



STAR COURSE 1

January 12, 2022

OVERVIEW CONTRACT & GRANT ADMINISTRATION

George Hopwood, Associate Director, Sponsored Projects

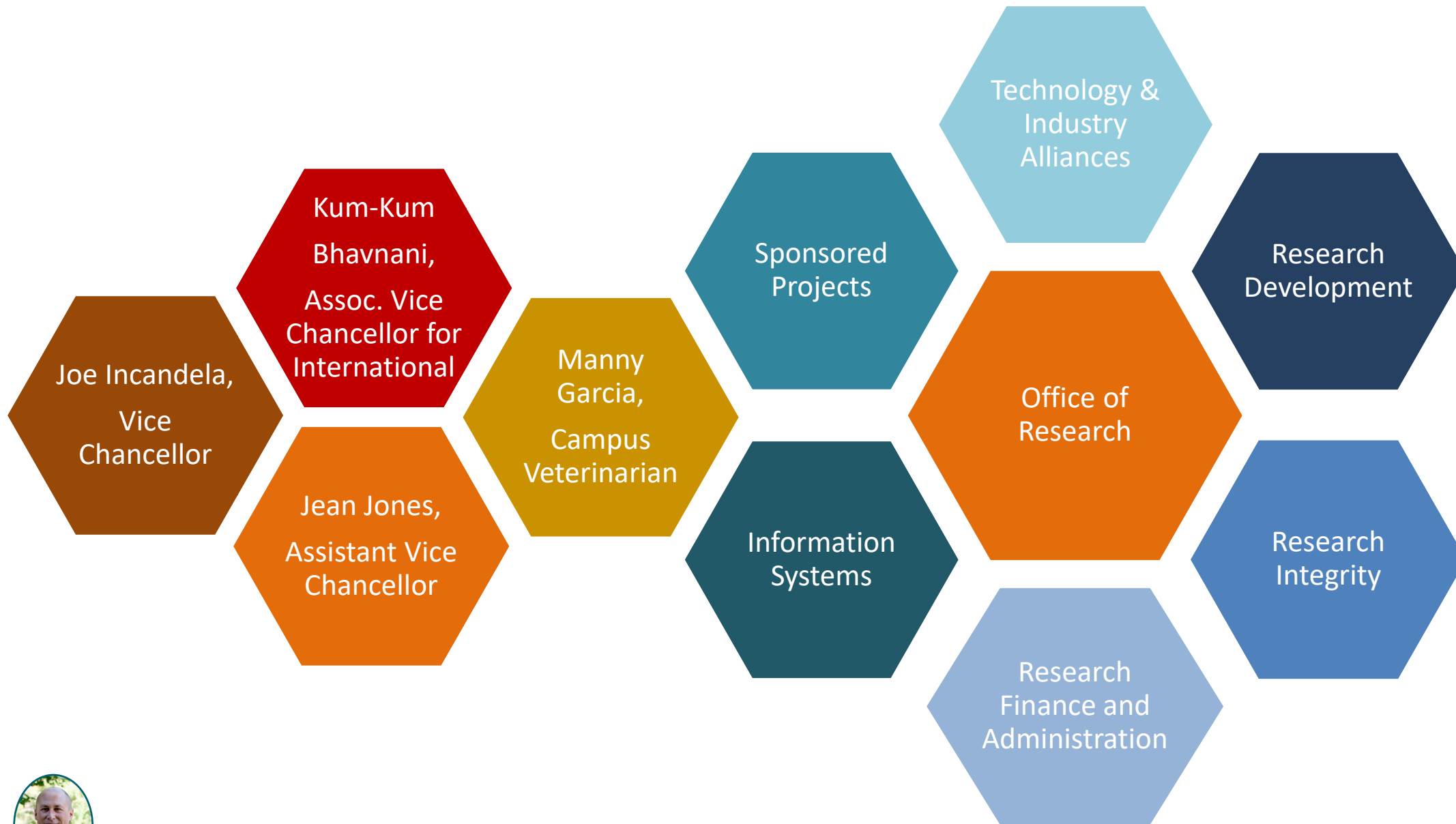
Maria Teresa Napoli, Director, Research Development



George Hopwood
Associate Director
Sponsored Projects



Maria Teresa Napoli
Director
Research Development
Science and Engineering





STAR Program

Sponsored Projects Training for Administrators in Research



For course descriptions and schedules please visit:
<https://www.research.ucsb.edu/star-class>





2021 STAR Program Schedule

1. Overview of C&G Administration
2. Cost Principles and Cost Accounting Standards
3. Proposal Budget Preparation
4. Introduction to Proposal Submission
5. Subawards
6. Negotiation & Acceptance of Awards – Sponsored Projects, Gifts and Procurement Contracts
7. Financial Management
8. Post-Award Administration
9. Research Administration & Compliance I
10. Research Compliance II
11. Working with Industry & Intellectual Property





Getting and Using a Certificate

- 11 required courses must be completed within 2 years from the date you begin the course series.
- During the pandemic, the two year period may be extended. Exceptions granted on a case by case basis. To request an exception or for any STAR program related questions, contact training@research.ucsb.edu.
- Zoom Classes will not be recorded for this 2022 series.
- Please complete the evaluation, which will be emailed to registered participants via the UCLC.

ADVANTAGES...

- Obtain solid baseline knowledge in major areas of contract and grant administration
- Enhance performance in existing position
- Attractive to potential employer for promotional opportunities in an ever growing field





Contract & Grant Listserv (CGLink)

The CGLINK Listserv is a Google group with all the related conveniences including viewing all conversations and threads over time, viewing list of members, and setting membership settings.

To join the group and for Additional information about the listserv, go to on the following webpage:

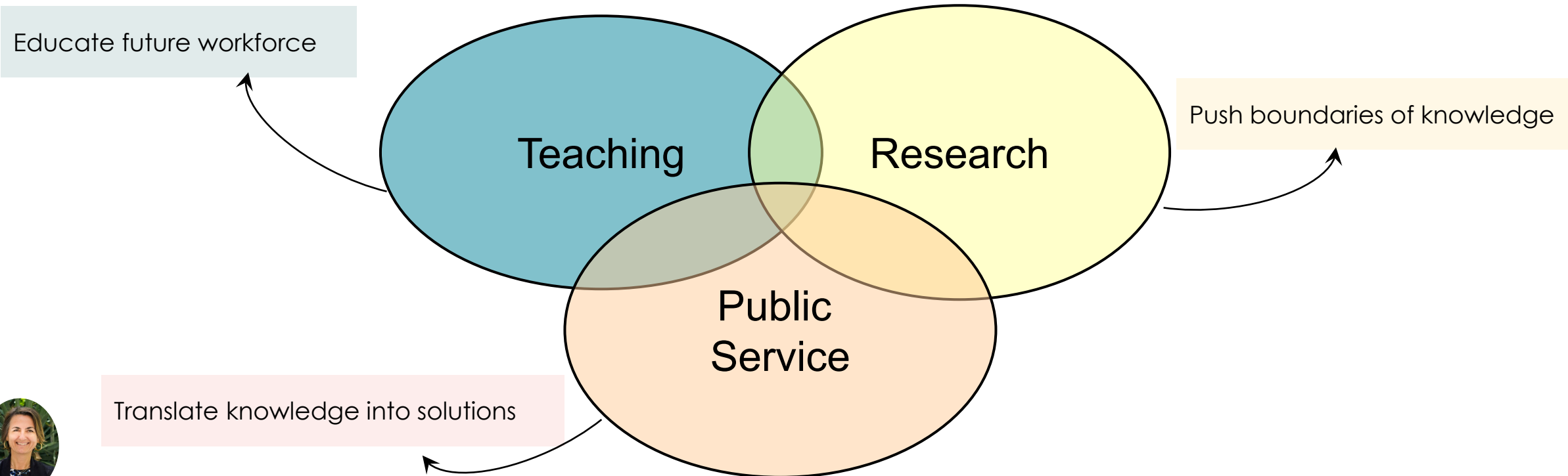
<https://www.research.ucsb.edu/cglink-signup>



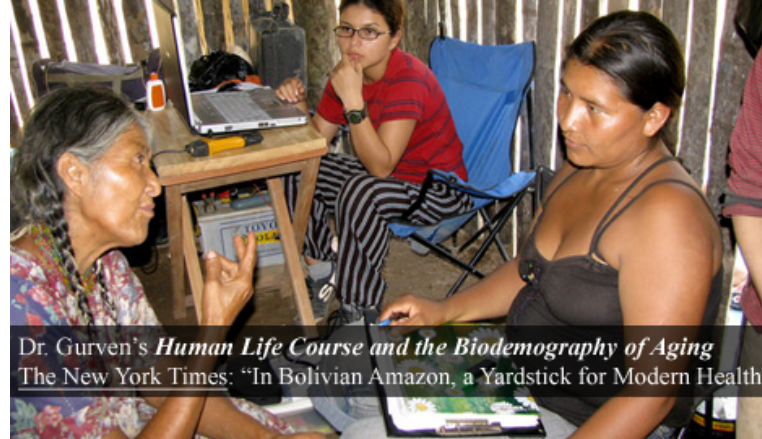


The Office of Research Supports UCSB Mission

The Office of Research supports UC Santa Barbara's status as a top-tier research institution and helps catalyze our rich culture of research, innovation and collaboration.



