

UC SANTA CRUZ



# Office of Research

Helping you navigate your research and  
research administration needs

# Role of the Office of Research

## Key Roles of the Office of Research

- Identify funding opportunities and connect with program officers.
- Support grant submissions and ensure compliance with funding agencies.
- Negotiate terms and conditions for contracts and grants.
- Manage intellectual property, industry sponsored agreements.
- Oversee compliance related to research, foreign influence and export control.



# Seed Funding Opportunities

## Opportunities on Campus

- Annual call from the Office of Research
- Academic Senate Committee on Research
- Monterey Bay Education, Science and Technology Center (MBEST)

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- Humanities Institute
- Arts Research Institute
- CITRIS seed funding
- PIT-UN





# Organizational Structure

## Office of Research

### Research Administration

Research  
Integrity &  
Export Control

Sponsored  
Projects

Research  
Compliance  
Administration

### Research Development and Strategic Initiatives

Research Development

### Industry Alliances and Technology Commercialization

Industry  
Alliances  
& Licensing

Intellectual  
Property  
Management

### Research Business and Operations

Business Office

Animal Care  
Facility

## Foundation Relations

- Maintain relationships with foundations
- Manage limited submission competitions
- Sarah Carle (Director) - [sacarle@ucsc.edu](mailto:sacarle@ucsc.edu)



# Organizational Structure



## IATC

- Assists in developing corporate partners
- Helps protect intellectual property
- Facilitates commercialization of innovations
- Negotiates material transfer agreements

*Ryan Sharp – general questions about industry engagement*

*Jeff Jackson – invention disclosure*

# Proposal Development Support

PI: idea generation and project planning, team recruitment, communication with program officer, proposal writing and coordination

RD\* (in OR): support for conceptual development, team building, communications and collaboration, content development, and critical review to increase competitiveness

Proposal admins: budget preparation and supplementary document support, review for

## **\*RD support is also available through some divisions**

- In Social Sciences (except for ENVS), contact Ashlee Tews first
- In Arts, contact Hannah Jasper

OSP: compliance review and institutional submission

Conceptualization

Submission to sponsor

# Considerations when Approaching Funding



## Compliance questions to think about:

- Does my project involve human subjects?
- Does my project involve invertebrate animals?
- Do I have a potential conflict of interest?
- Are there components of my project that may involve non-U.S. entities?

# Research Development (RD)

*Heather Bell, Director*

**Primary Focus:** Competitiveness

**Pre-proposal Support:**

- Long-term strategy development
- Opportunity identification and evaluation
- Sponsor engagement and team building
- Skills and knowledge development

**Proposal Support:**

- Conceptual Development
- Communication, collaboration, and coordination
- Resources and (limited) content development
- Critical review



# OR Compliance Administration (ORCA)

*Laverne Estanol, Director*

| OFFICE OF RESEARCH COMPLIANCE ADMINISTRATION<br>(ORCA)                        |                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                              |                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                       |
|-------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                               | INSTITUTIONAL ANIMAL CARE<br>AND USE COMMITTEE ( <a href="#">IACUC</a> )                                                                                                                                                                                                                                                                      | INSTITUTIONAL REVIEW BOARD ( <a href="#">IRB</a> )<br>COMMITTEE                                                                                                                                                                                                              | CONFLICT OF INTEREST ( <a href="#">COI</a> )<br>COMMITTEE                                                                                        | RESPONSIBLE CONDUCT<br>OF RESEARCH ( <a href="#">RCR</a> ) TRAINING                                                                                                                                                                                                                                                                   |
| <b>SCOPE OF THE<br/>COMMITTEE</b>                                             | <p>Review and approve research involving animals</p> <p>Monitor university animal facilities to ensure compliance with standards and regulatory requirements</p> <p>Perform inspections of animal facilities, review the animal care and use program, perform post-approval reviews, and has authority to suspend research when necessary</p> | <p>Review and approve research involving human subjects</p> <p>Review other matters such as unanticipated problems, non-compliance, and suspension or termination of an IRB approval</p> <p>May observe the consent process and the research</p>                             | <p>Review disclosable financial interests related to extramural funding</p> <p>Review interests disclosed during the IRB application process</p> | <p>All personnel supported by USDA NIFA funding and all students, post docs, and fellows supported by NSF funding are required to have training in the responsible conduct of research</p> <p>Annual reminders are sent to the PI of each award, and personnel tracking is performed to ensure compliance with the NSF regulation</p> |
| <b>APPLICABILITY TO<br/>FACULTY<br/>(AND STUDENT)<br/>RESEARCH ACTIVITIES</b> | <p>IACUC review is required if teaching a class, or conducting research, testing, or experimentation that will involve animal use</p>                                                                                                                                                                                                         | <p>IRB review is required when a research activity involves a systematic investigation intended to contribute to generalizable knowledge, and involves an intervention or interaction with human subjects and/or access to identifiable private information or specimens</p> | <p>Review the thresholds for reporting conflicts of interest</p>                                                                                 |                                                                                                                                                                                                                                                                                                                                       |
| <b>* ASSURING<br/>COMPLIANCE *</b>                                            | <p>Timeline of reviews: ~1-2 weeks</p> <p>Full-Committee reviews: ad-hoc (timeline: ~4 weeks)</p>                                                                                                                                                                                                                                             | <p>Timeline of reviews: ~2-8 weeks</p> <p>Full-Committee reviews: ad-hoc (timeline: ~6-8 weeks)</p>                                                                                                                                                                          | <p>Timeline of reviews: ~2 weeks</p> <p>Full-Committee reviews: ad-hoc (timeline: ~4 weeks)</p>                                                  |                                                                                                                                                                                                                                                                                                                                       |
| <b>ORCA</b>                                                                   | <p>Webpage: <a href="https://officeofresearch.ucsc.edu/compliance/index.html">https://officeofresearch.ucsc.edu/compliance/index.html</a></p> <p>Contacts: <a href="mailto:iacuc@ucsc.edu">iacuc@ucsc.edu</a>, 831-459-3150; <a href="mailto:orca@ucsc.edu">orca@ucsc.edu</a>, 831-459-1473 / 831-471-7139</p>                                |                                                                                                                                                                                                                                                                              |                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                       |

