

OFFICE OF CONTRACTS & GRANTS

ORIENTATION AND OVERVIEW

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Director



OFFICE OF CONTRACTS & GRANTS

Responsible for providing the following services in support of the unit's mission:

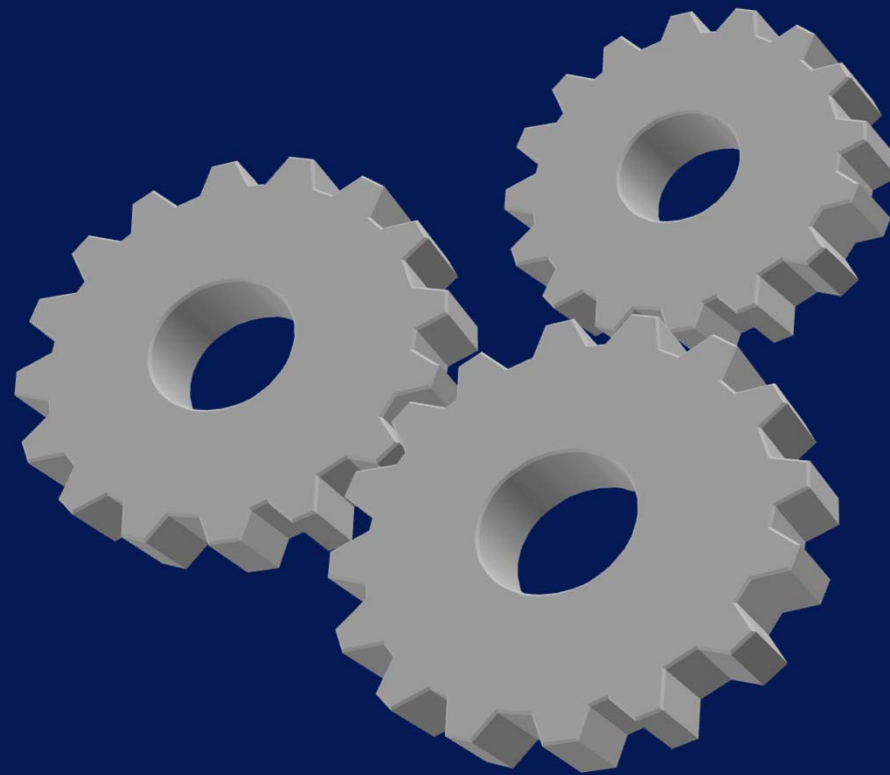
- **Provide guidance on proposal preparation**
- **Review and approve proposals as delegated by the Regents**
- **Review, negotiate, and accept awards on behalf of the Regents**
- **Issue subawards**
- **Secure proper approvals for post award transactions**
- **Coordinate award closeout**
- **Provide training on pre and post-award policies, procedures and regulations**
- **Maintain systems for proper reporting of extramural funds and effective management of the unit's functions.**

Regent's Policy

- “It is the policy of the University of California that employees who receive **any part of their salary** through the University, or whose activities **use any University resources or facilities**, must submit their proposals for extramural support through the appropriate local contracts and grants office. Awards must be made to The Regents of the University of California.”
- “This requirement is necessary to ensure that all research and other extramurally funded projects conducted by University employees, or with the use of University resources or facilities, are approved by the appropriate University contract and grant office and comply with relevant University policies and guidelines...”

