STAR
COURSE 1

January 15, 2025

OVERVIEW
CONTRACT & GRANT ADMINISTRATION

Jim Fong, Director, Sponsored Projects Office

Maria Teresa Napoli, Director, Strategic Research Initiatives

Jim Fong
Director
Sponsored Projects Office

Maria Teresa Napoli
Director
Strategic Research Initiatives
Science and Engineering

TBD
Vice Chancellor for Research

Scott Grafton
Associate Vice Chancellor

Kelly Caylor
Associate Vice Chancellor

Jean Jones
Assistant Vice Chancellor

Manny Garcia
Campus Veterinarian

STAR Program

Sponsored Projects **T**raining for **A**dministrators in **R**esearch

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

2025 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 2025 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:

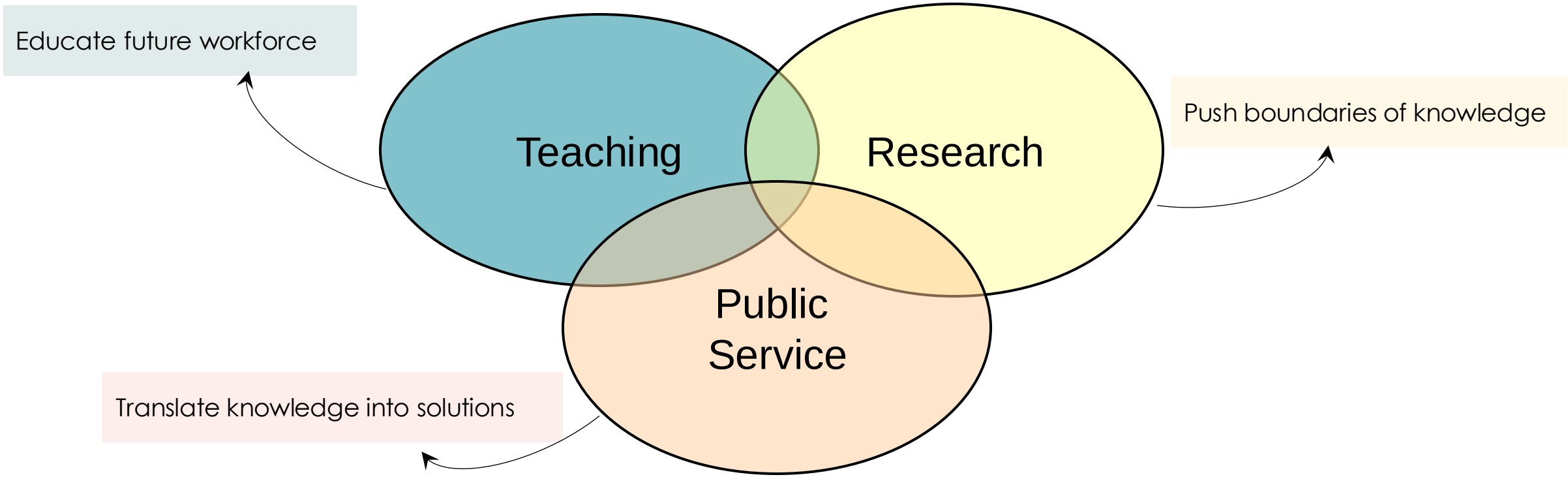
cglink@research.ucsb.edu

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:

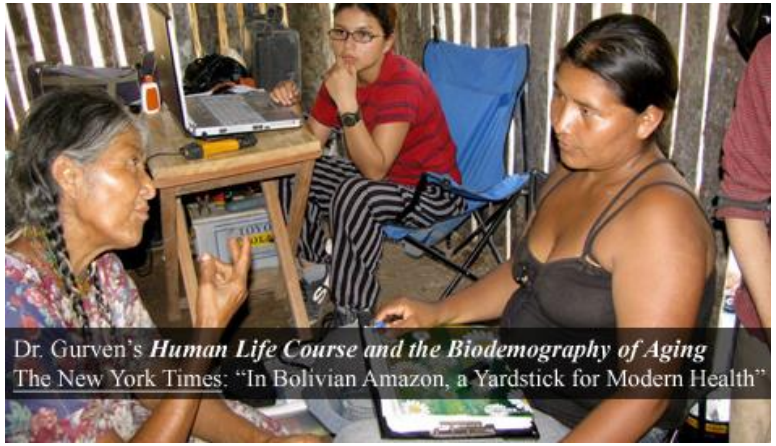
https://www.research.ucsb.edu/cglink-signup

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.

Research at UCSB Spans All Disciplines



Points of pride:

