

Sponsored Programs Office

OFFICE OF RESEARCH, University of California, Davis



Please deliver/mail completed Data Sheet to:

Sponsored Programs Office,
1850 Research Park Drive, Suite 300,
University of California, Davis, CA 95618
<http://research.ucdavis.edu/a/cu/contact-spo>

Instructions for Completing the Data Sheet

The Data Sheet is designed to ensure that all campus requirements and approvals to conduct a sponsored project at UC Davis have been addressed. It is also used as the data entry form for Sponsored Programs contract and grant database.

WHEN IS COMPLETION OF A DATA SHEET REQUIRED?

Completion of a Data Sheet is required for (1) Contract and Grant Proposal related requests and (2) Service Agreement requests to be processed at Sponsored Programs.

Generally speaking, the Data Sheet should be completed and submitted to Sponsored Programs each time (1) funds are requested for a project that have not previously been recorded on a Data Sheet or (2) Sponsored Programs is asked to review and sign an agreement regardless of whether funding is involved. This includes: all new projects, projects that are being renewed, and all requests for supplemental funds. A completed Data Sheet is also required when a previously denied or withdrawn (unfunded) proposal has been revised and is being resubmitted to the sponsor. However, one is not required for continuation proposals if the funds being requested were already included on a previous Data Sheet, while a completed Data Sheet is required for a continuation proposal if funds not previously requested are included in your continuation proposal.

Following are some examples of when the Data Sheet is required. Please note that this is a set of examples, and not a complete list of all possible situations:

1. A proposal for a new project is being submitted to the National Science Foundation for three years of funding. A Data Sheet is required since this request is for new funding, the amount recorded on the Data Sheet should be the total for the three-year project period.
2. The above project is funded and in the second year the principal investigator requests supplemental funds to cover an unexpected expense. A Data Sheet should accompany the request and reflect only the additional amount of funds being requested.
3. The project in number one above is funded and in the second year the principal investigator requests a Research Experience for Undergraduates (REU) supplement. A Data Sheet is required since these funds were not previously recorded.
4. The project in number one above is coming to conclusion and the principal investigator is preparing a three-year renewal application. A Data Sheet is required since these funds were not previously recorded.
5. A researcher wants to enter into a non-funded collaborative relationship with another organization that requires an agreement to be signed by Sponsored Programs. A Data Sheet is required, and "zero" dollars would be recorded as the "Amount of Request". A Data Sheet would also be required in this situation if the University were to receive equipment, supplies, etc. in exchange for our collaboration, and "zero" dollars would be recorded as the "Amount of Request".

Following are some examples of when the Data Sheet is not required.

1. The Principal Investigator is preparing a National Institute of Health non-competing continuation proposal for third-year funds. A Data Sheet is not required since these funds were already recorded when the project was first submitted for funding.
2. The Principal Investigator is requesting that Sponsored Programs enter into a Non-Disclosure Agreement with an entity in order to receive proprietary information. The information is expected be used in the discussion of a potential sponsored project. A Data Sheet is not required.

HOW TO OBTAIN A COPY OF THE DATA SHEET

The Data Sheet and this document are available from the [Forms](#) page on the Office of Research website or by calling Sponsored Programs at 530-754-7700.

A completed Data Sheet, with original signatures (not rubber stamped or digital signature), is required to be attached to the original request, for all projects requiring Data Sheets (please see above). Please submit these originals, along with the completed proposal to Sponsored Programs for review and signature. **Please note that Sponsored Programs requires five (5) business days to do a full review and is not responsible for mailing reviewed proposals to the sponsor.** For additional guidance, please refer to our [Proposal Preparation](#) page.

Below are general instructions for completing the Data Sheet.

If there is insufficient space on the form to answer any of the questions, please attach a continuation page and indicate clearly for which question(s)/field(s) you are providing additional information. Questions regarding the completion of the Data Sheet should be directed to Sponsored Programs at 530-754-7700. You can find contact information for specific persons in Sponsored Programs on our [Contact Us](#) page.

SECTION 1. TYPE OF REQUEST

Check either "Contract and Grant proposal", or "Service Agreement", using the following guide.

