

A photograph of the University of California, Berkeley campus at dusk. The image shows the Campanile tower on the left, a large modern building in the center, and a body of water in the foreground reflecting the lights. The sky is a deep blue with some clouds.

# STAR COURSE 1

January 18, 2023

## OVERVIEW CONTRACT & GRANT ADMINISTRATION

Jean Jones, Assistant Vice Chancellor for Research

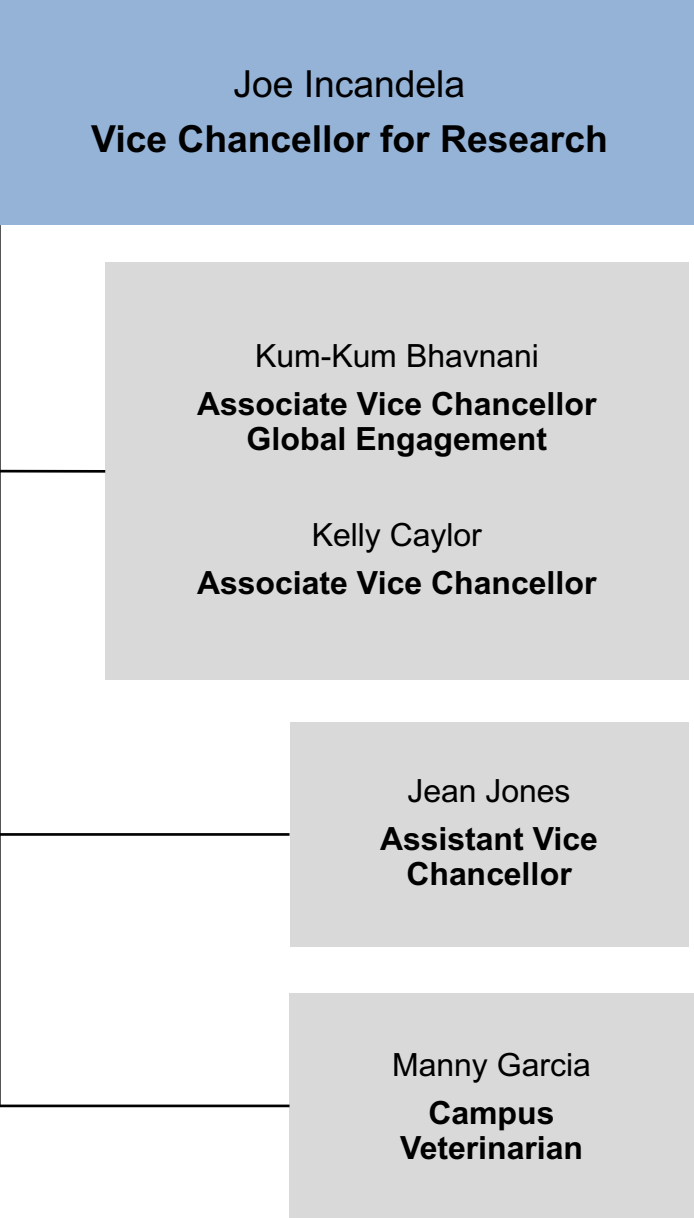
Maria Teresa Napoli, Director, Strategic Research Initiatives



**Jean Jones**  
Assistant Vice Chancellor  
Office of Research



**Maria Teresa Napoli**  
Director  
Strategic Research Initiatives  
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>**

# 2022 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, 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 series.
- Exceptions may be granted on a case-by-case basis. To request an exception or for any STAR program related questions, contact [training@research.ucsb.edu](mailto:training@research.ucsb.edu).
- The 2023 series will not be recorded.
- Please complete the evaluation, which will be emailed to registered participants via the UCLC.

## ADVANTAGES...

- Obtain baseline knowledge in key areas of contract and grant administration
- Enhance performance in existing position
- Support personal goal-setting and enhance promotional opportunities

# Contract & Grant Communications (CGLink)

The C&G Link is a Google group:

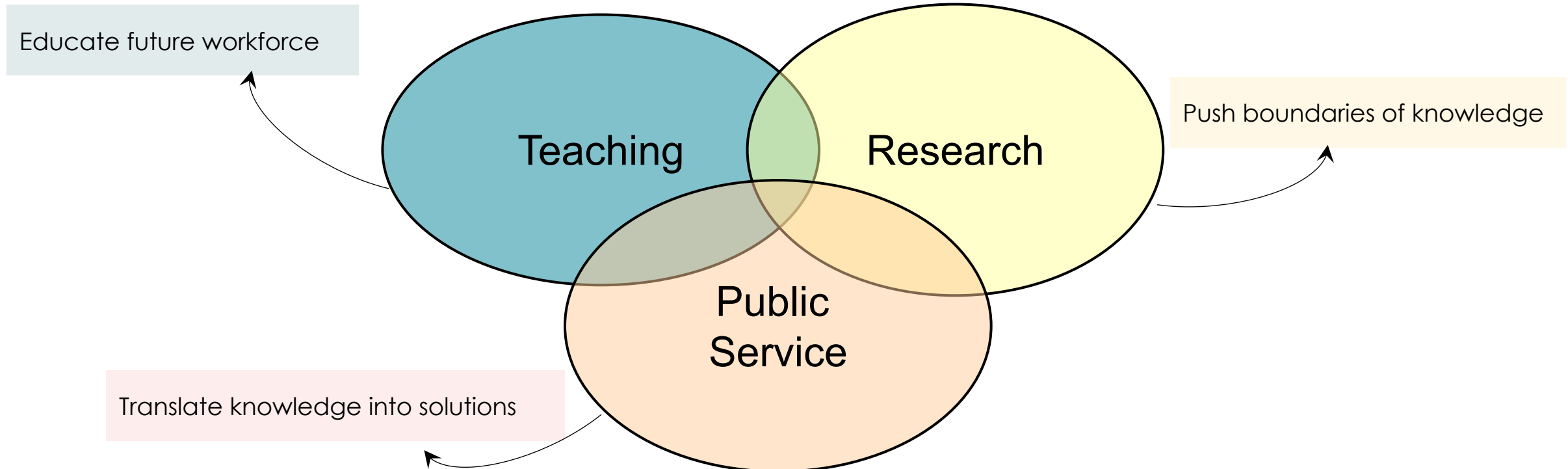
**[cglink@research.ucsb.edu](mailto:cglink@research.ucsb.edu)**

Members may view all conversations and threads over time, view list of members and set membership settings.

