### STAR COURSE 1

January 17, 2024

### OVERVIEW CONTRACT & GRANT ADMINISTRATION

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

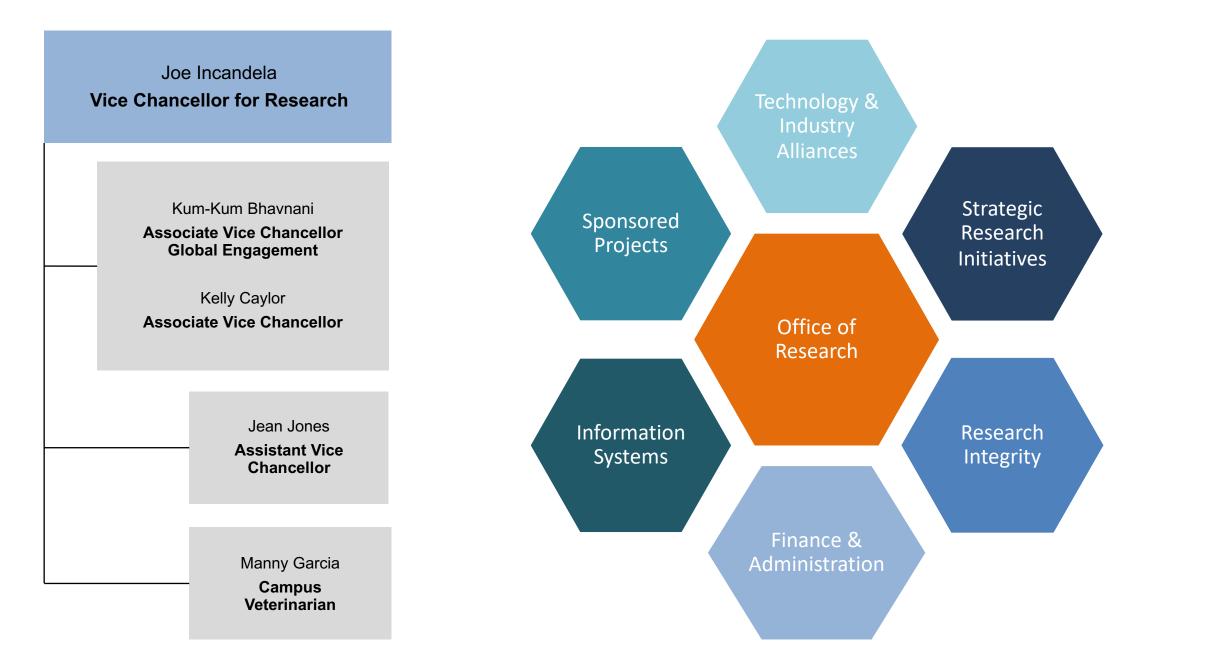
THE NUMBER





### Jim Fong Director Sponsored Projects Office

Maria Teresa Napoli Director Strategic Research Initiatives Science and Engineering





### <u>**S**</u>ponsored Projects <u>**T**</u>raining for <u>**A**</u>dministrators in <u>**R**</u>esearch



### 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			al Budget aration	Introduction to Proposal Submission
Subawards	Negotiation & Acceptance of Awards – Sponsored Projects, Gifts, Procurement Contracts		Financial N	lanagement	Post-Award Administration
	dministration pliance I	Research Co	ompliance II		th Industry & al 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 <u>training@research.ucsb.edu</u>.
- 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