Research at UCSB Spans All Disciplines



Dr. Gurven's *Human Life Course and the Biodemography of Aging*
The New York Times: "In Bolivian Amazon, a Yardstick for Modern Health"

Points of pride:

- R1 institution
- #5 public universities
- AAU member
- 6 Nobel Laureates
- 60+ Guggenheim Fellows
- 80+ AAAS Fellows
- 29 Nat. Acad. Eng.
- 41 Am. Acad. Arts & Sci.





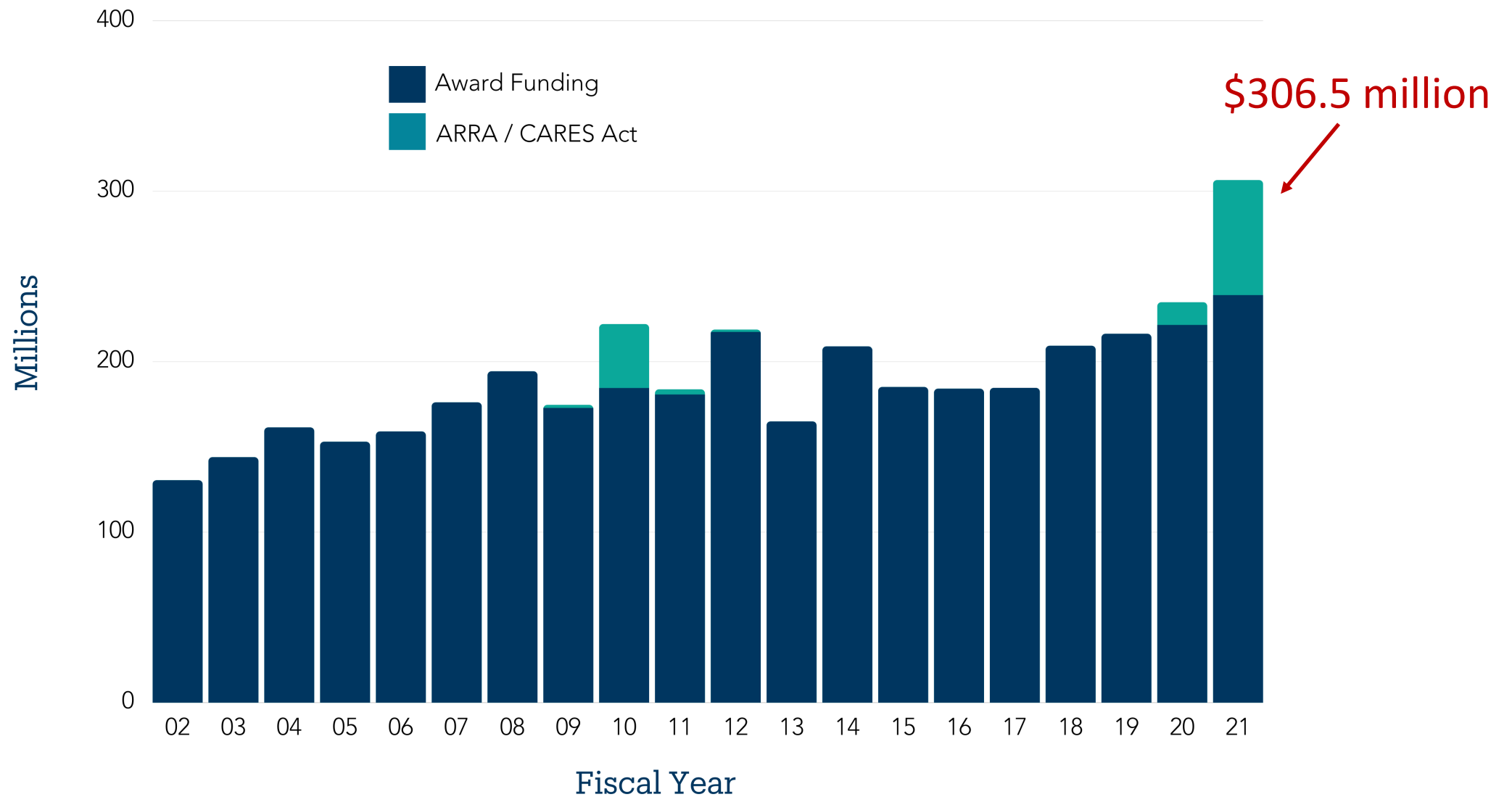
Research Funding Comes from Many Sources

- Extramural Funding
 - Contracts, grants, cooperative agreements
 - Federal
 - State and local governments
 - Industry
 - Non-profit
- Intramural Funding
 - Academic Senate grants
 - UCOP funding
 - Start-up packages for faculty
- Development
 - Gifts (cash or in-kind)