To join the group or for additional information about the listserv:

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

# The Office of Research Supports UCSB Mission

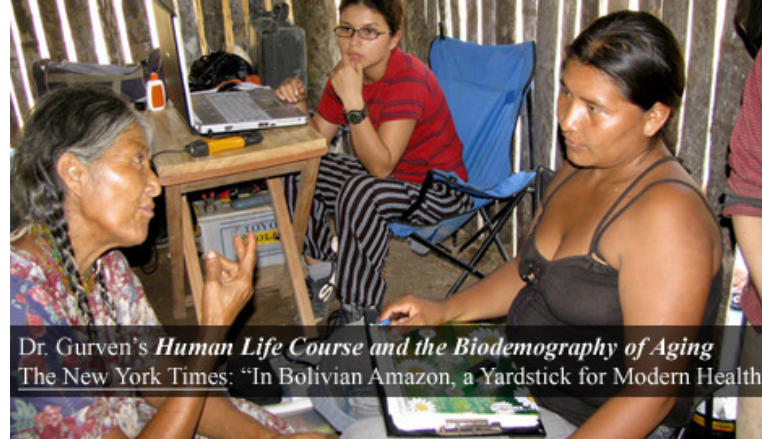


The Office of Research supports UC Santa Barbara's status as a top-tier research institution and helps catalyze our rich culture of research, innovation and collaboration.