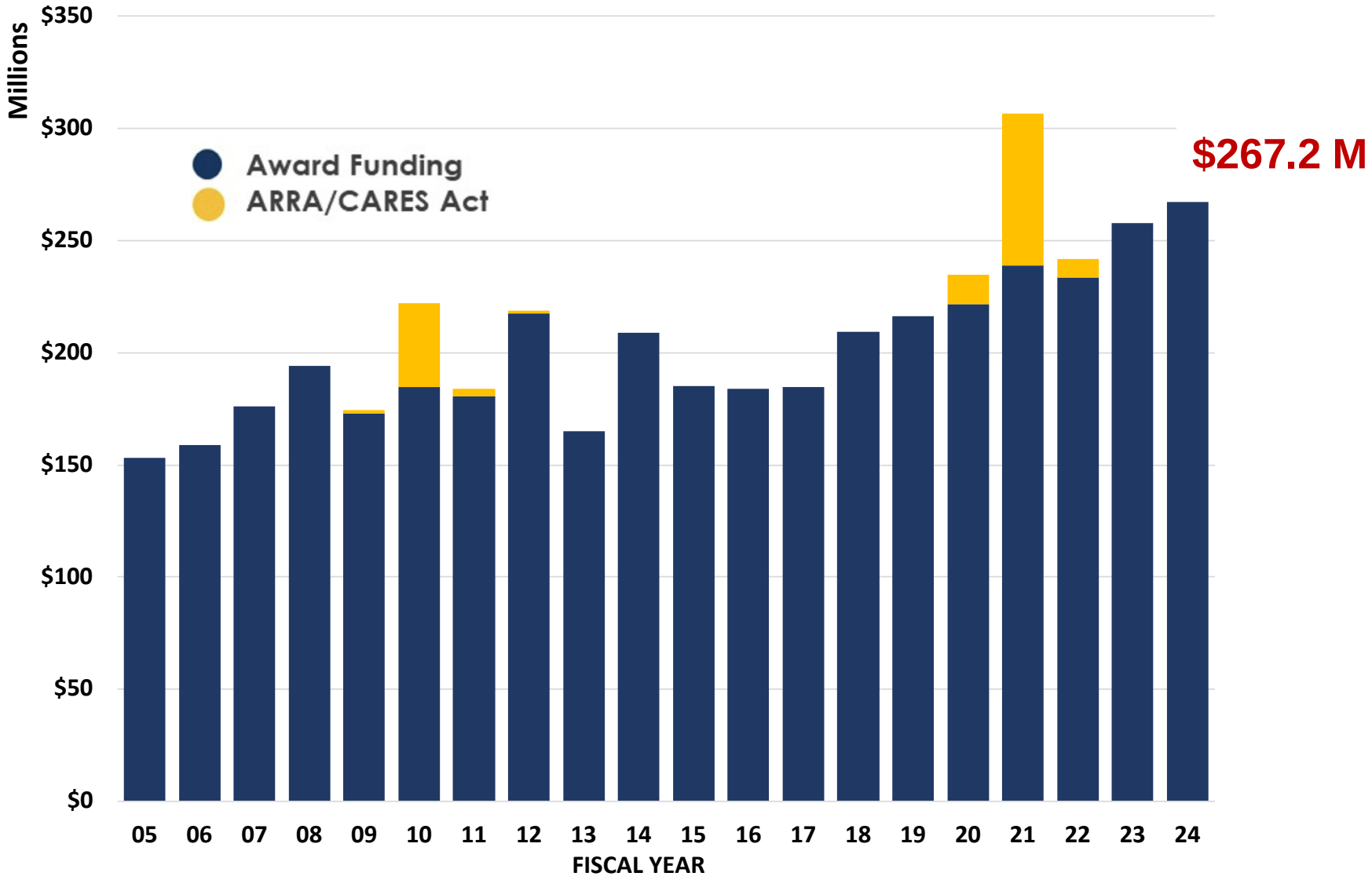
- R1 institution
- #13 public universities
- AAU member
- HSI, AANAPISI

- 6 Nobel Laureates
- 60+ Guggenheim Fellows
- 77 AAAS Fellows
- 27 Nat. Acad. Eng.
- 38 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)

