Understanding the Awards Process

Reference Materials
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</table>
This checklist outlines 15* items identified below which will be required from the PI/Dept. Administrator for award/post-award processing. While processing an award/post-award transaction, the Sponsored Programs analyst will review all items listed below and request any of the (applicable) 15* outstanding items from the PI/Dept. Administrator, as well as any documentation required by the sponsor and a final PI Concurrence, if negotiation of the terms is required.

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<tr>
<th>Item</th>
<th>REQ</th>
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<td>Sponsored Programs Data Sheet completed and signed</td>
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<td>Budget and Budget Justification, including:</td>
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<td>Appropriate indirect cost rate  **ICR Exception: [ ] Yes [ ] No</td>
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<td>Accurate calculations</td>
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<td>Graduate student fees and non-resident tuition, if applicable</td>
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<td>Subcontractor costs, if applicable</td>
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<td>Allowable and allocable costs</td>
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<td>Subcontractor information, if applicable</td>
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<td>Form 105-A (PI Eligibility form), if applicable</td>
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<td>Cost Share Certification, if applicable</td>
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<td>IRB approval, if applicable</td>
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<td>BUA approval, if rDNA or pathogenic agents</td>
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<td>Form 700-U, if applicable – required at time of award</td>
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<td>Form 800, if applicable – required at time of proposal, confirm at time of award</td>
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<td>PHS-COI Disclosure &amp; Training, if applicable - confirm both items are addressed and current at time of award for each identified Investigator</td>
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<td>Approval to conduct stem cell research, if applicable</td>
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<td>Approval for use of anatomical specimens, if applicable</td>
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<td>Sponsor/program-specific admin. req. (i.e. IDC Exception, FFATA, E-verify, Insurance Cert., Informed Participation, Export Control, etc.)</td>
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<td>[ ] Terms Acceptable  [ ] Terms Unacceptable – negotiate with Sponsor</td>
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<td>PI Concurrence, if applicable</td>
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** SPO will submit request for ICR exception approval

REQ = SPO requested item from PI/Dept. Administrator
REC = SPO received item from PI/Dept. Administrator
Completion of the 700U Form is not required if the sponsor is listed in California Code of Regulations, Section 18755, subsection d(1) ([http://www.fppc.ca.gov/legal/regs/current/18755.pdf](http://www.fppc.ca.gov/legal/regs/current/18755.pdf)).

Note: Only the Principal Investigator (per UC Davis PPM 230-05) must complete and submit the 700-U Form.

List as of November 12, 2013:

Alzheimer's Disease & Related Disorders Association  
American Academy of Dermatology  
American Academy of Pediatrics  
American Association for the Advancement of Science  
American Association for State & Local History  
American Association of Colleges of Pharmacy  
American Association of Obstetricians & Gynecologists  
American Association of Retired Persons  
American Cancer Society  
American Chemical Society  
American College of Obstetricians & Gynecologists  
American College of Radiology  
American Committee for the Weizmann Institute of Science  
American Council of Learned Societies  
American Diabetes Association  
American Foundation for Pharmaceutical Education  
American Fund for Dental Education, Inc.  
American Gastroenterologic Association  
American Health Assistance Foundation  
American Heart Association  
American Kidney Fund  
American Library Association  
American Liver Foundation  
American Lung Association  
American Lupus Society, The  
American Nurses Foundation  
American Parkinson Disease Association  
American Philological Association  
American Philosophical Society  
American Red Cross  
Amyotrophic Lateral Sclerosis Society of America  
Arthritis Foundation  
Asthma & Allergy Foundation of America  
Bush Foundation, The  
California Association for Neurologically Handicapped Children
California Division of the American Cancer Society
California Heart Association
California Lung Association
Cargill Foundation
Carnegie Corporation of New York
Carnegie Foundation for the Advancement of Teaching
Cerebral Palsy Foundation
Chicago Community Trust, The
Childs Memorial Fund, The Jane Coffin
Christian Children's Fund
Clark Foundation, The Edna McConnell
Columbia Foundation
Commonwealth Fund, The
Cooley's Anemia Foundation
Council on Library Resources
Culpeper Foundation, Inc., Charles E.
Cystic Fibrosis Foundation
Deafness Research Foundation, The
Donner Foundation, William H.
Dover Fund, Inc.
Dreyfus Foundation, Inc., The Camille & Henry
Dreyfus Foundation, The Max & Victoria
Dysautonomia Foundation
Earhart Foundation
Easter Seal Research Foundation
Epilepsy Foundation of America
Eye Research Institute of Retina Foundation
Fight for Sight
Ford Foundation, The
Foundation for Child Development
Fuller Fund, The Anna
German Marshall Fund of the U.S.
Giannini Foundation
Grant Foundation, The William T.
Guggenheim Foundation, H.F.
Guggenheim Memorial Foundation, John Simon
Haas Fund, The Walter & Elise
Hartford Foundation, John A.
Haynes Foundation, The John Randolph & Dora
Hearst Foundation, William R.
Hewlett Foundation, The William & Flora
Institute for Educational Affairs
International Research & Exchanges Board
Japan Foundation
Johnson Foundation, The Robert Wood
Juvenile Diabetes Foundation
Kade Foundation, Inc., The Max
Kaiser Family Foundation, The Henry J.
Keck Foundation, William M.
Kellogg Foundation, W.K.
Klengenstein Fund, The Esther & Joseph
Knights Templar Eye Foundation
Kresge Foundation, The
Kunstadter Family Foundation, The Albert
Leakey Foundation, The L.S.B.
Leukemia Society
Levi Strauss Foundation
Lilly Endowment, Inc.
Luce Foundation, Inc., The Henry
Lupus Foundation of America
MacArthur Foundation, John D. & Catherine T.
McKnight Foundation, The
March of Dimes
Markle Foundation, The John & Mary R.
Mellon Foundation, The Andrew W.
Mott Foundation, Charles Stewart
Muscular Dystrophy Association
Myasthenia Gravis Foundation
National Academy of Sciences
National Collegiate Athletic Association
National Council of Teachers of English
National Foundation for Ileitis & Colitis
National Foundation for Infectious Diseases
National Fund for Medical Education
National Geographic Society
National Head Injury Foundation
National Hemophilia Foundation
National Kidney Foundation
National Leukemia Association
National Migraine Foundation
National Multiple Sclerosis Society
National Research Council
National Retinitis Pigmentosa Foundation
National Society to Prevent Blindness
National Sudden Infant Death Syndrome Foundation
National Tuberous Sclerosis Association
Northern California Society to Prevent Blindness
Noves Foundation, Inc., Jessie Smith
Organization for Tropical Studies
Packard Foundation, The David & Lucille
Paralyzed Veterans of America
Pardee Foundation, Elsa U.
Peierls Foundation, Inc., The
Picker Foundation, James
Population Council
Presiding Bishop's Fund for World Relief
Project HOPE
Research Corporation
Research to Prevent Blindness
Resources for the Future, Inc.
Retirement Research Foundation
Richardson Foundation, Smith
Rippel Foundation, Fannie E.
Rockefeller Brothers Fund
Rockefeller Foundation
Rosenberg Foundation
Rubin Foundation, Inc., Samuel
Runyon-Walter Winchell Cancer Fund, Damon
Sage Foundation, Russell
San Francisco Foundation
Scuffle Foundation, Inc., Sara
Schiff Foundation
Scottish Rite Schizophrenia Research Program
Sherman Foundation, Nate H.
Skaggs Foundation, L.J. & Mary C.
Skin Cancer Foundation
Sloan Foundation, Alfred P.
Social Science Research Council
Spencer Foundation, The
Teagle Foundation
Tinker Foundation, Inc., The
Treadwell Foundation, Nora Eccles
United Cerebral Palsy
United Scleroderma Research Foundation
U.S. Olympic Committee
Webb Foundation, Del E.
Weingart Foundation
Wenner-Gren Foundation for Anthropological Research, Inc.
Whitehall Foundation
Whitney Foundation, the Helen Hay
Wood Charitable Trust, W.P.
Woods Hole Oceanographic Institution
Zellerbach Family Fund
I. POLICY SUMMARY

The Principles Regarding Rights to Future Research Results in University Agreements with External Parties establish the fundamental parameters for negotiating agreements with external parties to address rights and obligations associated with future University research results. This policy applies to any UC agreement with others that addresses future research results, whether that agreement is administratively managed as a contract or grant, a procurement, a sales and services contract, or is in another form.

Rights and obligations associated with future research results shall be based on the following principles:

1. Open Dissemination of Research Results and Information
2. Commitment to Students
3. Accessibility for Research Purposes
4. Public Benefit
5. Informed Participation
6. Legal Integrity and Consistency
7. Fair Consideration for University Research Results
8. Objective Decision-Making
II. DEFINITIONS

Not applicable

III. POLICY TEXT

Preamble

This policy defines the core principles to be addressed in University agreements with external parties as to rights to future research results including patents, copyrights, tangible property, and data generated by the University community or through the use of University resources.

The University increasingly is called upon to participate in a broad spectrum of research relationships with governmental agencies, nonprofit foundations, and industry. Such relationships encompass traditional extramural research funding arrangements, research collaborations, multi-party research consortia, visits by others to University laboratories, student and faculty visits to external laboratories, and use of University equipment and facilities by others. Other University relationships with external parties, such as purchasing or real estate transactions, may also have implications for future University research results. Properly cast, all such relationships can help both the University and the external party advance their respective and mutual research interests.

