

## Proposal Preparation & Submission Resources

Office of Research

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

Proposal Preparation

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

Proposal Submission Checklist

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

Project Contribution Guidance

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

Subawards

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

Foreign Involvement Disclosure Requirements

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

UC Policy/UCSB Policy & Research Circulars

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

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

700U Exemption List

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

# Attachment A

			Payroll Title	Appointment Type	Project Type	Approval as sole PI	Approval as Co-PI ‡
			Academic Senate Member				
Academic	Faculty Titles	Ladder Faculty	Academic Senate Member (All Titles)†	All Appts.	All	Eligible	Eligible
			UC Emeriti	All Appts.	All	Eligible	Eligible
			Research Professor	All Appts.	All	Eligible	Eligible
			Professor, Associate Professor, Assistant Professor	Regular Appt.	All	Eligible	Eligible
				Visiting	All	OR	OR
		Adjunct Professor		≥50% with paid appt.	All	Eligible	Eligible
				<50% or WOS Appt.		OR	OR
		Teaching Titles	Lecturer with Security of Employment (LSOE) & Lecturer with Potential Security of Employment (LPSE)	100%	All	Eligible	Eligible
				<100%	Projects that are closely aligned with the nature of their position **	OR	OR
	Research Titles	Professional Researcher	Researcher, Associate Researcher, Assistant Researcher	Regular Appt. ≥50%	All	Eligible	Eligible
				Regular Appt. <50%		OR	Head of Administering Unit
				Visiting or WOS (Courtesy)	All	Not eligible	OR
		Project Scientist	Project Scientist , Associate Project Scientist	Regular Appt.	All	OR	OR
				Visiting or WOS (Courtesy)	All	Not eligible	OR
				Assistant Project Scientist	All	Not Eligible	OR
		Specialist	Specialist, Associate Specialist, Assistant Specialist, Junior Specialist	Regular Appt.	All	Not Eligible	OR
				WOS (Courtesy)			
		PostDoc	PostDoctoral Scholar	Employee/Fellow	Fellowship/Field Research Projects	Not eligible	Head of Administering Unit
					All other projects	Not Eligible	OR
				Paid Direct	All	Not Eligible	OR*
	Student Academic Titles	Graduate Students		All Appts.	Fellowship/Dissertation Research Grants/Field Research Grants	Not Eligible	Head of Administering Unit
					All other projects	Not Eligible	OR*
	Other Academic Titles	Undergraduates		All Appts.	All	Not Eligible	Not Eligible
Staff	Other Specialty 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
Other			Director of the Art Museum, Director of Orfalea Family Children's Center, Chief of Police	All Appts.	Projects that are closely aligned with the nature of their position **	Eligible	Eligible
			Physical Education Specialist University Extension Specialist	All Appts.	Training or Training Related Projects **	Eligible	Eligible
Other			Other	All Appts.	All	OR	OR

