Please provide the info below as soon as possible. ICB will then put together a detailed budget and all the required signature paperwork. ***Please note: ICB requests a minimum notification of submission 3 weeks prior to the agency deadline.***

Proposals submitted to private sponsors or in collaboration with private institutions request a minimum notification of 4 weeks.

Proposal Title:

PI: Home Dept: Email:

                                       Home Dept: Email:

                                       Home Dept: Email:

                                       Home Dept: Email:

FOA/Solicitation Link:

Project Begin Date: Project End Date:

Sponsor: Deadline Date:

Budget Details (optional):

Will there be a subaward?   Yes   No

If yes, how much should be allocated to them per year?:

Subaward Contact Name:

Subaward Contact Information:

(Notes) Please let us know if there is any other information:

Assurances Form

Yes   No

1. Will any human subject research be conducted on this proposal?

    "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.)

Yes   No

    If Yes, will any of the H.S. research be performed at UCSB or by UCSB personnel?

2. 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)?
    A **multi-site study** is where the **same non-exempt HS research study** is being conducted at more than one domestic site.
    If Yes to the above, contact UCSB's HS staff at hsc@research.ucsb.edu.

Yes   No

3. 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.

Yes   No

	Yes	No
4. Will your research involve the use of personal identity information (SSN or Drivers License with First & Last Name?) If Yes, and your proposal is awarded, you are required to contact your IT Support person for assistance with securing your data.	Yes	No

5. 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.   Yes   No

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.

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 (researchintegrity@research.ucsb.edu) at the initial "Just in Time" notification to obtain the Certification.

	Yes	No
6. Will any vertebrate animal research be performed on this this proposal?	Yes	No
If Yes, will any of the vertebrate animal research be performed at UCSB or by UCSB personnel?	Yes	No
Have you discussed animal housing needs with the ARC Director? If No, the PI must seek approval from the ARC Director for animal housing space.	Yes	No
7. 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.	Yes	No
8. 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)? **If Yes**, complete the EH&S Contract and Grant Questionnaire (http://www.ehs.ucsb.edu/ labsafety/ehs-contract-and-grant-approvals)	Yes	No
9. 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.)	Yes	No

If YES, indicate additional space requirements or alterations necessary in note section above. If NO, specify building and rooms for project below.

	Yes	No

10. 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? **Explain here**:   Yes   No

Please contact Research Integrity staff at exportcontrol@research.ucsb.edu for any questions regarding this assurance.

11. Is the proposal being submitted to a federal sponsor (or a federal flow-through sponsor)??   Yes   No

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.

Please visit the Sponsored Projects' webpage (https://www.research.ucsb.edu/foreign- involvement-disclosure-requirements) to review the requirements for the particular sponsor to whom you are submitting.

For background on foreign involvement, please visit Research Integrity's webpage: https:// www.research.ucsb.edu/research-integrity/international-engagement.

If you have any questions on this matter, please contact the SPO team assigned to your department (https://www.research.ucsb.edu/sponsored-projects-teams).

12. Will this project include one or more subawards?   Yes   No

13. Will requested funds be considered flow-through?   Yes   No

   Ultimate source of funds:

14. 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.)   Yes   No
   If Yes, and not exempt from this requirement, Principal Investigators must complete the '700U–Statement of Economic Interests for Principal Investigators' disclosure mart.com and 2) take the Compliance & Conflict of Interest for Researchers Briefing (COIR) through the campus's Learning Management System (LMS).

15. Is proposal being submitted to the NSF (including NSF flow-through funding) or any other program requiring similar Federal Financial disclosure?   Yes   No

    If Yes, the lead PI must submit a Design, Conduct, and Reporting Form. Additionally, all personnel listed on the DCR Form must complete 'The NSF Annual Disclosure Form' through OR's Conflict of Interest Disclosure System ORCOI: https://ucsb.coi-smart.com. See Research Circular D.3. and the COI website: http://www.research.ucsb.edu/coi/.

16. Is the proposal being submitted to the PHS/NIH (including PHS/NIH flow-through fund- ing) or any other sponsor requiring similar PHS/NIH financial COI disclosure?   Yes   No

    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 (coi@research.ucsb. edu). 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 http://ucsb.coi-smart.com and 2) take the Compliance & Conflict of Interest for Researchers Briefing (COIR) through the campus's Learning Management System (LMS).

17. Is the PI or any other employee or student participating in this project: Yes   No

    • debarred, suspended or otherwise excluded from or ineligible for participation in fed- eral 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?