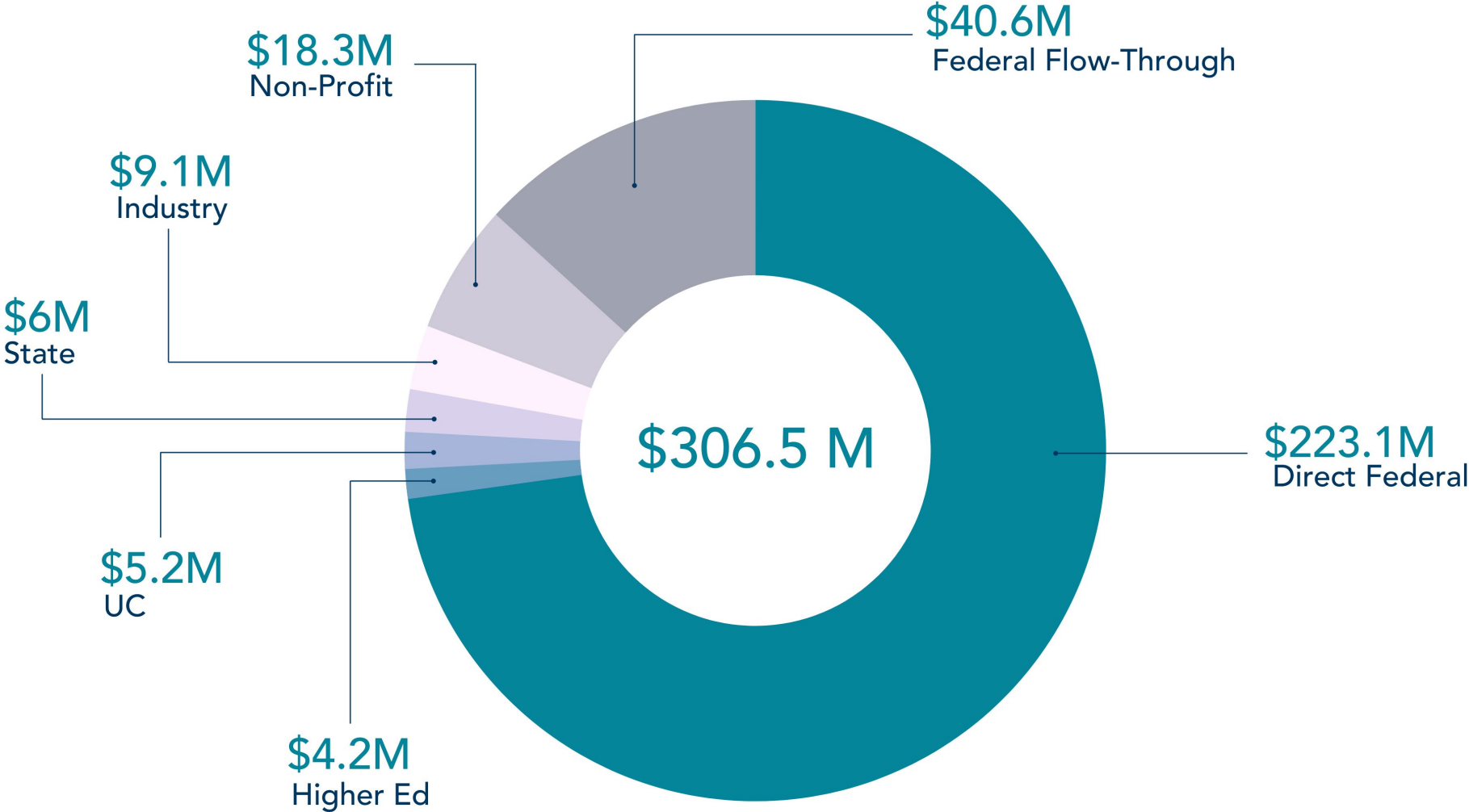


Awards by Fiscal Year 2002 - 2021

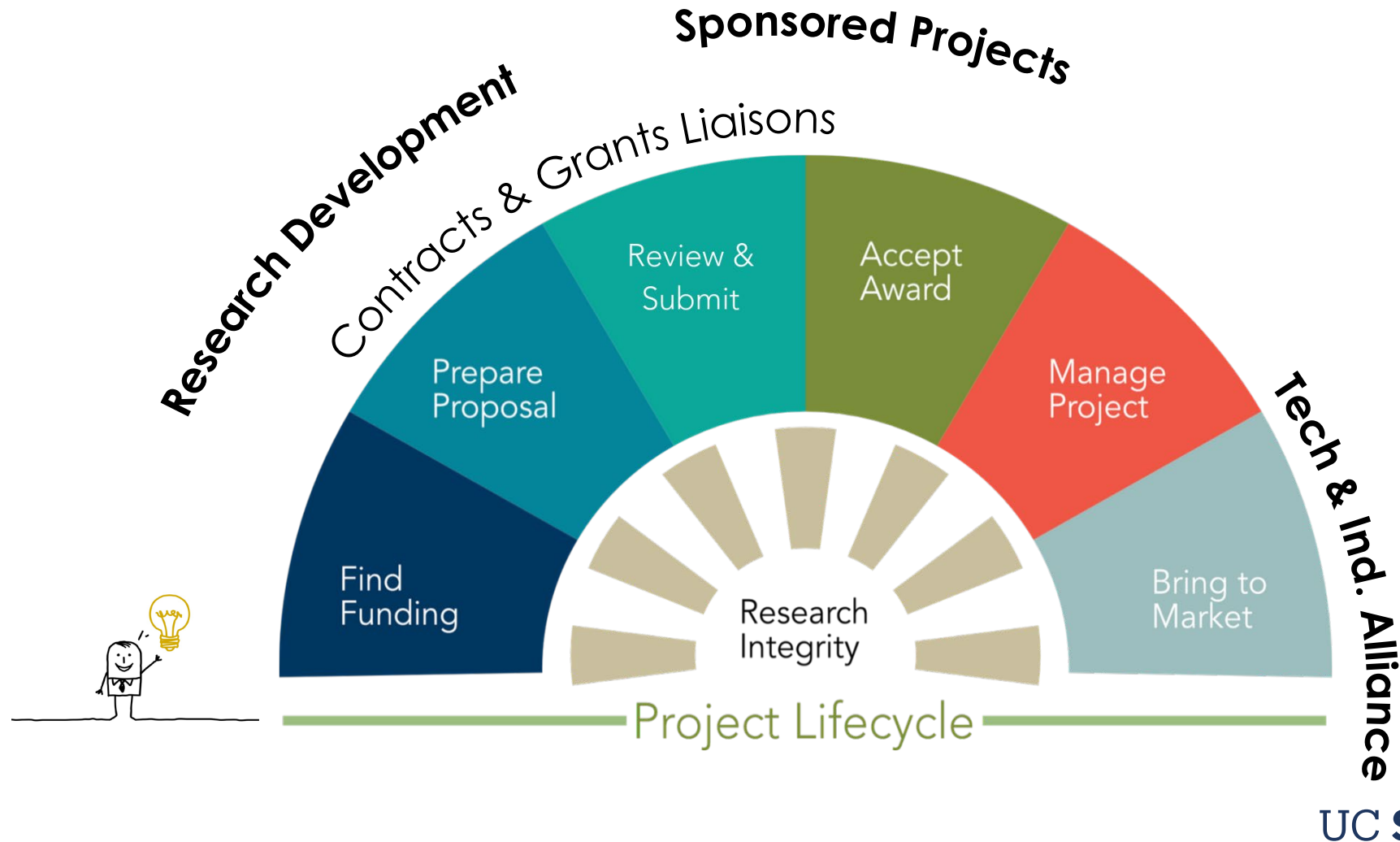




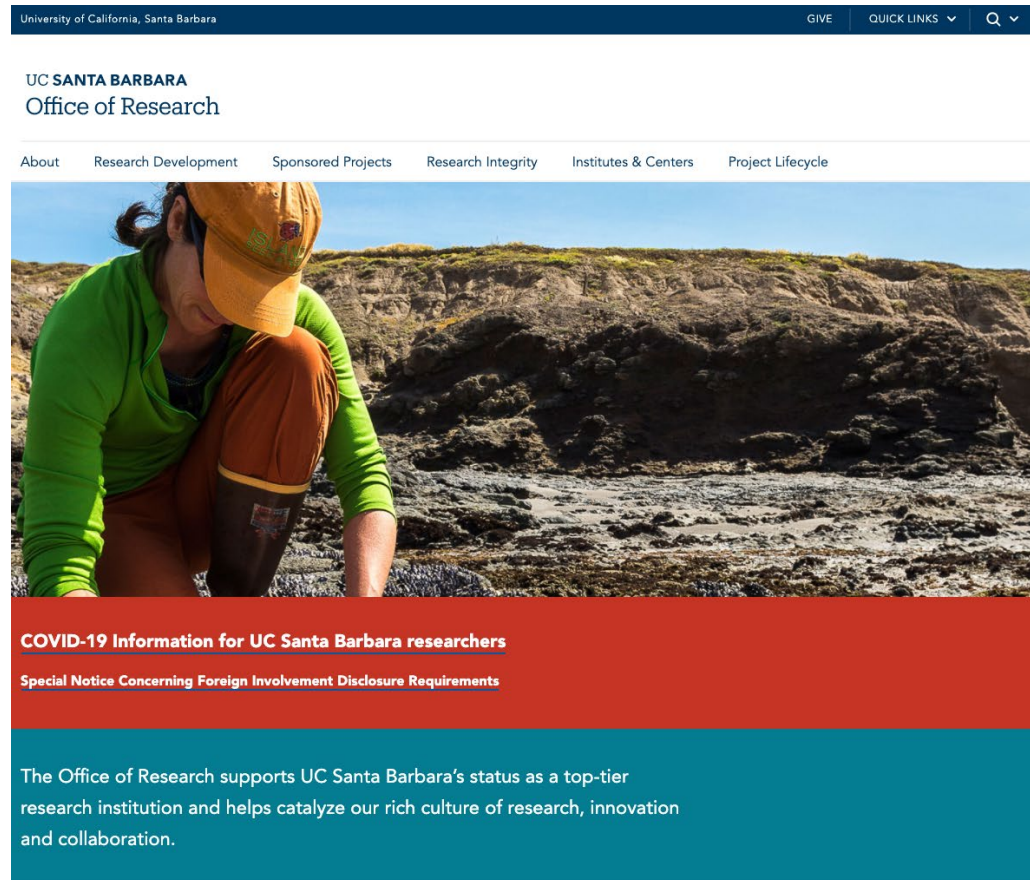
Total Awards in FY 2021: \$306.5M



Office of Research Supports Research Projects from Idea to Market



Office of Research Website



At a Glance

Research facts and figures

90+
startups

Ranked
6th

1 of 65
members of the Association
of American Universities

Links to:

- General Office Information
- ★ Research Development
- ★ Sponsored Projects
- Research Integrity
- Institutes and Centers
- Project Lifecycle

<https://www.research.ucsb.edu/>



Office of Research

UC SANTA BARBARA



Sponsored Projects


Sponsored Projects Office (SPO)

University of California, Santa Barbara

GIVE QUICK LINKS Q

UC SANTA BARBARA
Office of Research

About Research Development Sponsored Projects Research Integrity Institutes & Centers Project Lifecycle




[Office of Research](#) / [Sponsored Projects](#) / [Overview](#)

Sponsored Projects

The Sponsored Projects Office (SPO) assists faculty and professional research staff in their efforts to secure and ensure proper stewardship of external funding. This office is responsible for the effective and timely handling of faculty research proposals, specifically for preparing, interpreting, negotiating, and accepting agreements on behalf of the Regents for projects funded by federal and state agencies, foundations, and other public and private sources.

Sponsored Projects teams, consisting of an officer (lead) and an analyst, are assigned to each UCSB department and unit that administers contracts and grants. See the [Sponsored Projects team assignments](#).

**Office of Research**

UC SANTA BARBARA

Links to:

- SPO Overview
- ORBiT Database
- Electronic Research Administration
- Award Administration
- Subawards
- Foreign Involvement Disclosure Requirements
- Contract and Grant Liaison Resources
- Sponsored Projects Teams



Sponsored Projects

- Organized by “Teams” of one Officer and one Analyst
- Each “Team” assigned to specific set of departments
- Separate Subawards Officer to handle all outgoing subawards





The Partners and Their Roles & Responsibilities

Programmatic/ Research	Administrative/ Contractual	
Principal Investigator (with the assistance of the Department Liaison)	Sponsored Projects Officer Sponsored Projects Analyst	University
Scientific/ Program Officer	Contract/Grants Officer/Specialist	Sponsor



The Partners (University)

- Principal Investigator
 - Programmatic and financial design of proposal
 - Conducts project in compliance with relevant UC and sponsor policies - Ultimately Responsible for all Aspects: Technical, Fiscal and Administrative
 - Responsible for all compliance aspects of projects – including human and animal subjects, export control, conflict of interest, etc.
- Submitting Unit (Dept. Liaison)
 - Assists PI in proposal preparation
 - Assists PI in financial and administrative management of award
- Department Head (Chair/Director)
 - Reviews and verifies for appropriateness and resource commitment

Programmatic/ Research	Administrative/ Contractual	
Principal Investigator	Sponsored Projects Officer	University
Department Liaison	Sponsored Projects Analyst	
Scientific/ Program Officer	Contract/Grants Officer/Specialist	Sponsor



The Partners (University)

Programmatic/ Research	Administrative/ Contractual	
Principal Investigator	Sponsored Projects Officer	University
Department Liaison	Sponsored Projects Analyst	
Scientific/ Program Officer	Contract/Grants Officer/Specialist	Sponsor

- Sponsored Projects Officers & Analysts – Office of Research
 - Review proposals for consistency with UC and sponsor policy and submits on behalf of Regents
 - Negotiate and execute award instrument and assists with award administration



The Partners (Sponsor)

- Scientific/Program Officer
 - Receives and coordinates review of proposal
 - May be responsible for recommending proposals to be funded
 - Technical/Scientific point of contact at sponsoring entity
- Contract/Grant Officer/Specialist
 - Negotiates & executes award on behalf of sponsor
 - Assists with award administration
 - Is the University's contact at the sponsoring entity
 - Is the sponsor's "Authorized Official"

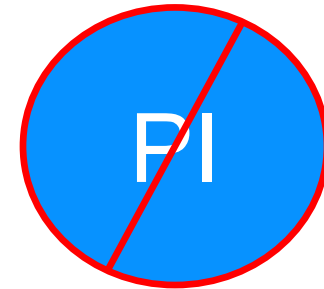
Programmatic/ Research	Administrative/ Contractual	
Principal Investigator	Sponsored Projects Officer	University
Department Liaison	Sponsored Projects Analyst	
Scientific/ Program Officer	Contract/Grants Officer/Specialist	Sponsor





Individuals Delegated to Sign on Behalf of the Regents

- Chancellor
- Vice Chancellor, Research
- Assistant Vice Chancellor, Research
- Director, Sponsored Projects
- Associate Director, Sponsored Projects
- Sponsored Projects Officers
- Sponsored Projects Analysts-limited authority





Principal Investigator (PI) Discussions with Sponsors

- The PI may have informal discussions with the sponsors prior to putting together a proposal for the purpose of determining whether the preparation of a formal proposal is warranted.
- The PI has no authority to agree to the terms of a contract or grant, or to modify the terms of a contract or grant.



Types of External Funding





What is the Difference?

Grant

- Financial Assistance
- PI's idea and scope of work (unsolicited)
- Peer-reviewed
- Technical Report



Contract

- Purchase of Services
- Agency's idea and scope of work (solicited)
- Project design and low bid
- Deliverables (report or database or item)



What is the Difference? cont...

Grant:

- Generally 1 year of time and 1 year of \$ (with option for “out-years”)
- Few terms and conditions
- Cost-reimbursement

Contract:

- Generally full amount of time awarded up front or incrementally funded
- More stringent terms and conditions
- Cost-reimbursement or fixed price





What is the Difference? cont...

Gifts:

- No end date
- No IP rights, no indemnification
- Irrevocable
- No obligations to donor (A courtesy technical report is okay, but cannot be a requirement)

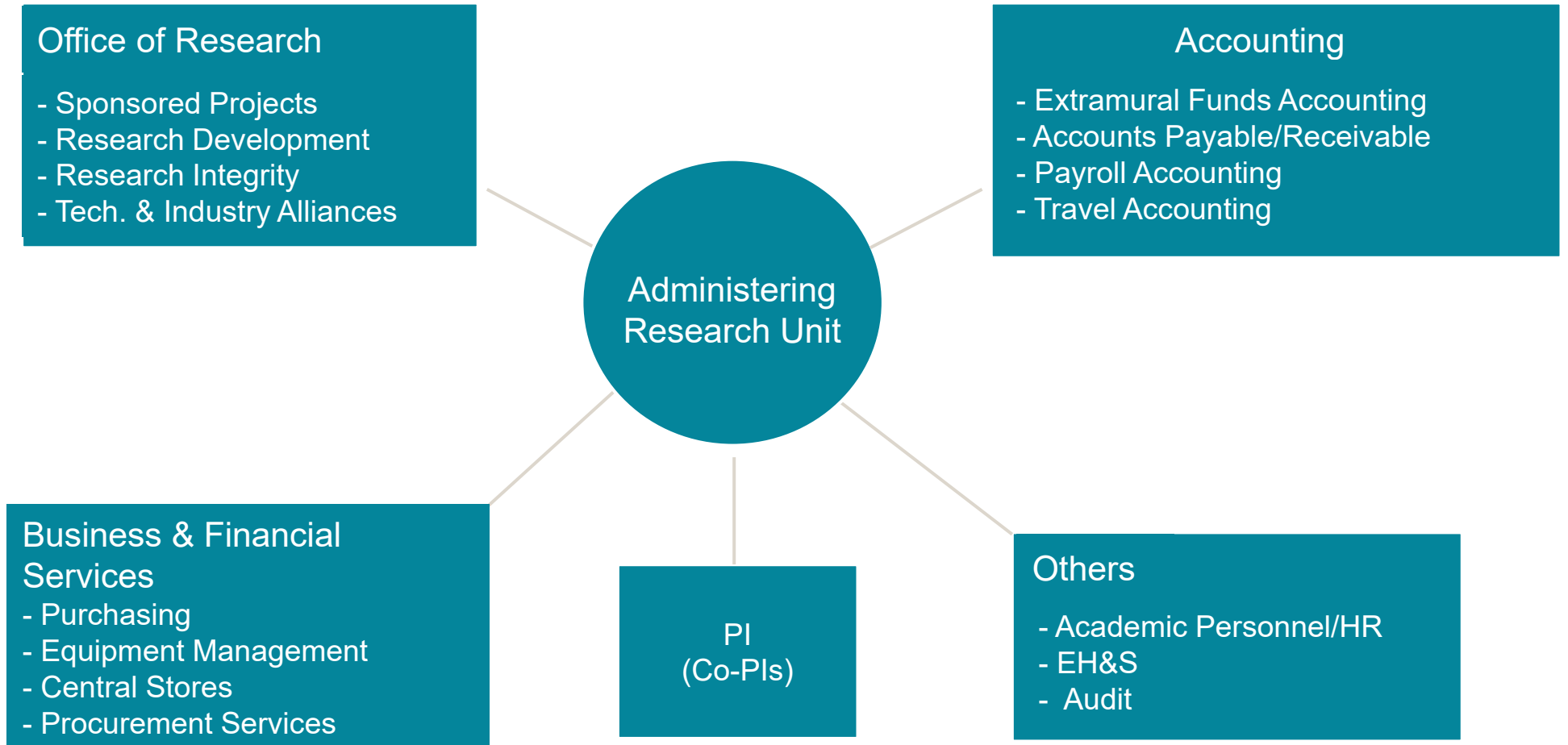
Grants/Contracts:

- End date
- Revocable
- Terms and conditions and deliverables (e.g., technical or financial report)



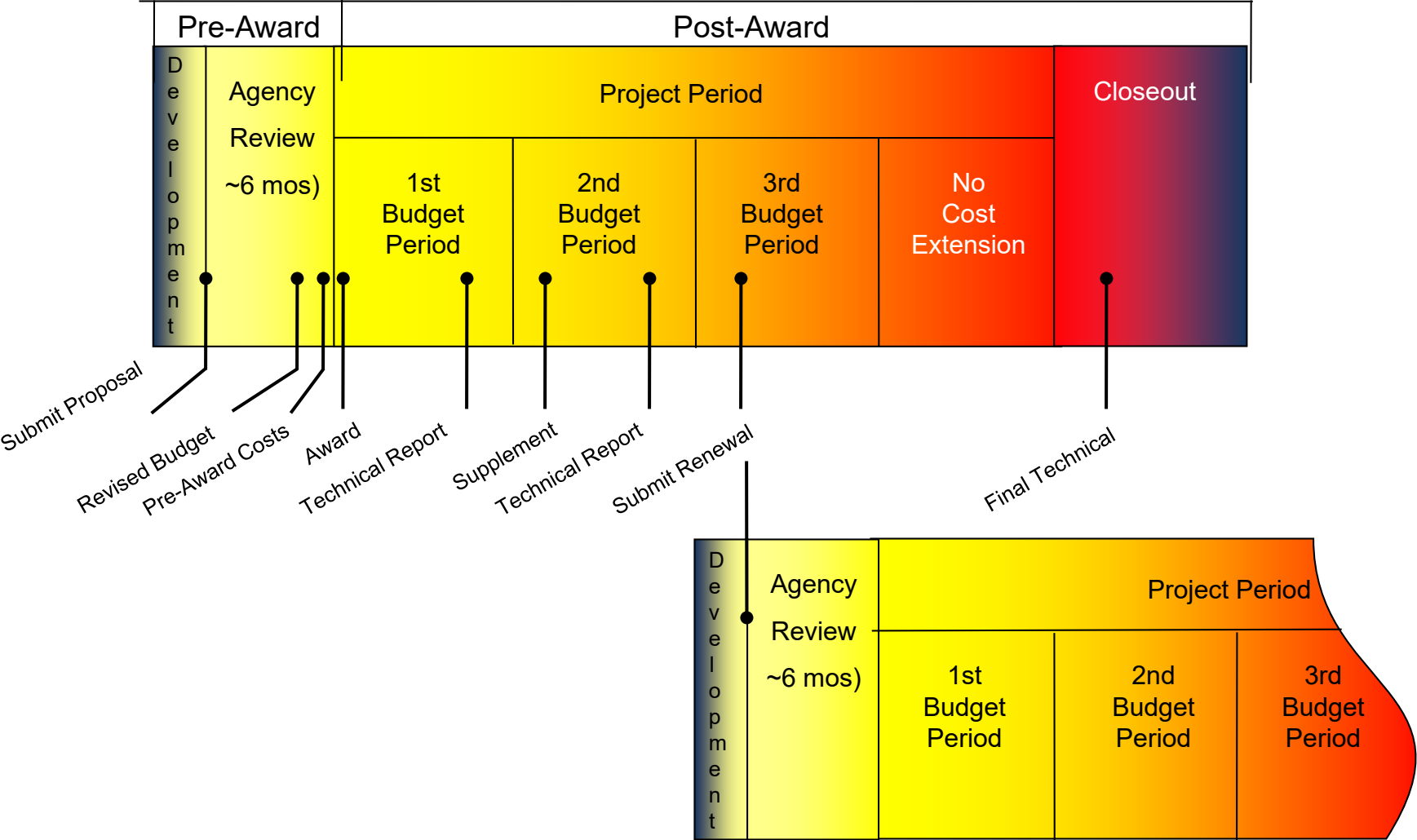


Campus Interactions



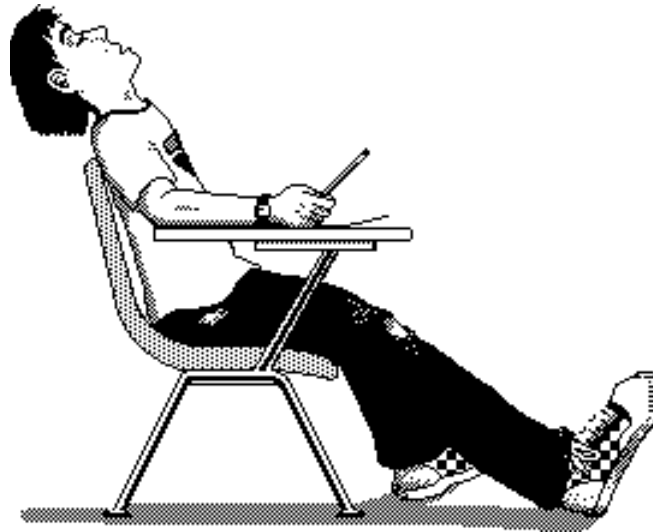


Lifecycle of a Proposal/Award





Take 5





Research Development



Our Mission is to Increase Competitiveness of UCSB Faculty

- **Mission:** To strengthen research programs and proposals to make them **more competitive** for extramural contracts and grants from federal and state agencies, and grant-making foundations that fund research
 - Proposal Development
 - Faculty Training
 - Strategic initiatives
 - Other activities: funding, limited submissions, newsletter
- **Target Audience:** All campus researchers, emphasis on Junior Faculty and Multidisciplinary/Multi-investigator Proposals





UCSB Research Development Team



Maria Napoli
Science & Engineering



Danielle Chandler
Science & Engineering



Barbara Walker
Social Sciences



Kelly Pillsbury
Analyst



Meghan McDonald
Analyst



Research Development



Research Development

Working with faculty to creatively and effectively secure extramural funding from early career fellowships to large center grants, our team ensures that our campus is a vibrant, competitive, cutting-edge research community. We support faculty throughout the lifecycle of their academic careers, offering educational workshops and seminars, providing one-on-one proposal development consultations, organizing strategic initiatives, liaising with funders, and connecting researchers across disciplines.



