



Proposal Submission Request (PSR)

Note: Completed PSR, detailed budget, and proposal guidelines must be submitted to OCG at least **5 BUSINESS DAYS** before Sponsor Deadline.

OCG Use Only

Proposal #
PA

Principal Investigator (PI) Information

Name E-mail Campus Box #
Phone Org # Unit

Department Fiscal Manager

Name Alternate
E-mail Phone E-mail Phone

Submission Information

Proposal Title
Funding Opportunity No./URL
Deadline Type Sponsor Deadline (Date/Time) CFDA No.
Submission Method Proposal Type
Project Topical Field Activity Type
For collaborative proposals, lead institution name:

Funder/Sponsor Information

Agency/Org. Name Funder Contact
Phone Email
Prime Sponsor (for subaward to CU)

Budget Information *(detailed budget information must be included with the Proposal Submission Request)*

Project Start Date Project End Date

Yes No Does the sponsor have an **indirect cost rate cap** lower than UCB's on-campus rate? Sponsor's Rate
Note: If UCB's on or off-campus F&A rates are not being applied, you must provide one of the following: 1. For federal or non-profit sponsors with documented F&A rates, a copy of the sponsor's standard F&A policy and [IDC Addendum](#) signed by your department chair or dean; OR 2. For all other reduced F&A rates, including industry sponsors, a UCB [Indirect Cost Waiver Request](#) .

Yes No Is **cost share or matching** included? If yes, select type(s) of cost share: Mandatory Voluntary
A Cost Share Budget and [Addendum](#) with approvals and signatures is required for all committed Cost Share at least 5 business days before submission. Note that any requests to the OVCR's for cost share must be initiated 5 business days before a deadline to be considered for approval.

Yes No Are **subrecipients/subcontractors** included on this proposal?
For each subrecipient, you must provide to your Proposal Analyst a [Sole Source Justification](#) (completed by PI) and [Subrecipient Commitment Form](#) with a statement of work, budget and budget justification (completed by subrecipient institution) at least 5 business days before the sponsor deadline.

Yes No Does the project budget include **direct costs for administrative or clerical staff**?
If yes, provide justification in the budget justification. For details as to when administrative and clerical staff costs may be treated as direct costs, refer to [2 CFR 200 \(Uniform Guidance\)](#), §200.413 (c) Direct Costs.

Yes No Are you requesting any **course buy-outs** on this proposal?
If yes, your Proposal Analyst will let you know what Department and/or College approvals are required prior to submission.

Yes No Does this project require **space changes, renovations, or additional infrastructure**?
If yes, provide documentation describing the requested modifications and associated costs, with signatures from affected and appropriate Chairs/Deans.

Yes No Is this application being **submitted to other agencies**?

Intellectual Property (IP)

Intellectual Property (IP) includes inventions, works of authorship (including software and code), data sets, mask works, tangible research property, tangible materials and other proprietary and confidential information. For information on IP or technology transfer, visit the [Technology Transfer Office](#) website and the links under "For Investigators."

Yes No Does your proposal include **proprietary or privileged information** that should be protected from public use or disclosure?
 Yes No Does this project involve the **transfer or receipt of tangible research materials** to a recipient organization that intends to use the materials?
 Yes No Do you anticipate developing **software or other code as a deliverable** (an item that you will deliver to the sponsor) for this project or delivering any software or code for this project that is a modification of previously developed software or code?

Human Subjects

Yes No Is this a systematic research study that includes **human participants** with the intention to generalize the resulting information? If "Yes," IRB must review and approve the project prior to the start of the project activities, and IRB approval will be required prior to the release of award funds. Information available online at <http://www.colorado.edu/innovate/irb>. If "Yes," **status of IRB protocol approval:**

Pending Approval Approved Protocol Approval Date Protocol Approval No.

Vertebrate Animals

Yes No Does this project involve non-human **vertebrate animals**, including animal manipulations, generation of custom antibodies, or field observation? If "Yes," **check all that apply involving vertebrate animals:**

- Generating custom antibodies
- Use of animal tissue or blood sample
- Field observation studies
- This animal project will be conducted at CU-Boulder
- Field animal studies
- This animal project will be conducted at another institution.

If "Yes," **status of IACUC protocol approval:**

Pending Approval Approved Protocol Approval Date Protocol Approval No.

As applicable, prior to the start of project activities and release of award funds, IACUC must review and approve this project, or add a new grant to an existing protocol so that a comparison between the protocol and grant can be made. If a subcontract includes animal work conducted at another institution, contact the CU-Boulder IACUC about submission of IACUC approval letters from the other institution. For further information, contact the IACUC office at iacucoffice@colorado.edu, 303-492-8187 or 303-492-4787. Additional information on grant and protocol review available on the [IACUC webpage](#).

