Introduction to Proposal Submission

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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.
  * Exception to 2 year timeframe granted due to pandemic.
- Email training@research.ucsb.edu for questions and/or concerns
- STAR Class evaluation request will be sent to participants after the class

FOR QUESTIONS DURING THIS CLASS:
Please Use ‘CHAT’ feature and post to ‘Everyone’
Proposal Scenario throughout Presentation:

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

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

PI Has an Idea

- Research Development
  - Fund searches
  - Proposal Development
  - Limited Submissions

Proposal Preparation
Department/Unit Liaison
- Budget
- Internal Forms

Agency Review

Proposal Review and Submission
Sponsored Projects

Award Negotiation and Acceptance
Sponsored Projects

Project Management
Department/Unit Liaison
Compliance
Accounting
Sponsored Projects

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

Office of Research
UC SANTA BARBARA
Overview of Proposal
Roles & Responsibilities
Research Development  
(Office of Research)  
http://www.research.ucsb.edu/research-development/

Services offered to faculty include:

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

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

Contract & Grant Liaison:

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

Department Head (Chair/Director/Dean):

- Reviews and verifies appropriateness and resources committed with proposal
- Confirms Departmental support to administer project, if funded
Sponsored Projects Office (SPO)  
(Office of Research)

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

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

- Responsible for:
  - The programmatic and financial design of the proposal
  - The technical, fiscal, and administrative management of the award
  - All report requirements
  - Compliance with award terms & conditions
  - Ensuring project costs incurred are allocable, allowable, and reasonable
  - Ensuring project performance is consistent and compliant with UC policies
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
<table>
<thead>
<tr>
<th>Payroll Title</th>
<th>Appointment Type</th>
<th>Project Type</th>
<th>Approval as sole PI</th>
<th>Approval as Co-PI</th>
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</thead>
<tbody>
<tr>
<td>Academic Senate Member (All Titles)</td>
<td>All Asst.</td>
<td>All</td>
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<td>Eligible</td>
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<tr>
<td>UC Regents</td>
<td>All Asst.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
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<tr>
<td>Research Professor</td>
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<td>All</td>
<td>Eligible</td>
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<tr>
<td>Professor, Associate Professor, Assistant Professor</td>
<td>Regular Asst.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Visiting</td>
<td>All Asst.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
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<tr>
<td>Adjunct Professor</td>
<td>100% with paid Asst.</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
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<tr>
<td>Lecturer with Security of Employment (LSED) &amp; Lecturer with Potential Security of Employment (LSPEC)</td>
<td>100%</td>
<td>All</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>OR</td>
<td>OR</td>
<td>OR</td>
<td>OR</td>
</tr>
<tr>
<td>Professional Researcher, Associate Researcher, Assistant Researcher</td>
<td>Regular Asst.</td>
<td>All</td>
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<td>Head of Administering Unit</td>
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<tr>
<td>Researcher, Associate Researcher, Assistant Researcher</td>
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<td>OR</td>
<td>OR</td>
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<tr>
<td>Project Scientist, Associate Project Scientist</td>
<td>Regular Asst.</td>
<td>All</td>
<td>Not eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Assistant Project Scientist</td>
<td>Regular Asst.</td>
<td>All</td>
<td>Not eligible</td>
<td>OR</td>
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<tr>
<td>Specialist, Associate Specialist, Assistant Specialist, Junior Specialist</td>
<td>Regular Asst.</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR</td>
</tr>
<tr>
<td>Adj/Dissertation Fellow</td>
<td>Employee/Fellow</td>
<td>Fellowship/Field Research Projects</td>
<td>Not eligible</td>
<td>Head of Administering Unit</td>
</tr>
<tr>
<td>Postdoc</td>
<td>Paid Direct</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR*</td>
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<tr>
<td>Graduate Students</td>
<td>All Asst.</td>
<td>Fellowship/Grant Research Grants/Field Research Grants</td>
<td>Not Eligible</td>
<td>Head of Administering Unit</td>
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<tr>
<td>Undergraduates</td>
<td>All Asst.</td>
<td>All other projects</td>
<td>Not Eligible</td>
<td>OR**</td>
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<tr>
<td>Academic Coordinator</td>
<td>All Asst.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Not Eligible</td>
<td>OR**</td>
</tr>
<tr>
<td>Librarian</td>
<td>All Asst.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Eligible</td>
<td>OR**</td>
</tr>
<tr>
<td>Associate Librarian, Assistant Librarian</td>
<td>All Asst.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Eligible</td>
<td>OR**</td>
</tr>
<tr>
<td>Temporary/Continuing Lecturer (Lecturers without Security of Employment)</td>
<td>Regular Asst.</td>
<td>All</td>
<td>Not Eligible</td>
<td>OR</td>
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<tr>
<td>Staff Director of the Art Museum, Director of Ohta Family Children's Center, Chief of Police</td>
<td>All Asst.</td>
<td>Projects that are closely aligned with the nature of their position **</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>Physical Education Specialist</td>
<td>All Asst.</td>
<td>Training or Training Related Projects **</td>
<td>Eligible</td>
<td>Eligible</td>
</tr>
<tr>
<td>University Extension Specialist</td>
<td>All Asst.</td>
<td>All</td>
<td>OR</td>
<td>OR</td>
</tr>
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[Link to Table of PI Eligibility:](https://www.research.ucsb.edu/sites/default/files/SPO/PI%20Eligibility/Table%20of%20PI%20eligibility.pdf)
Campus Policy Research Circular B.1