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

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

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

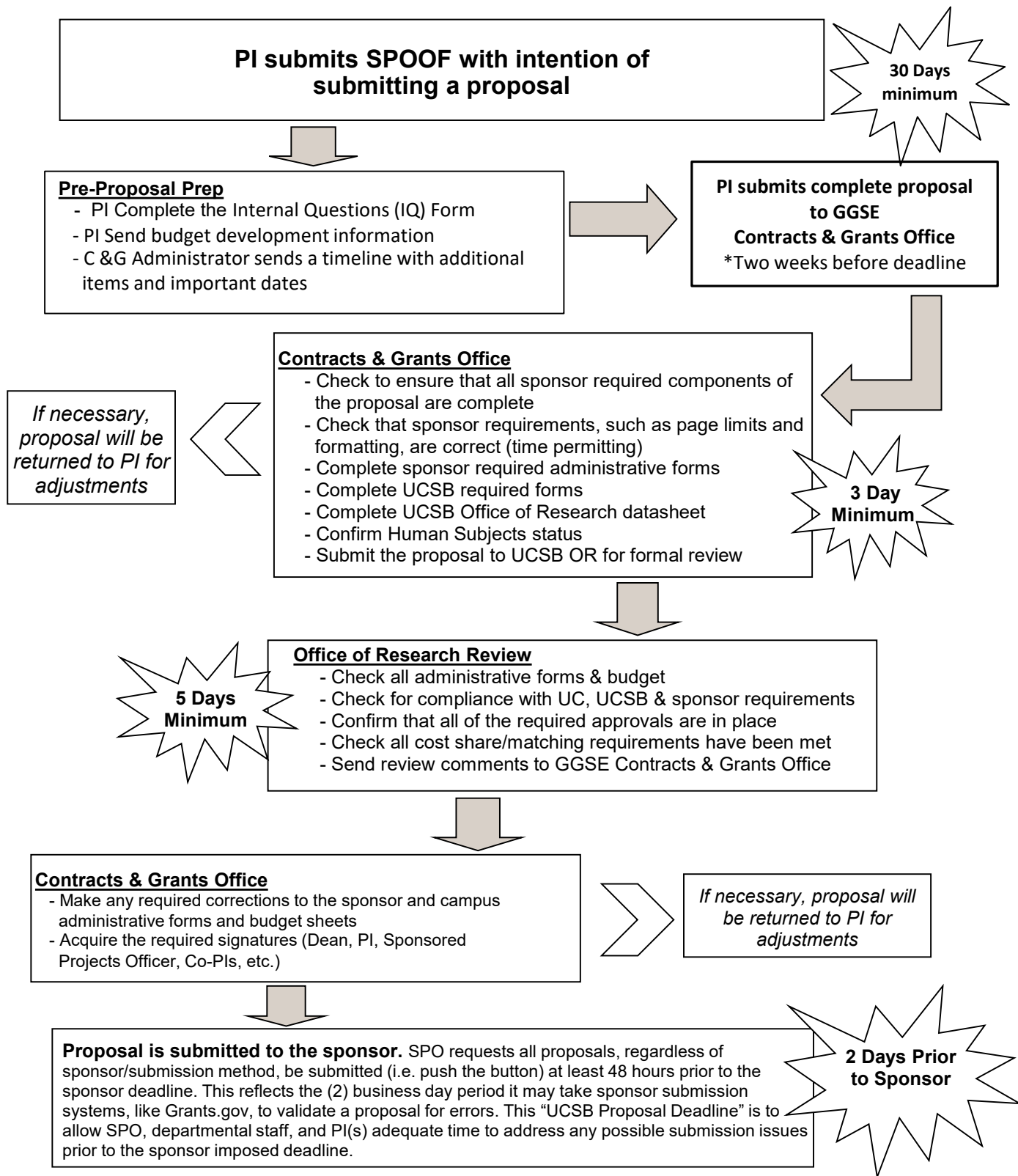
‡ The Co-PI may be listed first on the data sheet and/or proposal as the Lead PI, but the data sheet must include at least one eligible Co-PI.

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

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

Last updated: 2/23/2016 JM

Approved by CD: 2/23/2016



# GGSE Internal Questions (IQ) Form

**For Office Use Only**

Date Sent to PI: \_\_\_\_\_

Received by C&G Office: \_\_\_\_\_

PI: \_\_\_\_\_

% of academic year apt: \_\_\_\_\_

Co-PI: \_\_\_\_\_

% of academic year apt: \_\_\_\_\_

Co-PI: \_\_\_\_\_

% of academic year apt: \_\_\_\_\_

Please Confirm - Project Title: \_\_\_\_\_

Work Site: ☐ On Campus ☐ Off Campus

Purpose: ☐ Organized Research  
Project Type: ☐ Applied ☐ Basic ☐ Developmental ☐ Other: \_\_\_\_\_  
Field of Research: \_\_\_\_\_