Export Controls

Disclosure of possible export concerns now at proposal phase will *not* delay your proposal submission, but it will help minimize delays when setting up the award. Early disclosure allows the University's Export Controls Office time to perform the reviews required when any of the following conditions exist. **To facilitate this timely review, indicate each of the following that apply to this proposal or project activity:**

- Restrict dissemination or **publication** of scientific or technical data
- Require information to be kept **confidential** or otherwise addresses the use of proprietary information or security concerns?
This does not include information kept confidential only for human subjects research.
- Will foreign nationals (i.e. non-U.S. citizens) be working or collaborating on this project?
- Identify or involve technology subject to **Export Control Regulations**? *Examples include: encryption software, military or space technology. Items that are subject to Export Control Regulations outlined in the EAR [Commerce Control List](#) and [ITAR United States Munitions List](#).*
- Require the University of Colorado Boulder to **receive export controlled technology**?
- Involve the **transfer of information/equipment** to foreign countries or foreign nationals?
- Does the research involve **transactions with any countries** regulated by the [Treasury Department, Office of Foreign Assets Control](#)?
The U.S. maintains broad prohibitions on travel and activities with certain countries. The main prohibitions include Cuba, Iran, Sudan, Syria, N. Korea.
- Involve a boycott-related request?

If any of the above apply, contact the CU-Boulder Export Controls Office (ECO) at exportcontrol@colorado.edu or 303-492-2427. The ECO must review the project prior to the start of the project activities and prior to the release of award funds. For further information to assist in addressing these questions, see [UCB Export Controls Primer for Researchers](#).

Biohazardous Materials

Check all that apply. **Does this proposal or project activity propose the use of any of the following?**

- Biohazardous Materials
- Biotoxins
- Human Fetal Tissue
- Genetically-modified Agents
- Recombinant DNA
- Animal Tissue
- Human Tissue (including blood and immortal cell lines)
- Human Stem Cells
- Select agents (e.g. regulated animal and plant pathogens)
- Infectious Agents

As relevant to checked materials, provide **genus and species:**

If using any of the above, **status of IBC protocol approval:**

Pending Approval Approved Protocol Approval Date Protocol Approval No.

If the project includes any of the above materials, IBC must review and approve the project prior to the start of the project activities and prior to the release of award funds. Information available online on [EH&S's Biosafety webpage](#).

Dual Use Research of Concern (DURC)

Yes No Does the proposed research use any high-consequence pathogens or toxins that have the potential to be considered **dual use research of concern (DURC)**?

DURC is life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, material, or national security.

DURC research requires approval by CU-Boulder's Institutional Review Entity in IBC. See [CU-Boulder's Guidance on DURC](#), [Federal DURC Policy](#) and [United States Government Policy for Institutional Oversight of Life Sciences DURC](#), which includes a list of 15 agents and toxins and 7 experimental effects within the scope of this policy.

Radioactive Materials and Radiation (X-rays)

- Yes No Does the project involve the use of **radioactive materials or x-rays**?
- Yes No Has the Radiation Safety Committee(RSC) approved the use of these radioactive materials or x-rays?

If "Yes," approval is required prior to the start of the project activities, and documentation of RSC approval will be required by OCG prior to the release of award funds. If RSC approval has been secured, provide to OCG at the time of proposal. For further information and to obtain a radioactive materials license, contact RSC at hpl@spot.colorado.edu and visit EH&S's [RSC webpage](#).

Lasers

- Yes No Does the project involve the use of **lasers**? For more information about lasers, visit EH&S's [Laser Safety webpage](#).
- If "Yes," check all that apply:

- Class I Class IIa Class IIIb Other:
- Class II Class IIIa Class IV

Controlled Substances Used for Research (DEA drugs, marijuana, industrial hemp, isolated cannabinoids, etc.)

- Yes No Does the proposed research involve the use of **DEA or CDA Controlled Substances** (www.colorado.edu/innovate/controlled-substances) whether on or off campus? If "Yes," check all that apply:
- DEA-Controlled Drugs and Other Substances Marijuana Observational Studies
- Industrial Hemp (i.e. a plant of the genus *Cannabis* and any part of that plant, whether growing or not, containing $\leq 0.3\%$ THC on a dry weight basis or **processed hemp in any form**)

Other Special Reviews

- Yes No Is there planned or potential use of **hazardous materials**? If "Yes," check all that apply:
- Acutely Toxic Chemicals Carcinogens/Mutagens Other:
- Toxic Gases Perchloric Acid
- Explosive Chemicals Hydrofluoric Acid

Chemical use must follow Lab Safety Standards as determined by Environmental Health and Safety. For definitions and links to lists of Acutely Toxic Chemicals, Toxic Gases, and Explosive Chemicals, see [Hazardous Materials Definitions](#).