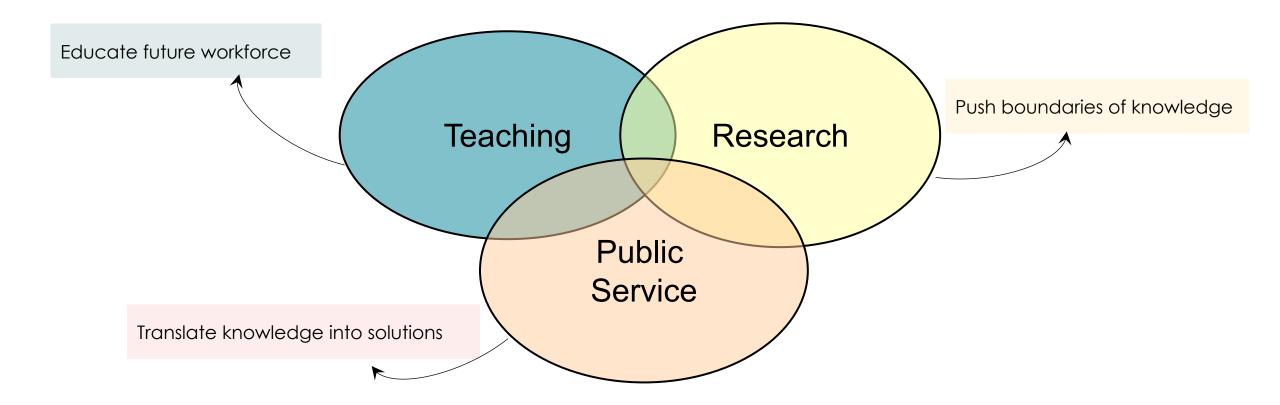
Members may view all conversations and threads over time, view list of members and set membership settings.

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

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



# The Office of Research Supports 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.

#### **Office of Research**

### **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.
- 37 Am. Acad. Arts & Sci.



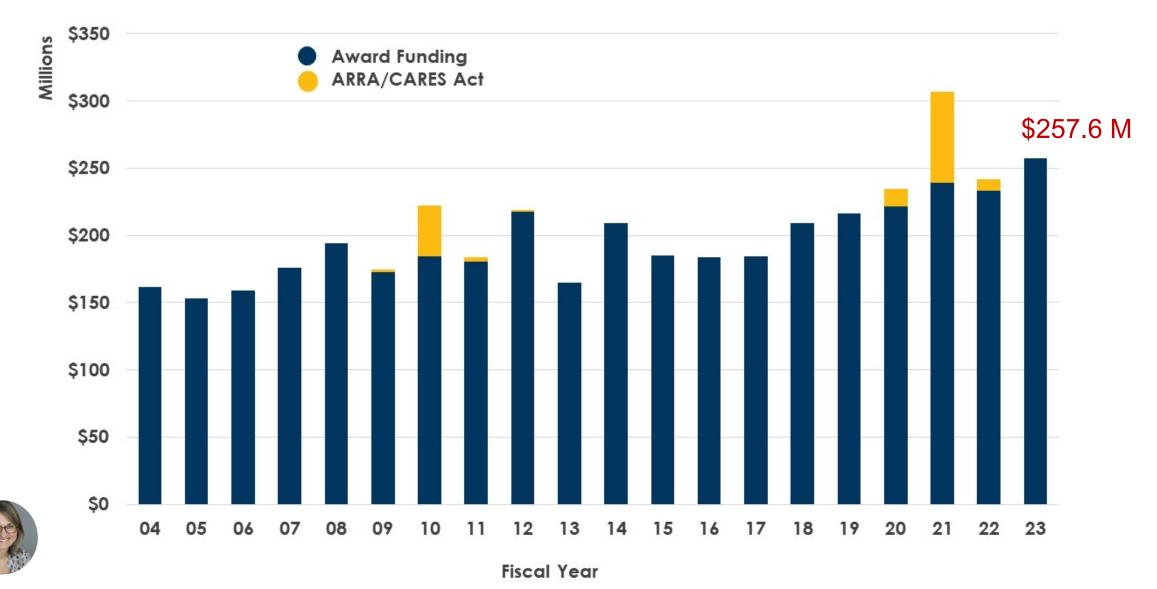
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# **Research Funding Comes from Many Sources**

- 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)

