OVERVIEW

CONTRACT & GRANT ADMINISTRATION

Jim Fong, Director, Sponsored Projects Office
Maria Teresa Napoli, Director, Strategic Research Initiatives

STAR COURSE 1
January 17, 2024
STAR Program

Sponsored Projects Training for Administrators in Research

For course descriptions and schedules please visit:
https://www.research.ucsb.edu/star-class
2024 STAR Program Schedule

Overview of C&G Administration
Cost Principles and Cost Accounting Standards
Proposal Budget Preparation
Introduction to Proposal Submission

Subawards
Negotiation & Acceptance of Awards – Sponsored Projects, Gifts, Procurement Contracts
Financial Management
Post-Award Administration

Research Administration & Compliance I
Research Compliance II
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.

• The 2024 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

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 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
- 43 AAAS Fellows
- 26 Nat. Acad. Eng.
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)
FY23 Annual Extramural Funding

Total Awards $257.6 M

- Higher Ed $4.1 M
- UC $4.9 M
- Industry $7.3 M
- State $7.4 M
- Non-Profit $27.4 M
- Federal Flow-Through $34.7 M
- Direct Federal $171.8 M

$171.8 Million Federal Funding

- NSF $71.8M
- DOD $47M
- DOE $12.4M
- NASA $5.4M
- NIH $4.1M
- Other $9.4M

Office of Research

UC SANTA BARBARA
Office of Research Supports Research Projects from Idea to Market

Project Lifecycle

- Find Funding
- Prepare Proposal
- Review & Submit
- Accept Award
- Manage Project
- Bring to Market
- Tech & Ind. Alliance
- Contracts & Grants Liaisons
- Research Development

UC SANTA BARBARA
Office of Research Website

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

- 90+ startups
- Ranked 6th
- 1 of 71 members of the Association of American Universities

Links to:
- General Office Information
- Strategic Research Initiatives
- Sponsored Projects
- Research Integrity
- Institutes and Centers
- Project Lifecycle

https://www.research.ucsb.edu/
Sponsored Projects Office (SPO)

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

- Each department is assigned one Officer and one Analyst
- Teams review and authorize all proposals and contract and grant transactions on behalf of UCSB
- A Subawards Officer to handle all outgoing subawards
- ORBiT database houses proposals and awards
## The Partners and Their Roles & Responsibilities

<table>
<thead>
<tr>
<th>Programmatic</th>
<th>Administrative</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal Investigator</td>
<td>Sponsored Projects Officer</td>
</tr>
<tr>
<td>(with support from Department Liaison)</td>
<td>Sponsored Projects Analyst</td>
</tr>
<tr>
<td>Scientific Program Officer</td>
<td>Contract/Grants Officer</td>
</tr>
<tr>
<td></td>
<td>Contract/Grants Specialist</td>
</tr>
</tbody>
</table>

University

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

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</table>
The Partners: University

- 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
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
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

- Sponsored Projects and/or Technology & Industry Alliances
- Gifts
- Grants
- Contracts

Institutional Advancement (Development)
## What is the Difference?

<table>
<thead>
<tr>
<th>Grants &amp; Contracts:</th>
<th>Gifts:</th>
</tr>
</thead>
<tbody>
<tr>
<td>End date</td>
<td>No end date, unrestricted</td>
</tr>
<tr>
<td>May require IP rights; defines audit standards and other conditions</td>
<td>Funder claims no intellectual property (IP) or audit rights</td>
</tr>
<tr>
<td>Revocable</td>
<td>Irrevocable</td>
</tr>
<tr>
<td>Defines deliverables (e.g., technical or financial report, milestones)</td>
<td>No obligations to donor other than courtesy updates</td>
</tr>
</tbody>
</table>
What is the Difference?

**Grants:**
- Financial Assistance
- PI’s idea and scope of work
- Peer-reviewed
- Budget flexibility
- Project status report

**Contracts:**
- 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?

**Grants:**
- 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

**Contracts:**
- Typically incrementally funded, payment upon milestone completion
- Stringent terms and conditions
- Cost-reimbursement or fixed price
Accept Award – Principles Regarding Rights to Future Research Results

- Open Dissemination of Research Results and Information
- Commitment to Students
- Accessibility for Research Purposes
- Public Benefit
- Informed Participation
- Legal Integrity and Consistency
- Fair Consideration for University Research Results
- Objective Decision-Making
Award & Post-Award Stage

**Department Liaison:**
- Coordinates with SPO Team to provide information/confirmations required for their review of award
- Will help PI manage award during life of award
- Keeps PI updated on expenditures throughout the life of the award
- Coordinates with SPO Team for any prior approval requirements during life of award
- Helps PI with timely close out of award

**Sponsored Projects**
- Ensures award terms comply with University policy & Sponsor’s requirements
- Works closely with the dept. administrator, PI, and Sponsor Contracting Officer as needed
- Delegated to review, negotiate and execute awards on behalf of the institution
- Reviews and endorses requests for pre and post award actions that require sponsor’s prior approval
Campus Interactions

Office of Research
- Sponsored Projects
- Research Development
- Research Integrity
- Tech. & Industry Alliances

Business & Financial Services
- Purchasing
- Equipment Management
- Central Stores
- Procurement Services

Accounting
- Extramural Funds Accounting
- Accounts Payable/Receivable
- Payroll Accounting
- Travel Accounting

Others
- Academic Personnel/HR
- EH&S
- Audit

Administering Research Unit

PI (Co-PIs)
UCSB Strategic Research Initiatives 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

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.