Each University agreement with an external party must recognize the importance of managing the results of research to enhance the teaching and research programs of University faculty, researchers, students, and postdoctoral scholars. To ensure the long-term success of such relationships, agreements should acknowledge the participants' respective contributions, understanding that parties may have divergent interests in the results of research. Regarding technologies and other results arising from research they support, industry partners may rely upon strong patent or proprietary positions to gain competitive positions in the marketplace. The University has a commitment to make the fruits of its research widely available through publication and open distribution of research products. The University also seeks to protect the viability of its research programs, to foster open inquiry beyond the interests of any one research partner, and to recognize its fiduciary responsibility as the beneficiary of a publicly-funded research infrastructure.
Principles

For University relationships with external parties to succeed, agreements must address the parties' interests in future research results through flexible application of fundamental principles to a broad range of specific circumstances. Rights and obligations associated with future research results shall be based on the following principles:

1. Open Dissemination of Research Results and Information
   Agreements with external parties shall not abridge the ability of University researchers to disseminate their research methods and results in a timely manner. The most fundamental tenet of the University is the freedom to interpret and publish or otherwise disseminate research results in order to support the transfer of knowledge to others and maintain an open academic environment that fosters intellectual creativity.

2. Commitment to Students
   Agreements for research relationships with external parties shall respect the University's primary commitment to the education of its students.

3. Accessibility for Research Purposes
   Agreements with external parties shall ensure the ability of University researchers to utilize the results of their research to perform future research.

4. Public Benefit
   Agreements with external parties shall support the ability of the University to make available for the public benefit in a diligent and timely manner any resulting innovations and works of authorship.

5. Informed Participation
   All individuals involved in research governed by a University agreement with an external party shall have the right and responsibility to understand the rights and obligations related to future research results embodied within the agreement.

6. Legal Integrity and Consistency
   Commitments concerning future research results made in agreements with external parties shall be consistent with all applicable laws and regulations and the University's contractual obligations to others.
7. Fair Consideration for University Research Results

Agreements with external parties shall provide fair consideration to the University and the general public for granting commercial access to future University research results.

8. Objective Decision-Making

When establishing or conducting University relationships with external parties, decisions made about rights to future research results shall be based upon legitimate institutional academic and business considerations and not upon matters related to the personal financial gain of any individual.

IV. COMPLIANCE / RESPONSIBILITIES

These principles shall apply to all University agreements with external parties that impact rights to University research results, whether such agreements are administratively managed as contracts and grants, as procurements, as sales and services contracts, or as other forms of agreement.

Although this Policy is applicable to the three Department of Energy National Laboratories, allocation of rights under various agreements at the Laboratories may be subject to overriding obligations of The Regents under DOE operating contracts.

Responsibilities:
The Provost and Executive Vice President-Academic Affairs shall develop appropriate delegations of authority, administrative guidelines, and accountability measures to support campus and Laboratory activity in this area.

V. PROCEDURES

University relationships with external parties are most efficiently established and managed by delegating appropriate authority to well-trained campus and Laboratory negotiators for development, negotiation, and execution of a broad range of tangible and intellectual property rights arrangements. Each such arrangement must be consistent with the provisions of this policy, but may be tailored specifically to particular circumstances. Since disposition of research results arising from such relationships is based on both University academic and business considerations, it is important that authorized University contracting personnel and University academic personnel together participate in and take responsibility for decisions concerning such arrangements.

VI. RELATED INFORMATION

Not applicable.
VII. FREQUENTLY ASKED QUESTIONS
Not applicable.

VIII. REVISION HISTORY
This policy was reformatted into the standard University of California policy template effective July 1, 2012.

No revisions since original date of issuance (August 26, 1999).
The Office of Management and Budget (OMB) has combined many federal circulars into a single guidance document (known as Uniform Guidance, or 2 CFR 200) that can be used by all agencies. These new regulations became effective December 26, 2014.

### CHARGING

**ADMINISTRATIVE/CLERICAL AND PROGRAMMATIC SALARY COSTS**

<table>
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<th>Applicable Uniform Guidance (UG) Sections</th>
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<tr>
<td>200.413</td>
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**Administrative and Clerical Salaries**

In general, administrative and clerical salaries should still not be direct charged, but the rules governing “major project or activity” exceptions have been dropped and replaced by the following criteria, all of which must be met:

1. Administrative or clerical services are integral* to a project or activity;
2. Individuals involved can be specifically identified with the project or activity;
3. Such costs are explicitly included in the budget or have the prior written approval of the Federal awarding agency; and
4. The costs are not also recovered as indirect costs.