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

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

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

Difference between PI and Co-PI

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

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

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

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

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

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

- **Federal Government**: National Science Foundation (NSF), National Institutes of Health (NIH), Department of Defense (Army, Air Force, DAPRA, Office of Naval Research, etc.) U.S. Dept. of Education
- **State Government**: California Energy Commission, California Department of Education
- **Local Government**: County of Santa Barbara, City of Santa Barbara
- **Private/Non-Profit**: Sloan Foundation, Gordon and Betty Moore Foundation
- **Industry**: Intel, Olympus, Honeywell
- **National Labs**: Private contractors who administer federal funds (Los Alamos Natl Lab, Pacific Northwest Natl Lab, Oak Ridge Natl Lab)
- **International**: European Union
- **Other Universities**: USC (non-UC), any UC sister campus = Multi-campus Award
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 20-1. A professor may want to submit a proposal to the NSF's Program Solicitation NSF 20-569. This proposal must follow both NSF 20-1 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?
Summary of Program Requirements

General Information

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

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

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

Subagreement/ MCA/ Service agreement
Subagreements

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

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

http://www.research.ucsb.edu/spo/subawards/
Zoom Break

“See” you in 5 minutes.
Proposal 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
Project Contributions

• Resources that are contributed to a sponsored project over and above the support provided by the extramural sponsor of that project.

• All costs budgeted as project contributions must meet the same standards as those costs being requested of the sponsor.
  • Must be allowable, allocable, reasonable, and consistent.
  • Must be compliant with all applicable policies and guidelines.

• Does the sponsor allow for project contributions?

http://www.research.ucsb.edu/spo/proposal-preparation/project-contributions/
Project Contributions

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

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

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

Four categories of project contributions:

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

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

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

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

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

When is the NSF deadline →

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

<table>
<thead>
<tr>
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<td></td>
<td>UCSB Proposal Deadline</td>
<td>Sponsor Proposal Deadline</td>
<td></td>
</tr>
</tbody>
</table>

All proposals should be submitted by 5pm to allow adequate time to address possible submission issues.

Grants.gov 48 hour window begins at 5pm.