Contract and Grant Proposal

If UC Davis is submitting a request to a sponsor seeking financial support for a project, select "Contract and Grant Proposal" as the "Type of Request".

Provide the actual sponsor deadline (e.g. as published in RFP, etc) and check whether it is a postmark deadline or a receipt deadline. Indicate "none" in the "Date" field if the sponsor does not have a deadline. Please note that sponsors who have "postmark" deadlines typically require an official US Postal Service postmark as evidence that the proposal was mailed by their required deadline. Because the Campus Mail Division does not provide an official postmark, you may need to mail your proposal using the U.S. Post Office or another non-campus mail service.

Please indicate if this is an electronic submission and if so, include the appropriate website.

Service Agreement

If UC Davis is providing a service for an outside entity, select "Service Agreement" as the "Type of Request. In addition to completing the Data Sheet, complete Exhibit A (available at the [Forms](#) page) which is required for this type of request. Please see instructions for completing Exhibit A.

Exhibit A

Purpose of Work - Explain the purpose of the work to be performed.

Relation to University missions - Explain how this work relates to the University missions of instruction, research and public service.

Availability from other sources - Indicate the availability of this service from sources other than UC Davis.

Cost Estimate (to be prepared by UCD Facility) - A detailed budget is required to be attached.

Scope of work - Describe work in sufficient detail to indicate clearly the nature and extent of services required; methods and schedules for delivery of materials for analysis or of finished products, including reports; methods and/or equipment to be used; and any special requirements.

SECTION 2. PRINCIPAL INVESTIGATOR INFORMATION

For Contract and Grant Proposal, enter the name of the UC Davis Principal Investigator. For policy on eligibility to serve as a Principal Investigator, please refer to [UC Davis Policy and Procedure Manual \(UCD PPM\) Section 230-02](#). Only one individual will be recorded by Sponsored Programs as the Principal Investigator, even though the names of co-principal investigators may appear in the proposal. The name listed on the Data Sheet as the Principal Investigator should be that of the individual who will assume ultimate responsibility for the scientific and financial management of the project. It should also be the same name as the Principal Investigator that appears on the proposal cover page.

For Service Agreements, enter the name of the UC Davis employee who will provide the actual service or who will have oversight for the UC Davis unit providing the service. When an individual cannot be identified, please enter the name of the Department Chair or Director of the unit providing the service.

SECTION 3. ADMINISTERING DEPARTMENT/UNIT INFORMATION

Self-explanatory

SECTION 4. SPONSOR INFORMATION

Self-explanatory

SECTION 5. PROJECT INFORMATION

Type of Request - Please choose one of the following as applicable:

- a) New--a request for a project that has never been funded by the sponsor appearing in Section 4.
- b) Continuation--a request for funding for a budget period that is within the existing sponsored approved project period. As noted above, if these funds were already recorded when the project was new, then it is not necessary to complete the Data Sheet, unless new funds are also being requested.
- c) Renewal--a request for funding of an additional project period for a project that is currently being funded by the sponsor listed in Section 4, but which is due to expire when the last budget period ends.
- d) Supplement--a request for additional funding for a project currently funded by the sponsor shown in Section 4. (This is request for funding that has not previously been recorded).
- e) Revision/Resubmission--a request for funding for a project that was previously submitted but was not funded by the sponsor or was withdrawn by the Principal Investigator.

Use one of the definitions listed above to indicate the type of request. If the type of request is either a "continuation," "renewal," or "supplement," then list the current award number assigned by the sponsor. If the sponsor award number has changed during the course of a project, indicate the current number first, followed by all other numbers. Indicate "none," if the sponsor has not assigned an award number.

Project Title

The project title on the Data Sheet should be identical to the title appearing on the proposal. For continuation, renewal, or supplemental proposals, the title should be identical to the one on the most recent award document.

Project Type

Using the following definitions as a guide, select the one category that best describes the type of project.