If all of these requirements are met, PIs/departments should add a new justification statement to proposals to facilitate the required agency approval.

*UC Davis has determined that integral means the services are essential, vital, or fundamental to the project or activity and we have sponsor approval for spending direct costs in this manner.

**Programmatic Salary Costs**

Costs related to protocol development and maintenance, managing substances/chemicals, managing and securing project-specific data, and coordination of research subjects are allowable direct costs when they are “contributing and directly related to work under an agreement.” Thus, these programmatic costs may be direct charged using the same underlying requirements as other types of direct costs, and are not subject to the extra approval requirements required of administrative and clerical costs. They are still subject to all regular costing requirements (e.g., allocability, reasonableness, allowable by terms of the award, incurred within award period).

### COMPUTING DEVICES

**COMPUTING DEVICES (UNDER $5,000 UNIT COST)**

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<th>Applicable UG Sections</th>
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<td>200.48</td>
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<td>200.439</td>
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**COMPUTING DEVICES CAN BE INCLUDED ON COMPETITIVE AND NON-COMPETITIVE PROPOSAL BUDGETS.**

Computing devices under $5,000/unit may be direct charged to the project or activity under the following circumstances:

- The machines are essential* and allocable to the project in that they are necessary to acquire, store, analyze, process, and publish data and other information electronically, including accessories (or “peripherals”) for printing, transmitting and receiving, or storing electronic information.
- The project does not have reasonable access to other devices or equipment that can achieve the same purpose; devices may not be purchased for reasons of convenience or preference.
- Items costing more than $5,000 per unit are considered equipment and follow federal equipment rules for when they can be direct charged. (SEE 200.33, 200.48, 200.89, 200.439)

* PIs are responsible for determining whether or not the device is “essential” and to what extent the cost of the device is allocable to the sponsored project. PIs and departments should maintain documentation that describes how the proposed computing device meets the above requirements and the allocation methodology used.
| **PARTICIPANT SUPPORT COSTS** | PARTICIPANT SUPPORT COSTS CAN BE INCLUDED FOR AGENCY APPROVAL ON COMPETITIVE AND NON-COMPETITIVE PROPOSAL BUDGETS.  
After UG implementation, participant support costs (see 200.75) are allowable with agency prior approval. This includes stipends or subsistence allowances, travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with conferences or training projects. Participant support costs are not routinely allowed on research projects but can be charged if the project includes an education or outreach component and the agency approves such costs. These costs should be explicitly listed in the proposal budget or approved by the funding agency after the award has been made. |
| **VISA COSTS** | SHORT-TERM, NON-IMMIGRATION VISA COSTS CAN BE INCLUDED ON COMPETITIVE AND NON-COMPETITIVE PROPOSAL BUDGETS.  
The UG allows short-term, non-immigration visa costs for a specific period and purpose as direct costs to federal awards. The person connected with these visa costs must be critical, necessary and clearly identified as directly connected to the work performed on the federal award. Because this is being classified as a recruiting cost, only the initial visa cost is allowable. J-1 and H-1B visas are for a specific period and purpose; therefore, these visa types are generally allowable if the specific conditions are met. |
| **F&A ON SUBAWARDS** | THE SUBRECIPIENTS’ NEGOTIATED F&A RATE OR AN ALTERNATIVE RATE AS DESCRIBED BELOW MUST BE USED FOR ALL SUBAWARDS INCLUDED IN COMPETITIVE PROPOSALS.  
If a federal program has a published statutory F&A cap, that rate must be used both by UC Davis and all of its subrecipients. For all other federal programs, if a subrecipient has a federally negotiated F&A rate, it must be used. If the entity does not have a negotiated F&A rate, a 10% de minimis F&A rate must be used instead. PIs may not negotiate or agree to lower rates with their subrecipients. There is no change to UC Davis recovery of its own F&A – this remains limited to receiving our F&A on the first $25K of each subaward. |
| **FIXED PRICE/RATE SUBAWARDS** | AGENCY PRIOR APPROVAL IS REQUIRED TO ENTER INTO FIXED PRICE/RATE SUBAWARDS, WHICH MAY NOT EXCEED $150K.  
Agency prior approval is required to enter into a fixed price/rate subaward rather than a cost-reimbursement subaward, and the total value of each fixed price/rate subaward may not exceed $150K. Fixed price subawards are most commonly used for clinical trial site agreements, foreign subrecipients, and small businesses. To expedite agency approval, PIs/departments should add a new justification statement to proposals contemplating a fixed price/rate subaward. A statement is not needed for other subawards. |