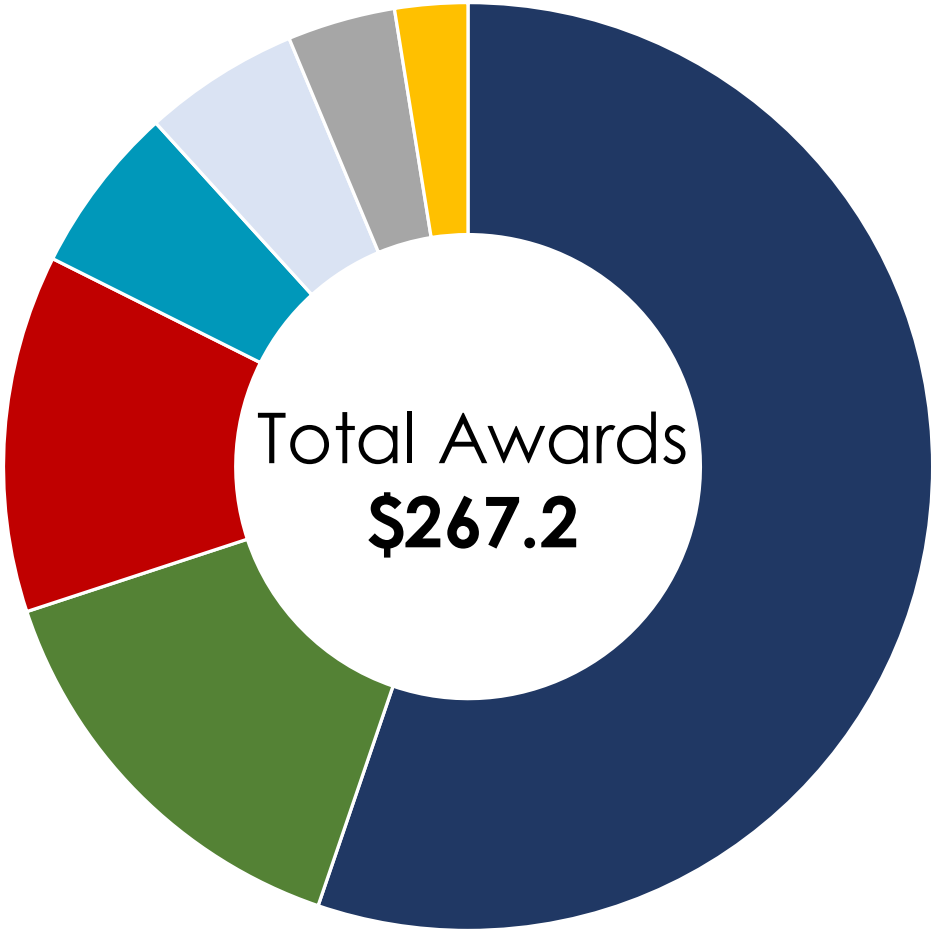
Awards by Fiscal Year, 2005-2024



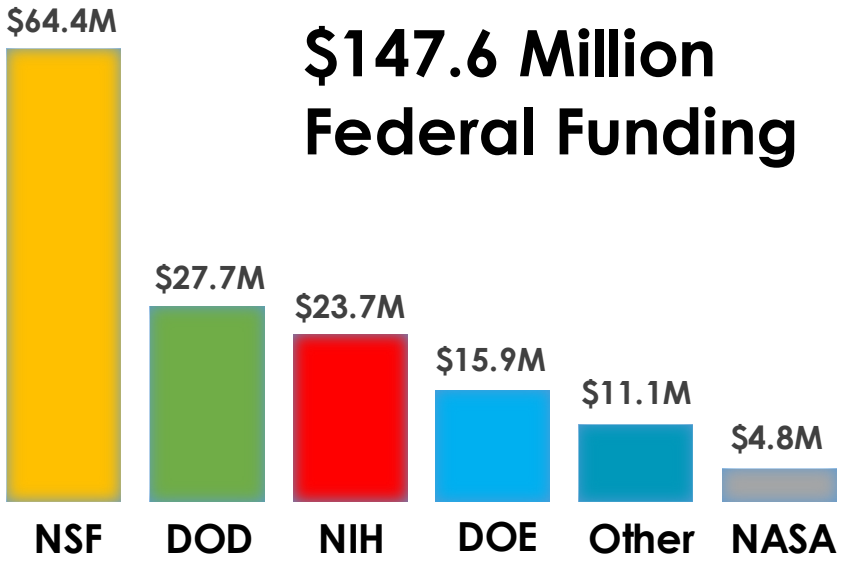
Office of Research

UC SANTA BARBARA

FY24 Annual Extramural Funding



- **Higher Ed** $6.8 M
- **Industry** $10 M
- **State** $14.5 M
- **UC** $15.7 M
- **Non-Profit** $33.3 M
- **Federal Flow-Through** $39.3 M
- **Direct Federal** $147.6 M