- a) Basic research--directed towards the increase of knowledge; it is research where the primary aim of the investigator is a fuller knowledge or understanding of the subject under study rather than a practical application thereof.
- b) Applied research--follows basic research, but is also directed towards advancing "the state of the art" and expanding the potentialities of discoveries or improvements in technology, materials, processes, methods, devices, and techniques. It does not include the design, development, or test of specific articles or services to be offered for sale.
- c) Developmental research--the use and application of knowledge toward the production and improvement of useful products to meet specific performance requirements (exclusive of manufacturing and production engineering).
- d) Clinical Trial--the clinical testing of investigational new drugs, devices, treatments, or diagnostics to assess their safety, efficacy, benefits, costs, adverse reactions, and/or outcomes in human subjects. These studies are typically conducted in conjunction with obtaining new drug or device approval from the U.S. Food and Drug Administration, under Phase I, II, III, or IV. Preclinical laboratory studies, studies in animals, and projects designed to develop new compounds are not classified as "Clinical Trials," and should be reported in one of the other research categories.
- e) Other research--in those cases when a research project cannot be categorized in one of the four categories above, it should be coded as "other research."
- f) If the project is non-research-related, select from Training, Public Service, Other Service, or Equipment.
- g) If a project does not fit in one of the above categories, select "Other."

Project Period

- a) For New, Renewal, and Revision/Resubmissions, indicate the total period of the project (for example, a three-year project period may be reported as 7/1/14 to 6/30/17).
- b) For continuation proposals, indicate the budget period for the continuation.
- c) For supplement proposals, the start date would be the date you want the supplement to begin and the end date would be either the end date for the current budget period or the end date for the project period.

Amount of Request

Indicate the total amount of funds (direct as well as indirect) being requested from the sponsor for the project period (e.g., if the time period is three years, indicate three years of funding; if the time period is six months, indicate six months of funding). Do not include cost sharing or matching funds. If the project does not include a request for funds, then please indicate N/A.

Indirect (F&A) Cost Rate

Refer to [Indirect Cost Rates and Fringe Benefit Rates](#) for the Applicable Indirect (F&A) Cost Rate.

Indicate the rate and the base that was used in calculating indirect costs. MTDC=Modified Total Direct Costs; TDC=Total Direct Costs; and TC=Total Costs. If a base other than one of these was used, mark the "Other" box and attach a brief explanation. Please note that all exceptions to the policy of collecting applicable federally negotiated indirect cost rate require review and approval by the Office of the President. Therefore, if there are justifications not to use one of the federally negotiated rates and an approved waiver is not already on file in Sponsored Programs, then additional information may be required to allow Sponsored Programs to seek a waiver from the UC Office of the President.

SECTION 6. PROJECT LOCATION

Project Location (i.e., Place(s) of Performance)

Identify the facility where the proposed project will be conducted. Designate whether such facility is University Owned, University Leased or Other than University Owned or Leased and identify the percentage of time at each applicable location. If University Leased Facility is identified, indicate if you anticipate having to lease “new” space to conduct the proposed project.

Please specify whether this is a Garamedni financed facility.

SECTION 7. COMPLIANCE

Office of Research, Sponsored Programs, may be unable to process an award until all applicable compliance requirements have been met, and evidences of such compliance is in the file at Sponsored Programs. It is the Principal Investigator's responsibility to ensure that all proper compliance requirements have been met prior to receiving the award.

Safety

This section provides the Office of Environmental Health & Safety (EH&S) with information needed to determine if safety concerns have been adequately addressed. Answer “yes” or “no” to each of the questions listed and, when applicable, indicate appropriate authorizations number(s). Questions pertaining to this section should be directed to EH&S.

Vertebrate Animals

Indicate whether vertebrate animals will be used in the project. If the answer is “yes”, indicate the protocol number(s) and the date(s) they were approved. If vertebrate animals will be used and a protocol is not required, indicate “Not Applicable” in the protocol number box. Questions pertaining to the use of vertebrate animals should be directed to the Campus Veterinarian. For additional information please consult [UCD PPM Section 290-30](#).

Human Subjects

Indicate whether the project includes research or an investigation involving human subjects in any manner. If the answer is “yes”, please include protocol number. and date of IRB approval. Please note if name of the researcher on protocol is different from PI for the proposed project.

If the project includes research involving human subjects or an investigation involving human subjects in any manner, a protocol or Statement of Exemption must be submitted for review and approval by UC Davis IRB Administration. Please refer to [UCD PPM Section 240-50](#) for policies, procedures, and instructions for preparing a protocol or a Statement of Exemption.