Services Offered

- Proposal Review
- Proposal Resources
- Funding Search Tools
- Red Team Reviews
- Strategic Planning for Major Initiatives
- Center Proposal Support

- Faculty Consultations
- Collaboration Toolkit
- Sample Proposals
- Funding Database Training
- Monthly Newsletters
- Workshops

Links to:

- RD Overview
- Finding Funding
- Limited Submissions
- Resources
- Workshops and Events
- Announcements
- Newsletters

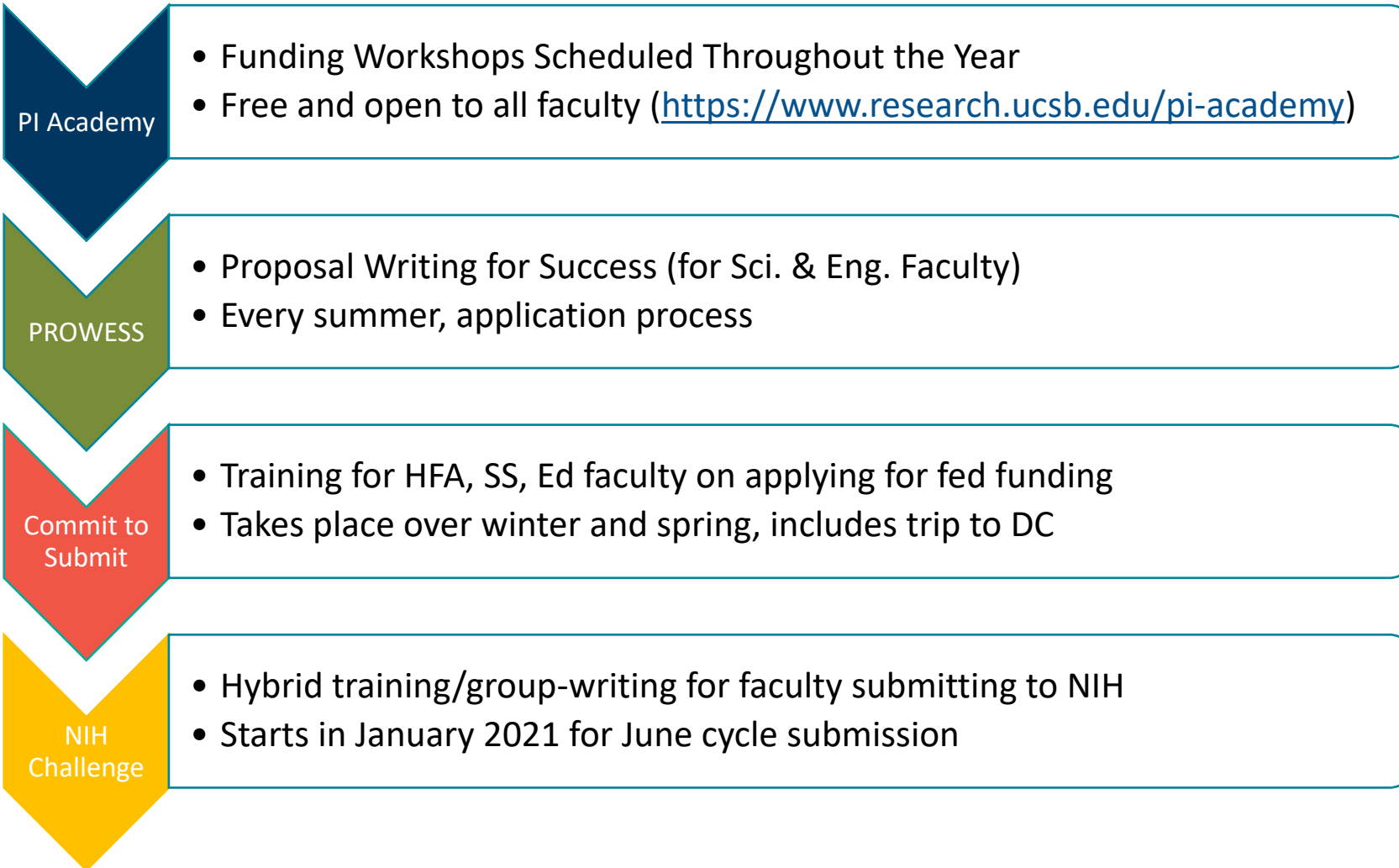


Proposal Development Assistance

- Before writing
 - Consultation on ideation to funding strategy
 - Information about funding agencies culture and priorities, specific funding opportunities, review processes, and program officers
- Proposal review and editing
 - Individual PIs
 - Content- based review of drafts
 - Fit with agency, solicitation, review criteria
 - Strategy, clarity, refining the message
 - Multi-Investigator proposals
 - Team-building
 - Coordination for proposal preparation: sections, supporting material, editing for consistency among multiple authors
 - Red Team reviews



Research Development Programming





Find Funding

Whether you need help finding funding for a new project or navigating a federal agency, we are here to help. Research Development provides resources for targeted funding searches and offers guidance on interacting with funders including foundations, corporations, or public agencies.

Search Tools



Pivot Funding Opportunities Database

Pivot provides a comprehensive database of funding opportunities worldwide and across all disciplines, as well as a flexible portfolio of tools to support research collaborations. Individual users can perform funding searches, create their own weekly email funding alert, save lists of funding opportunities, search for potential research colleagues on- or off-campus and match profiles to funding opportunities. Pivot is available to any UCSB faculty, staff, or students with an @ucsb.edu email address.

Contact [Kelly Pillsbury](#) for more information.

[Sign Up](#)

[Curated Funding Lists](#)

[Additional Funding Links](#)

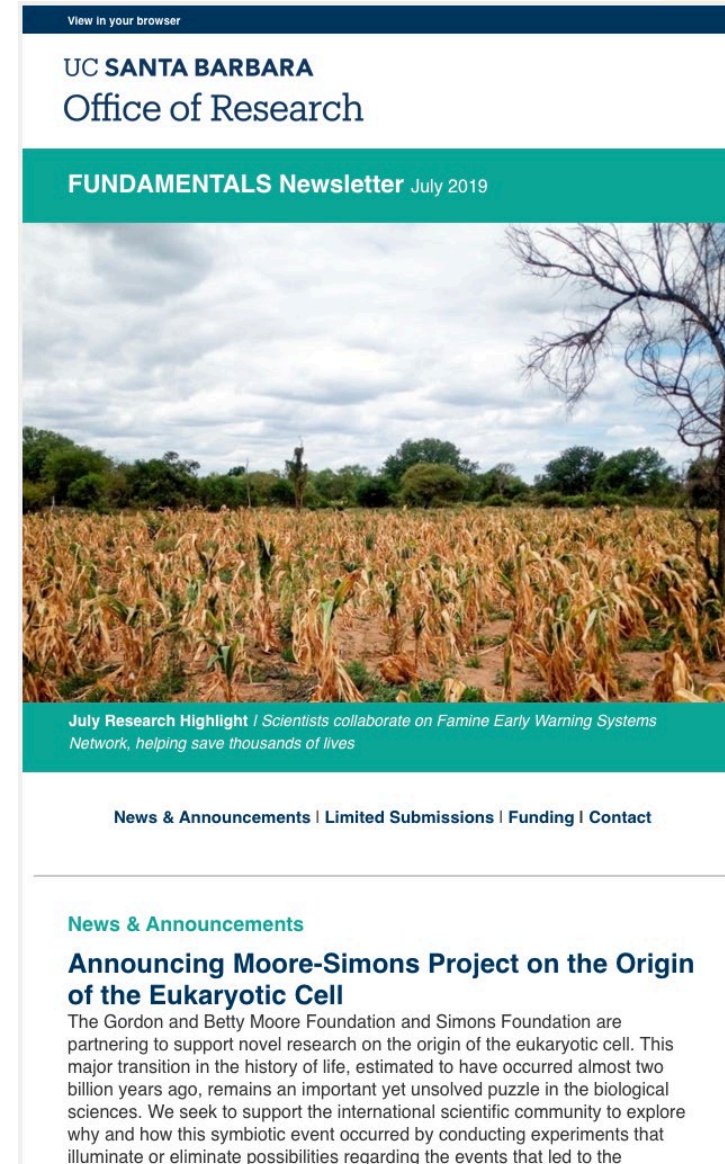


Funding Resources Newsletter

- Published monthly
 - Distributed monthly using Emma
 - Signup online on our webpage!
- Includes:
 - Campus and Agency News
 - Program Announcements
 - Recently Funded Proposals
 - Deadlines Calendar



Office of Research



Limited Submissions

UC SANTA BARBARA
Office of Research

About Research Development Sponsored Projects Research Integrity Institutes & Centers Project Lifecycle

Limited Submissions

Current Limited Submission Funding Opportunities

> [Go to Current Limited Submissions](#)

Limited Submission Guidelines and Procedures

Limited submissions are funding opportunities where the sponsor restricts the number of applications or proposals a campus can submit to the agency. The guidelines for these programs require institutions to screen pre-proposals or nominations to determine which applications will be submitted for competition.

