may ensue. 3) I understand that as the Principal Investigator for a federal project I am responsible for informing project personnel that they are subject to this requirement. For additional guidance and information, refer to UCOP RPAC C&G Memo 13-07 - Federal Clauses on Trafficking in Persons, Prostitution, and Related Activities (http://researchmemos.ucop.edu/php-app/index.php/site/document?memo=UlBBQy0xMy0wNw==&doc=29).

Foreign Involvement: If this proposal is being submitted to a federal sponsor (or federal flow-through sponsor), I confirm that I have reviewed the sponsor's policies that are referenced in Assurance #11, above. I also understand that I am responsible for accurately and fully reporting the required information to the sponsor.

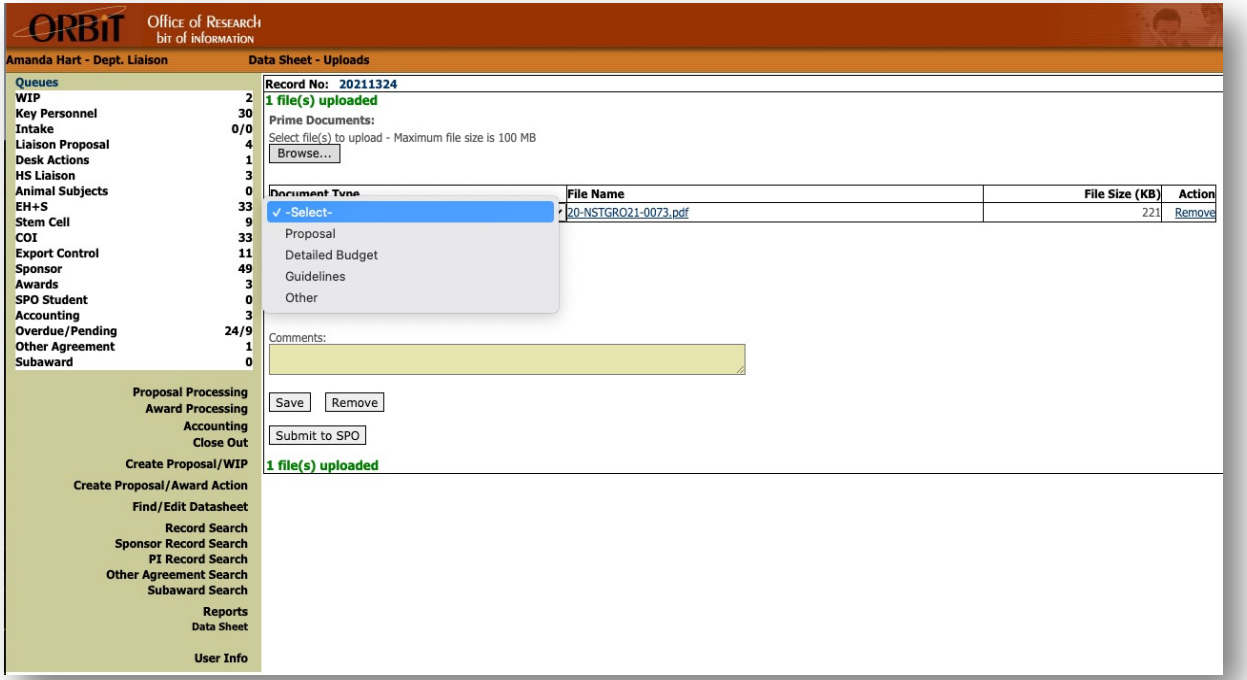
Further, I certify, to the best of my knowledge at the time of the submission, that the information regarding foreign involvement provided in the proposal is complete, accurate, and compliant with the federal sponsor's policies.

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

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

Electronic Routing via ORBiT

- Submission is received into an intake queue and logged onto SPO team's 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 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?

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:

- 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)
- 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

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

MCAs are covered in depth in

STAR Class 5 - Subawards

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

Questions?

UCSB Proposal Submission Timeline for a standard proposal review:

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

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

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

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

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.

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**

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

Any Final Questions??

Thank you!