

### (1) Principal Investigator's Name

**Division Contact** (Person to whom questions about the proposal should be addressed.)

### (2) Co-Principal Investigator's Name (Caltech employee only)

**Extension** **Email**

### Project Title

#### A. PROPOSAL DEADLINE

- Proposal Deadline (dd-mon-yy):
  - Type of Deadline: ☐ Postmark ☐ Receipt ☐ Electronic
  - Type of Proposal: ☐ New ☐ Revision ☐ Supplement  
☐ Continuation ☐ Renewal
- For Continuations and Renewals **only**:  
Current PTA #:
- BAA, RFP, Program Announcement. Provide weblink or attach copy.  
http://
  - For proposals not submitted directly to a federal agency: is the ultimate funding source for this project a federal agency? ☐ Yes ☐ No  
If **yes**, identify the federal agency:

#### B. COMMITMENT OF FACULTY EFFORT and COST SHARING

Caltech's policy is that federal research proposals (except those solely for equipment, fellowships, or non-research activities) include a commitment of at least 1% effort for each PI/co-PI working on the project. The policy also requires that all such effort be charged to the project.

- Does the proposal budget include funds for the sponsor to pay all PI/co-PI effort committed to the project? ☐ Yes ☐ No  
If **no**, the Division Chair must initial here: \_\_\_\_\_; please provide an explanation and attach to this form.
- Does the proposal include any other cost-sharing commitment?  
☐ Yes ☐ No If **yes**, is the cost-sharing commitment required by the sponsor? ☐ Yes ☐ No If **yes**, explain or provide a copy of the sponsor's requirement.

#### C. SPONSOR and SUBMISSION

- Sponsor Name
- Sponsor Address for Submission (multiple choices allowed)  
☐ Electronic submission (e.g., NSF FastLane, DOE-IIPS, Grants.gov., etc.)  
☐ Email address:   
☐ Mail hard copy (please provide address)

#### D. BUDGET and PERFORMANCE PERIOD

- Start Date (dd-mon-yy) End Date (dd-mon-yy)
- Amount requested for entire project: \$
- Does this proposal include subawards? ☐ Yes ☐ No
- Specify the indirect cost rate used for this proposal: %  
If this is a non-standard rate, attach sponsor policy.
- If the off-campus indirect rate is used, where is this project taking place?

#### E. FACILITIES

- Can the project be conducted within the existing space now available to the PI? ☐ Yes ☐ No If **no**, attach detailed explanation.
- Will modification of existing facilities be required? ☐ Yes ☐ No  
If **yes**, attach detailed explanation.
- Will the project be conducted, in whole or in part, outside of the United States? ☐ Yes ☐ No

#### F. FINANCIAL INTERESTS and CONFLICTS OF INTEREST

I, as senior personnel on this award, certify that, I have completed my annual Disclosure of Financial Interests and Commitments (DFIC) for this year, and it is current as of the time of this submission. I further certify that I have read and understand Caltech's Policy and Procedures for Managing Conflict of Interest Requirements Imposed by Federal Sponsors (Caltech's Policies) and have completed all required training in Responsible Conduct of Research, Conflicts of Interest and Foreign Engagement, as applicable. I ☐ DO ☐ DO NOT have any significant financial interests, including financial interests of a spouse or dependent children, which could be construed to be related to the subject matter, specific aims, research activities conducted in this proposal, or any procurements or subawards under the potential award.

#### G. RESEARCH COMPLIANCE

- Does the proposed research involve human subjects? ☐ Yes ☐ No
- Does the proposed research involve vertebrate animals or cephalopods? ☐ Yes ☐ No  
If **yes**, provide the following:  
IACUC protocol number Approval date (dd-mon-yy)
- Does the proposed research involve recombinant or synthetic nucleic acids, infectious agents, viral vectors, transgenics, CDC/USDA select agents, or toxins? ☐ Yes ☐ No
- Does the proposed research involve human stem cells? ☐ Yes ☐ No  
If **yes**: The stem cells are derived from ☐ stem cell lines ☐ primary cells.
- Does the proposed research involve reactive chemicals, toxic gases, radioactive material, or other extreme radiation producing devices? ☐ Yes ☐ No
- Does the proposed research involve the transfer or shipping of export-controlled information or any equipment or technical information outside of the United States? ☐ Yes ☐ No

#### H. CERTIFICATION, APPROVALS, and SIGNATURES

PI Signature\* Date

Co-PI Signature Date

☐ I understand that disclosure of financial interests and commitments to Caltech and inclusion of current and pending (other) support as well as my biosketch to federal sponsors ("Combined Disclosures") are required to obtain funding from the U.S. Government.