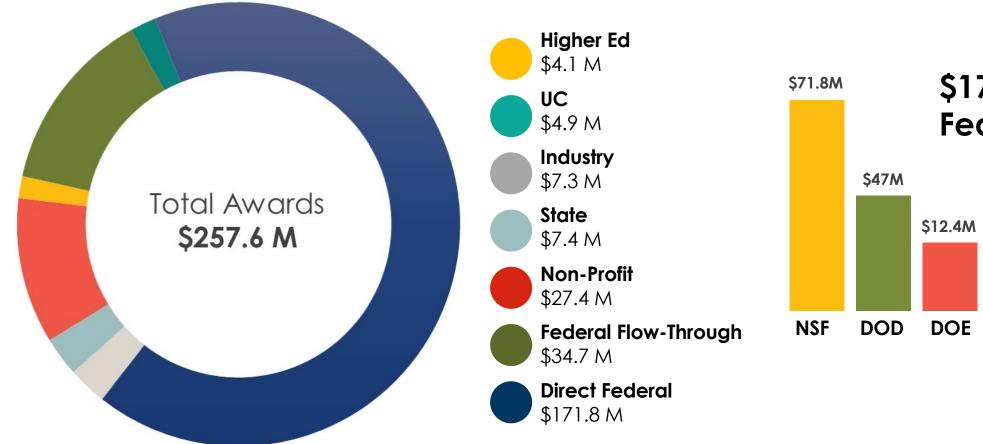


### Awards by Fiscal Year, 2004-2023

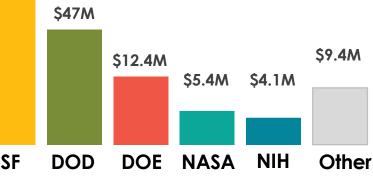


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# **FY23 Annual Extramural Funding**



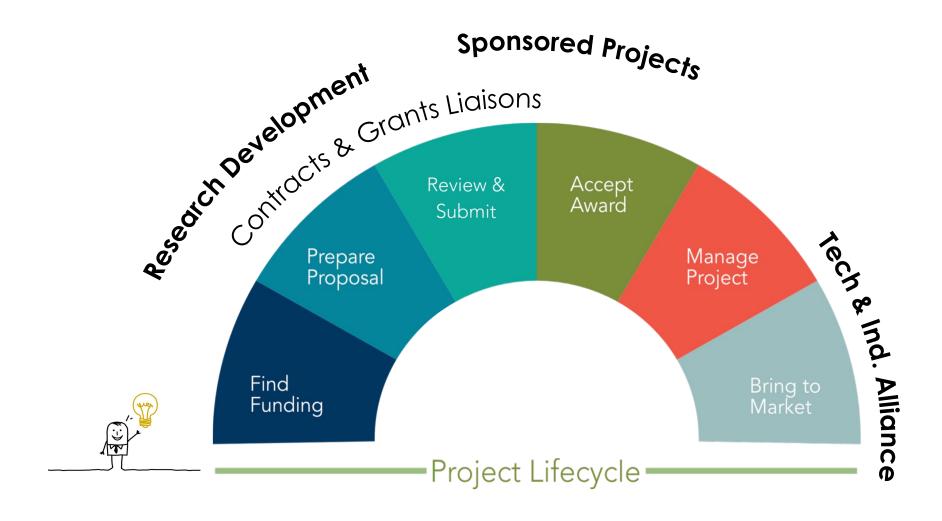
\$171.8 Million Federal Funding





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# Office of Research Supports Research Projects from Idea to Market





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### **Office of Research Website**

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Office of Research



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





### 1 of 71 members of the Association of American Universities

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

#### UC SANTA BARBARA

#### Links to:

- General Office Information
- Trategic Research Initiatives
- 🛧 Sponsored Projects
- Research Integrity
- Institutes and Centers
- Project Lifecycle

# Sponsored Projects

### Sponsored Projects Office (SPO)



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 <u>Sponsored Projects team assignments</u>.

Links to:

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

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## **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

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	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

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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



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

# 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**





### What is the Difference?

<u>Grants &amp; Contracts:</u>		<u>Gifts:</u>	
	End date	No end date, unrestricted	
	May require IP rights; defines audit standards and other conditions	Funder claims no intellectual property (IP) or audit rights	
+ - × ÷	Revocable	Irrevocable	
~	Defines deliverables (e.g., technical or financial report, milestones)	No obligations to donor other than courtesy updates	
fice of Research		25 UC <b>SANTA BARBARA</b>	

### What is the Difference?

<u>Grants:</u>		<u>Contracts:</u>	
	Financial Assistance	Purchase of goods or services	
Ģ	Pl's idea and scope of work	Funder directs the scope of work	
"	Peer-reviewed	Competitive/lowest bid	
	Budget flexibility	Little budget flexibility	
~	Project status report	Defined deliverables and completion milestones	
歴			

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### What is the Difference?