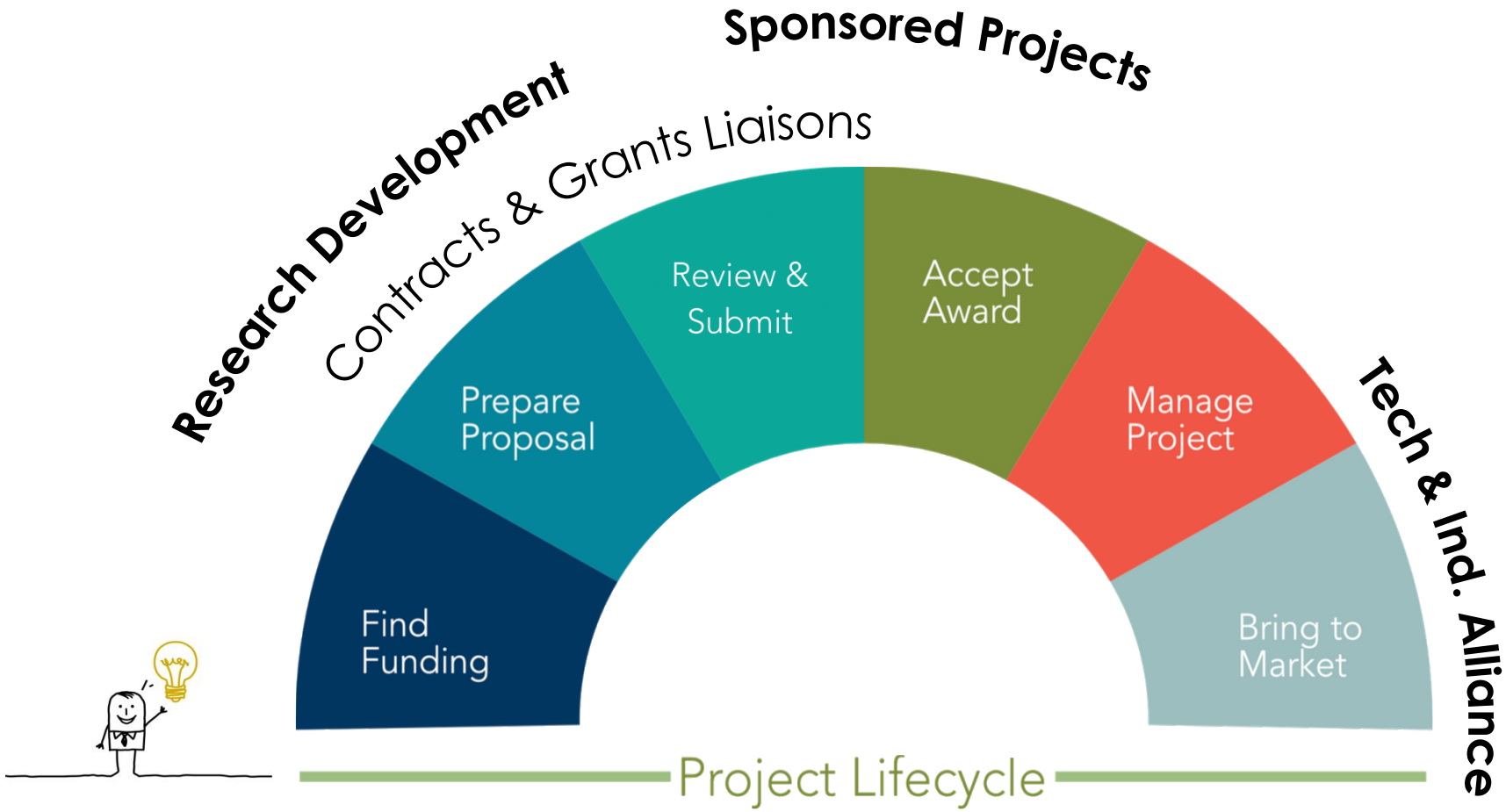


$147.6 Million Federal Funding

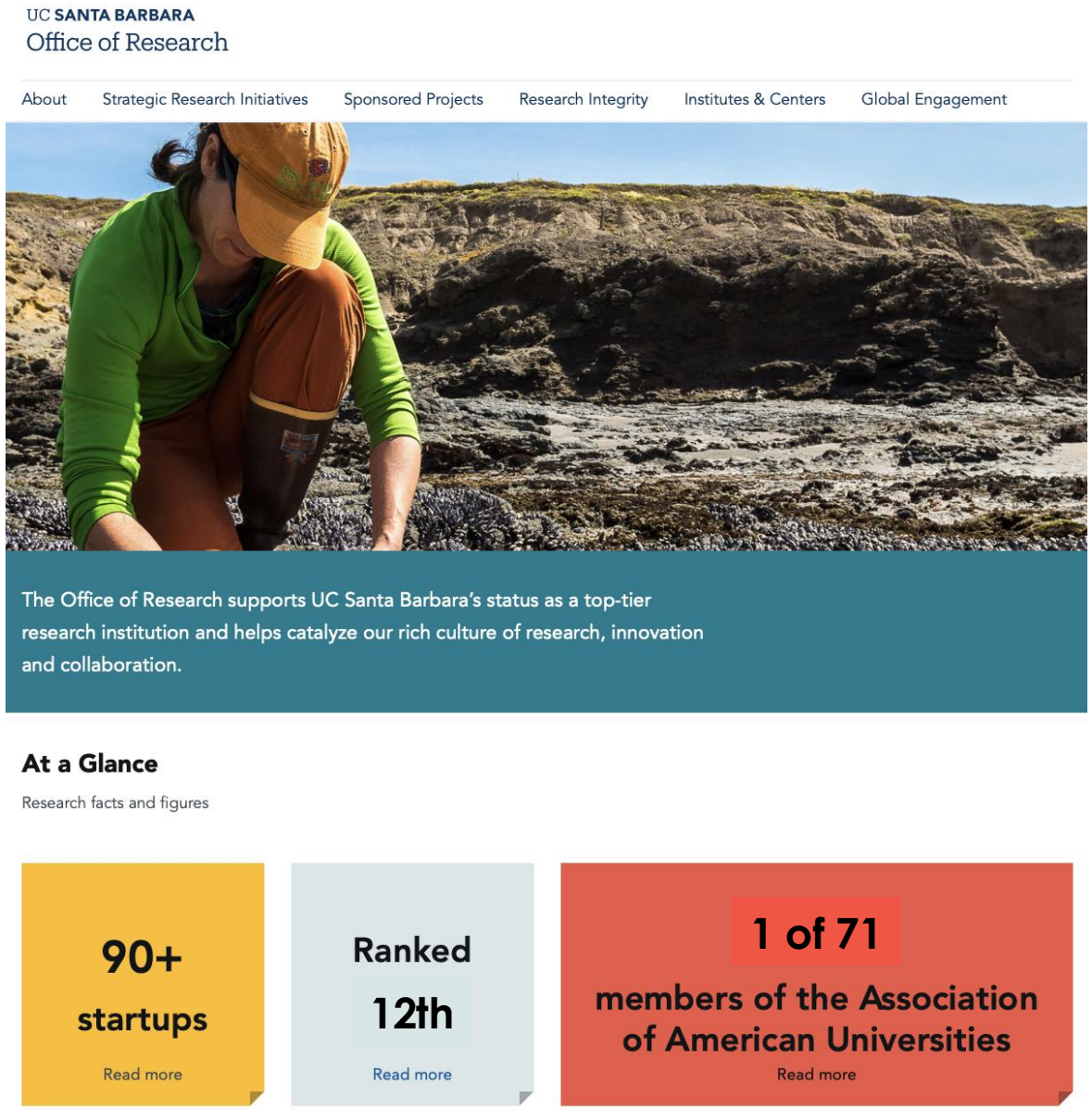
Office of Research

UC SANTA BARBARA

Office of Research Supports Research Projects from Idea to Market



Office of Research Website



Links to:

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

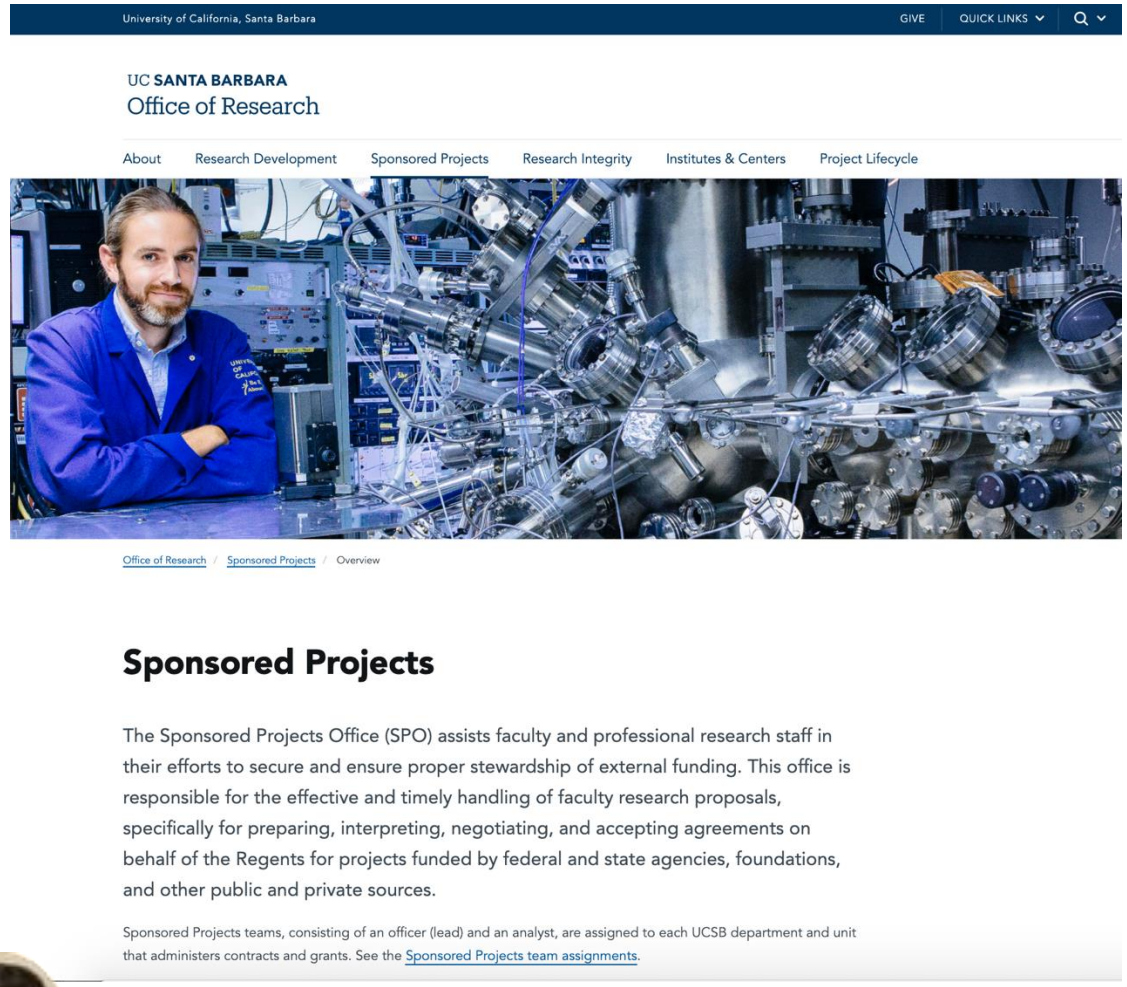
https://www.research.ucsb.edu/

Office of Research

UC SANTA BARBARA

Sponsored Projects

Sponsored Projects Office (SPO)



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

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

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

- 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

The Partners: University

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

- 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

	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

- 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?

Grants & Contracts:	Gifts:
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

What is the Difference?

Grants:	Contracts:
Financial Assistance	Purchase of goods or services
PI'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

What is the Difference?

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

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

Accounting

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

Administering Research Unit

Business & Financial Services

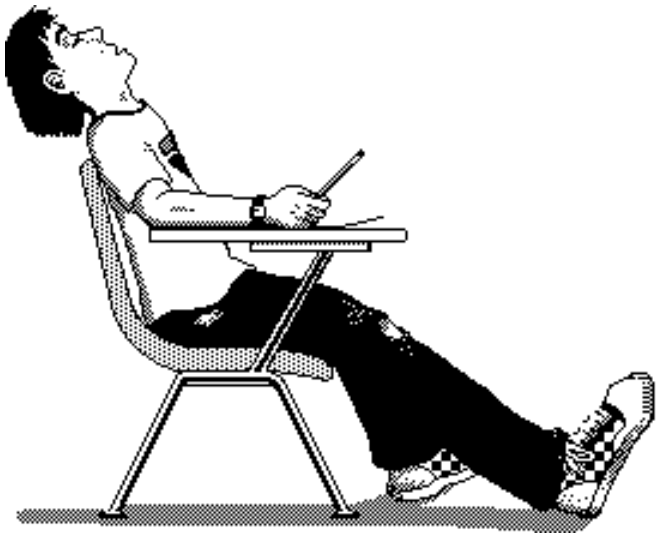
- Purchasing
- Equipment Management
- Central Stores
- Procurement Services

PI (Co-PIs)

Others

- Academic Personnel/HR
- EH&S
- Audit

Take 5



Strategic Research Initiatives

UCSB Strategic Research Initiatives Team

Maria Napoli

Science & Engineering

Danielle Chandler

Science & Engineering

Barbara Walker

Social Sciences, Humanities, Fine Arts, Education

Melissa Bator

Social Sciences, Humanities, Fine Arts, Education

Kelly Pillsbury

Analyst

Meghan McDonald

Analyst

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
  - Honorific Awards
- ***Target Audience:*** All campus researchers, emphasis on Junior Faculty and Multidisciplinary/Multi-investigator Proposals