- **PI’s deadline to have proposal to Dept. Liaison for submission to SPO**
  - To be determined by Admin. Dept but consider the following:
    - Friday 01/14/2022
    - Friday 01/21/2022
    - Tuesday 01/25/2022

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

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

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

- **Deadline per Guidelines**

Department Liaison Responsibilities

• Guidelines, Timelines and Deadlines
• Create a budget for the PI
• Ensure compliance with sponsor guidelines, UC policy and State/Federal Regulations
• Complete campus and sponsor required forms
• Gather and review subrecipient forms and documents
Step One

- Review Guidelines
  - What is the deadline?
  - Is PI eligible? Is UC eligible?
  - Submission Method – Cayuse, Fastlane, other sponsor portal, hard copy?
  - Who is submitting? SPO, Department or PI?
  - Are Project Contributions allowable?
  - Period of performance limitations?
  - Budget restrictions / requirements?
  - Other restrictions?
**Proposal Checklist**

### Proposal Preparation Checklist

**Project Title:**

**Principal Investigator:**

**Department:**

**School:**

**Office:**

**Division:**

**Site:**

**Program:**

**Type:**

**Program Name:**

**SPOF:**

**Department:**

**Division:**

**Site:**

**Program:**

**Type:**

**Project Name:**

**Date:**

### Setup the Electronic Proposal File under the PI’s name

- Download all applicable sponsor forms and campus forms (e.g., Project Contribution form, UC Cash request form, cover page, Letters of Support, sub awarded forms)

### Guidelines

- Read and note associated conditions, budgetary specifications, etc.

### Timeline

- **PI Deadline:**
- **OR Deadline:**
- **Campus Submission Deadline:**
- **SPOF Submission Deadline:**
- **Funding Deadline:**

### Budget

- Project Cost (LOI): 
- Unallowable Expenses:

### Email to PI

- **Date:**
- **Follow Up:**

  - Include the Internal Questions (IQ) form as an attachment.
  - Request information to start budget development.
  - Outline documents needed from PI (Form 5 if applicable).
  - Note sponsor’s required registrations (e.g.,6.28.00, information needed to process)
  - Note sponsor’s required registrations (e.g., 56.4.00, information needed to process)

### Email to PRIOR

- **Date:**
- **Follow Up:**

  - Request letter of commitment from any off-campus institutes.
  - Will there be changes?
  - Will there be PI/Co-PI?
  - Include all correspondence.

### Final Actions

- Electronic file to OR.
- Campus copy in paper format.
- Ensure electronic file complete.
- **Note:** Add quarterly proposal.

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*Revision: 9/1/12 *

*UC SANTA BARBARA*
Step Two

- Communicate with PI
  - Start a dialogue / ask questions
  - Provide timeline for submission
  - Note highlights from guidelines
  - Request budget information
  - Provide PI with a list of documents required
  - Inform PI of the documents you will complete/provide
  - Obtain ‘Internal Questions’ information
Internal Questions Form

GGSE Internal Questions (IQ) Form

For Office Use Only

Name: _______________________
Title: _______________________
Office: _______________________

Please fill in: Project Title:

Work Site: [ ] On Campus [ ] Off Campus

Purpose: [ ] Organized Research [ ] Training [ ] Other: _______________________

Project Type: [ ] Basic [ ] Developmental [ ] Other: _______________________

Field of Research: _______________________

Project Assurances:

[ ] 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 yes, check yes.
[ ] 3. Does the proposal involve non-exempt H.S. research to be conducted at multiple sites or NIH funds?
[ ] 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 yes, 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? [ ] Yes, provide details in comments section below:
  - Foreign expertise, collaboration, m./o.
  - International student, international exchange programs
  - Foreign travel or research activities
[ ] 9. Does the PI/Collaborator have a relationship with the subcontractor(s) requiring CCR review?
[ ] 10. Is PI or any other employee or student participating in this project:
  - Debarred, proposed for debarment, suspended or otherwise excluded from, or declined ineligible for participation in federal assistance programs or activities? OR award of federal assistance? OR
  - Prohibited by law or otherwise criminally or civilly charged by a government agency?
  - Have any specific laws or regulations been violated under the terms of the $50,000 or $100,000 of federal or state funds?
  - Were the terms of the award violated under the terms of the award?
[ ] 11. Provide a list of who at UCSB will be responsible for the design, conduct or reporting of activities associated with this project? [ ] Yes [ ] No

APPENDIX: Each individual will have to complete a disclosure of financial interest (DFO) in submission via https://eresources.ucsb.edu/submit/individ.htm.