PART I:

Basics



LANGUAGE

- Grants, Cooperative Agreements, Contracts, Gifts, Other Transactions
- Competitive, Non-competitive
- Deadlines, Submission Dates
- Direct Cost, Fringe Benefits, Facilities and Administrative Costs (indirect costs)

Pre-Award

Creativity/Scholarship

Administrative and
Marketing

Post-Award

Creativity/Scholarship

Administrative and
Financial

CRITICAL QUESTIONS

- How do I get financial support for my research?
- What do I do with it when I get it?
 - **Management issues**
 - Project management
 - Financial management
 - Meeting obligations to sponsor and university

PRE-AWARD

– Creativity / Scholarship

- Find your Niche
- Literature review
- Set up project team/collaborators
- Development of hypothesis
- Project design
- Proposal Development

PRE-AWARD

– Administrative / Marketing

- Funding opportunities
- Networking
- Sponsor contact
- Budget Development (cost sharing)
- Filling numerous forms!
- University review and approvals
- Intellectual Property issues
- Submitting proposal

POST-AWARD

- Creativity / Scholarship / Technical
 - Project Implementation
 - Report Preparation
 - Timely report submission
 - Publication
 - Intellectual Property (patents, copyrights, etc.)

POST-AWARD

- Administration / Financial
 - Grant or Contract?
 - Award negotiation
 - Subcontracts
 - Award terms and conditions
 - Conformity with UC policy
 - Account establishment
 - Project Start-up

POST-AWARD

- Reporting documents
- Close out documents
- Financial Management
 - Multiple projects management
 - Track purchases
 - Track time and effort
 - Expenditure reports
 - Equipment

COMPLIANCE

– Regulatory

- Institutional Review Board (**IRB**)
- Institutional Animal Care and Use Committee (**IACUC**)
- Conflict of Interest (**COI**)
- Biosafety
- Radiation Safety
- Occupational Safety & Health Administration (**OSHA**)
- Select Agents
- International Traffic of Arms Regulations (**ITAR**)
- Export Administration Regulations (**EAR**)

– Financial

- Adherence to sponsor requirements (Federal regulations)

– Technical

WHERE DO I GET THE MONEY?

- ~ UC receives about ~\$5 Billion
 - ANR's share: ~\$22 Million
- Sources:
 - Federal
 - Marketing Boards
 - State
 - Industry (for-profit corporations)
 - Non-profit (e.g., foundations)
 - Institutional (e.g., other universities)

FEDERAL SOURCES

– Traditional

- US Department of Agriculture (USDA)
- National Science Foundation (NSF)
- National Institutes of Health (NIH)
- Department of Energy (DOE/Laboratories)
- Department of Defense (DOD/Laboratories)
- NASA
- Department of Commerce (DOC)
- Department of Homeland Security (DHS)