PI Responsibilities

Faculty are responsible for conducting their own funding searches, tracking the limited submission opportunities that they are interested in, and notifying Research Development if they identify a limited submission opportunity that has not been listed on the [UCSB Internal Funding & Limited Submission Competitions](#) page. If you need guidance for how to do a funding search or a question about limited submission opportunities, please contact funding@research.ucsb.edu.

Once a faculty member is selected to apply for a specific limited submission opportunity, they have the responsibility to submit to that program by the designated deadline and to work with the appropriate administrative units within the University to prepare the best possible proposal. Once selected, the applicant has the responsibility to submit a timely application, barring serious, extenuating circumstances. Should a candidate need to decline a selection, Research Development must be notified via

Limited Submission Google Calendar

UCSB Limited Submissions	
Today	Sunday, February 7
Monday, February 8	
USDA EGP (campus deadline)	
Tuesday, February 9	
Packard (campus deadline)	
Wednesday, February 10	
NSF HSI (sponsor deadline)	
Thursday, February 11	
NEA Grants for Arts Projects (sponsor deadli	
Monday, February 15	
12:00am	Presidents' Day
Tuesday, February 16	
NSF QuIC-TAQS (campus deadline)	



Office of Research

InfoReady –Limited Submission System

UC SANTA BARBARA


Log In

Help

HOME

CALENDAR

Office of Research Internal Opportunities and Competitions



Competition Space

Welcome to UCSB's Competition Space, a centralized management system for limited submission programs, competitions, and other Office of Research internal opportunities.

Current limited submissions are listed below. The due date refers to the internal competition deadline.

Search:

Title	Due Date	Category	Award Cycle
		All	All
Johnson & Johnson Women in STEM2D Scholars Program (WiSTEM2D Scholars Program)	08/19/2019	Call for Letters of Intent	Open Until Filled (some spots available)
Moore Inventor Fellows Program	10/01/2019	Call for Letters of Intent	Open
NSF Advancing Informal STEM Learning (AISL) 17-573	08/29/2019	Call for Letters of Intent	Open Until Filled
Elizabeth Munsterberg Kopitz Child Psychology Graduate Student Fellowship	10/03/2019	Graduate Student Opportunity	Open
NSF Increasing the Participation and Advancement of Women in Academic Science and Engineering Careers (ADVANCE) 19-552	03/19/2019	Limited Submission	Closed
[HHMI] Inclusive Excellence Initiative (IE3) (Converted)	05/24/2019	Limited Submission (FY20)	Closed
Andrew W. Mellon Foundation New Directions Fellowship	07/29/2019	Limited Submission (FY20)	Closed
Bridges to the Baccalaureate Research Training Program (T34) PAR-19-299	07/18/2019	Limited Submission (FY20)	Open Until Filled

Additional Information and Resources

Limited Submissions

[See the full limited submission guidelines and procedures](#)

For questions regarding Limited Submissions or to alert Research Development of a limited submission, please contact Kelly Pillsbury at funding@research.ucsb.edu

Award Cycles

Open:

The competition is open and accepting applications.

Closed:

The internal deadline for applications and internal pre-proposals has passed. Applications are **not** being accepted.

Open Until Filled:

The internal deadline has passed, but there were no submissions. Proposals will be accepted on a first-come basis.

Bookmark this site:
<https://ucsb.infoready4.com/>

Tell your PIs: please add your expected administrative unit, as they will be notified too!

UC SANTA BARBARA

Other Resources...



Institutional Information

University of California, Santa Barbara

GIVEQUICK LINKS 🔽🔍 🔽

UC SANTA BARBARA

Office of Research

About

Research Development

Sponsored Projects

Research Integrity

Institutes & Centers

Project Lifecycle

Institutional Information

This page contains common institutional data required by sponsors and needed for proposals.

The Legal Name of the University	The Regents of the University of California
The Name of Our Campus	University of California, Santa Barbara
The Street Address (also for deliveries)	Office of Research University of California 3227 Cheadle Hall, 3rd floor Santa Barbara, CA 93106-2050
The Type of Performing Organization	1862 - Land Grant University (est. by US Dept of Ag)
Congressional District	24th





STATISTICS

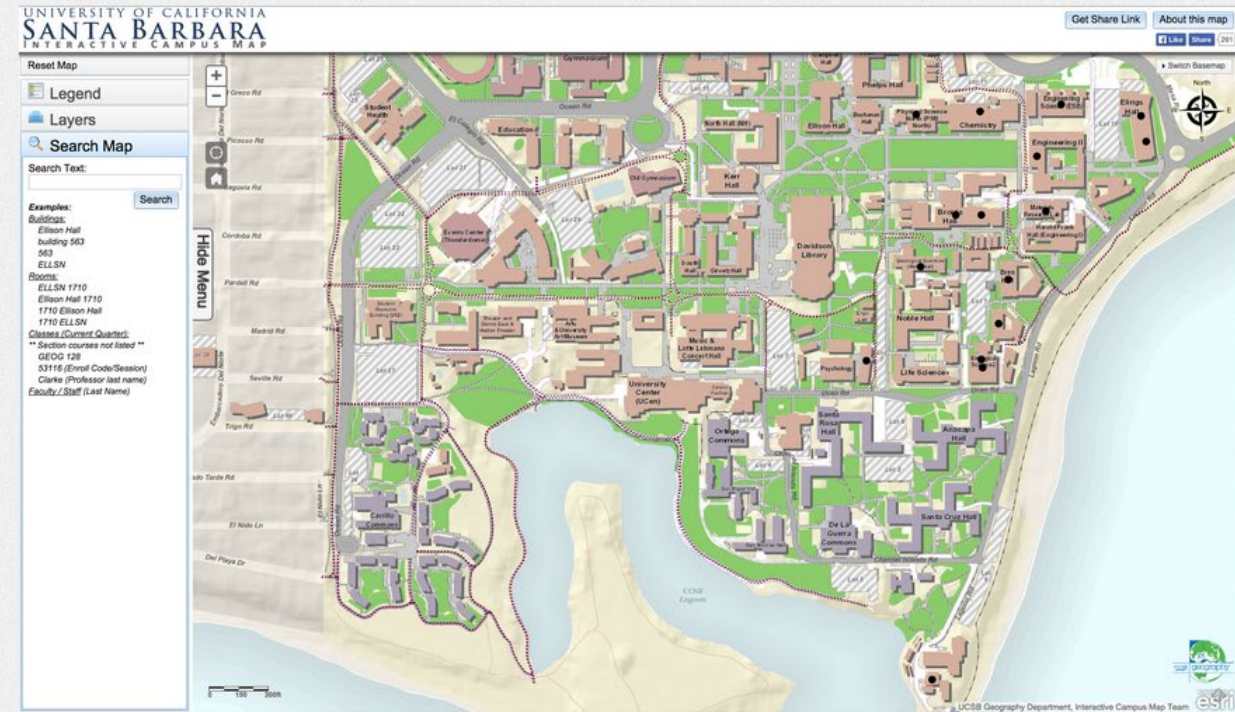
47 FACILITIES

293 INSTRUMENTS

RECENTLY ADDED INSTRUMENTS

- Gamma Counter
- TCSPC time-resolved photoluminescence

UCSB FACILITIES NETWORK



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UC Santa Barbara, Santa Barbara, CA 93106





Guidelines on the International Agreement Development Process

GlobalEngagement@UCSB is available to facilitate agreements between UC Santa Barbara and universities/institutions abroad. GlobalEngagement@UCSB facilitates the drafting of agreements, including memorandum of understanding (MOUs), while ensuring they adhere to guidelines developed by relevant campus offices. The campus requires that agreements specify a UC Santa Barbara faculty member who will be responsible for the negotiation, drafting of the agreement and administering projects, programs and exchanges developed through the partnership. Below you will find step-by-step information on the agreement development process.