[ ] 12. Will the project generate any program income? [ ] Yes [ ] No

Additional Comments or Information:

Office of Research
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

https://orbit.research.ucsb.edu
Complete the Proposal Documents

• Create a record in ORBiT - this generates the datasheet
• Create a UCSB detailed budget
• Assist the PI with the completion of any sponsor required documents
• Work with the PI to address any PI eligibility exception request documents, if applicable
• Work with subrecipients to secure their proposal documents, if applicable
• Work with the PI and the Office of Research to secure any Project Contribution documentation, if applicable
• Compile all proposal documents and upload in ORBiT for pre-review, including the guidelines
**UCSB Datasheet (Page 1)**

- Most recently updated in November 2020.
- Provides mechanism for entry of essential data about each proposal into the University's contract and grant system, ORBit.
- Provides SPO the assurance that internal approval and compliance requirements have been met regarding each contract and grant.
- Must be generated and submitted with every new proposal (new, renewal, continuation, supplement).
UCSB Datasheet (Page 2)

- Page 2 of the datasheet includes assurances 1-10.
- A few assurance questions:
  - Will human subjects be involved?
  - Will animal subjects be involved?
  - Will stem cells be involved?
  - Foreign activities?
Assurances 11-16 cover subawards, type of sponsor, and conflict of interest (COI)

New – assurance #11 asks if the proposal is being submitted to a federal sponsor due to the new foreign involvement requirements.
Assurance 17 is a certification that the PI is not debarred, suspended, or otherwise ineligible for participation.
Responsibility for the Project

• 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

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 civil, and/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.

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 FCOI training, the annual disclosure for form and certify that all DCR personnel shall maintain updated disclosures in OR's Conflict of Interest Disclosure System (http://ucsb.coi.sand) throughout the life of this project in compliance with Research Circular D. I.

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 FCOI training, the annual disclosure for form and certify that all DCR personnel shall maintain updated disclosures in OR's Conflict of Interest Disclosure System (http://ucsb.coi.sand) throughout the life of this project in accordance with Research Circular D. I.

If the proposal is being submitted to a federal agency or federal flow-through, 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 requested 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.

Foreign Involvement: If this proposal is being submitted to a federal or non-federal distributed source, I certify that I have reviewed the sponsor's policies that are referenced in Assurance #11, above. I also understand that I am responsible for accuracy 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.

If the proposal is being submitted to a federal agency or federal flow-through, 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 accuracy 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.
Design, Conduct and Reporting (DCR) Personnel Form for Conflict of Interest (COI)

- Automatically printed with data sheet when Assurance #15 or #16 is answered “yes”
- Mechanism for the PI to identify who has the responsibility for the design, conduct or reporting of the research
- Individuals identified must complete online conflict of interest disclosure
- Completed form should be submitted to OR COI Coordinator

Office of Research

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 design, conduct, or reporting of 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 (ORCOI) Coordinator. Follow this link to the ORCOI system (http://ucsb.COI-Smart.com) to begin the disclosure process, enter your UCSCNetID and password. If you find you do not have an account, please contact the ORCOI Coordinator for setup.

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

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

UCSB Intercampus Mail Code: 2050

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).

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, 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.