# Research at UCSB Spans All Disciplines



## Points of pride:

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

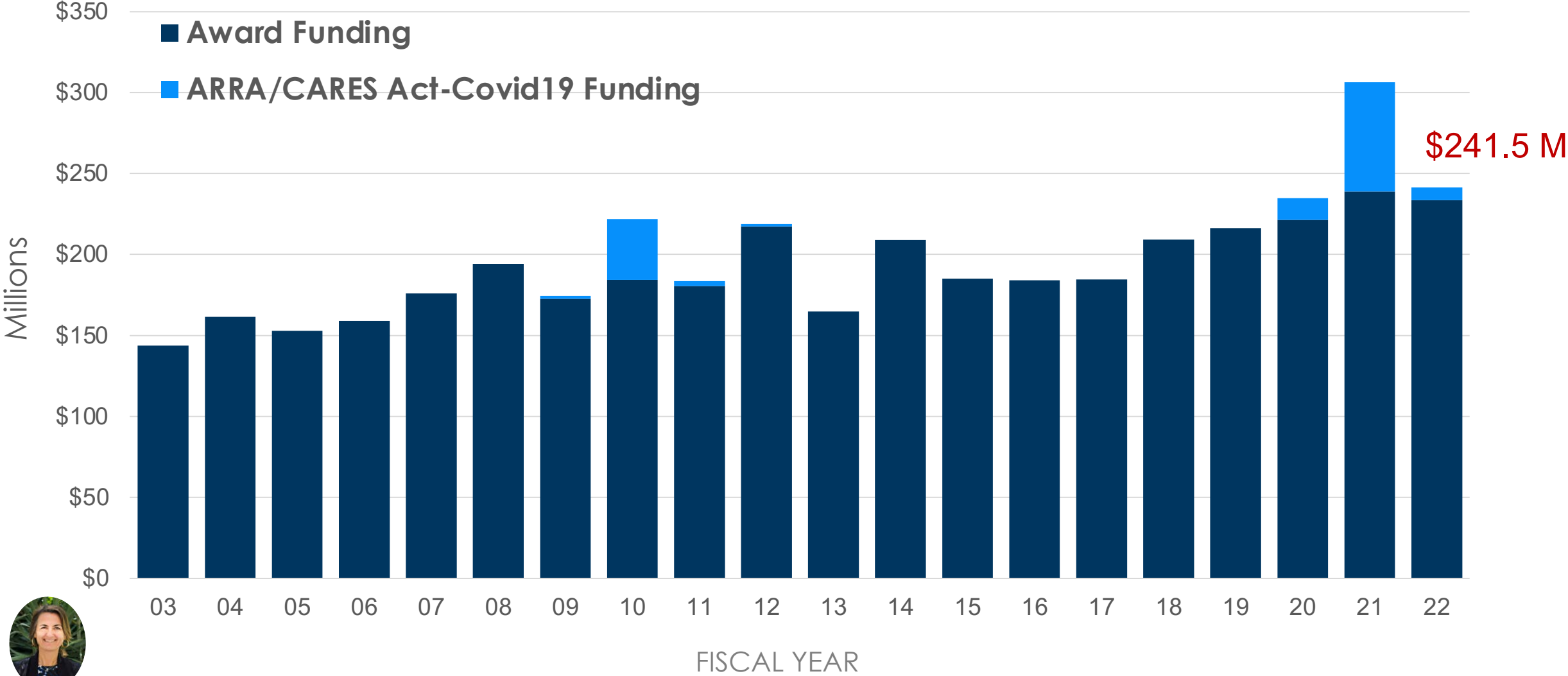


# Research Funding Comes from Many Sources

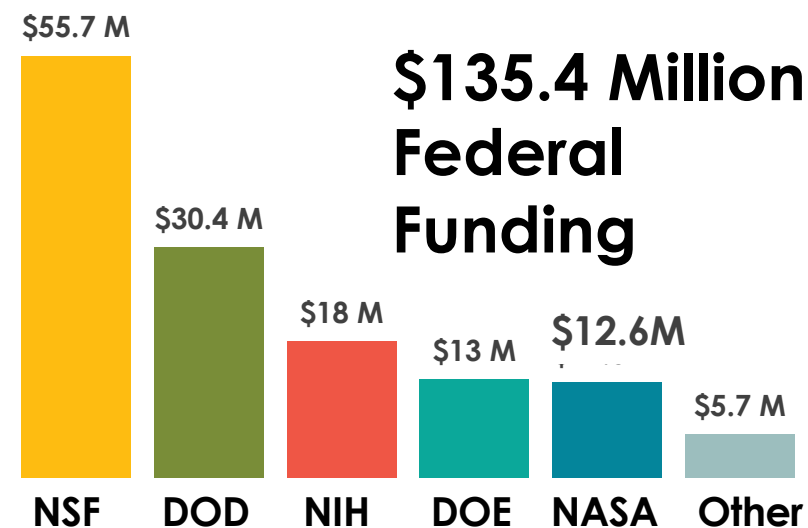
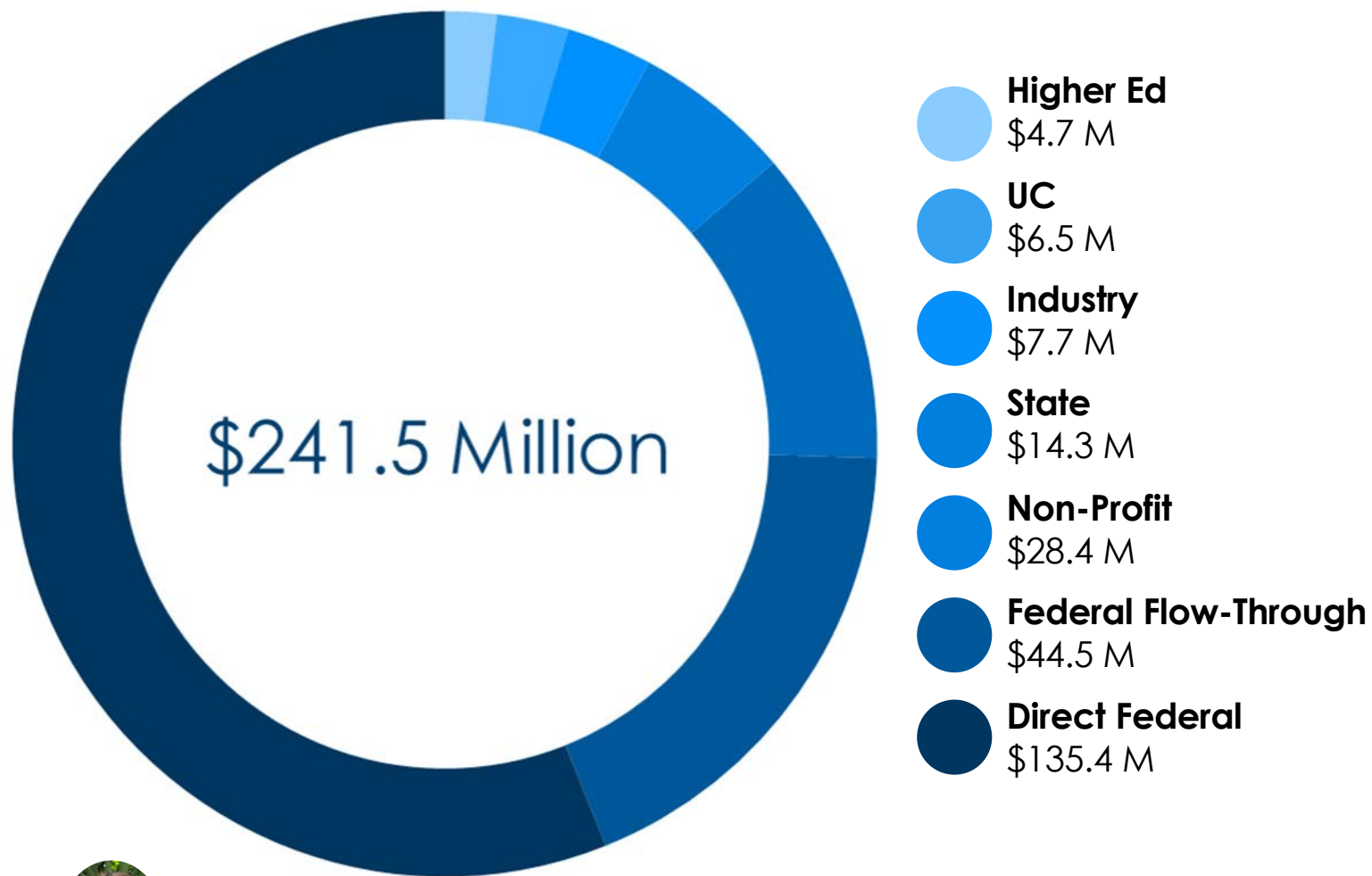
- Extramural Funding
  - Contracts, grants, cooperative agreements
    - Federal
    - State and local governments
    - Industry
    - Non-profit
- Intramural Funding
  - Academic Senate grants
  - UCOP funding
  - Start-up packages for faculty
- Development
  - Gifts (cash or in-kind)