### Grants:

Typically awarded one year at a time, with future periods defined

### Contracts:

Typically incrementally funded, payment upon milestone completion



Standard terms and conditions

Stringent terms and conditions



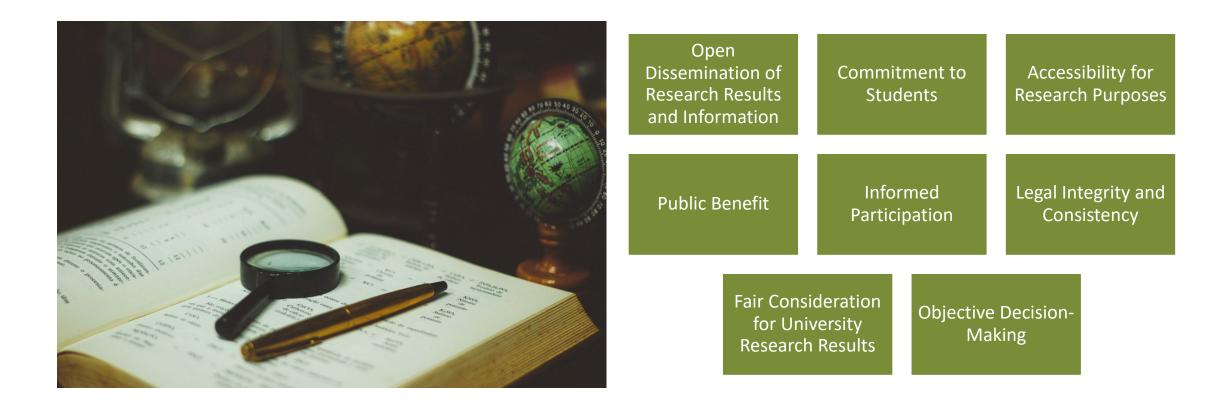
Payment upon award, or draw down from funder as expended

Cost-reimbursement or fixed price



27

### Accept Award – Principles Regarding Rights to Future Research Results





## Award & Post-Award Stage

#### **Department Liaison:**

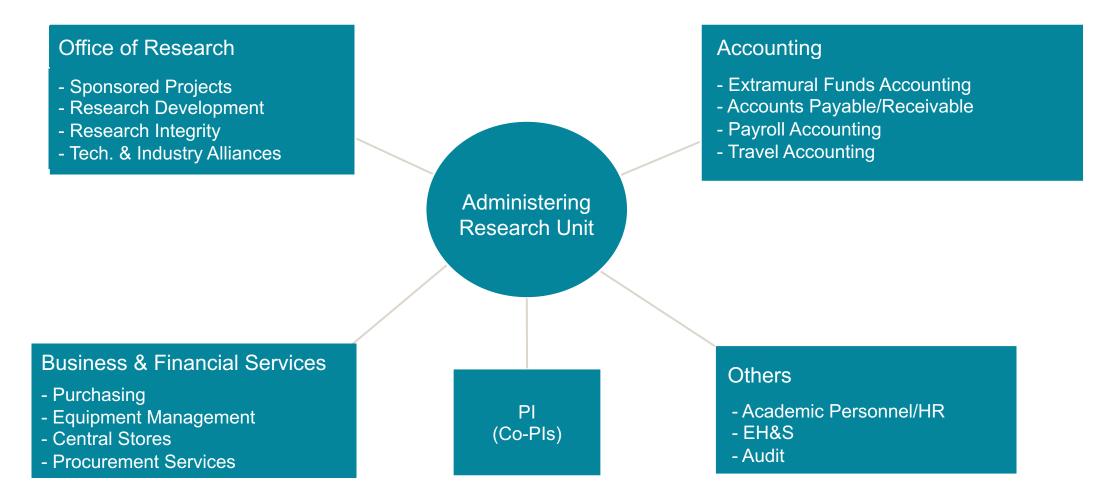
- Coordinates with SPO Team to provide information/confirmations required for their review of award
- Will help PI manage award during life of award
- Keeps PI updated on expenditures throughout the life of the award
- Coordinates with SPO Team for any prior approval requirements during life of award
- 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
- <u>Delegated</u> 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**





### Take 5





# Strategic Research Initiatives

### **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

UC SANTA BARBARA



Kelly Pillsbury Analyst



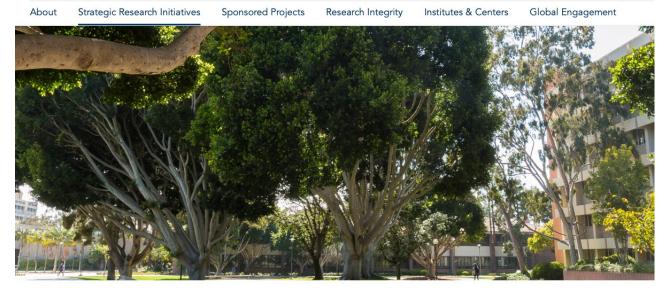
Meghan McDonald Analyst



### **Strategic Research Initiatives**



Office of Research



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.