Links to:

- SRI Overview
- Finding Funding
- Limited Submissions
- Resources
- Workshops and Events
- Announcements
- Newsletters
Our Mission is to Provide Faculty with Resources to Develop Strong Proposals

• We work with faculty from idea to proposal:
  • Proposal Development
  • Faculty Training
  • Strategic initiatives
  • Other activities: funding, limited submissions, newsletter
  • NEW: Honorific Awards

• Target Audience: All campus researchers, emphasis on Junior Faculty and Multidisciplinary/Multi-investigator Proposals
Proposal Development Assistance

• Before writing
  • Consultation on ideation to funding strategy
  • 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
  • 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

• **PI Academy**
  - Funding Workshops Scheduled Throughout the Year
  - Free and open to all faculty (https://www.research.ucsb.edu/pi-academy)

• **PROWESS**
  - Proposal Writing for Success (for Sci. & Eng. Faculty)
  - Every summer, application process

• **NIH/NSF Training Groups**
  - Hybrid training/group-writing for faculty submitting to NIH/NSF Career
  - Starts in Winter/Spring

• **FUNDamentals**
  - Training for HFA, SS, Ed faculty on applying for fed funding
  - Takes place over winter and spring, includes trip to DC

• **Write to Unite**
  - Provides spaces, resources, and tools to increase scholarly writing and research productivity, including write on site sessions, workshops, and retreats
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
- Science, Technology, Engineering & Mathematics
  stem@research.ucsb.edu

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.

Curated Searches, Funding Lists and Additional Links

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
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 a timely application, barring serious, extenuating circumstances. Should a candidate need to decline a selection, Research Development must be notified via
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:**

<table>
<thead>
<tr>
<th>Title</th>
<th>Due Date</th>
<th>Category</th>
<th>Award Cycle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Johnn &amp; Johnson Women in STEMMID Scholars Program (WISTEMID Scholars Program)</td>
<td>06/19/2019</td>
<td>Call for Letters of Intent</td>
<td>Open Until Filled (some spots available)</td>
</tr>
<tr>
<td>Moore Inventor Fellows Program</td>
<td>10/01/2019</td>
<td>Call for Letters of Intent</td>
<td>Open</td>
</tr>
<tr>
<td>NSF Advancing Informal STEM Learning (AISE) 17-073</td>
<td>08/22/2019</td>
<td>Call for Letters of Intent</td>
<td>Open Until Filled</td>
</tr>
<tr>
<td>Elizabeth Munsterberg Knopoff Child Psychology Graduate Student Fellowship</td>
<td>10/03/2019</td>
<td>Graduate Student Opportunity</td>
<td>Open</td>
</tr>
<tr>
<td>NSF Increasing the Participation and Advancement of Women in Academic Science and Engineering Careers (ADVANCE) 19-062</td>
<td>09/19/2019</td>
<td>Limited Submission</td>
<td>Closed</td>
</tr>
<tr>
<td>[IHME] Inclusive Excellence Initiative (IEI)</td>
<td>09/24/2019</td>
<td>Limited Submission</td>
<td>Closed</td>
</tr>
<tr>
<td>Andrew W. Mellon Foundation New Directions Fellowship</td>
<td>07/22/2019</td>
<td>Limited Submission</td>
<td>Closed</td>
</tr>
<tr>
<td>Bridgestone to the Baccus-L.onreadystatechange Research Training Program (T35) PAR-15-220</td>
<td>07/18/2019</td>
<td>Limited Submission</td>
<td>Open Until Filled</td>
</tr>
</tbody>
</table>

**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 Pilastro 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/](https://ucsb.infoready4.com/)

Tell your PIs: please add your expected administrative unit, as they will be notified too!
Other Resources...
Institutional Information

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

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

49 FACILITIES
200 INSTRUMENTS

RECENTLY ADDED INSTRUMENTS
- Inspection, Test and Characterization
- Packaging

http://www.sharedinstrumentation.ucsb.edu/
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 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.

https://www.duels.ucsb.edu/research
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.

https://www.research.ucsb.edu/project-lifecycle
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!

Jim Fong  
3227 Cheadle Hall  
fong@research.ucsb.edu

Maria Teresa Napoli  
2710 Ellison Hall  
napoli@research.ucsb.edu

research.ucsb.edu