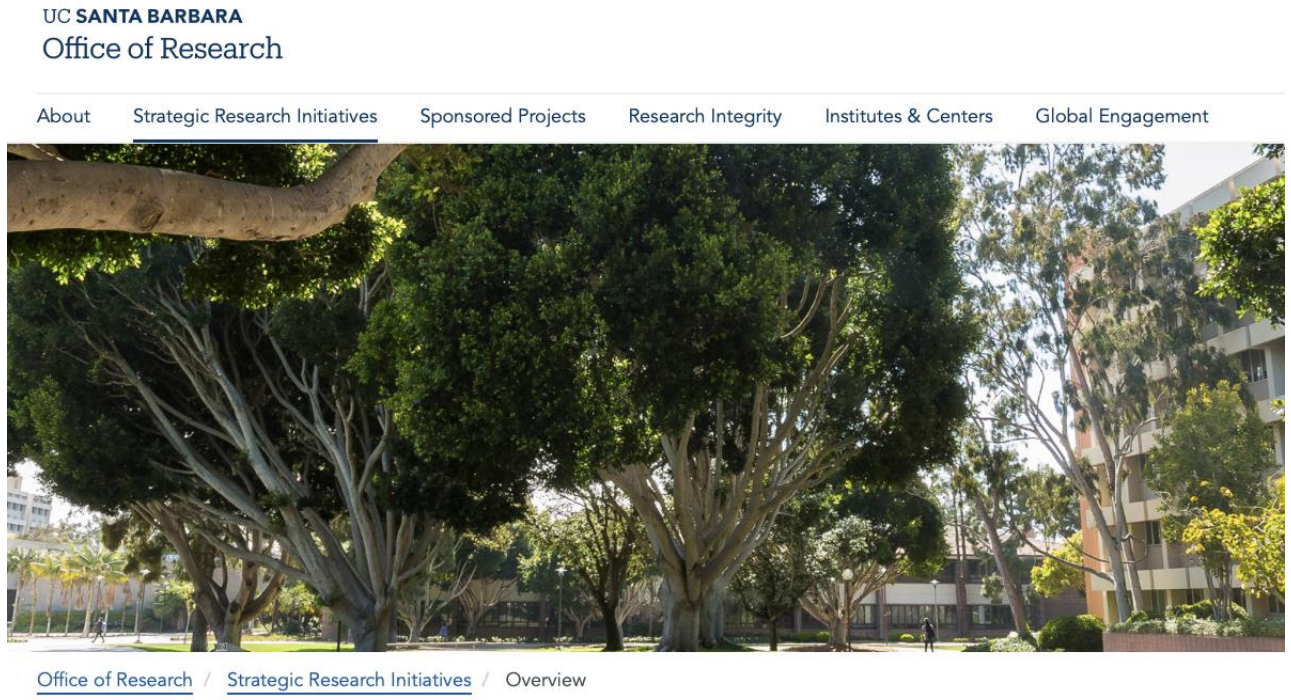
Proposal Development Assistance

- 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

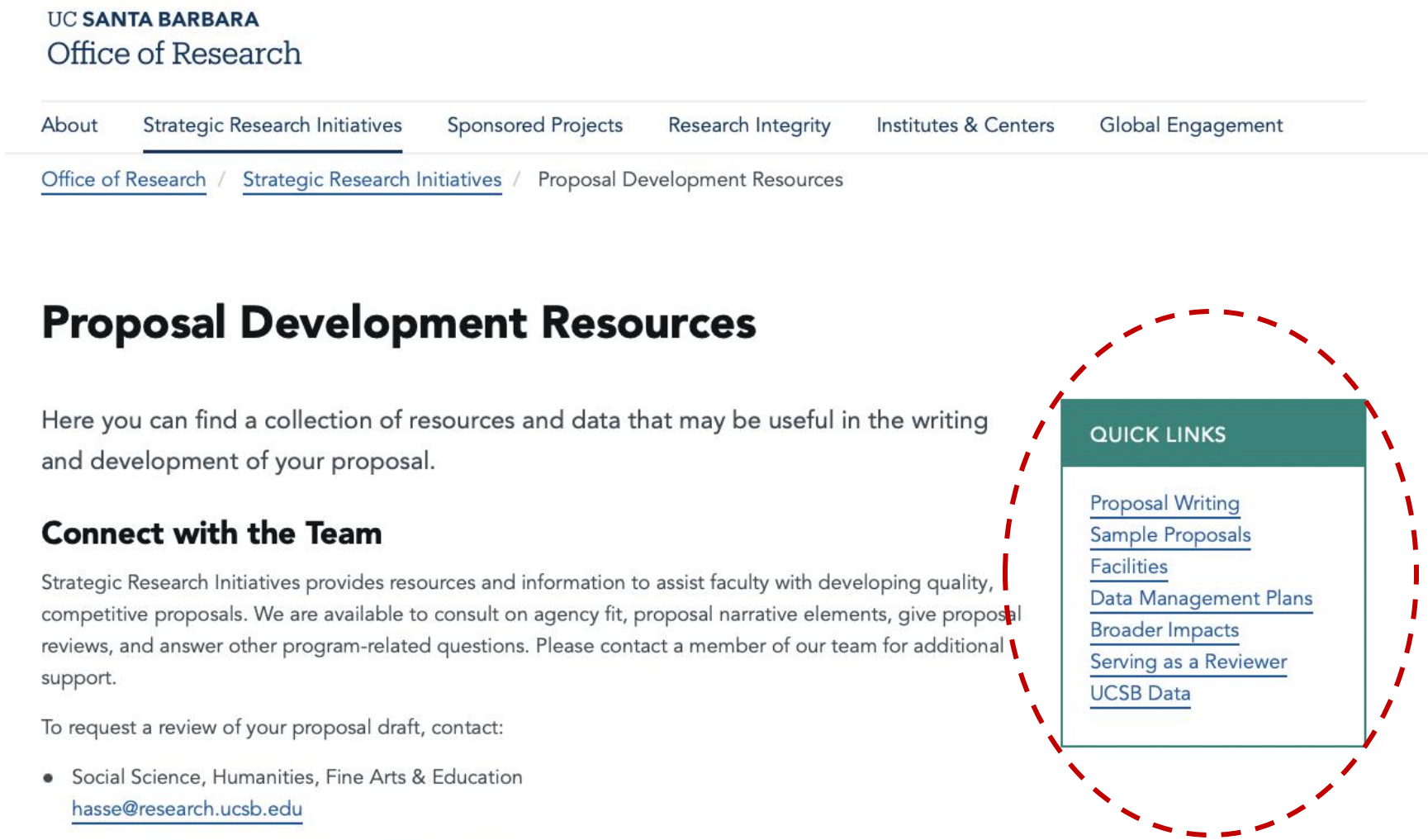
Strategic Research Initiatives



Links to:

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

Strategic Research Initiatives: Resources



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

UC SANTA BARBARA
Office of Research

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.

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

View in your browser

UC SANTA BARBARA
Office of Research

FUNDAMENTALS Newsletter July 2019

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

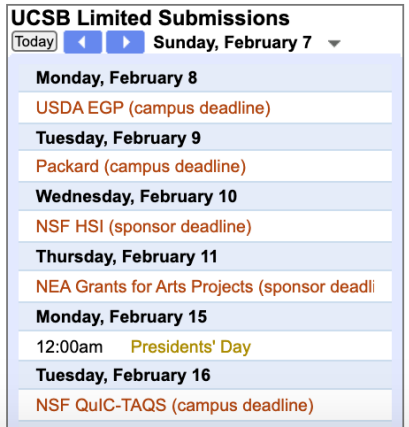
Limited submissions are funding opportunities where the sponsor restricts the number of applications or proposals a campus can submit to the agency. The guidelines for these programs require institutions to screen pre-proposals or nominations to determine which applications will be submitted for competition.

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 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



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 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/