# Export Control

## *Lisa Coscarelli, Director*

| EXPORT CONTROLS                                                                                                                                                                                                                                                                    |                                                                                                                                                                           |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| THESE<br>ACTIVITIES MAY<br>BE SUBJECT TO<br>EXPORT<br>CONTROLS                                                                                                                                                                                                                     | <b>Activities:</b>                                                                                                                                                        |
|                                                                                                                                                                                                                                                                                    | Shipping or carrying tangible items (including a laptop) or technical information overseas                                                                                |
|                                                                                                                                                                                                                                                                                    | The sponsor restricts publication of research results beyond a brief review for proprietary information or to exercise patent rights                                      |
|                                                                                                                                                                                                                                                                                    | The sponsor restricts participation or access to results by foreign nationals                                                                                             |
|                                                                                                                                                                                                                                                                                    | Receiving proprietary information from a sponsor that is subject to a confidentiality agreement                                                                           |
|                                                                                                                                                                                                                                                                                    | Exporting technology, software, or information which was designed for military use, use in space, or is known to be on the U.S. Munition List                             |
|                                                                                                                                                                                                                                                                                    | Exporting or developing technology or software listed on the Commerce Control List (CCL) of the Export Administration Regulations (EAR)                                   |
|                                                                                                                                                                                                                                                                                    | There is reason to believe that the item, information, or software being exported will support development or use of nuclear, chemical, or biological weapons or missiles |
|                                                                                                                                                                                                                                                                                    | Exporting encryption software                                                                                                                                             |
|                                                                                                                                                                                                                                                                                    | The destination country or entity is subject to sanctions regulated by the Office of Foreign Assets Control (OFAC)                                                        |
| Guidance: <a href="https://officeofresearch.ucsc.edu/compliance/services/export-control.html">https://officeofresearch.ucsc.edu/compliance/services/export-control.html</a><br>Contact: Lisa Coscarelli, JD ( <a href="mailto:export@ucsc.edu">export@ucsc.edu</a> ), 831-459-3346 |                                                                                                                                                                           |

# Office of Sponsored Projects (OSP)

*Deirdre Beach, Director*

## **Primary Proposal Responsibilities:**

Review, approve, and submit all outgoing proposals on behalf of UC Santa Cruz

## **Primary Award Responsibilities:**

Review, negotiate, and accept all research sponsored funding agreements (NDA's, collaborations, contracts, and grants)

## **Services:**

- Budget Building (with proposal admins)
- Subaward Document Collection
- Review for Sponsor, RFP, and UC Policy Compliance
- Guidance or clarification regarding Sponsor or UC Policy
- Prior-approval and agreement modification requests

## **Key Notes:**

- All proposal applications must be approved by OSP prior to submission.
- Adhere to internal OSP deadlines, which vary depending on complexity.
- Always send any agreements or other related documents to OSP for signature.
- Sponsor terms and conditions outside of UC Policy may restrict participation.
- Keep your GSRs and Postdocs informed of campus research policies.
- When in doubt, contact us. We're here to help.

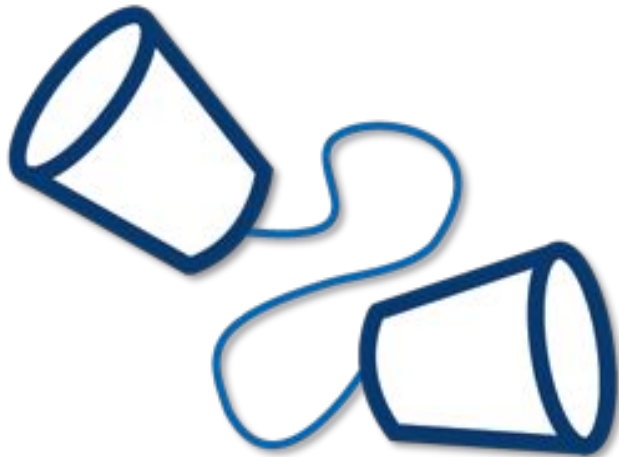
# Institutional Deadlines



*\*For standard proposals and those with complicating factors or between \$2M and \$10M per year. For larger proposals, extremely complex proposals, or construction grants, contact OSP well in advance to determine timelines.*

# We are Here to Help

*To request our services, please contact us.  
**You get more by reaching out early.***



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