☐ Training

☐ Instruction

☐ Other Sponsored Projects: \_\_\_\_\_

## Project Assurances

YES NO

- ☐ ☐ 1. Will any human subjects be conducted on this proposal?
- ☐ ☐ 2. Will any of the H.S. research be performed at UCSB or by UCSB Personnel? If either, check yes.
- ☐ ☐ 3. Does the proposal involve non-exempt h.s. research to be conducted at multiple sites w/NIH funds?
- ☐ ☐ 4. Will you be using protected health (HIPAA) information?
- ☐ ☐ 5. Will your research involve the use of personal identity information (SSN or Driver's License with First & Last Name)
- ☐ ☐ 6. Will additional space or alteration be necessary for this project? If no, what room(s) will you be using? 1) \_\_\_\_\_ 2) \_\_\_\_\_ 3) \_\_\_\_\_
- ☐ ☐ 7. Is the funding for this project ultimately coming from another source via the sponsor you are applying to? If yes, source: \_\_\_\_\_
- ☐ ☐ 8. Does the proposed research involve any of the following: (If yes, provide details in comments section below)
  - Foreign sponsor, collaboration, sub, or
  - International shipments, commodities or technology
  - Foreign travel or research at foreign sites
- ☐ ☐ 9. Does the PI/CoPI have a relationship with the subrecipient(s) requiring COI review?
 

☐ Yes ☐ No ☐ N/A (no subrecipient on proposal)
- ☐ ☐ 10. Is PI or anyone other employee or student participating in this project:
  - Debarred, proposed for debarment, suspended or otherwise excluded from or declared ineligible for participation in federal assistance programs or activities? OR award of federal contracts
  - Presently indicted for, or otherwise criminally or civilly charged by a government agency?
  - have within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commissions of contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements or receiving stolen property? OR had one or more contracts terminated for default by any federal agency
11. Provide a list of who at UCSB will be responsible for the design, conduct or reporting of activities associated with this project. 1) \_\_\_\_\_ 2) \_\_\_\_\_ 3) \_\_\_\_\_ 4) \_\_\_\_\_ **IF**  
**APPLICABLE:** Each individual will have to complete a disclosure of financial interests PRIOR to submission via <https://ucsb.coi-smart.com/login.php>.
12. Will the project generate any program income? ☐ Yes ☐ No

Additional Comments or Information:

# Proposal Preparation Checklist

## Submission to GSER

On time? ☐ Late? ☐  
No deadline? ☐

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

### Set Up the Electronic Proposal File under the PIs name

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

### Guidelines

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

Notes: \_\_\_\_\_

### Timeline

GSER Deadline: \_\_\_\_\_  
OR Deadline: \_\_\_\_\_  
Campus Submission Deadline: \_\_\_\_\_  
Sponsor Submission Deadline: \_\_\_\_\_

### Budget

Proposed period of performance? \_\_\_\_\_ to \_\_\_\_\_  
Substantial ITG needs? ☐ Y ☐ N  
Unallowable Expenses: \_\_\_\_\_

Project Contributions or other special requirements: \_\_\_\_\_

### Email to PI

Date: \_\_\_\_\_ Follow Up: \_\_\_\_\_

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

Notes: \_\_\_\_\_

# Proposal Preparation Checklist

## When proposal is received

date received: \_\_\_\_\_

- \_\_\_ Complete sponsor forms
- \_\_\_ Complete campus forms
- \_\_\_ Complete data sheet

## Proposal to OR for review

date sent: \_\_\_\_\_

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

Route to KH for Review: \_\_\_\_\_

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

## Receive OR comments

date received: \_\_\_\_\_

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

date responded: \_\_\_\_\_

- \_\_\_ PI confirmed required ORCOI disclosures have been completed

☐ Signed data sheet to OR

date sent: \_\_\_\_\_

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

date sent: \_\_\_\_\_

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

## Transmittal Obtain PI OK to submit ☐ Y

date submitted: \_\_\_\_\_

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

## Email to PI/OR

- \_\_\_ Notice of proposal submission

## Final actions

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

UC SANTA BARBARA

Kelly Hayton &lt;khayton@ucsb.edu&gt;