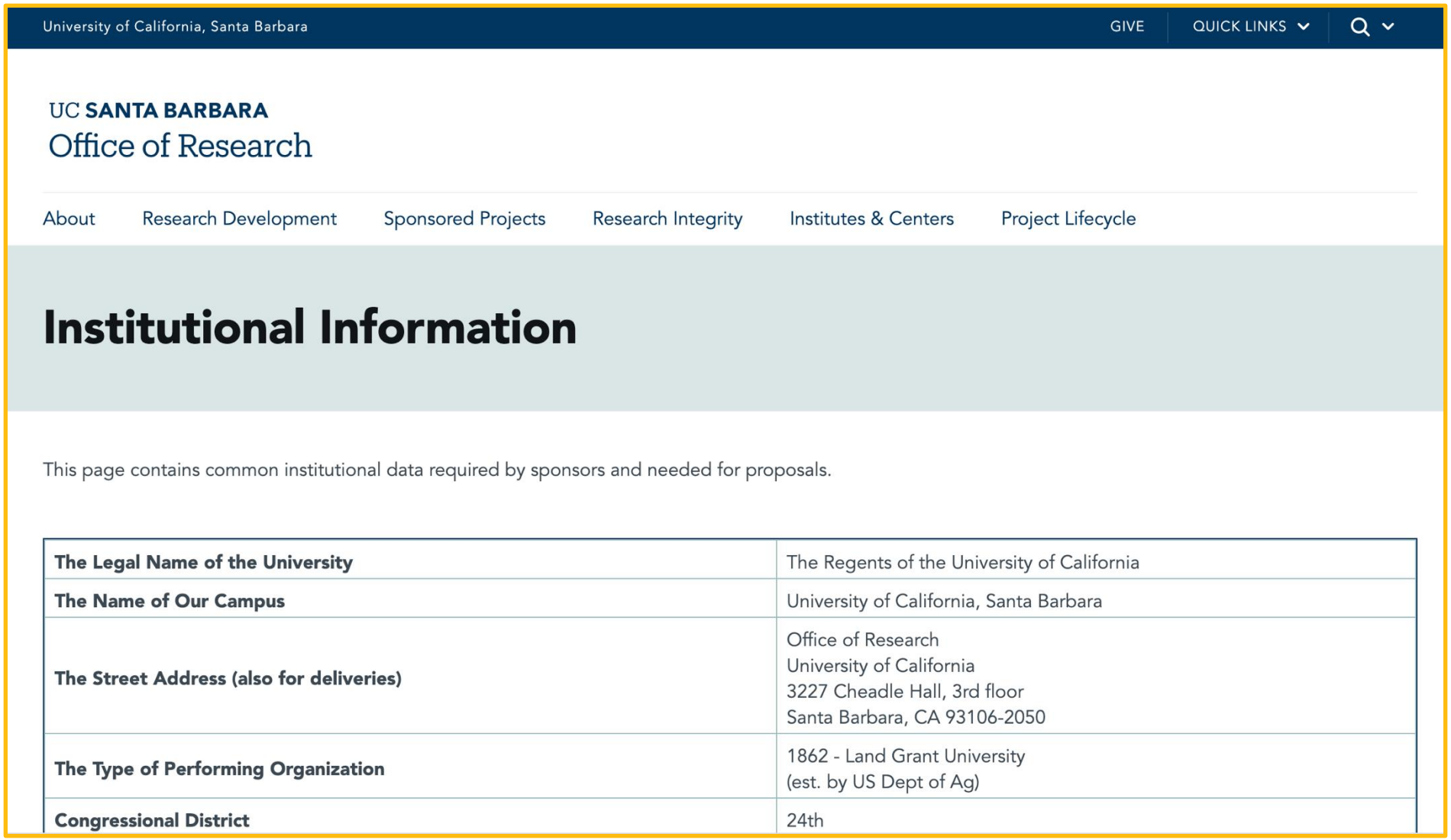
Tell your PIs: please add expected administrative unit, as they will be notified too!

