

(1) Principal Investigator's Name

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

Project Title

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

Extension **Email**

A. PROPOSAL DEADLINE

1. Proposal Deadline (dd-mon-yy): _____
 2. Type of Deadline: Postmark Receipt Electronic
 3. Type of Proposal: New Revision Supplement
 Continuation Renewal
- For Continuations and Renewals **only**:
Current PTA #: _____
4. BAA, RFP, Program Announcement. Provide weblink or attach copy.
http:// _____
 5. 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.
1. 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.
 2. 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

1. Sponsor Name _____
2. 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

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

E. FACILITIES

1. Can the project be conducted within the existing space now available to the PI? Yes No If **no**, attach detailed explanation.
2. Will modification of existing facilities be required? Yes No
If **yes**, attach detailed explanation.

F. FINANCIAL INTERESTS and CONFLICTS OF INTEREST

- I, the PI, certify that, I have completed my annual Conflict of Interest disclosure for this year, and have updated it as necessary.
I further certify that, to the best of my knowledge, all individuals responsible for the design, conduct, or reporting of results of the proposed research activities:
- have reviewed all responsibilities with respect to Caltech's Policy on Conflicts of Interest and, if applicable, Caltech's Policy and Procedures for Managing Conflict of Interest Requirements Imposed by Federal Sponsors (Caltech's Policies).
- have disclosed financial and other interests according to Caltech's Policies; and
- have completed training in Conflict of Interest, if required (training is required for PHS/NIH proposals).
- DO DO NOT have any financial interests, including financial interests of a spouse or dependent children, which I, as PI, believe may be, or could be perceived to be, financial conflicts of interest with the proposed research activity.

G. RESEARCH COMPLIANCE

1. Does the proposed research involve human subjects? Yes No
 2. Does the proposed research involve vertebrate animals?
 Yes No If **yes**, provide the following:
IACUC protocol number _____ Approval date (dd-mon-yy) _____
 3. Does the proposed research involve recombinant or synthetic nucleic acids, infectious agents, viral vectors, transgenics, CDC/USDA select agents, or toxins? Yes No
 4. Does the proposed research involve human stem cells?
 Yes No If **yes**: The stem cells are derived from
 stem cell lines primary cells.
 5. Does the proposed research involve reactive chemicals, toxic gases, radioactive material, or other extreme radiation producing devices?
 Yes No
 6. Does the proposed research involve the transfer or shipping of export controlled information or equipment? Yes No
- NOTE: Please provide an extra proposal copy for each "Yes" to 2, 3 or 5.**

H. CERTIFICATION, APPROVALS, and SIGNATURES

- PI Signature* _____ Date _____
- * I, a Principal or co-Principal Investigator on the described proposal, hereby certify: (1) that the information submitted within the application is true, complete and accurate to the best of my knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties; and (3) that I agree to accept responsibility for the programmatic conduct of the project, to provide the required progress reports 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.
- Co-PI Signature _____ Date _____
- 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 who will be collaborating scientifically on the project, and who will be provided 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 research effort will be taking place other than on Caltech-owned property. However, the use of the off-campus indirect cost rate must be justified. Identification of a reference in the proposal that provides such a justification is acceptable.

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.

F. FINANCIAL INTERESTS and DISCLOSURE PROCESS

- In compliance with federal regulations, Caltech policy requires that Investigators disclose any Significant Financial Interest that they, or their spouse or dependent children, may have that are related to their Institutional responsibilities. A disclosure of financial or other interests must be made to the Division Chair through the Caltech electronic disclosure system (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 of, 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-fedawardcoi.pdf).

Proposal cannot be submitted until annual disclosure has been made.

G. RESEARCH COMPLIANCE

- Does the proposed research involve human subjects?** If you have questions about this issue, please contact the Caltech Committee for the Protection of Human Subjects.
- Does the proposed research involve vertebrate animals?** 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 about this issue, please contact the Caltech Office of Laboratory Animal Research.
- 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 about this issue, please contact the Caltech Environmental Health and Safety Office.
- Does the proposed research involve human stem cells?** Yes No **If yes: The stem cells are derived from stem cell lines primary cells.** If you have questions about this issue, please contact the Caltech Environmental Health and Safety Office.
- Does the proposed research involve reactive chemicals, toxic bases, radioactive material, or other extreme radiation producing devices?** If you have questions about this issue, please contact the Caltech Environmental Health and Safety Office.
- If you have additional questions about this issue, please contact the Export Compliance Office.