☐ I certify to the best of my knowledge and belief that the information contained in my Combined Disclosures is current, complete, and accurate. I further certify that the information submitted within this proposal/application is current, complete, and accurate to the best of my knowledge.

☐ I understand that any false, fictitious, or fraudulent information, misrepresentations, half-truths, or omissions of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims, or otherwise. (18 U.S.C. §§ 1001 and 287, and 31 U.S.C. 3729-3730 and 3801-3812). I further understand and agree that (1) the statements and representations made herein are material to U.S. Government's funding decision, and (2) I have a responsibility to update the disclosures during the period of performance of the award should circumstances change which impact the responses provided above.

☐ Additionally, I understand that Parties to a Malign Foreign Talent Recruitment Programs (MFTRP) are not eligible to serve as senior or key personnel on an NSF proposal or award made beginning January 2024 nor are they eligible to be a contractor under a DOE contract. I certify that I am not currently, nor do I plan to be a party to a MFTRP and I agree to disclose any potential foreign financial interests, activities, or commitments to Caltech, prior to engaging in such activities to ensure that I do not enter into a MFTRP.

☐ Finally, I understand my obligations as senior personnel on this proposal and agree to accept responsibility for the programmatic conduct of the project, to meet the reporting requirements if an award is made as a result of the application, and to otherwise abide by my obligations under the relevant award, including those relating to confidential information.

Division Chair Signature Date

Vice Provost for Research Signature Date

Dean of Graduate Studies Signature Date

**A. PROPOSAL DEADLINE**

- Proposal Deadline (dd-mon-yy):** Please identify the Sponsor's deadline date for the proposal (June 1, 2008 would be entered as **01-JUN-08**)
- Type of Deadline:** Please indicate the nature of the Proposal Deadline (e.g. the proposal must be postmarked, received by, and/or submitted electronically by the specified date).
- Type of Proposal:** Please identify the nature of this proposal. For example, does the proposal represent a "New" project for this PI that has not previously been funded by this Sponsor? Is this proposal a "Revision" to an already submitted proposal? Does this proposal represent a request for a "Supplement" of funding for an ongoing project? Is this proposal a request for funding (or "Continuation") of the next budget period of a project period already approved by the Sponsor? Or, does this proposal represent a request for a follow-on project period (or "Renewal") of an awarded project that is about to end? In the case of Supplements, Continuations, and Renewals, provide the Caltech PTA and the Sponsor's existing award number.
- BAA, RFP, Program Announcement:** If this proposal is being submitted in response to a Sponsor's Broad Agency Announcement, Request for Proposals, or other type of Program Announcement, please provide a copy of that document or, if available, its URL (e.g., weblink). Note that identification/inclusion of this document may also satisfy the need to provide documentation under B.2, C.5, and C.7b.
- For proposals not submitted directly to a federal agency:** An example of such a situation: Caltech is submitting a proposal to USC, which will be included in USC's proposal to the National Science Foundation.

**B. COMMITMENT OF FACULTY EFFORT and COST SHARING**

Caltech's policy is that federal research proposals (except those solely for equipment, fellowships, or non-research activities (e.g., conference or travel grants) include a commitment of at least 1% effort for each PI/co-PI working on a project. The policy also requires that all such effort be charged to the project. In those instances where the PI intends to cost share a portion of their time on the project, and there is no sponsor requirement for such cost share, the PI is responsible for identifying a discretionary account from which the Institute will recover the indirect costs it would otherwise have recovered from the PI's time, had that time been charged to the project. In this instance, the Division Chair must initial Box A (where indicated) to acknowledge that a discretionary account has been identified. For full details of this policy, please see "Policy Regarding Faculty Effort in Federally Sponsored Awards."

**C. SPONSOR and SUBMISSION**

- Sponsor Name:** Please enter the full name of the organization to whom Caltech is submitting the proposal. For example, **National Science Foundation** or **National Institutes of Health**.
- Sponsor Address for Submission:** Multiple choices are allowed.