Office of Research Use Only:

Date DCR Form received by COI Coordinator: Date DCR Form completed by COI Coordinator:

Type of COI requirement(s): CA 700-U NSF PHS

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

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

Note: Direct sponsor non-profit IRS tax-exempt 501(c)(3) 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 regulations.
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**
Proposal is submitted to SPO for review...
What should you do now?

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

- SPO has converted to an electronic review process. Training sessions are still available to familiarize department liaisons with routing documents to SPO electronically. Please contact your SPO team if you would like to arrange a training or contact orbithelp@research.ucsb.edu.
- Proposal documents are routed to SPO via ORBiT by uploading all pertinent PDFs.
- If Datasheet Assurances #14, 15, or 16 were marked as “Yes”, then completed COI forms (DCR or 700U) must be sent to the COI Coordinator via email (coi@research.ucsb.edu).
UCSB Proposal Forms

- **OR Information Sheet** (Form 411) – **no longer used** (sample still in handouts). **Replaced with electronic submission**
- **Datasheet** (Form 100)
  If applicable:
  - Subagreement Forms (SK Form 100, 101, etc. RC D.7)
  - Design, Conduct and Reporting (DCR) form for conflict of interest (COI) compliance

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

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

The following documents should be received by SPO via electronic PDF uploads to SPO at least 7 business working days prior to the sponsor deadline:

- **UCSB Datasheet**
- Sponsor Guidelines (may be an email depending on sponsor)
- All proposal documents, including any sponsor required documents (can be in draft)
- UCSB Detailed Budget and narrative budget justification
- PI eligibility exception request documentation, if applicable
- Sub-agreement/MCA documentation, if applicable
- Project Contribution documentation, if applicable

[https://live-research-ucsb-edu-v01.pantheonsite.io/spo/proposal-prep/proposal-review](https://live-research-ucsb-edu-v01.pantheonsite.io/spo/proposal-prep/proposal-review)
Required Subrecipient Documents

When a proposal includes a subrecipient, we will need:

- Subrecipient Commitment Form (SK Form 100) for Subrecipient NOT part of PDF Clearinghouse, or Short Form if they ARE part of the FDP.
- Fair & Reasonable Cost Analysis (SK Form 800 Part A-1 (grants and cooperative agreements) or SK Form 800 Part A-2 (contracts)
- Sole Source Justification (SK Form 200), if applicable
- Full copy of subrecipient’s proposal
- Any required sponsor forms relating to the subrecipient

Subawards are covered in depth in

**STAR Class 5 - Business Contracts & Subawards**

[https://live-research-ucsb-edu-v01.pantheonsite.io/subawards](https://live-research-ucsb-edu-v01.pantheonsite.io/subawards)
Required Multi-Campus Award (MCA) Documents

When another UC campus will perform a portion of the proposal’s statement of work, a Multi-Campus award (MCA) is issued to that campus and we need:

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

MCAs are covered in depth in

**STAR Class 5 - Business Contracts & Subawards**

[https://live-research-ucsb-edu-v01.pantheonsite.io/subawards](https://live-research-ucsb-edu-v01.pantheonsite.io/subawards)
SPO Proposal Review

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

Transmit to Sponsor
Sponsored Projects Review

- SPO review ensures proposal is consistent with University and sponsor policies prior to submission of the proposal to the sponsor.
- Ensures compliance with applicable Federal regulations per UC Policy (despite not submitted directly to Federal sponsor).
- Reminder: Type of SPO review dependent on time submitted to SPO for review prior sponsor deadline! Standard, Expedited or Same-day proposal review.
**UC SB Proposal Submission Timeline for a standard proposal review:**

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

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

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

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

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

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

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

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

• Office of Research serves as the Office of Record for all submitted extramural proposals

• Administrative Department must provide the SPO Team with a complete PDF copy of the proposal submitted to the sponsor (i.e. “eFinals”)
  • Must include the UCSB detailed budget as part of PDF (regardless of sponsor requirement for project budget)

• Email SPO Team copy of eFinal within 48 hours of proposal submission

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

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

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