NOTE: Please provide an extra proposal copy for each "Yes" to 2, 3 or 5.

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.

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.

The certification provided at the bottom is required by the National Institutes of Health (NIH) for all NIH proposals. OSR cannot submit an NIH proposal unless the PI has signed this statement.

DAF Box G

Sources: Grace Fisher-Adams and David Mayo – July 2021

DAF Box G and why the questions matter

Who uses this information and for what purpose(s)?

Yes answers to any of these questions in Box G results in the proposal being routed to:

Office of Research Compliance-ORC (#1IRB, #2IACUC, #3 IBC, #4HESC)

EH&S (#5)

Office of Export Control-OEC (#6)

As I oversee ORC and OEC I can describe what happens to 1-4 and 5:

1-4. We used to review these at the time of the proposal, now we review them JIT. The proposal is reviewed to ensure that there is an appropriate protocol (IRB, IACUC, IBC, HESC) on file with the research compliance committees. If there is not, the administrator reaches out to the PI to begin the process. As we move to an electronic DAF, our hope is that the PI will be able to see a list of their protocols and can select the appropriate protocol or be offered a link to begin one, as needed.

6. The Office of Export Control reviews these yes answers at the time of proposal. I'm not sure that the review is completed before submission, but it is completed and issues addressed (licenses obtained, etc) as necessary JIT.

Box G #5: When OSR sees G.5 checked, we forward a copy of the proposal to EH&S which allows EH&S to coordinate with the lab to confirm the lab has the proper approvals/procedures in place to safely manage that activity.

Does this information get formally reported to anyone?

There used to be a requirement to report to NIH when a proposed animal project did not match an existing animal (IACUC) protocol at the time of proposal. There is no longer such a requirement, which is why we don't necessarily review all proposals indicating animal work- only those that are funded.*

There are requirements for certifying to federal sponsors that we are compliant (including having all necessary regulatory approvals such as IACUC, IRB, IBC, etc) with all applicable regulations prior to spending federal monies on research. This is primarily the purpose of box G, to help ensure we are in compliance prior to Caltech certifying that we are. This usually happens at JIT or at the time of the award.

*In some circumstances, however, a sponsor (federal or other) might ask us to provide such certifications of compliance or an assurance of future compliance at the time of the proposal. Our office uses the information in Box G to provide special certifications or assurances directly to sponsors, as needed.

*Finally, it is sometimes helpful to know what is in Box G in advance of funding to make sure we can accommodate research activities in a proposal. For example, if a proposal said we will perform surgery on human subjects at Caltech or we would use sheep in a research study, we would likely reach out to

the researcher and discuss with them *how* they would do this work as it could not be done *at* Caltech and help them find solutions, should they be funded.

In short, the entirety of the DAF is solely for Caltech's internal use, and most of the issues listed on the DAF are simply to help various Caltech offices, from the Division Office to OSR to ORC, identify and help the PI fill potential gaps in compliance.

Just as an additional FYI, Box F is used as a specific certification that the PI is in compliance with FCOI requirements.

G. RESEARCH COMPLIANCE

1. Does the proposed research involve human subjects? Yes No

2. Does the proposed research involve vertebrate animals?

Yes No If **yes**, provide the following:

IACUC protocol number

Approval date (dd-mon-yy)

3. Does the proposed research involve recombinant or synthetic nucleic acids, infectious agents, viral vectors, transgenics, CDC/USDA select agents, or toxins? Yes No

4. Does the proposed research involve human stem cells?

Yes No If yes: The stem cells are derived from

stem cell lines primary cells.

5. Does the proposed research involve reactive chemicals, toxic gases, radioactive material, or other extreme radiation producing devices?

Yes No

6. Does the proposed research involve the transfer or shipping of export controlled information or equipment? Yes No

NOTE: Please provide an extra proposal copy for each "Yes" to 2, 3 or 5.