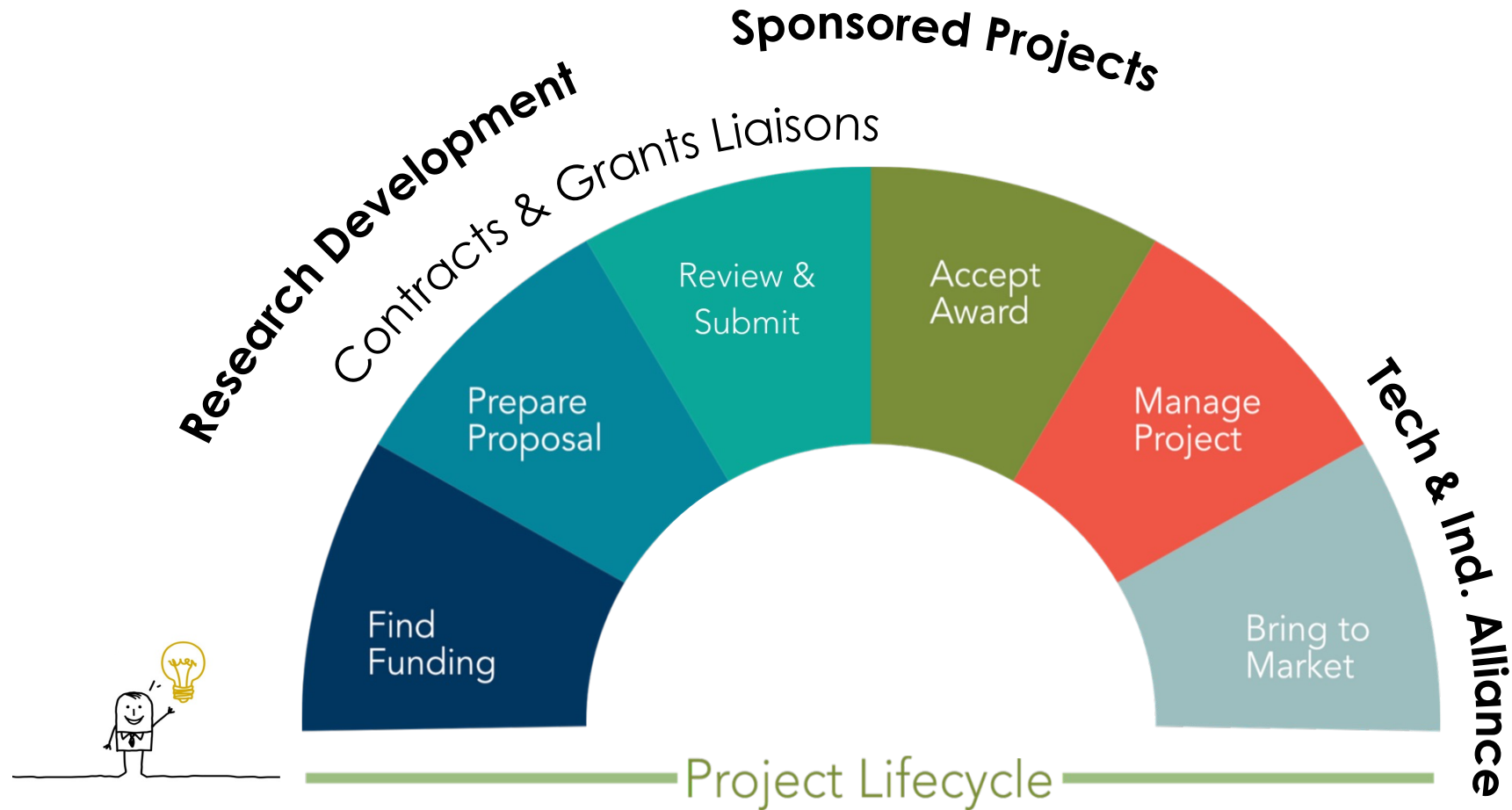
# Awards by Fiscal Year, 2003-2022



# FY22 Annual Extramural Funding



# Office of Research Supports Research Projects from Idea to Market





# Office of Research Website

UC SANTA BARBARA  
Office of Research

About Strategic Research Initiatives Sponsored Projects Research Integrity Institutes & Centers Global Engagement



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.

## At a Glance

Research facts and figures



Office of Research

**90+**  
**startups**

[Read more](#)

**Ranked**  
**6th**

[Read more](#)

**1 of 65**  
**members of the Association**  
**of American Universities**

[Read more](#)

## Links to:

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

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

UC SANTA BARBARA





Sponsored Projects




# Sponsored Projects Office (SPO)

University of California, Santa Barbara

GIVE QUICK LINKS Q

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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](#).

## 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 is assigned to a specific set of departments
- Teams review and authorize all proposals and contract and grant transactions on behalf of the university
- A Subawards Officer to handle all outgoing subawards
- ORBiT database houses proposals and awards



# The Partners and Their Roles & Responsibilities

Programmatic	Administrative	
Principal Investigator (with support from Department Liaison)	Sponsored Projects Officer  Sponsored Projects Analyst	University
Scientific Program Officer	Contract/Grants Officer Contract/Grants Specialist	Sponsor

# The Partners: University

- Principal Investigator

- Programmatic and financial design of proposal
- Conducts project in compliance with relevant UC and sponsor policies – including human and animal subjects, export control, conflict of interest, etc.
- Responsible for overall project activity: Technical, Fiscal and Administrative

- Submitting Unit (Department 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

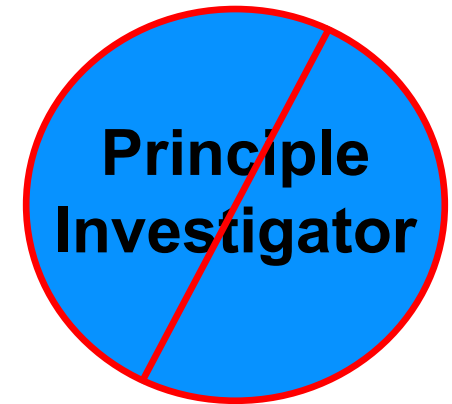
- Scientific/Program Officer
  - Receives and coordinates review of proposal
  - May be responsible for recommending proposals to be funded
  - Technical/Scientific point of contact at sponsoring entity
- Contract/Grant Officer and Contract/Grant Specialist
  - Negotiates & executes award on behalf of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

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

# Individuals Authorized to Sign for the University

The authority to submit proposals, and sign or accept awards on behalf of The Regents, resides with central administration:

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



# Principal Investigator (PI) Discussions with Sponsors

- The PI frequently has discussions with the sponsors prior to putting together a proposal for the purpose of:
  - determining whether the preparation of a formal proposal is warranted
  - clarifying aspects of an RFP
  - understanding funder priorities and scientific fit
- The PI does not have authority to agree to:
  - the terms of a contract or grant, or any modification of existing terms
  - established institutional costs

# Types of External Funding



# What is the Difference?

## Gifts:

- No end date, unrestricted
- Funder claims no intellectual property (IP) or audit rights
- Irrevocable
- No obligations to donor other than courtesy updates

## Grants/Contracts:

- End date
- May require IP rights; defines audit standards and other conditions
- Revocable
- Defines deliverables (e.g., technical or financial report, milestones)

# What is the Difference?

## Grant

- Financial Assistance
- PI's idea and scope of work
- Peer-reviewed
- Budget flexibility
- Project status report

## Contract

- Purchase of goods or services
- Funder directs the scope of work
- Competitive/lowest bid
- Little budget flexibility
- Defined deliverables and completion milestones



