

Orientation to Sponsored Projects at UC Berkeley

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Postdoctoral Caveats

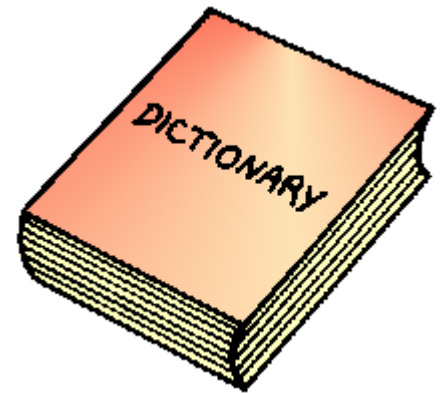
- Only individuals that hold an eligible Berkeley campus appointment* can submit proposals through UC Berkeley
- All others must obtain “Exceptional PI” status
- Exceptional PI status is typically project specific
- Proposal submissions from individuals with Exceptional PI status may be submitted with chair/dean approval
- Before the award is accepted by UC Berkeley the individual’s Exceptional PI Status must be approved by the VCRO

*<http://vcresearch.berkeley.edu/research-policies/principal-investigator-status>

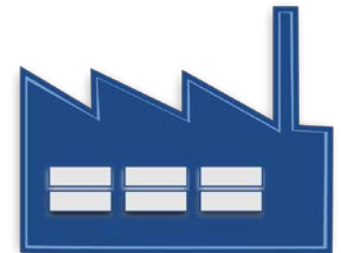


What is the definition of a sponsored project?

An activity is considered a “sponsored project” if it meets the following five criteria:



Government



1. At least part of the funding for the activity is provided by an outside organization.

This can be a governmental agency, a private foundation, or a business/industry partner.

2. The sponsor expects something in return for its money.

- It is not a “gift.” The sponsor’s funds must be used to achieve the sponsor’s objectives.
- It is not a “work for hire” just for the benefit of the sponsor.



3. The funds are awarded to UCB not to the people that write the proposal.

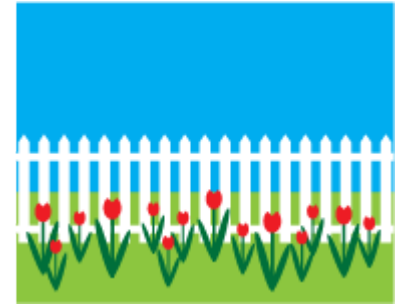
Fellowships awarded directly to individual faculty members and postdocs are not considered sponsored projects.



4. Funding is to be used to support a new activity not work that has already been completed.

Prizes and monetary honors for completed work are not considered sponsored projects.





5. The sponsor imposes conditions on how their money is to be spent by the University.

Every award document specifies what can and cannot be done with the sponsor's funds.



A sponsored project is a three party transaction:

1. Berkeley personnel provide the skills and expertise.
2. The sponsor provides the funds.
3. UCB provides its facilities and administrative services.

IT'S PARTY TIME



Goal: A “win-win” situation.

Example Berkeley Goals

- Publications
- Presentations/Exhibits
- Service to the Field
- Service to the Larger Community
- Learning & Funding for Students
- Professional Networking
- Time for Research-Scholarship-Creative Production
- Additional Salary

Example Sponsor’s Goals

- To Increase Knowledge
- To Improve Services
- To Influence Policy
- To Prepare Workers
- To Improve Communication
- To Bring about Change
- To Make a Difference
- To be Visible

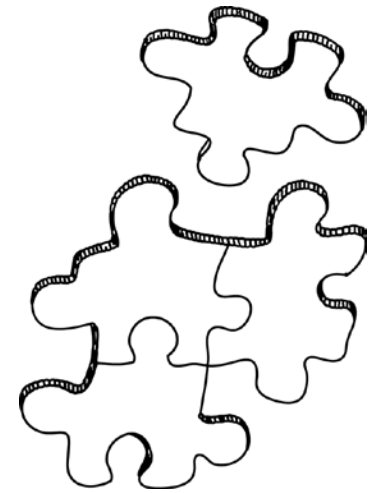


Seven Steps to Obtaining and Managing a Sponsored Project



Step 1: Find a Sponsor to Support Your Project

The key to proposal success is finding a “match” between what you want to do and what the sponsor wants to do.



