



List the % of effort for each PI & CO PI (*typically 3-10% during academic year for faculty*)

Supplies/Expenses (*Please provide a general breakdown*):

Equipment (*Price & description of items over \$5K*):

Travel (*description of meeting/conference to be attended and the amount of funds needed per trip*):

Other Expenses (*price for publication charges, boat recharges, microscope recharges, etc.*):

Will there be any subagreements with other institutions?

If so, how much funds should be allocated to each sub per year? Please provide PI name and admin contact below.

If vertebrate animals will be used

Protocol #

Exp. Date:

Approval Date:

Notes below: enter any other info that we should know.

## Assurances Form

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.)

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

**Yes      No**
  
2. For federally supported proposals which require a Single IRB (sIRB) review, does this project involve multiple US institutions conducting non-exempt human subjects research at more than one domestic site?  

**If Yes**, IRB review fees may need to be included in the budget proposal.

**Yes      No**
  
3. For federally supported or FDA-regulated proposals, does this project involve a clinical trial?  

Answer “yes” if (1) the project involves one or more human subjects, (2) who are prospectively assigned to one or more interventions and (3) the study is designed to evaluate the effect of the intervention on participants, (4) in a health-related behavioral or health-related biomedical outcome.

**Yes      No**
  
4. Does this research involve the use, collection, or analysis of data covered under (i.e.,) Protected Health Information (PHI)?  

Protected Health Information includes any information about health status collected, created, maintained, or transmitted by a “covered entity” (such as a health care provider or health care facility) and can be linked to a specific individual. Examples of PHI include, but are not limited to, demographic information (age, name, gender, etc.), medical diagnosis, treatment information, medical test results, etc.

**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**
  
5. Does this research involve the use, collection or analysis of Personally Identifiable Information (PII)?  

Identifiable Information includes any information that can be used to identify, contact, or locate a single person or can be used with other sources to identify a single individual. Examples of PII include, but are not limited to, name, date of birth, address, telephone numbers, social security number, photographic image, finder or voice print, or other unique characteristics.

**If Yes**, and your proposal is awarded, you are required to contact your IT Support person for assistance with securing your data.

**Yes      No**

- |     |  |   |
|-----|--|---|
| 6.  | <p>If the proposal is being submitted to PHS/NIH, will the research generate large scale human and/or non-human genomic data?</p> <p><b>If Yes</b>, 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> | <p><b>Yes</b>    <b>No</b></p>                                |
| 7.  | <p>Does this proposal involve any use of vertebrate animals?</p> <p>Answer "yes" if your study includes the direct and/or indirect use of vertebrate animals for research and/or teaching purposes. All such studies must be overseen by the IACUC. If your proposal includes the use of vertebrate animals and you do not yet have an approved protocol, or if you are unsure of whether the animal use in your proposal requires IACUC oversight, please contact the IACUC Office at <a href="mailto:iacuc@lifesci.ucsb.edu">iacuc@lifesci.ucsb.edu</a>. Please note that receiving an award, or IACUC approval of your protocol, does not guarantee animal housing or procedure space in the Animal Resource Center, satellite facilities, or Natural Reserves. Contact the appropriate facility manager to determine availability.</p>   | <p><b>Yes</b>    <b>No</b></p>                                |
| 7A. | <p>Will the use of any vertebrate animals occur on UCSB property or by UCSB personnel?</p>   | <p><b>Yes</b>    <b>No</b></p>                                |
| 7B. | <p>Is there a subawardee associated with this award that will be working with vertebrate animals?</p> <p>Have you discussed animal housing needs with the ARC Director?</p> <p><b>If No</b>, the PI must seek approval from the ARC Director for animal housing space.</p>   | <p><b>Yes</b>    <b>No</b></p> <p><b>Yes</b>    <b>No</b></p> |
| 8.  | <p>Will Human Stem Cells be used? <b>Answer "Yes"</b> if your study includes 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.</p> <p><b>Do not check "Yes"</b> 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>   | <p><b>Yes</b>    <b>No</b></p>                                |
| 8A. | <p>For NIH proposals, does the use of stem cells involve human fetal tissue (HFT) derived from an elective abortion?</p> <p><b>If Yes</b>, there are additional NIH documents required to be submitted with your proposal. Please contact the Research Integrity Office at <a href="mailto:researchintegrity@research.ucsb.edu">researchintegrity@research.ucsb.edu</a> for assistance.</p>  | <p><b>Yes</b>    <b>No</b></p>                                |

9. 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**

**If Yes**, complete the EH&S Contract and Grant Questionnaire (<http://www.ehs.ucsb.edu/labsafety/ehs-contract-and-grant-approvals>)

10. 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.**



In addition, if servers and/or computing peripherals will be acquired (other than desktop or laptop workstations), then please contact General Research IT (GRIT) for assistance with high performance computing and specialized computing needs, [help@grit.ucsb.edu](mailto:help@grit.ucsb.edu).