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

1 message

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

Mon, Nov 5, 2018 at 8:21 AM

Good morning,

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

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

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

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

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

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

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

To clarify, our office will complete the following:

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

We will expect to receive from you the following:

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

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

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

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

--

Kelly Hayton

**Manager, Finance & Administration**

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

**UC SANTA BARBARA**

Record #: OFFICE OF RESEARCH  
Previous Award: #: DATASHEET & APPROVAL FORM  
Project #: Primary PI:  
Proposal Type:

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

Deadline Date: Requested Deadline Date:

Title:

Admin Dept: Admin Dept. Name:

Datasheet Created By: Phone: Email:

Sponsor Code: Sponsor Name:

Proposal Submitted: ☐ Contract ☐ Grant ☐ Cooperative Agreement

Proposal Type: ☐ New ☐ Continuation ☐ Supplement ☐ Renewal

Pre-Proposal:

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

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

**PROJECT PURPOSE INFORMATION:**

☐ Research

**If Research:**

**Field of Research:**

☐ Training

☐ Applied

☐ Air Pollution

☐ Water

☐ Equipment

☐ Basic

☐ Cancer

☐ Ins Dev

☐ Instruction

☐ Developmental

☐ Drug

☐ Environ

☐ Student Scholarship/  
Fellowship (paid by  
stipend only)

☐ Other:

☐ Energy

☐ Other:

☐ Other:

**PRINCIPAL INVESTIGATOR(S):**

**DETAIL INFORMATION:**

Support Requested:

Third Party Contribution:  
(formerly Matching Funds)

Begin Date Requested:

IDC Requested:

End Date Requested:

IDC Rate Requested:

UC Cash:  
(formerly UC Participation)

IDC Base:

UC In-kind:  
(formerly UC Cost Share)

Program Income:



#	Yes	No	ASSURANCES:
1.			<p>Will any human subject research be conducted on this proposal?</p> <p>If Yes, will any of the H.S. research be performed at UCSB or by UCSB personnel? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>"Human subjects" means a living individual about whom an investigator conducting research: 1) Obtains information or biospecimens through intervention or interaction with an individual, and uses, studies, or analyzes the information or biospecimens; or 2) Obtains, uses, studies, analyzes, or generates identifiable private information or identifiable biospecimens. ("Private" means information an individual can reasonably expect will remain private, like a school/medical record or identifiable tissue/blood.)</p>
2.			<p>Does this proposal involve non-exempt human subject research to be conducted at multiple U.S. sites involving NIH-funding through a grant, cooperative agreement, or contract (excluding career development, research training or fellowship awards)?</p> <p>A multi-site study is where the same non-exempt HS research study is being conducted at more than one domestic site.</p> <p>If Yes to the above, contact UCSB's HS staff at <a href="mailto:hsc@research.ucsb.edu">hsc@research.ucsb.edu</a>.</p>
3.			<p>Will your research involve the use of protected health (HIPAA) information? If Yes, and your proposal is awarded, you are required to contact your IT support person for assistance with securely storing your data.</p>
4.			<p>Will your research involve the use of personal identity information (SSN or Drivers License with First &amp; Last Name?) If Yes, and your proposal is awarded, you are required to contact your IT Support person for assistance with securing your data.</p>
5.			<p>If the proposal is being submitted to PHS/NIH, will the research generate large scale human and/or non-human genomic data? If Yes, a Genomic Data Sharing plan needs to be included with the proposal.</p> <p>Large scale genomic data includes phenotypic data, genome wide association studies (GWAS), single nucleotide polymorphisms (SNP) arrays, genomic sequencing, transcriptomic metagenomic and epigenomic data, gene expression data, and any use of that data for future research.</p> <p>If the proposal involves sharing human data, then you will need to obtain an Institutional Certification from the Research Integrity Office to assure compliance with NIH regulations. You are encouraged to contact a Research Integrity Specialist (<a href="mailto:researchintegrity@research.ucsb.edu">researchintegrity@research.ucsb.edu</a>) at the initial "Just in Time" notification to obtain the Certification.</p>
6.			<p>Will any vertebrate animal research be performed on this this proposal?</p> <p>If Yes, will any of the vertebrate animal research be performed at UCSB or by UCSB personnel? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Have you discussed animal housing needs with the ARC Director? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If No, the PI must seek approval from the ARC Director for animal housing space</p>
7.			<p>Will Human Stem Cells be used? Human stem cells apply to the use of gametes, blastocysts, derivation and/or use of human embryonic stem cells (hESCs), embryonic or fetal germ cells, adult and fetal stem cells, or human induced pluripotent stem cells. Do not check "Yes" if you are using adult tissue specific stem cells such as hematopoietic cells or mesenchymal cells unless they are being induced to differentiate into the three major germ lines.</p>
8.			<p>Will any of the following be used for this project: Chemicals (solids, liquids, or gases); Radioactive materials; X-ray producing machines; Non-ionizing radiation (lasers, UV, microwave); Biosafety Level 2, Level 3, or "Select" Biological agents; Recombinant DNA; Human/primate tissues or fluids; Animals or animal tissue/fluids; Research divers/dive equipment/small boats; Controlled Substances (DEA Schedule I-IV)?</p> <p>If Yes, complete the EH&amp;S Contract and Grant Questionnaire ( <a href="http://www.ehs.ucsb.edu/labsafety/ehs-contract-and-grant-approvals">http://www.ehs.ucsb.edu/labsafety/ehs-contract-and-grant-approvals</a>)</p>
9.			<p>Will additional space or alterations be necessary for this project? (NOTE: Any use of Natural Reserve Systems sites, whether ongoing or new, is considered additional space and requires NRS approval.)</p> <p><b><u>If Yes, indicate additional space requirements or alterations necessary:</u></b></p> <p><b><u>If No, specify buildings &amp; rooms for project:</u></b></p> <p>In addition, if servers and/or computing peripherals will be acquired (other than desktop or laptop workstations), then please contact Enterprise Technology Services (ETS) for assistance finding data center space with adequate power, cooling, connectivity, and security. Email <a href="mailto:ETS-NHDC@ucsb.edu">ETS-NHDC@ucsb.edu</a>.</p>
10.			<p>Does the proposed research involve any of the following: foreign sponsor, foreign collaboration, foreign sub-recipient(s), international shipments of any commodities or technology (e.g. materials, software, etc.), travel to foreign countries or research at foreign sites by UCSB personnel? Please contact Research Integrity staff at <a href="mailto:exportcontrol@research.ucsb.edu">exportcontrol@research.ucsb.edu</a> for any questions regarding this assurance.</p>

Record #:	<b>OFFICE OF RESEARCH</b>	Primary PI:
Previous Award #:	<b>DATASHEET &amp; APPROVAL FORM</b>	Proposal Type:
Project #:		