# What is the Difference? cont...

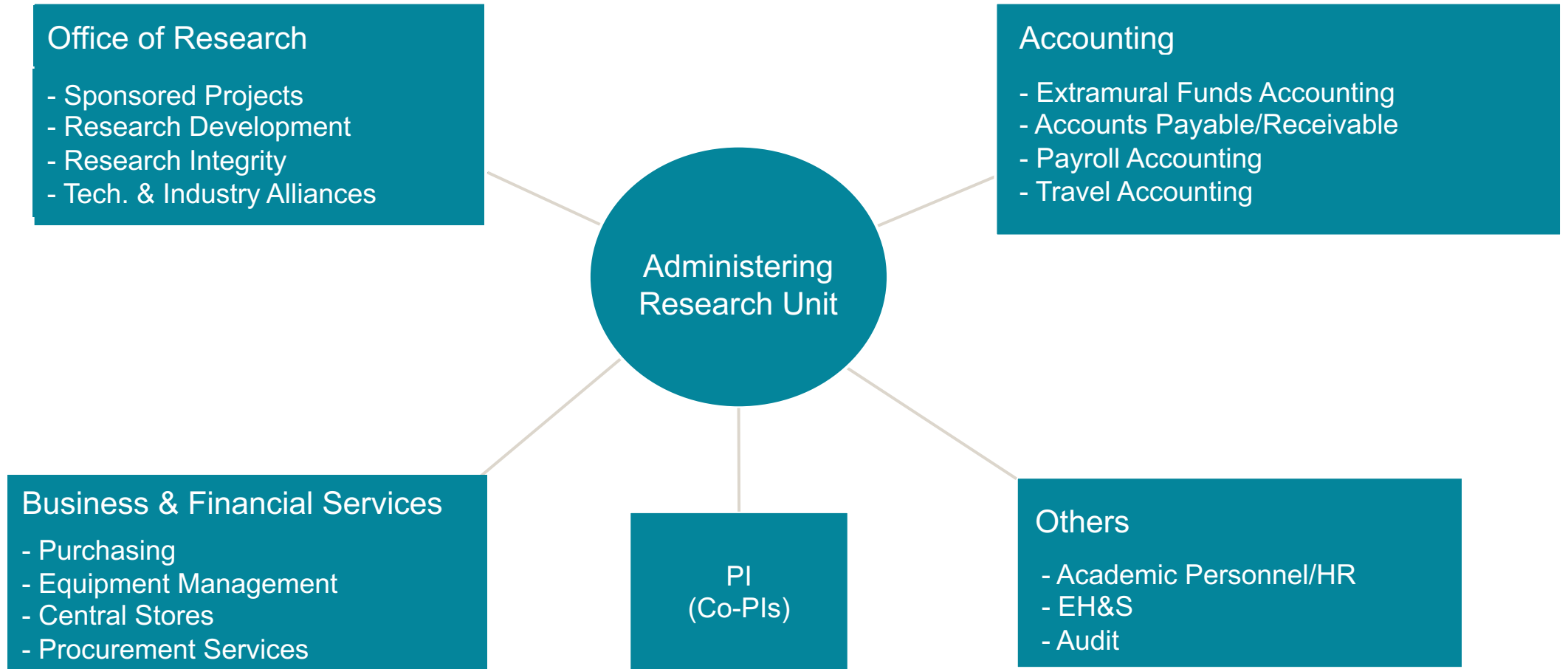
## Grant:

- Typically awarded one year at a time, with future periods defined
- Standard terms and conditions
- Payment upon award, or draw down from funder as expended

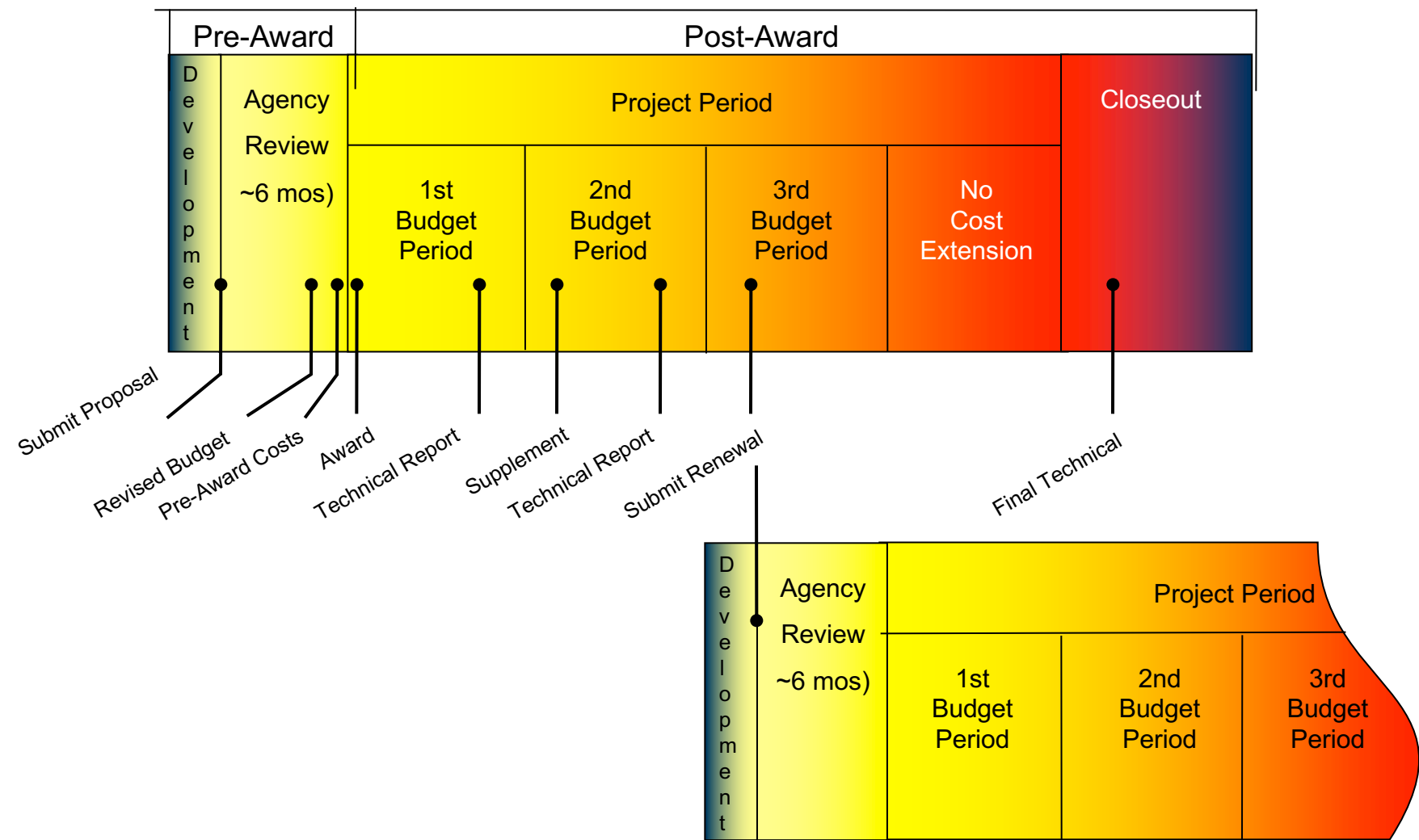
## Contract:

- Typically incrementally funded, payment upon milestone completion
- Stringent terms and conditions
- Cost-reimbursement or fixed price