#### 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 <u>Junior Faculty</u> and <u>Multidisciplinary/Multi-investigator Proposals</u>

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## **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 Pls
    - 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

# Strategic Research Initiatives: Resources

#### UC SANTA BARBARA Office of Research

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

 Office of Research /
 Strategic Research Initiatives /
 Proposal Development Resources
 Vertication
 Vertication

## **Proposal Development Resources**

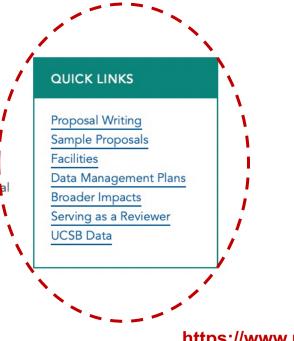
Here you can find a collection of resources and data that may be useful in the writing and development of your proposal.

### **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



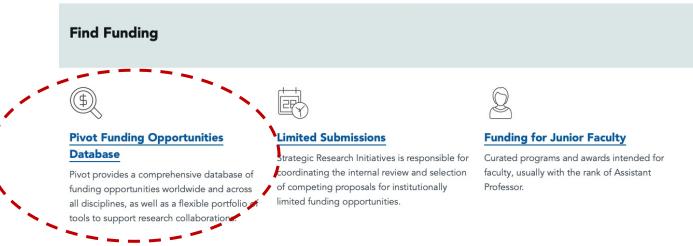
#### https://www.research.ucsb.edu/sri/resources

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

### **Find Funding**

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





#### 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.



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Office of Research

#### **Curated Searches, Funding Lists and Additional 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

FUNDAMENTALS Newsletter July 2019



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July Research Highlight / Scientists collaborate on Famine Early Warning Systems Network, helping save thousands of lives

News & Announcements | Limited Submissions | Funding | Contact

#### News & Announcements

## Announcing Moore-Simons Project on the Origin of the Eukaryotic Cell

The Gordon and Betty Moore Foundation and Simons Foundation are partnering to support novel research on the origin of the eukaryotic cell. This major transition in the history of life, estimated to have occurred almost two billion years ago, remains an important yet unsolved puzzle in the biological sciences. We seek to support the international scientific community to explore why and how this symbiotic event occurred by conducting experiments that illuminate or eliminate possibilities regarding the events that led to the



# **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 <u>UCSB Internal Funding & Limited Submission</u> <u>Competitions</u> 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.



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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

Monday, F	February 8
	P (campus deadline)
Tuesday,	February 9
Packard (d	campus deadline)
Wednesd	ay, February 10
NSF HSI (	sponsor deadline)
Thursday	February 11
NEA Gran	ts for Arts Projects (sponsor deadl
Monday, F	February 15
12:00am	Presidents' Day
Tuesday,	February 16
NSE OUIC	-TAQS (campus deadline)

# InfoReady -Limited Submission System

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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 Koppitz 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!

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# Other Resources...



# Institutional Information

Jniversity o	of California, Santa Barbara				GIVE	QUICK LINKS 🗸	Q ~
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About	Research Development	Sponsored Projects	Research Integrity	Institutes & Centers	Project Lifecycle		
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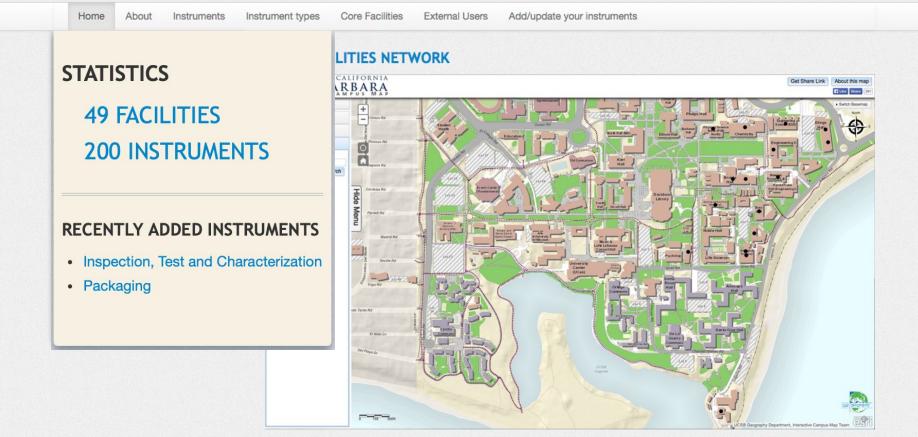


