UC SANTA BARBARA
Institute for Energy Efficiency

PI Proposal Information Form

Extramural proposals are submitted on behalf of the UC Regents, and therefore all proposals are subject to review prior to submission. Investigators should notify IEE staff via email as soon as possible, but at least 3 weeks prior to agency deadline, when planning to submit a proposal. The review and institutional endorsement of a proposal requires time and cannot be left to the last minute. The Office of Research requires a complete proposal from IEE for review a minimum of seven (7) business days prior to the deadline. A complete proposal means all the pieces are present (including a final budget and budget justification). The technical/science section of the proposal (scope of work, research plan, references, targeted study information) may be in draft form for pre-review, as long as the scope of work doesn't change.

*Items with * denote a required field. This is a fillable & savable as .pdf form. Submission instructions page 5.*

(1) Principal Investigator Name: * [_____]

(2) Academic Title: * [_____]

(3) % of Effort on Project: * [_____]

Please provide the PIs percent of effort (unpaid) dedicated to this project during the academic year.

(4) Email Address: * [_____]

(5) Phone Number: * [_____]

(6) Contact Preference: *   Phone [ ]   Email [ ]

(7) Additional Co-Principal Investigators:

[_____]

Enter the name(s), academic title, and % of effort for up to 4 additional UCSB co-PIs.

(8) Agency Deadline * *(m/d/yy):* [_____] or No due date: [ ] or Requested submit date *(m/d/yy):* [_____]

(9) Does this solicitation require a Letter of Intent? *   Yes [ ]   No

[ ] If YES, LOI was submitted by PI on *(m/d/yy):* [_____]
If YES, and not yet submitted, date LOI is due to Sponsor *(m/d/yy):* [_____]

(Note: For NSF LOI submissions, failure to submit a __required__ LOI identified in an NSF program solicitation will result in a full proposal not being accepted or returned without review.)

(10) Start Date of Project * *(m/d/yy):* [_____]   End Date of Project * *(m/d/yy):* [_____]

(11) Funding Agency and Program Name, RFA #, PA #, and/or Program Website: *

[_____]

Include request for application, program announcement (if applicable) or program website.

(12) Revision # (if applicable): [_____]
If this is an NIH revision, please provide original agency number assigned.

(13) If sponsor is **NIH**, please provide your eRA Commons User Name: [   ]

(14) Is the Project Purpose Research? *   Yes ☐   No ☐

    If YES, type of research: Applied ☐   Basic ☐   Developmental ☐   Other [   ]

    If YES, field of research: [   ]

Description: Applied Research often follows from basic research, attempts to determine and exploit improvements in technology, processes, materials, methods, devised or techniques; Basic Research is directed toward a fuller knowledge of the subject under study rather than any practical application thereof; Developmental Research is the systematic use of scientific and technical knowledge in the design, development, testing or evaluation of a potential new produce or service

(15) If the Project is not Research, check Other Project Purpose: *
N/A ☐   Training ☐   Equipment ☐   Instruction ☐   Other [   ]

(16) Title of Project *

[   ]

(17) Computer Support *   Yes ☐   No ☐

(18) Does your project involve Human Subjects? *   Yes ☐   No ☐

If YES, please provide approval date and approval number, or list as pending:

[   ]

If NO, skip additional human subjects questions, and go directly to (23) below.

(19) Will any of the human subjects research be performed at UCSB or by UCSB Personnel?   Yes ☐   No ☐

(20) 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/subcontract? *   Yes ☐   No ☐

A multi-site study is where the same non-exempt HS research study is being conducted at more than one domestic site.

(21) Will any of the following (a) or (b) be part of this project regarding Human Subjects? *   Yes ☐   No ☐

If YES, check all that apply:
    ☐   (a) Personal Identity Information
    ☐   (b) HIPPA (protected health information)
       http://www.ucop.edu/ethics-compliance-audit-services/compliance/hipaa/

(22) Have all Key Personnel completed the UCSB Human Subjects training module? *   Yes ☐   No ☐
For training module go to: http://hstraining.orda.ucsb.edu/IntroPage.htm

(23) If the proposal is being submitted to **PHS/NIH**, will the research generate large-scale human and/or non-human genomic data? *   Yes ☐   No ☐   N/A ☐

(24) Will Human Stem Cells be used? *   Yes ☐   No ☐

(25) Will any vertebrate animals be used in connection with this project? *   Yes ☐   No ☐

If YES, list protocol file # or pending [   ]   *And expiration date (if any):* [   ]

If NO, skip additional animal subjects question and go directly to (27) below.