#	Yes	No	ASSURANCES:
11.			<p>Is the proposal being submitted to a federal sponsor (or a federal flow-through sponsor)?</p> <p>If yes, the federal sponsor may impose certain requirements related to foreign involvement. Please review the sponsor's policies to determine to what extent they require disclosure of external sources of support (including in-kind), as well as outside activities, affiliations, and collaborations; pay special attention to foreign disclosure obligations.</p> <p>Please visit the Sponsored Projects' webpage (<a href="https://www.research.ucsb.edu/foreign-involvement-disclosure-requirements">https://www.research.ucsb.edu/foreign-involvement-disclosure-requirements</a>) to review the requirements for the particular sponsor to whom you are submitting.</p> <p>For background on foreign involvement, please visit Research Integrity's webpage: <a href="https://www.research.ucsb.edu/research-integrity/international-engagement">https://www.research.ucsb.edu/research-integrity/international-engagement</a>.</p> <p>If you have any questions on this matter, please contact the SPO team assigned to your department (<a href="https://www.research.ucsb.edu/sponsored-projects-teams">https://www.research.ucsb.edu/sponsored-projects-teams</a>).</p>
12.			<p>Will this project include one or more subawards? If Yes, refer to research circular D.7.</p> <p><u>Subrecipient</u> <u>Does the PI/Co-PI have a financial relationship with this subrecipient that would require COI</u></p> <p>If Yes, all Principal Investigators who identify the existence of a financial relationship with a subrecipient must complete the '700U - Statement of Economic Interests for Principal Investigators' disclosure through O.R.'s Conflict of Interest disclosure system - ORCOI at <a href="https://ucsb.coi-smart.com">https://ucsb.coi-smart.com</a>.</p>
13.			<p>Will requested funds be considered flow-through? (Who is the ultimate source source of funds?)</p> <p><b>If Yes:</b></p> <p><u>Code</u> <u>Prime Sponsor's Name</u></p>
14.			<p>Is the proposal being submitted to a non-government sponsor, a private Institution of Higher Education, or supported in part by a non-government flow-through sponsor? (Note: State institutions of higher education are considered government entities.)</p> <p>If Yes, the organization may be exempt from the disclosure requirement. A list of exempt organizations can be found at <a href="http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-from-disclosure-requirement.html">http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-from-disclosure-requirement.html</a>. Additionally, a private Institution of Higher Education is exempt from disclosure when that Institution is a non-profit and is tax exempt.</p> <p><input type="checkbox"/> <b>EXEMPT</b></p> <p>If Yes, and not exempt from this requirement per the guidance above, Principal Investigators must complete the '700U - Statement of Economic Interests for Principal Investigators' disclosure through the O.R.'s Conflict of Interest disclosure system - ORCOI at <a href="https://ucsb.coi-smart.com">https://ucsb.coi-smart.com</a> if/when the proposal is funded.</p>
15.			<p>Is proposal being submitted to the NSF (including NSF flow-through funding) or any other program requiring similar Federal Financial disclosure?</p> <p>If Yes, the lead PI must submit a Design, Conduct, and Reporting Form (DCR, which prints with the Datasheet) to the Conflict of Interest Coordinator via e-mail (<a href="mailto:coi@research.ucsb.edu">coi@research.ucsb.edu</a>) or drop-off at The Office of Research located on the 3rd floor of Cheadle Hall. Additionally, all personnel listed on the DCR Form must complete 'The NSF Annual Disclosure Form' through OR's Conflict of Interest Disclosure System ORCOI: <a href="https://ucsb.coi-smart.com">https://ucsb.coi-smart.com</a>. See Research Circular D.3. and the COI website: <a href="http://www.research.ucsb.edu/coi/">http://www.research.ucsb.edu/coi/</a>.</p>
16.			<p>Is the proposal being submitted to the PHS/NIH (including PHS/NIH flow-through funding) or any other sponsor requiring similar PHS/NIH financial COI disclosure?</p> <p>If Yes, the lead PI must submit a Design, Conduct, and Reporting Personnel Form (DCR, which prints with the Datasheet) to the COI Coordinator via e-mail (<a href="mailto:coi@research.ucsb.edu">coi@research.ucsb.edu</a>). Additionally, all personnel listed on the DCR Personnel Form must (1) complete 'The PHS Annual Disclosure Form' through O.R.'s Conflict of Interest Disclosure System at <a href="http://ucsb.coi-smart.com">http://ucsb.coi-smart.com</a> and (2) take the Compliance &amp; Conflict of Interest for Researchers Briefing (COIR) through the campus's Learning Management System (LMS).</p>

17.