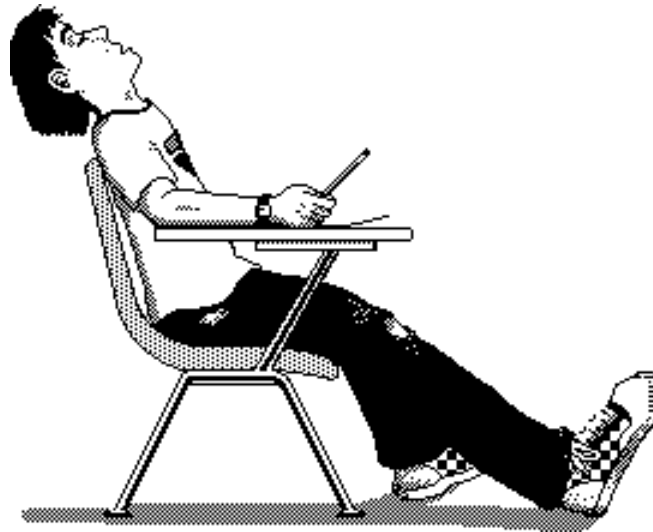
# Campus Interactions



# Lifecycle of a Proposal/Award



# Take 5





# Strategic Research Initiatives



# 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



**Maria Napoli**

Science & Engineering



**Danielle Chandler**

Science & Engineering



**Leigh Anne Riedman**

Science & Engineering



**Barbara Walker**

Social Sciences, Humanities,  
Fine Arts, Education



**Melissa Bator**

Social Sciences, Humanities,  
Fine Arts, Education





# 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



**Leigh Anne Riedman**

Science & Engineering



**Barbara Walker**

Social Sciences, Humanities,  
Fine Arts, Education



**Melissa Bator**

Social Sciences, Humanities,  
Fine Arts, Education



**Kelly Pillsbury**

Analyst



**Meghan McDonald**

Analyst



# Strategic Research Initiatives

UC SANTA BARBARA  
Office of Research

[About](#) [Strategic Research Initiatives](#) [Sponsored Projects](#) [Research Integrity](#) [Institutes & Centers](#) [Global Engagement](#)



[Office of Research](#) / [Strategic Research Initiatives](#) / [Overview](#)

## Strategic Research Initiatives (SRI)

Strategic Research Initiatives (SRI) works with faculty to effectively secure extramural funding, from early career fellowships to large center grants. Our support services include:

- Helping faculty find relevant funding opportunities for their research.
- Working directly with faculty to support effective proposal writing and development.
- Coordinating and facilitating research teams in their pursuit of large interdisciplinary funding opportunities.
- Providing proposal-related training and professional development for faculty and postdoctoral researchers.
- Working with campus departments and offices to streamline the proposal submission process.



Office of Research

### Links to:

- [SRI Overview](#)
- [Finding Funding](#)
- [Limited Submissions](#)
- [Resources](#)
- [Workshops and Events](#)
- [Announcements](#)
- [Newsletters](#)

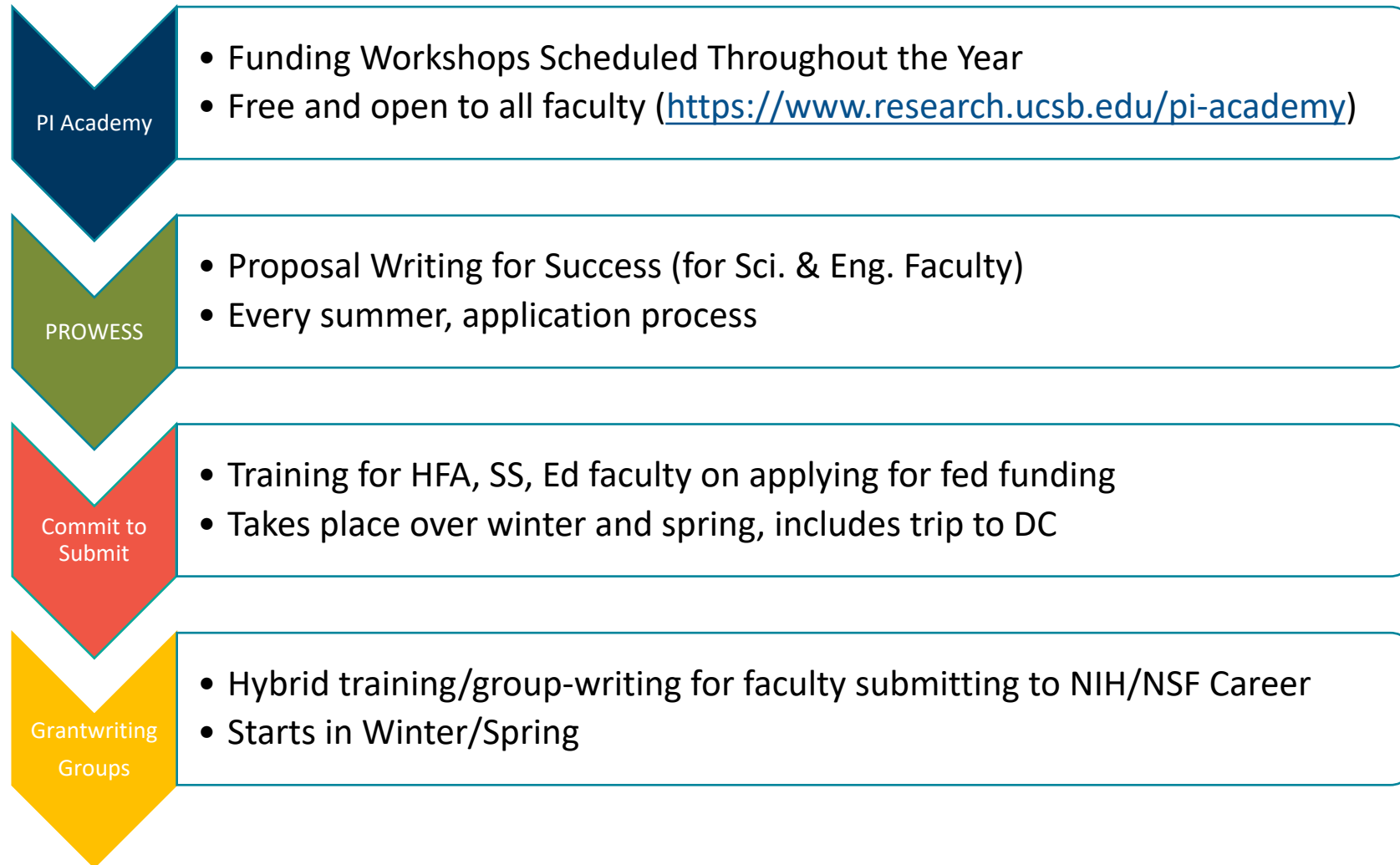
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# Proposal Development Assistance

- 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



# Strategic Research Initiatives: Programming





# Strategic Research Initiatives: Resources

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Office of Research

[About](#) [Strategic Research Initiatives](#) [Sponsored Projects](#) [Research Integrity](#) [Institutes & Centers](#) [Global Engagement](#)

[Office of Research](#) / [Strategic Research Initiatives](#) / Proposal Development Resources

## Proposal Development Resources

Here you can find a collection of resources and data that may be useful in the writing and development of your proposal.