STATE

- State Agencies
- Legislative appropriations
- Centers of Excellence

INDUSTRY

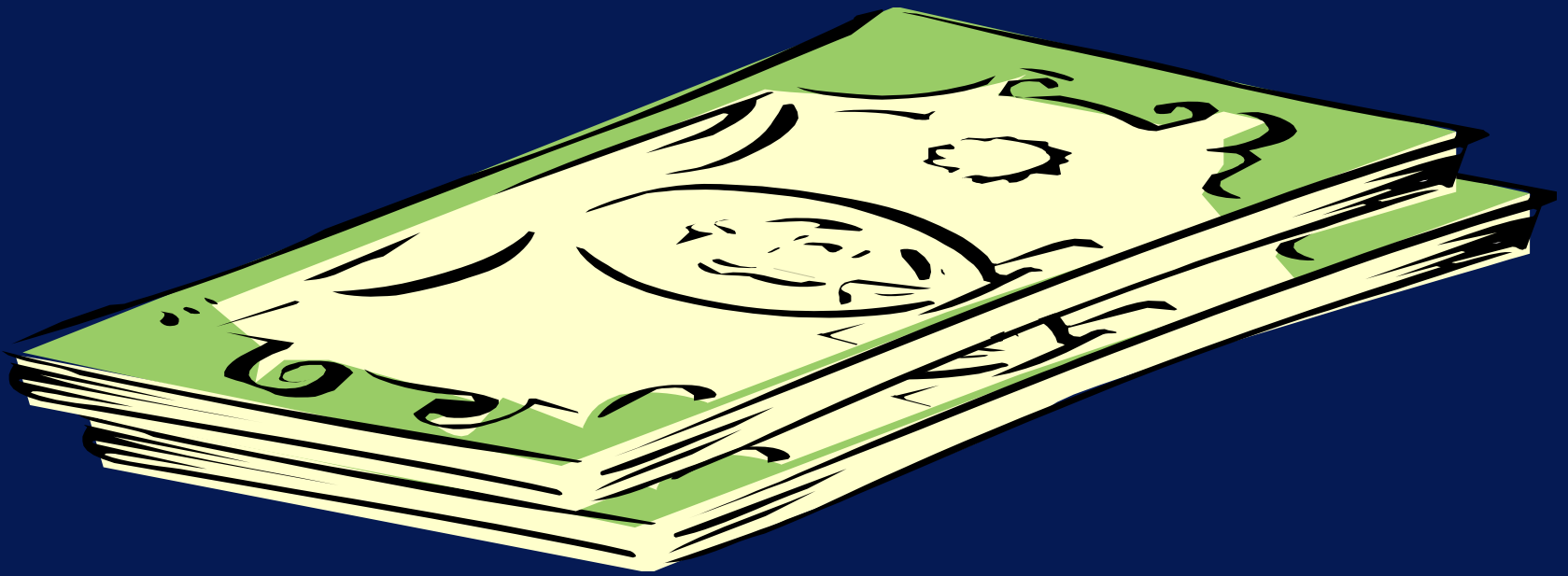
- Some have grant programs
 - e.g., pharmaceutical corporations
- Generally personal networking
 - **Research Contracts**
(based on “scope of work” prepared by the researcher, and corresponding budget, we negotiate, and enter into an agreement)
 - **Gifts for Research**
 - Restrictions (No quid pro quo)

FOUNDATIONS / NON-PROFITS

– Foundations

- **Grants**
- **Gifts for Research (No quid pro quo)**

INSTITUTIONAL / INTERNAL



INTERNAL RESEARCH GRANT PROGRAMS

- *Administered by ANR*
- *Administered by UC Office of the President:*

PART II: STRATEGIES

SEARCH CAPABILITIES

- Community of Science

- www.cos.com

- Grants.Gov

- www.Grants.gov



NETWORKING

- Internal Networking and Collaboration
- External Networking
 - Collaborators
 - Supporters
 - Sponsors:
 - Review Panels/Task Forces
 - Visits
 - Authorship

PART III: PROPOSAL DEVELOPMENT



BASIC PHILOSOPHY

- When a competitive proposal is reviewed, it is for the purpose of finding reasons **WHY NOT** to fund the proposal.
- It is not enough that it is good; it has to be **REALLY, REALLY GOOD!**

CAUTION

- **Scientific misconduct**
 - * Fabrication, Falsification, Plagiarism
- Plagiarism/Theft of Ideas or Technology
- Embezzlement
- Federal Civil/Criminal False Claims Act
- Protect your freedom to publish
- Protect intellectual property

PIECES AND PARTS

- Title page
- Abstract
- Introduction
- Background / Significance / Previous Research
- Outcomes / Results / Deliverables

OTHER PIECES AND PARTS

- Statement of Work / Work plan
- Investigators / Research Qualifications
- Available Resources / Facilities
- Evaluation / Assessment
- Dissemination
- Budget (including applicable F&A)

PROPOSAL DEVELOPMENT: A FEW TIPS!

- Read & follow the directions of the call!
- Always be positive!
- Be creative...but not too creative!
- Know your audience, and write to your audience
- Know the review process
- Proof read your proposal!

PART IV: UC ANR

- Timeline: Work with Contracts & Grants (OCG) once you begin preparing the proposal
- Signatures and Approvals: If being submitted to sponsor electronically, proposal should be final and ready to submit at least 2 days in advance of sponsor deadline
- Compliance approvals: Well ahead when needed
- Letters of Support / Sub-awards
- Matching / cost sharing requests

INDIRECT COSTS

– 26% for ANR

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