Office of Research

UC SANTA BARBARA

Other Resources…

Institutional Information



University of California, Santa Barbara GIVE QUICK LINKS

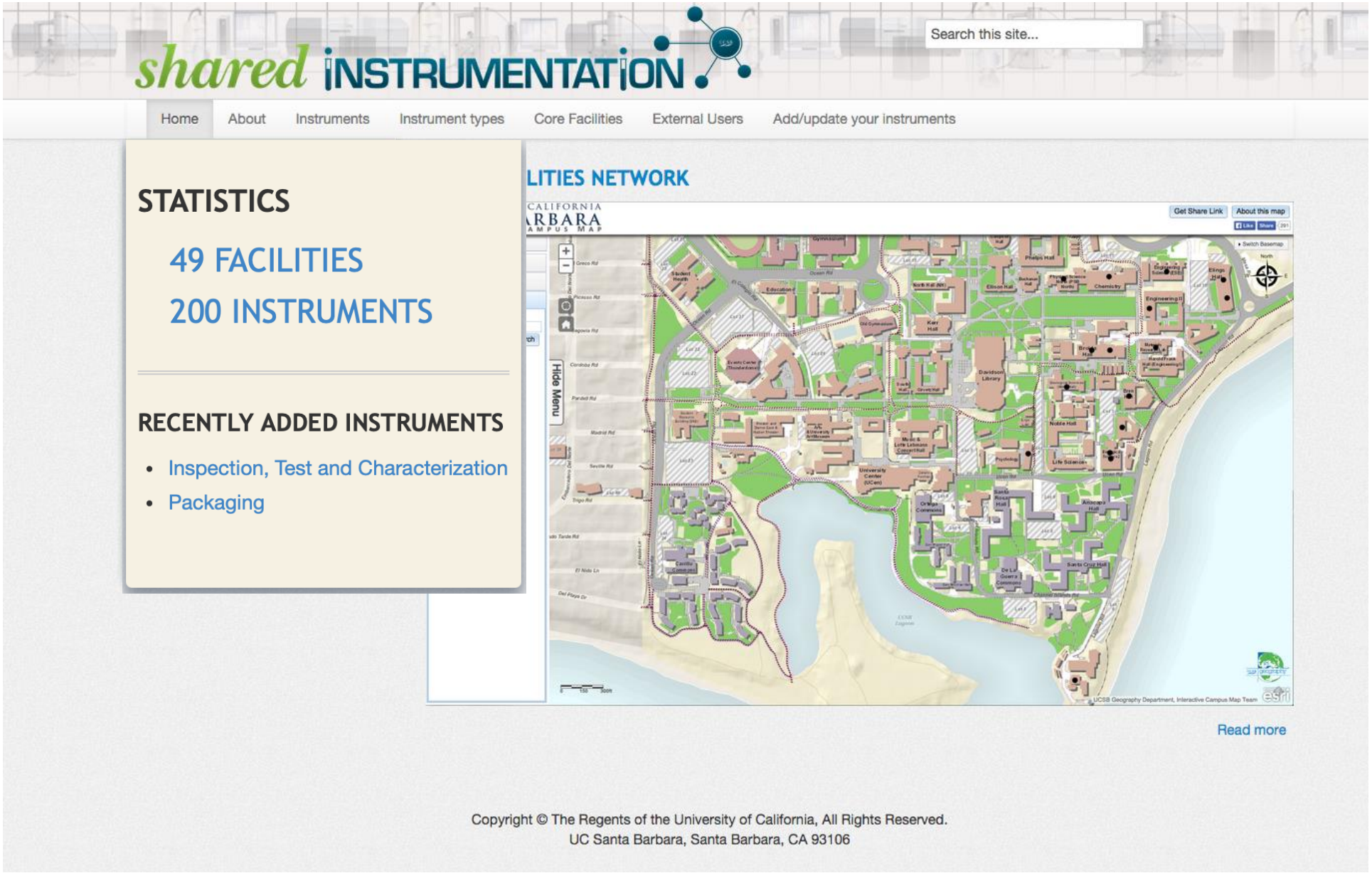
UC SANTA BARBARA
Office of Research

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



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.

Office of Research

UC SANTA BARBARA

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

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

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.

Office of Research

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

UC SANTA BARBARA

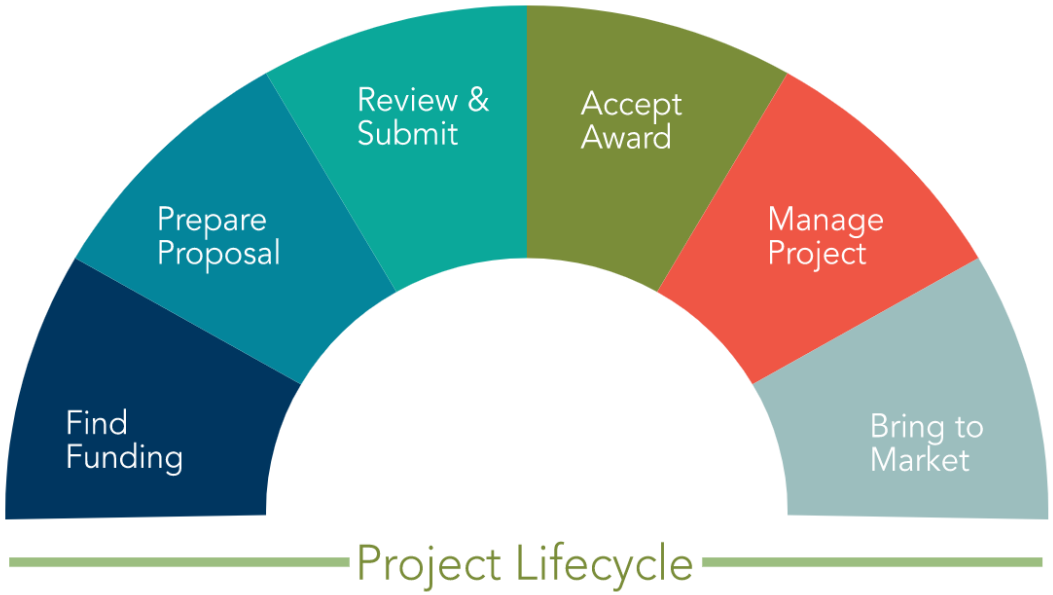
University of California, Santa Barbara GIVE QUICK LINKS

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.

Office of Research

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

UC SANTA BARBARA

The Distinct and Complementary Functions of SRI and SPO

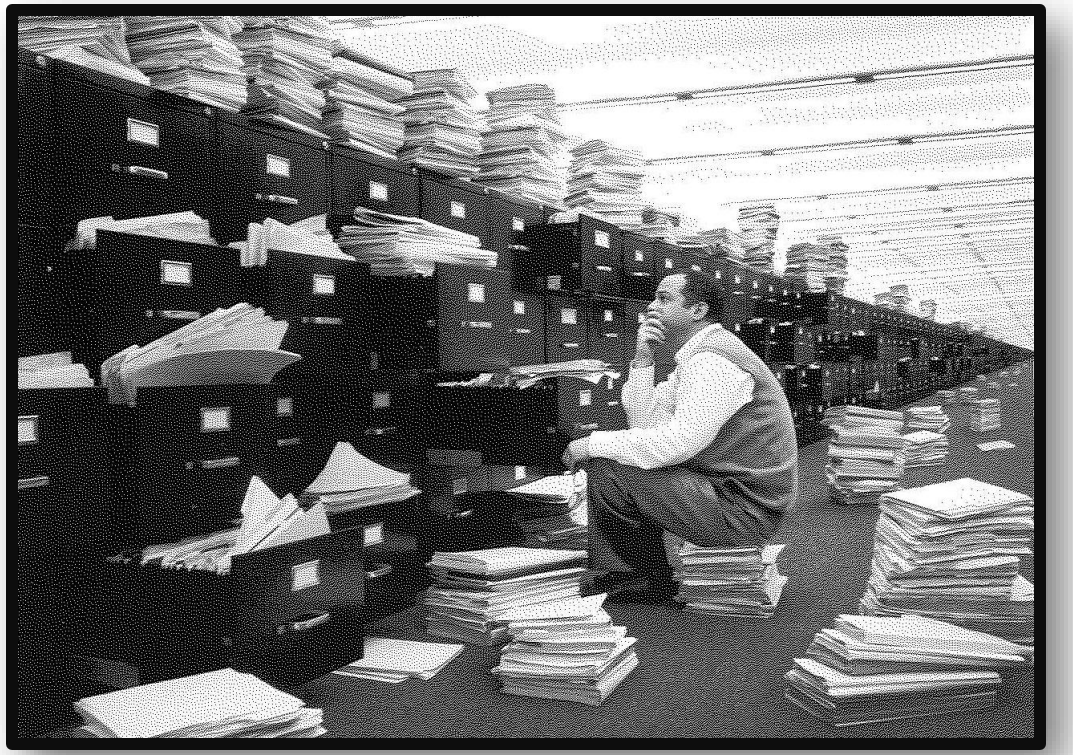
Research Development

- 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