**D. BUDGET and PERFORMANCE PERIOD**

- Start Date/End Date:** Please enter these dates in the indicated format (e.g., January 1, 2008 would be entered as **01-JAN-08**).
- Amount requested for entire project:** Please enter the dollar amount requested from the Sponsor for the entire project period.
- Does the proposal include subawards?** A subaward is a subcontract to another organization that will collaborate scientifically on the project, and to whom Caltech will send funds from the project's budget, after it is awarded. Please indicate "Yes" or "No."
- Specify the indirect cost rate used for this proposal:** Please enter the indirect cost rate percentage used in the proposal budget. If the rate is other than Caltech's standard on- or off-campus rate, include a copy of the Sponsor's policy stating that they will only accept proposals at that rate. If the Sponsor has no such written policy, then the Provost must approve the use of a non-standard rate before the proposal may be submitted. If you are unsure of what Caltech's current standard indirect cost rate is, or have questions about the use of a non-standard indirect cost rate, please contact your Sponsored Research Team.
- If the off-campus indirect cost rate is used, where is the project taking place?** The use of the off-campus indirect cost rate may be appropriate if the majority of the Caltech research effort will be taking place other than on Caltech-owned property. However, the basis for use of the off-campus indirect cost rate must be described in the proposal.

**E. FACILITIES**

- Can the project be conducted within the existing space now available to the PI?** If the answer to this question is "No," please attach a detailed explanation as to what additional space resources will be required.
- Will modification of existing facilities be required?** If the answer to this question is "Yes," attach a detailed explanation.
- Will the project be conducted, in whole or in part, outside the United States?** If the answer is "Yes", additional details will be requested.

**F. FINANCIAL INTERESTS and DISCLOSURE PROCESS**

In compliance with federal regulations, Caltech policy requires that Investigators disclose any financial interests that they, or their spouse or dependent children, may have that are related to their Institutional responsibilities. A disclosure of financial interest or commitments must be made to the Division Chair, Research Compliance Office, or Graduate Dean, through the Caltech electronic Disclosure of Financial Interests and Commitments (DFIC) system ([www.access.caltech.edu](http://www.access.caltech.edu)) PRIOR TO submission of the proposal to the Sponsor. Investigators are also required to disclose, to the extent that the Investigator has knowledge, any actual or potential conflicts of interest with the research proposed that the Investigator, their spouse, dependent children, or co-Investigators may have. Details about this requirement, including the definitions of "Investigator" and "Significant Financial Interest" can be found in the Caltech document entitled Policy and Procedures for Managing Conflict of Interest Requirements Imposed by Federal Sponsors (which can be found at [www.researchcompliance.caltech.edu/documents/40-fedawarddoi.pdf](http://www.researchcompliance.caltech.edu/documents/40-fedawarddoi.pdf)).

**A proposal cannot be submitted unless the current annual disclosure has been made. The PI on this proposal must also certify that these obligations have been fulfilled by all Senior and Key Personnel covered by the resulting award.**

**G. RESEARCH COMPLIANCE**

- Does the proposed research involve human subjects?** If you have questions, please contact [irb@caltech.edu](mailto:irb@caltech.edu).
- Does the proposed research involve vertebrate animals or cephalopods?** If the answer to this question is "Yes" please provide the Institutional Animal Care and Use Committee (IACUC) protocol number, and the approval date of the protocol. If the protocol is pending review by the IACUC, please enter **pending**. If you have questions, please contact [iacuc@caltech.edu](mailto:iacuc@caltech.edu).
- Does the proposed research involve recombinant or synthetic nucleic acids, infectious agents, viral vectors, transgenics, CDC/USDA select agents, or toxins?** If you have questions, please contact [ibc@caltech.edu](mailto:ibc@caltech.edu).
- Does the proposed research involve human stem cells or use human embryos? If using human stem cells: The stem cells are derived from ☐ stem cell lines ☐ primary cells.** If you have questions, please contact [hesc@caltech.edu](mailto:hesc@caltech.edu).
- Does the proposed research involve reactive chemicals or toxic bases?** If you have questions, please contact the Caltech Environmental Health and Safety Office.
- Does the proposed research involve the transfer or shipping of export-controlled information or any equipment or technical information outside of the United States?** If the answer to this question is "Yes", additional details will be requested. If you have additional questions about this issue, please contact [exportcompliance@caltech.edu](mailto:exportcompliance@caltech.edu).

**H. CERTIFICATION, APPROVALS, and SIGNATURES**

This section is for obtaining the signatures of the PI and Co-PIs, and Division Chair. These signatures are required for all proposals. Note that only Caltech employees should be listed as PI or as Co-PIs on a DAF.

In some cases, such as when a PI or Co-PI is not eligible to submit proposals under Caltech policy, it may be necessary for the Division to obtain the approval of the Vice Provost for Research. In other cases, such as a fellowship proposal for a graduate student, it may be necessary for the Division to obtain the approval of the Dean of Graduate Studies.

These certifications are required for all proposals. OSR cannot submit a proposal unless the PI has signed the DAF; signatures on behalf of the PI (e.g., "per" or "for") are not permitted.