- Yes No Does this project require **specialized information technology** equipment or facilities and/or have any special information technology requirements? For information on information technology, visit the [SPSC Data Center](#) website.

Co-PI/Co-I Information (CU employees only)

If this project will require multiple Speedtypes/Project Numbers for individual departments, the org code for each Co-PI must be provided to ensure correct set up of Speedtypes/Project Numbers.

Co-PI #1	Name	<input type="text"/>	Title	<input type="text"/>
E-mail	<input type="text"/>	Org #	<input type="text"/>	Unit
Co-PI #2	Name	<input type="text"/>	Title	<input type="text"/>
E-mail	<input type="text"/>	Org #	<input type="text"/>	Unit
Co-PI #3	Name	<input type="text"/>	Title	<input type="text"/>
E-mail	<input type="text"/>	Org #	<input type="text"/>	Unit
Co-PI #4	Name	<input type="text"/>	Title	<input type="text"/>
E-mail	<input type="text"/>	Org #	<input type="text"/>	Unit

Indirect Cost Recovery

- Yes No Is there an indirect cost recovery (ICR) split on this project?
- Yes No Is the split approved at time of proposal? If yes, provide details below.

Name	<input type="text"/>	Unit	<input type="text"/>	Org #	<input type="text"/>	Percentage	<input type="text"/>
Name	<input type="text"/>	Unit	<input type="text"/>	Org #	<input type="text"/>	Percentage	<input type="text"/>
Name	<input type="text"/>	Unit	<input type="text"/>	Org #	<input type="text"/>	Percentage	<input type="text"/>
Name	<input type="text"/>	Unit	<input type="text"/>	Org #	<input type="text"/>	Percentage	<input type="text"/>

ICR Split Notes

Note: At the proposal stage, your Proposal Analyst will need documentation of approved ICR splits, either through a standing MOU between participating departments on file in OCG or through written approval from the chair/director of each participating department. Obtaining approvals at the award stage can significantly delay the setup of an award.

Conflict of Interest (COI)

Yes No

PI

Co-PI #1

Co-PI #2

Co-PI #3

Co-PI #4

Have you filed a **Disclosure of External Professional Activities (DEPA)** for the current calendar year?

Disclosure of External Professional Activities (DEPA) is required, minimally, on an annual basis. This proposal cannot be submitted until all CU investigators have a current DEPA on file. Information on how to file your annual DEPA online is available at <http://www.colorado.edu/innovate/coi/disclosure-form-depa>.

Reminder: DEPAs must be updated within 30 days of a status change in any investigator's conflict(s) of interest, including any changes related to this proposal/award.

NIH conflict of interest (COI) training is also required every 4 years for PHS/NIH projects. NIH COI training information is available at <http://www.colorado.edu/innovate/coi/public-health-services-agencies-nih-requirements>.

Yes No

PI

Co-PI #1

Co-PI #2

Co-PI #3

Co-PI #4

Do you have a **Memorandum of Understanding** on file or in process with the CU Conflicts of Interest and Commitment Office?

If a conflict of interest or commitment is identified through the DEPA process, the Compliance Director for Conflicts of Interest and Commitment will work with the reporting individual and his/her chair/director to develop a plan to manage the conflict and MOU. For more information, visit <http://www.colorado.edu/innovate/coi>.

Yes No

Do any personnel working on this project (PI, Co-PI or other staff) have a **financial interest in any entity outside the University of Colorado** that is providing goods, services, technologies or other items for use in this proposed project?

If yes, information about the relationship(s) with the outside entity/entities and the potential for conflict of interest concerns, as well as the existence of an MOU, must be disclosed to the sponsor. The disclosure should occur, where relevant, at proposal submission, contract negotiation, award acceptance, award continuation, subaward issuance. Evidence of the sponsor's response must be provided upon request by University representatives. Sponsor approval of a proposal where disclosure language is clearly included may be deemed sufficient for the purposes of university business to progress.

Yes No

Will **students**, such as Graduate or Undergraduate Research Assistants, be responsible for the design, conduct or reporting of research on this project?

Per federal regulation and university policy, students with these responsibilities are required to follow the DEPA reporting requirements as described at <http://www.colorado.edu/innovate/coi/disclosure-form-depa>. Additionally, all students or postdoc fellows paid from an NSF grant award and all trainees supported by most NIH awards are required to complete Responsible Conduct of Research (RCR) training as described at <http://www.colorado.edu/innovate/rcr/training>.