**Debarment, Suspension, Proposed Debarment. If any of the below questions are answered in the affirmative, then mark "Yes" and contact the Director and/or Associate Director of Sponsored Projects. By answering "No" and signing this document, the PI certifies that they or any other employee or student participating in this project is not debarred, suspended or otherwise excluded from or ineligible for participation in federal assistance programs or activities.**

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

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

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

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

-have within three (3) years preceding this offer, been convicted of or had a civil judgment entered against them for commission of fraud or a criminal offense in connection with obtaining , attempting to obtain, or performing a public (federal, state, or local) contract or subcontract, including but not limited to violating a gratuity regulation; violation of Federal or State antitrust statutes relating to the submission of offers; or commissions of contract or subcontract; violation of Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements or receiving stolen property.

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

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

The information contained on this data sheet is accurate.

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

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

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

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

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

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

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

Foreign Involvement: If this proposal is being submitted to a federal sponsor (or federal flow-through sponsor), I confirm that I have reviewed the sponsor's policies that are referenced in Assurance #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.

UCSB Office of Research  
Design, Conduct, & Reporting (DCR) Personnel Form for Conflict of Interest

To maintain compliance with Federal Conflict of Interest policies, UCSB requires that any senior or key personnel and others who direct or can materially influence the research, or who are responsible for the design, conduct, or reporting of such research, must disclose Significant Financial Interests and complete Conflict of Interest training.

This form must be filled out and signed by the Lead PI for every proposal submission. Completed DCR Forms must be sent to the Office of Research Conflict of Interest (COI) Coordinator. Follow this link to the ORCOI system <http://ucsb.COI-Smart.com> to begin the disclosure process, enter your UCSBNetID and password, if you find you do not have an account please contact the COI Coordinator for setup.

Email (Preferred): [coi@research.ucsb.edu](mailto:coi@research.ucsb.edu), 805-893-3787, <http://www.research.ucsb.edu/compliance/conflict-of-interest/>

Mail: Office of Research, Attn: COI Coordinator, 3227 Cheadle Hall, Santa Barbara, CA 93106-2050

UCSB Intercampus Mail Code: 2050

Lead PI Name (Last, First):	
Project Title	
Sponsor	
ORBIT Record #	Administering Department:

As the Lead Principal Investigator, I certify the following:

A) I have identified that I and the following listed Investigators meet the definition described above, and to the best of my knowledge we have all disclosed any Significant Financial Interests related to our institutional responsibilities and this research project; and have completed the UCSB Conflict of Interest Training Module if proposal is being submitted to PHS (see Office of Research website for training information).

Note: This list should include all UCSB PIs, Co-PIs, and other project personnel that meet the design, conduct and reporting definition listed above, but should not include any sub-recipient personnel. Use additional pages as needed.

Note: Possible Project Roles are Lead PI, Co-PI, PostDoc, GSR, Undergraduate, Collaborator, or Other Professional.

Name (last, First)	Project Role	Email	Disclosure Date	+ or -	ORCOI Access

OR Use Only


B) I will notify the Office of Research Conflict of Interest Coordinator of any changes to this list of DCR Personnel (TBDs) that meet the definition described in the first paragraph of this form over the life of this project.

Lead PI's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

The DCR Form is printed with the datasheet. There are three ways to submit this form to the Office of Research Conflict of Interest Coordinator. 1.) Scan and email completed and signed form to [coi@research.ucsb.edu](mailto:coi@research.ucsb.edu), 2.) Sign and turn in to the Office of Research Conflict of Interest Coordinator. 3.) Sign and snap photo with any type of smart phone and email to [coi@research.ucsb.edu](mailto:coi@research.ucsb.edu).

Office of Research Use Only:

Date DCR Form received by COI Coordinator:		Date DCR Form completed by COI Coordinator:	
Type of COI requirement(s):	<input type="checkbox"/> CA 700-U	<input type="checkbox"/> NSF	<input type="checkbox"/> PHS

Note: Direct sponsor a government entity? If so, no 700-U disclosure is required.

Note: Direct sponsor non-profit AND tax exempt AND educational institution? If so, no 700-U disclosure required.

Note: All other proposals with sponsors not subject to 700-U disclosure will be subject to the appropriate Federal regulation.

## UCSB Departmental Finals Procedures

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

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

There are four types of eFinals:

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

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

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

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

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

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