11. 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.). Additionally, does the proposal involve travel to Cuba, Iran, Syria, Sudan, North Korea, Ukraine (Crimean Region) or research at any listed country by UCSB personnel?
- Yes      No**


Please contact Research Integrity staff at [exportcontrol@research.ucsb.edu](mailto:exportcontrol@research.ucsb.edu) for any questions regarding this assurance.

- 11A. Does the proposed/funded research involve collaborations with or travel to any of these countries: Cuba, Iran, Syria, Sudan, North Korea, Ukraine (Crimean Region)?
- Yes      No**

- 11B. Does the proposed/funded research involve the transfer/shipment of technical information, equipment, items or materials (e.g., sending project deliverables) to international destinations?
- Yes      No**

- 11C. Does the proposed/funded research involve a foreign sponsor, foreign collaborator(s), foreign subcontract(s), financial support to a foreign entity or other foreign entities (e.g. non-US Company, University or other organization)?
- Yes      No**

12. 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>).
13. Has the PI or any other employee or student participating in this project purchased, or do they plan to purchase or to use, any telecommunications or video surveillance equipment or services produced or provided by Huawei Technologies Company, ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities)? Yes No
- The use of such equipment and services extends to use for any University-related purpose, whether in the performance of a sponsored research project or otherwise. The equipment and services referenced in this paragraph include personal devices, such as cell phones, when they are used for research purposes or as a substantial or essential component of a system.
- 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>).
14. Will this project include one or more subawards? Yes No
- Subrecipient:
- Does the PI / Co-PI have a financial relationship with this subrecipient that would require COI review ? Yes No
- 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 <https://ucsb.coi-smart.com>.

15. Will requested funds be considered flow-through?  
Who is the ultimate source of funds?
16. 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.)  
**If Yes**, and not exempt from this requirement, 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 <https://ucsb.coi-smart.com>.
17. Is proposal being submitted to the NSF (including NSF flow-through funding) or any other program requiring similar Federal Financial disclosure?  
**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 ([coi@research.ucsb.edu](mailto:coi@research.ucsb.edu)) 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: <https://ucsb.coi-smart.com>. See Research Circular D.3. and the COI website: <http://www.research.ucsb.edu/coi/>.
18. 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?  
**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](mailto:coi@research.ucsb.edu)). Additionally, all personnel listed on the DCR Personnel Form must 1) complete 'The PHS Annual Disclosure Form' through OR'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).
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- |  |            |           |
|--|------------|-----------|
|  | <b>Yes</b> | <b>No</b> |
|  | <b>Yes</b> | <b>No</b> |
|  | <b>Yes</b> | <b>No</b> |
|  | <b>Yes</b> | <b>No</b> |



19. **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:

**Yes    No**

- 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?

# MSI Areas of Research

What is your area of research? Please check all that apply.

Biotechnology +  
Engineering

Climate Change  
Science

Ecology and  
Evolution

Limnology

Marine Conservation,  
Policy and Education

Marine Geology  
and Geophysics

Natural Marine  
Resources

Oceanography

## MSI Resources

1. This project currently has secured adequate lab/office space for the proposed research. **Yes** **No**

2. Does your proposal require a data management plan or facilities statement? **Yes** **No**

3. Does your proposal include dedicated budget for IT related resources (time, physical hardware, shared resources)? **Yes** **No**

4. Does proposal require unique IT resource needs? (Please, check all that apply)

No, just Baseline Services offered by MSI IT (file server space, single website, single database)

Big Data (more than 5 TB of storage, high performance databases, NoSQL databases)

High Performance Compute (compute clusters, parallel computing, unique scientific software packages)

Application Development (web-based, scientific or otherwise) provided in-house or by consultant

Cloud based resources (Amazon AWS, Google GCP, or Microsoft Azure, and others)

None Needed

5. **Seawater Workrooms:** Does the proposed project require the use of seawater workroom space? **Yes** **No**

Amount of space required

Air & seawater temperature requirements

Type of organisms involved

Expected duration of use

6. **Environmental Rooms:** Does the proposed project require space in MSI's environmental rooms? **Yes** **No**

Amount of space required

Temperature requirements

Expected duration of use