Types of Sponsors

- Governmental
- Non-profit Groups
- For-profits/ Industry



UCB subscribes to “Pivot,” an external funding search engines to help you with your search:
<http://www.spo.berkeley.edu/funding.html>

Step 2: Write a proposal that will attract the sponsor's interest.

Demonstrate that you have the best plan for helping the sponsor achieve its programmatic goals and the best people to carry out this plan.

PLAN B

~~PLAN A~~

Step 3: Figure out how much money you need to do your project and what you need it for.

Proposal budgets are “estimates” of what you need to carry out your project.



Example budget categories:

Salaries

Fringes

Student assistant wages

Equipment and supplies

Travel and software

Consultant costs

Subawards to partner agencies

Step 4: Write the proposal according to the agency's guidelines.

A funding agency is unlikely to fund any group that cannot follow instructions.

*He That Hath the
Gold
Maketh the Rules*

Sponsor Cultures

- Governmental
- Non-profit Groups
- For-profits/ Industry



Step 5: Submit the proposal on time through SPO/IAO!

Late proposals are more likely to have errors that will keep the proposal from being reviewed.



Step 6: Manage your sponsored project effectively

Every sponsor expects you (and UCB) to adhere to the conditions of the award document.



Example conditions imposed by sponsors:

- Start and end dates (when the funds can be spent)
- Maximum amount of funds to be awarded
- The scope of work to be carried out
- How much cost sharing UCB must contribute
- How project funds are to be managed
- What project funds can and cannot be spent on
- Time and effort reports (personnel time on project)
- Invoicing requirements
- Reporting and deliverable requirements

UCB also must also comply with a variety of policies & regulations. For example:

- Protection of human subjects in research
- Ethical animal care and use in research
- Management of conflict of interest/commitment of key personnel
- Investigation/reporting of scientific misconduct
- Compliance with UC patent policy
- Adherence to export control regulations
- Environmental safety and biohazards prevention

Step 7: Deliver what you promised to deliver

Your future funding depends on how well you meet the funding agency's expectations.



Examples of the types of “deliverables” sponsors may expect:

- Project reports
- Financial reports
- Data and research findings
- Data on number of people trained/educated
- Data on number of people served
- Exhibits, conferences, workshops carried out
- New software and equipment created
- Publications and presentations made

Summary: Proposal Success

- Read the RFP/RFA
- Follow the Directions
- Know your Stuff
- Have a “Good Idea”
- Write with Confidence
- Care about the Reviewer
- Pay attention to Details
- Budget Realistically
- Don’t Give Up Too Soon
- Work the Field-Network
- Manage the Project
- Manage the Funds
- Choose “Good” Partners
- Deliver What is Required
- Deliver When Required
- Plan Your Next Proposal
- Publish/Present Your Findings

Summary: Proposal Failure

- Same Proposal for Multiple Sponsors
- Wrong sponsor
- Request too much \$
- Request too little \$
- Ignores what others have done
- No track record in content area
- Idea not unique
- Idea too unique
- Wishy-washy language
- Lack of organization
- Thinks size = quality
- Lacks/Ignores Contacts
- Overspends/Underspends
- Ignores Rules
- Doesn't Deliver on Time
- Doesn't Monitor Partners
- Doesn't Plan Next Proposal
- Doesn't Publish/Present

Example SPO/IAO Proposal Services

- Phoebe electronic proposal routing and approval system
- Review of proposal compliance with sponsor and University requirements
- Final proposal approval and submission*
- Collection/processing of required internal forms/documents
- Response to sponsor inquiries/requests in support of application

*unless alternative method is required

Example SPO/IAO Award Services

- Negotiation of award terms and conditions
- Development subcontracts with partners (to ensure good working relationships)
- Help obtaining pre-award expenditure approval (if funding documents are delayed)
- Help requesting no-cost extensions from the funding agency (when time runs out before you are done)
- Help solving problems that arise as sponsored projects are being carried out (as needed)

Our Partners:

Campus Shared Services Research Administration

- Develops and/or oversees research proposals, awards, and transactions related to contract and grant management.
- Maintain records in compliance with institutional and research sponsored policies.

<http://sharedservices.berkeley.edu/research-administration/>

Contracts & Grants Accounting (CGA)

- Award set up in Financial Systems
- Financial reporting Invoicing
- Accounts receivable
- Audit coordination
- Effort Report coordination

<http://controller.berkeley.edu/departments/contracts-and-grants-accounting>

Questions?