1. If there is no agreement in place that may support the proposed collaboration, review the guidelines below and complete the [Questionnaire](#).

MOU and/or COLLABORATION QUESTIONNAIRE

The Office of Research (OR) and the Office of the EVC are charged with reviewing proposed collaborations to ensure compliance with University policy and procedures. The first step is for you, the faculty member initiating the collaboration, to complete this form. We will use the information you provide on this form to initiate the preparation and approval processes of an MOU and/or Collaboration Agreement.

A MOU or a Collaboration Agreement is for establishing relations between Institutions regarding collaboration of mutual goals. We will only review and approve international agreements where funds are not obligated. Any collaborations involving transfer of funds by one party to another should establish separate agreements in accordance with policies and procedures applicable to the specific transaction, which is outside the scope of GlobalEngagement@UCSB's responsibility.

All of the elements of your collaboration (i.e. who will be involved, what each person will be doing, where and when it will be done, how it will be done, etc.) will ultimately be combined into a MOU or Collaboration Agreement.

PART 1: PARTIES TO THE COLLABORATION

Responsible UCSB Faculty member



Undergraduate Research

UCSB UNDERGRADUATE EDUCATION / COLLEGE OF LETTERS & SCIENCE

[Home](#) / [General Advising](#) / [Pre-Professional Advising](#) / [Academic Programs](#) / [Honors](#) / [Research Opportunities](#) / [Transfer Students](#) / [International Students](#) / [Forms](#) / [Contact Us](#)

RESEARCH OPPORTUNITIES

Undergraduate research is a signature feature of the UC Santa Barbara experience. Students have the opportunity to initiate their own research projects with faculty mentorship. In addition, over 56% of UCSB undergraduates work with faculty, assisting them on innovative research in the humanities, social sciences, arts, and sciences. As a Minority Serving Institution, UCSB is dedicated to providing undergraduate research experiences that are inclusive of the sociocultural identities and intellectual interests of students from diverse backgrounds.

The Division of Undergraduate Education has 2 programs supporting undergraduate involvement in research: The [Faculty Research Assistance Program \(FRAP\)](#) and the [Undergraduate Research & Creative Activities \(URCA\) grant](#).



RESEARCH OPPORTUNITIES

Faculty Research Assistance Program (FRAP)

- About FRAP
- FRAP Directory
- FRAP Grant Application

Undergraduate Research and Creative Activities (URCA) Grant

- About the URCA Grant
- Proposal Information
- Sample Budgets
- Proposal Forms
- Mini Grant for Conferences
- Undergraduate Research & Creative Activities Journal

UCSB Undergraduate Research Colloquium

- About the Colloquium
- Entry Form
- Poster Guidelines
- Poster Samples
- Photo Gallery





UC SANTA BARBARA Office of Research

About

Research Development

Sponsored Projects

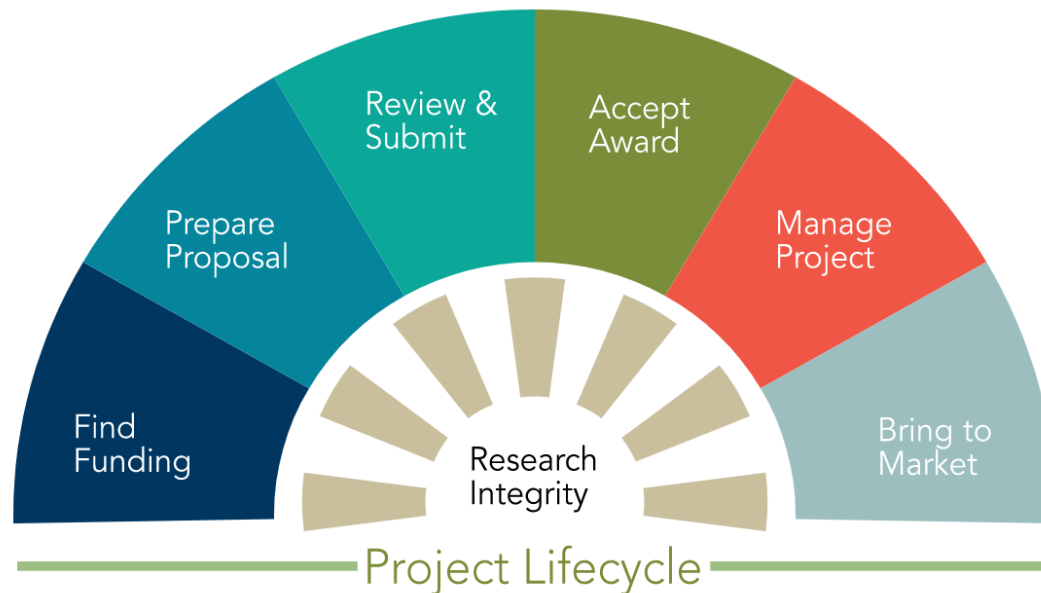
Research Integrity

Institutes & Centers

Project Lifecycle

[Office of Research](#) / Project Lifecycle

Project Lifecycle



Whether you're applying for, managing, or closing out an award, or looking to commercialize your invention, we've got you covered with the most up-to-date and accurate information.





The Distinct and Complementary Functions of RD and SPO

Research Development

- Content
- Strategy
- Research Design
- Formatting
- Fit with agency priorities
- Clarity and readability

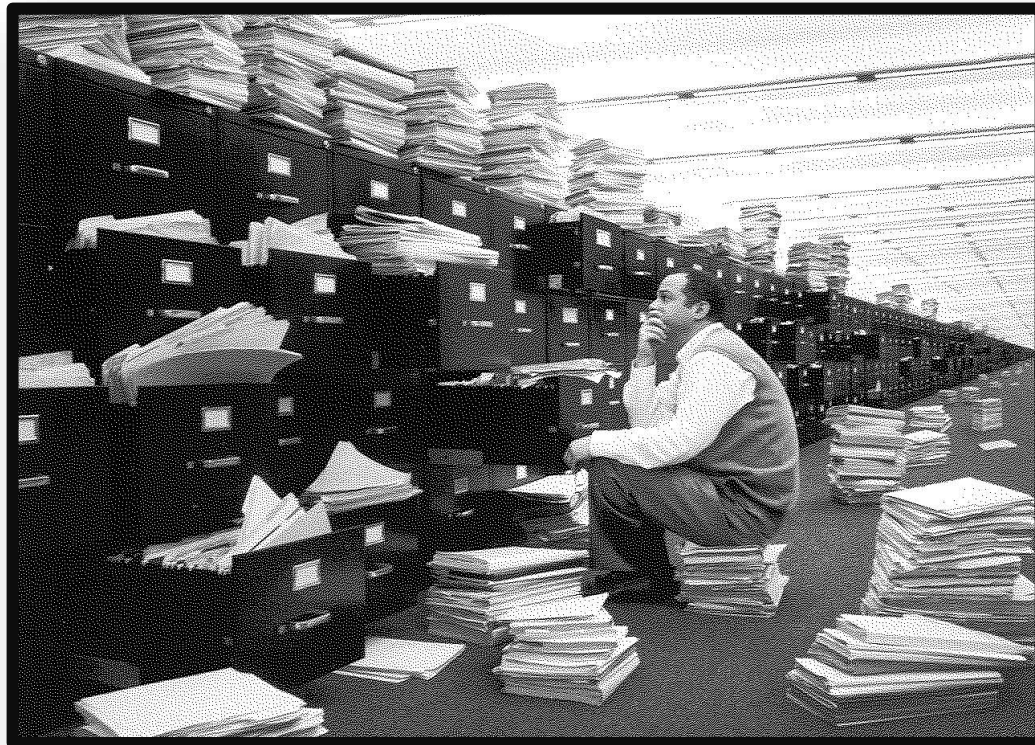
Sponsored Projects

- Regents' representative
- Compliance-Based Review
- Assures that University, state and federal policies as well as campus procedures are followed
- As time allows: Confirms sponsor proposal guidelines are followed
 - Formatting
 - Required sections
 - Required content





Come find us!



George Hopwood
3227 Cheadle Hall

hopwood@research.ucsb.edu



Maria Teresa Napoli
2710 Ellison Hall

napoli@research.ucsb.edu

research.ucsb.edu