If IRB review is required, indicate the Principal Investigator for the protocol (note: this may be a different individual from the one listed in Section 2 of the Data Sheet as the Principal Investigator for this project), the protocol title (if it differs from the project title in Section 5 of the Data Sheet), the protocol number, and the date that IRB has approved the protocol.

If a Statement of Exemption is required, indicate the Principal Investigator listed on the exemption form (note: this may be a different individual from the one listed in Section 2 of the Data Sheet as the Principal Investigator for this project), the exemption title (if it differs from the project title in Section 5 of the Data Sheet), the exemption category number, and the IRP approved exemption date.

Institutional Required Information

This section provides the Office of Research with information required for supplemental reporting purposes. This section also serves as an indicator that additional signatures should be included from those individuals responsible for resources not under the direct control of the administering department's chair or division director.

Does project include certain criteria

Self-explanatory

Does project involve ORUs

Self-explanatory

Disclosure of Financial Interest**Non-Government Sponsor**

Check this box only if (1) the sponsor is a non-government agency, and (2) is not listed on the exempt list provided on the website of the Fair Political Practices Commission of State of California in Regulation number 18755(d)(1), which is currently available at the following URL:

<http://www.fppc.ca.gov/legal/regs/current/18755.pdf>.

If the above box is required to be checked, the Principal Investigator must complete and submit State of California Form 700-U, "Statement of Economic Interest", available on our [Forms](#) page.

National Science Foundation (NSF) / NSF flow through, as well as certain other Sponsors, and projects involving human subjects, regardless of type of sponsor

Check this box, and complete UC Davis **Form 800** (available on our [Forms](#) page) for all "Investigators" (which includes Principal Investigator / Project Director, as well as all members of the project team with responsibility for the design, conduct, or reporting of research).

Public Health Service (PHS) / PHS flow through, as well as certain other Sponsors who follow PHS rules

Check this box, and complete UC Davis **Form PHS800** (available on our [Forms](#) page) for all "Investigators" (which includes Principal Investigator / Project Director, as well as all members of the project team with responsibility for the design, conduct, or reporting of research). Among the sponsors following PHS rules are (1) the American Heart Association (AHA – Western and National), and (2) American Cancer Society.

Please note the following:

- Completing Forms 800 and PHS800 are also required for subcontract funds originating from all sponsors listed above.
- "Investigators" are those members of the project team with responsibility for the design, conduct, or reporting of research.
- Students also can be considered "Investigator" if they meet the above criteria.
- Under UC policy, the Principal Investigator (PI) and Co-Principal Investigator (Co-PI) are responsible for identifying "Investigators".
- Investigators are required to file this disclosure for any research involving human subjects funded by a private sponsor.

NOTE: There are cases where both the State and the Federal regulations apply and both the State of California Form 700-U and either UC Davis Form 800 or UC Davis Form PHS800 must be completed. Some examples are (1) all projects submitted under the UC Discovery program, (2) when the University is receiving funding from a corporate entity that was using a prime award from a Federal agency to fund the project, or (3) Principal Investigator working on privately-sponsored projects involving human subjects.

Additional information, as well as related policies and procedures are available through the Research Compliance and Integrity unit on their [Conflicts of Interest in Research](#) page.

Please call your contact at Sponsored Programs if there are any questions.

Exempt

If none of the above conditions applies, check this box.

Export Control

Self-explanatory. For more information about export control restrictions, please see the [Export Control](#) information provided by the Research Compliance and Integrity unit

Subcontract(s) – Employee/Vendor Relationship(s)

If a portion of the project will be subcontracted to another institution, organization, and/or individual (e.g., research subaward) check “yes” and respond to the remaining questions.

SECTION 8. HIGH PERFORMANCE COMPUTING CLUSTER

Select “Yes” if the project includes significant computing equipment and/or any significant computing space/infrastructure/networking needs, otherwise select “No”. If you select “Yes”, please also provide a response to the follow-up question.