### Connect with the Team

Strategic Research Initiatives provides resources and information to assist faculty with developing quality, competitive proposals. We are available to consult on agency fit, proposal narrative elements, give proposal reviews, and answer other program-related questions. Please contact a member of our team for additional support.

To request a review of your proposal draft, contact:

- Social Science, Humanities, Fine Arts & Education  
[hasse@research.ucsb.edu](mailto:hasse@research.ucsb.edu)
- Science, Technology, Engineering & Mathematics  
[stem@research.ucsb.edu](mailto:stem@research.ucsb.edu)

#### QUICK LINKS

[Proposal Writing](#)  
[Sample Proposals](#)  
[Facilities](#)  
[Data Management Plans](#)  
[Broader Impacts](#)  
[Serving as a Reviewer](#)  
[UCSB Data](#)

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

## Find Funding

Strategic Research Initiatives provides resources for targeted funding searches and offers guidance on interacting with funders including foundations, corporations, or public agencies.

### Find Funding



#### 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 collaboration.



#### Limited Submissions

Strategic Research Initiatives is responsible for coordinating the internal review and selection of competing proposals for institutionally limited funding opportunities.



#### Funding for Junior Faculty

Curated programs and awards intended for faculty, usually with the rank of Assistant Professor.



#### Instrumentation

Many federal funding agencies periodically release funding opportunities to support the acquisition or development of research instrumentation. SRI has assembled a compilation of known Instrumentation Funding Opportunities from NSF, NIH, DOD, DOE, and NASA.



#### Funding for Humanities, Fine Arts, Social Science, Education

There are a variety of Humanities, Arts, Social Sciences, and Education (HASSE) Funding Opportunities commonly awarded to UCSB faculty members.



#### Mid-Career

There is a growing number of funding opportunities, from both Federal Agencies and Foundations, that offer mid-career faculty the chance to acquire and build new skills or pursue new and bold research directions to enhance and advance their research program.

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



# 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



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# 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](mailto: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


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[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
<a href="#">Johnson &amp; Johnson Women in STEM2D Scholars Program (WiSTEM2D Scholars Program)</a>	08/19/2019	Call for Letters of Intent	Open Until Filled (some spots available)
<a href="#">Moore Inventor Fellows Program</a>	10/01/2019	Call for Letters of Intent	Open
<a href="#">NSF Advancing Informal STEM Learning (AISL) 17-573</a>	08/29/2019	Call for Letters of Intent	Open Until Filled
<a href="#">Elizabeth Munsterberg Koppitz Child Psychology Graduate Student Fellowship</a>	10/03/2019	Graduate Student Opportunity	Open
<a href="#">NSF Increasing the Participation and Advancement of Women in Academic Science and Engineering Careers (ADVANCE) 19-552</a>	03/19/2019	Limited Submission	Closed
<a href="#">[HHMI] Inclusive Excellence Initiative (IE3) (Converted)</a>	05/24/2019	Limited Submission (FY20)	Closed
<a href="#">Andrew W. Mellon Foundation New Directions Fellowship</a>	07/29/2019	Limited Submission (FY20)	Closed
<a href="#">Bridges to the Baccalaureate Research Training Program (T34) PAR-19-299</a>	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](mailto:funding@research.ucsb.edu)

Award Cycles

Open:

The competition is open and accepting applications.

Closed:

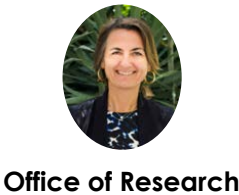
The internal deadline for applications and internal pre-proposals has passed. Applications are **not** being accepted.

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!