(26) Have you discussed animal housing needs with the ARC Director?   Yes ☐   No ☐

   If no, the PI must seek approval from the ARC Director for space for animal housing.
Institutional Animal Care and Use Committee: Do I Need a Protocol? Go to
https://www.research.ucsb.edu/compliance/animal-subjects *and complete the form available on the site.*

(27) 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)? * Yes ☐   No ☐

(28) Will cost sharing be involved? *   Yes ☐   No ☐

If YES, detail the expenditures and fund/department to be charged, note whether in-kind or actual cash. If you need to request cost share be provided from UCSB sources, please also indicate that here:

[ ]

Note: Cost sharing and matching should only be included in a proposal when required by a sponsor as a condition of applying for a grant. If including cost share, commitment memos are required.

(29) Is your Project "on" or "off" campus? *   On-campus ☐   Off-campus ☐

(30) Space for project, building & room number(s) (e.g. your office space): * [ ]

Required even for off-campus project

(31) 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? *   Yes ☐   No ☐

If YES, please explain:

[ ]

(32) Does your project involve a Subcontract? *   Yes ☐   No ☐

If YES, please complete questions (33)-(36) below, if not, skip and go directly to question (37).
Subcontract information is due to UCSB prior to submission due date. Please allow additional processing time if a subcontract is involved.

(33) Does the PI or co-PI(s) have a relationship with the subrecipient that would require Conflict of Interest in Research (COI) review? *   Yes ☐   No ☐

The term "conflict of interest in research" refers to situations in which financial or other personal considerations may compromise, or have the appearance of biasing a researcher's professional judgment in conducting or reporting research. It is the policy of the University of California that any Investigator may be required to disclose significant personal financial interests related to that project. When the University determines that such an interest might reasonably appear to be directly and significantly affected by the sponsored project, the University will take steps either to manage or to eliminate the conflict. If the below question is answered yes, additional information may be requested from the Investigator.

(34) PI Subcontract Contact Information:

[ ]

Please list subcontractors PI contact information. Include PI name, address, telephone number, and e-mail address.

(35) Additional Subcontracts, if more than one *(include same information as requested above)*:

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(36) Institutional Subcontract Contact Information (name and email):

If official or administrative institutional contact information is known, please include that information below:

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(37) Any additional information:

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(38) Is proprietary/privileged information included in the application? *   Yes ☐   No ☐

Explanation: Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the proposer, should be included in proposals only when such information is necessary to convey an understanding of the proposed project.

(39) Does this project have an actual or potential impact on the environment? *   Yes ☐   No ☐

If YES, please describe briefly:

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Explanation: The National Environmental Policy Act requires that Federal agencies consider the environmental impacts of major Federal actions significantly affecting the quality of the human environment. If a proposed project might have an environmental impact, the proposal should furnish sufficient information to assist Foundation officials in assessing the environmental consequences of supporting the project

(40) Is the research performance site designated, or eligible to be designated, as a historic place? * Yes ☐   No ☐

National Science Foundation is required to take into account the effect of grant activities on properties included in the National Register of Historic Places.

(41) Does this project involve activities outside the U.S. or partnership with International Collaborators? *
Yes ☐   No ☐

If YES, identify countries:

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Go to next page to submit and/or to add your draft budget ideas to this form. You may also email a separate budget document to: amandamiller@ucsb.edu (include your name on the budget).

PLEASE ADD SOME DRAFT BUDGET IDEAS HERE, OR IF YOU PREFER, EMAIL A SEPARATE EXCEL OR WORD DOCUMENT BUDGET TO: amandamiller@ucsb.edu (include your name on the budget):

Budget items to include:
- Salary and percentage of time per year for PI's, Students and Staff.
- Travel - including duration, destination, and how many ppl will be traveling per year
- Supplies
- Equipment
- Recharges
- Event & Review meeting expenses
- Subcontracts
- In-Kind or Match funds