Subawardee(s)/Subcontractor(s) - Provide any additional subawardee/subcontractor information in Other Information below.

Institution #1 Name Sub Budget Cap

PI Name PI Phone PI E-mail

Admin Name Phone E-mail

Institution #2 Name Sub Budget Cap

PI Name PI Phone PI E-mail

Admin Name Phone E-mail

Institution #3 Name Sub Budget Cap

PI Name PI Phone PI E-mail

Admin Name Phone E-mail

Institution #4 Name Sub Budget Cap

PI Name PI Phone PI E-mail

Admin Name Phone E-mail

Other Information (If there are any unusual circumstances, requests, or items not covered by this form, please note these here.)

My signature below confirms my review of the proposal. It also certifies that:

1. I am not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from current transactions by a federal department or agency.
2. I have not and will not lobby any federal agency on behalf of this award.
3. I am familiar with the requirements of the University of Colorado's Procurement Policy and will report any violations to the Office of Contracts and Grants. (Procurement policies are available on the [Procurement Services Center](#) website.)
4. I acknowledge that I am aware of, understand, and will conform to all campus and University policies and procedures governing conflicts of interest and commitment. (<http://www.colorado.edu/innovate/coi>)
5. I acknowledge that I am aware of, understand, and will conform to all applicable sponsoring agency and University policies regarding misconduct in research and authorship. (<http://www.colorado.edu/innovate/rcr>)
6. I am familiar with the [University policy APS 2005](#) regarding Contracting Authority and the Signature Authority Delegation guidelines for CU-Boulder. (See [Signature Authority Delegations Fact Sheet](#)).
7. I also certify:
 - a. that the information submitted within this application is true, complete, and accurate to the best of my knowledge;
 - b. that any false, fictitious, or fraudulent statements or claims may subject me, as the PI/Co-PI/Co-I, to criminal, civil, administrative penalties;
 - c. that I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if an award is made as a result of this application.
8. With respect to intellectual property, discoveries, or copyrightable material created in the course of the proposed activities, I agree that my rights shall be controlled by the terms of any resulting award document. I further agree that I am subject to and will comply with University Intellectual Property policies, and will execute any documents to perfect the assignment of rights as is required in the award document or University policy. (<https://www.cu.edu/ope/aps/1013> and <https://www.cu.edu/ope/aps/1014>)
9. Applicable only to the Principal Investigator:
 - a. I accept responsibility of adhering to suspension and debarment regulations prior to proposal submission and during the life of the award, including notifying OCG immediately if there is any change in debarment status of project personnel, including Co-PI's, graduate students, other project personnel, and vendors.
 - b. I accept responsibility for ensuring that anyone responsible for the design, conduct, or reporting of research or educational activities funded or proposed for funding, including PIs, Co-PIs, research associates, postdocs, students, volunteers, collaborators, and contractors, has disclosed any financial or other potential conflicts of interest or commitment with the activities encompassed by this proposal and, for NIH-funded projects, has completed the required educational training before work begins.
 - c. I will ensure that all project expenditures will be made in accordance with the terms and conditions of the award and approved project budgets and that any project salaries, wages and expenditures are reasonable, essential, and appropriate.
 - d. If a subaward is included in this proposal, I confirm that I have reviewed all included subawards. All subawards' direct costs have been reviewed and appear reasonable given the proposed statement of work. All fringe benefit and indirect cost rates have been verified with the subawardees' organization as being current for the proposed duration of the project. (Verification may be in the form of a letter from an authorized official of the organization).

Principal Investigator must sign PSR form before form is submitted to OCG, at least 5 business days before the proposal deadline. The PI is responsible for obtaining the signatures of all CU investigators and/or other parties (including students, post docs, research associates known at proposal) responsible for the design, conduct, or reporting of research or educational activities prior to proposal submission.

_____ PI's Signature	_____ Date	_____ Co-PI #1's Signature	_____ Date
_____ Co-PI #2's Signature	_____ Date	_____ Co-PI #3's Signature	_____ Date
_____ Co-PI #4's Signature	_____ Date	_____ Other Responsible Party	_____ Date
_____ Other Responsible Party	_____ Date	_____ Other Responsible Party	_____ Date

Notice: If OCG does not receive this proposal at least 5 business days before a deadline, the proposal may be submitted with an abbreviated review or no review. If in subsequent review after submission, the proposal is found to be incomplete or does not conform to institutional or sponsor requirements, OCG may withdraw the proposal from consideration on behalf of the institution. Any budget errors on such submissions resulting in additional costs will be the responsibility of the PI and/or the supporting department or college.