# 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

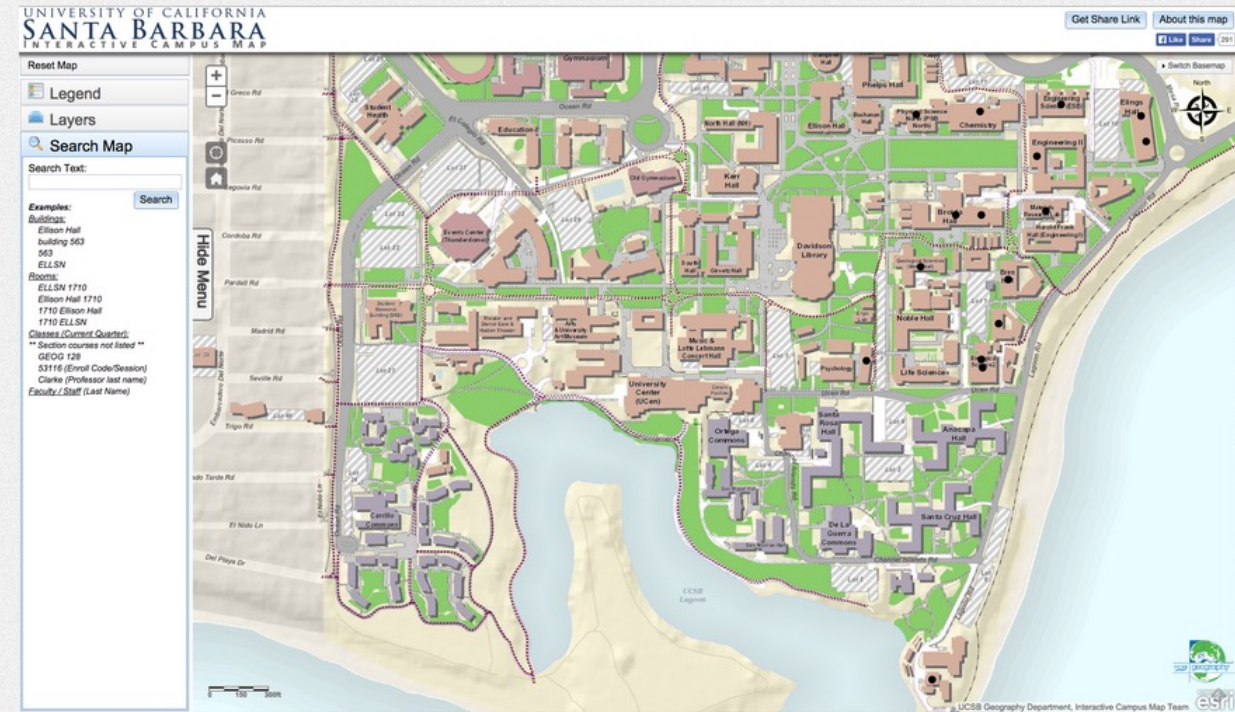
47 FACILITIES

293 INSTRUMENTS

## RECENTLY ADDED INSTRUMENTS

- Gamma Counter
- TCSPC time-resolved photoluminescence

## UCSB FACILITIES NETWORK



[Read more](#)

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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**

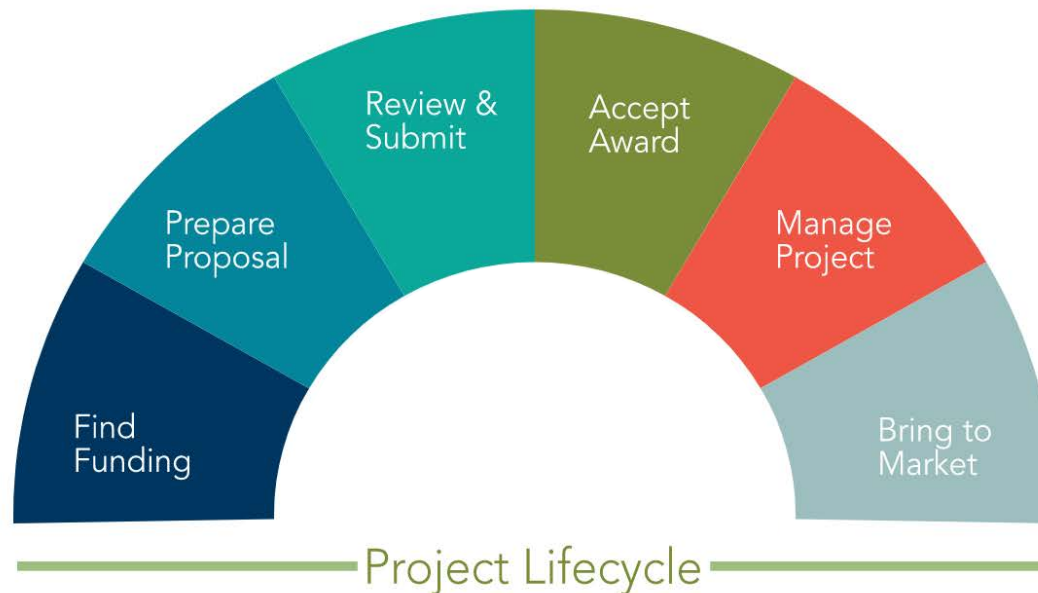
- About the Colloquium
- Entry Form
- Poster Guidelines
- Poster Samples
- Photo Gallery



## 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 SRI and SPO

## Research Development

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

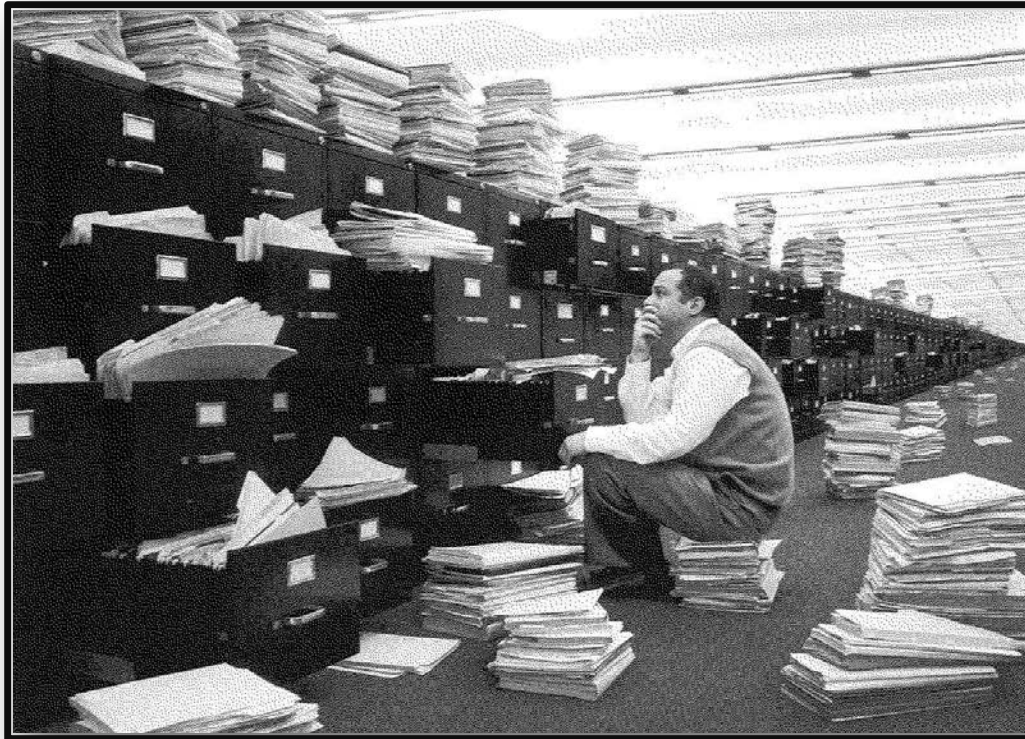
## Sponsored Projects

- 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!



**Sponsored Projects**  
**3227 Cheadle Hall**

[https://www.research.ucsb.edu  
u/sponsored-projects-teams](https://www.research.ucsb.edu/u/sponsored-projects-teams)



**Maria Teresa Napoli**  
**2710 Ellison Hall**

[napoli@research.ucsb.edu](mailto:napoli@research.ucsb.edu)

[research.ucsb.edu](https://research.ucsb.edu)