SECTION 9. COST SHARING

Cost sharing or matching is that portion of project or program costs not borne by the funding agency. It includes *all* contributions, including cash and in-kind, that the University makes to an award. If the award is from a federal agency, only acceptable non-federal costs qualify as cost sharing and must conform to other necessary and reasonable provisions to accomplish the program objectives. For additional guidance see <http://accounting.ucdavis.edu/costshare/whatis.cfm>

SECTION 10. EFFORT COMMITMENT

This information is used to comply with University’s obligation of documentation of effort reporting.

In the area provided, include the name of the Principal Investigator and all other personnel committing any effort on the sponsored project. For any personnel listed from another department (other than the administrating department), please note the department name and either obtain the appropriate signature(s) from such department or attach a letter of commitment signed by personnel and their department chair or dean (or both, if applicable).

For each investigator, indicate (1) the percent effort to be directly charged to the project, (2) the percent effort to be cost shared on the project, and (3) the total effort to be committed to the project, which is the total of (1) and (2). Please refer to [UCD Directive 06-049](#) regarding Minimum Level of Effort Commitment on Externally Sponsored Projects.

SIGNATURES

Signatures of the Principal Investigator and his/her department chair or unit director are mandatory. Principal Investigators should consult with their dean's office for college/school specific requirements and additional approvals (generally, only the Schools of Medicine, Veterinary Medicine, and Engineering require dean's signatures). **If the project will use space, equipment, or other resources (generally other than recharge facilities) not under the direct control of the department chair or division director of the Principal Investigator, then a signature(s) from those authorized to commit these resources is also required.**

When a proposal is submitted to an agency for support of research, training, or other sponsored activities, the official authorized to sign the proposal on behalf of the Regents of the University of California is often asked to verify to the sponsor that the University is a responsible grantee or contractor, and is in compliance with applicable laws and regulations. Further, the authorized institutional representative must ensure that University policies and procedures were followed in the preparation and submission of the proposal.

In signing the Data Sheet, the Principal Investigator certifies that all Key Personnel involved in the project are or will be in compliance with University and sponsor policies as they relate to the proposal being submitted and to a subsequent award. These certifications/assurances are listed below. Additional certifications may also be required at the time an award is accepted by the University. Although many of the following certifications are

federal in origin, the principles behind them apply to all sponsored activities, regardless of sponsor. Additional information about each of the following may be obtained by contacting Sponsored Programs at 530-754-7700.

By signing the Data Sheet for Contract and Grant Proposals the Principal Investigator certifies to all of the following:

1. That the information submitted within the proposal/application is true, complete and accurate to the best of his/her knowledge;
2. That any false, fictitious, or fraudulent statements or claims within the proposal/application may subject him/her *personally* to criminal, civil, or administrative penalties;
3. That he/she agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports to the sponsor if a grant is awarded as a result of the proposal/application;
4. If the sponsor follows PHS COI, the Principal Investigator/ Project Director, and all Investigators (with responsibility for the design, conduct, or reporting of research) on this project, each have completed (1) the on-line educational training requirement, as well as (2) the on-line financial interest disclosure;
5. That he/she will comply with sponsor and University policies and regulations;
6. That he/she has read, and he/she is, or will be in compliance with and abide by all the items included here;
7. The reasonableness of the kinds and levels of resources proposed and overall funding for the budget included for any subawardee(s)/subcontractor(s) listed in the proposal;
8. That he/she has examined the proposal for completeness and accuracy (including the truthfulness of the scientific claims made, biographical data, and budget estimates), and explicit acknowledgment has been given to those who substantially contributed to the preparation of this proposal.
9. That he/she understands that willful provision of false or misleading information can subject the investigator and the University to severe monetary penalties.
10. That if the proposal is submitted to a Federal agency either directly or indirectly (i.e., through another organization), he/she and all Key Personnel are in compliance with applicable Federal financial disclosure regulations;
11. That if the proposal is submitted to a non-government organization that is not on the financial disclosure exemption list (see Section 7, above), he/she has completed and attached the state financial disclosure form (Form 700-U);
12. That he/she has read and will abide by the University policy on "Integrity in Research," dated June 19, 1990 (available at <http://www.ucop.edu/raohome/cgmemos/90-01S1.html>);
13. That if the proposal is submitted to a Federal agency either directly or indirectly through another organization, neither he/she, nor any person who will receive compensation under the anticipated award, is currently debarred, suspended, nor proposed for debarment from receiving Federal support for research. Further, he/she will notify Sponsored Programs if any person who will receive or is receiving compensation under the subject award is debarred or suspended from receiving Federal funds prior to the project's expiration date;
14. That if the proposal is submitted to a Federal agency either directly or indirectly through another organization, and if he/she or anyone funded by the project have engaged in any lobbying efforts for this project, he/she has done so on their own time and at their own expense and have not used any federal funds for this purpose. Further, if lobbying activities related to this project have been paid from a non-federal source, he/she will complete and submit Standard Form LLL, Disclosure of Lobbying Activities;
15. That if this project involves human subjects, he/she has read and will abide by and will ensure that those working on this project abide by applicable University and federal policy on the protection of human subjects;
16. That if this project will involve laboratory animals, he/she has read and will abide by and will ensure that those working on this project abide by applicable University policy on the care of laboratory animals;
17. That all direct charges to the contract or grant directly relate to the activity supported and are reasonable and allowable; that expenditures are consistent with all special terms, conditions, or limitations that apply to expenditures under the particular contract or grant; and that expenditures do not exceed the total funds authorized for a given period under the contract or grant. (In many cases the contract or grant may also specify expenditure limits by budget category or line item);
18. That he/she will be accountable for deficits or disallowances that occur under a contract or grant in accordance with campus procedures;
19. That he/she will keep adequate records related to the activities on this project and is aware that all such records, including laboratory notebooks, are the property of the University;
20. That if this proposal contains any information that needs to be kept confidential by federal or other reviewers and administrators, he/she has marked such information appropriately;

21. That if this project will involve patient records, he/she will keep such records confidential;
22. That if this project involves nonexempt use of recombinant DNA molecules, he/she will ensure that the research will be approved by the relevant campus biosafety committee;
23. That if the proposed research involves the taking, importation, or use of protected marine mammals, or any endangered or threatened species, he/she will comply with the applicable federal and/or state regulations and obtain the necessary permits and authorizations;
24. That he/she will comply with all applicable University policies for the conduct of research involving biohazards, carcinogens, hazardous or toxic wastes, or controlled substances;
25. That he/she will comply with all applicable University policies regarding nondiscrimination;
26. That if this is a proposal that will result in a contract under which he/she will provide technical advice to the federal government, then he/she does not believe that performance of this service will give him/her an unfair advantage in competing for other government contracts, nor does he/she believe that he/she will be unable to render impartial advice or assistance;
27. That if this is a proposal that will result in a federal contract in excess of \$100,000, he/she has not employed or retained any person or company to solicit or obtain this contract;
28. That if this is a proposal that will result in a federal contract in excess of \$100,000, he/she has not offered any gift, discussed any job offer, or solicited any proprietary information or source selection information from any federal official who is involved in awarding this contract;
29. That he/she is eligible to be a Principal Investigator on a UC Davis project;
30. That the salaries included in the proposal budget are in compliance with UC salary scales (see Academic Personnel Manual and Staff Salary Scales Manual);
31. That the employee benefits budgeted in the proposal are either based on actual benefits rates or campus composite rates, exclusive of leave accrual;
32. That either applicable federally-negotiated indirect (F&A) cost rates have been used or an approved waiver is currently on file or has been requested for the F&A rate used in calculating the budget;
33. That graduate student fee remission and/or non-resident tuition, if allowable, has been included for eligible Graduate Students assigned, or expected to be assigned, to the project in accordance with campus policy;
34. That the cost of living adjustments do not exceed recommended levels, or if they do they have been adequately justified;
35. That the sponsor or an agent acting on behalf of the sponsor will have access to the facilities where the project is conducted, and be permitted to review technical and financial project records;
36. That he/she has the technical ability to conduct the project, and that research space, including any special utilities, transportation requirements, or facilities, is available to conduct the project and necessary approvals have been authorized; and
37. That each Co-Principal Investigator and Key Person listed on this project is aware that his/her names have been included in the proposal and that each is willing to provide support to the project.