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### https://www.research.ucsb.edu/institutional-information



## shared instrumentation.



Read more

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



## uc santa barbara Global Engagement

HOME GUIDELINES FORMS FAQ INTERNATIONAL VISITS

## 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

Website: https://globalengagement.ucsb.edu/

Email: contact@globalengagement.ucsb.edu.



# Undergraduate Research

**UCSB** UNDERGRADUATE EDUCATION / COLLEGE OF LETTERS & SCIENCE

Pre-Professional Advising / Academic Programs / Research Opportunities / Home General Advising Honors Transfer Students International Students Forms Contact Us **RESEARCH OPPORTUNITIES RESEARCH OPPORTUNITIES** Faculty Research Assistance Program Undergraduate research is a signature feature of the UC (FRAP) Santa Barbara experience. Students have the opportunity to About FRAP FRAP Directory initiate their own research projects with faculty mentorship. **FRAP Grant** In addition, over 56% of UCSB undergraduates work with Application faculty, assisting them on innovative research in the Undergraduate Research and Creative humanities, social sciences, arts, and sciences. As a Minority Activities (URCA) Grant Serving Institution, UCSB is dedicated to providing About the URCA Proposal undergraduate research experiences that are inclusive of Grant Information the sociocultural identities and intellectual interests of Sample Budgets **Proposal Forms** students from diverse backgrounds. Mini Grant for Undergraduate Conferences Research & Creative Activities The Division of Undergraduate Education has 2 programs Journal supporting undergraduate involvement in research: The **UCSB Undergraduate Research** Faculty Research Assistance Program (FRAP) and the Colloquium Undergraduate Research & Creative Activities (URCA) grant. Entry Form About the Colloquium Poster Guidelines **Poster Samples** Photo Gallery



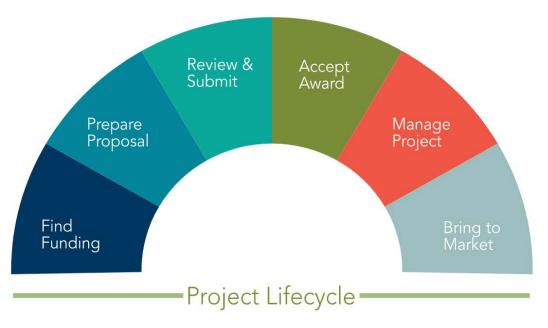
#### https://www.duels.ucsb.edu/research

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### UC SANTA BARBARA Office of 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**

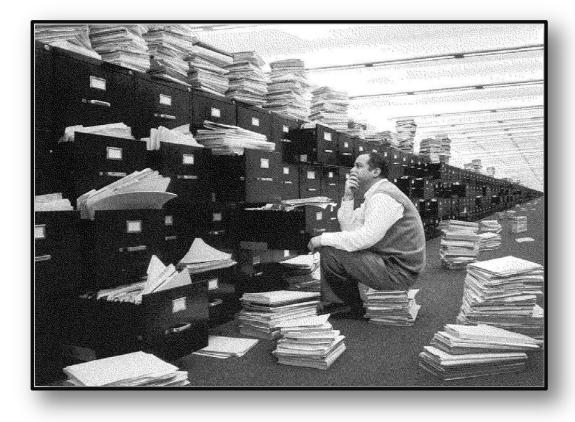
- Content
- Strategy
- Research Design
- Completeness
- Fit with agency priorities
- Clarity and readability

## **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

Office of Research

# Come find us!





## Jim Fong 3227 Cheadle Hall fong@research.ucsb.edus



Maria Teresa Napoli 2710 Ellison Hall

napoli@research.ucsb.edu

research.ucsb.edu

