Sponsored Programs Essentials – Part 2: Post Award
Introductions

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  • Associate Director, Sponsored Programs

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  • Training Officer, Sponsored Programs

• Who are you?
  • Name and department
Handouts

- Sponsored Programs Essentials - Reference Materials
- Guide to Research Compliance
- “Where does this document go?”
Today we are going to talk about…..

• SPO Award Team Overview

• Who on campus signs what?
  • What if researcher wants to consult? (Consulting Agreements)
  • What if researcher receives a gift? (Gift or Grant?)

• Awards – Essentials & Best Practices
  • What inhibits speedy award processing?
    • Incorrect IDC
    • Absent Compliance paperwork
    • Terms in conflict with the Principles Regarding Rights to Future Research
    • “After the Fact” Awards

• Post-Award Essentials & Best Practices

• Resources
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Who on Campus Signs What??
UC Davis has several offices with signature authority to bind The Regents to contractual obligations. Such offices include Sponsored Programs, InnovationAccess, Campus Contracting Services, UCDHS Material Management, Real Estate Services, Office of Development, Health System Contracts... 

So, who signs what?
Who Signs What?

Sponsored Programs Office

• All proposals for extramural (outside) funding (except for pre-proposals that do not require an institutional signature); extramural awards for research, training and public service (including those from federal, state, non-profit and for-profit sponsors); subawards; service agreements (if no approved rate); confidentiality agreements in anticipation of research funding; teaming agreements in anticipation of proposal submissions.

InnovationAccess

• Licenses to patent rights & UC copyrights* (but not UC trademarks, logos**); material transfer agreements; data use agreements; confidentiality agreements covering discussions about UC intellectual property; proprietary software licenses (not “off-the-shelf” software purchases); beta-test agreements
  * purchasing published/copyrighted materials, including periodicals and electronic media, is done through Campus Contracting Services.
  ** UC Davis Trademark Licensing manages UC trademarks, name & logos

Grad Studies

• Assist with graduate student fellowship processes from finding & applying for fellowships through post award administration. Provide training & support for the program staff. Grad Studies presentations at https://gradstudies.ucdavis.edu/current-students/financial-support.
Who Signs What?

**Development**
- Acceptance of gifts and donations

**Campus Contracting Services:**
- Purchase orders and agreements; business contracts (expense, no-cost and revenue); equipment loans; small business subcontracting plans
- UCDHS has separate Purchasing & Contracting departments (see below).

**Design & Construction Management:**
- DCM is responsible for the campus construction of all major infrastructure and building projects as well as renovation projects of all kinds.
- Within DCM, Real Estate Services manages off-campus leasing; faculty home loan program; property management services.
Who Signs What – Health System

Health System Contracts (there are three units within UCDHS Contracts.):

• Clinical Trials: Industry funded clinical trial agreements for the health system
• Health Plan Contracts: Managed care contracts; Healthcare payer contracts
• Health Affairs Contracts:
  • Service agreements, unrelated to research
  • Independent consultant agreements, unrelated to research
  • Independent contractor agreements, for professional services, unrelated to research
  • Affiliation agreements
  • Training agreements
  • Facility transfer agreements
  • Intergovernmental Personnel Act (IPA) agreements (UC Davis Health System employee working at a federal government site at the federal government’s request)
  • Expert witness agreements when primary to course and scope of faculty appointment
  • Facility use agreements and permits of less than one year in duration
  • Data Use Agreements involving the disclosure of patient health information
  • Confidential Disclosure Agreements
Who Signs What – Health System

UCDHS Material Management:

- Acquires goods and services for the health system*

*non-medical, professional independent contractor agreements for SOM departments are processed through Campus Purchasing utilizing a DAFIS purchase requisition
## Contact info

| Sponsored Programs Office | proposals@ucdavis.edu  
|                         | Awards@ucdavis.edu  
|                         | Subawards@ucdavis.edu  
|                         | 530.754.7700  
|                         | http://research.ucdavis.edu/contact-us/sponsored-programs/  |
| InnovationAccess | Phone: (530) 754-8649  
|                   | Fax: (530) 754-7620  
|                   | E-mail: innovationAccess@ucdavis.edu  
|                   | http://research.ucdavis.edu/contact-us/innovationaccess/  |
| Campus Contracting Services | Purchasing: http://purchasing.ucdavis.edu/about/teamassign.cfm?show=purch  
|                         | Business Contracts: http://purchasing.ucdavis.edu/about/teamassign.cfm?show=bc  
|                         | Strategic Sourcing: http://purchasing.ucdavis.edu/ssi/index.cfm  
|                         | Phone: (530) 752-0370  
|                         | Fax: (530) 757-8720  
|                         | http://purchasing.ucdavis.edu/  
|                         | Small business subcontracting plans: Wayne Boney, 754-1347, wboney@ucdavis.edu  |
| Graduate Studies | https://gradstudies.ucdavis.edu/  
|                  | Phone: (530) 752-0650  |
| Development | http://giving.ucdavis.edu/contact-us/index.html  
|             | Phone: (530) 754-GIFT (4438); Fax: (530) 754-2294  
|             | E-mail: development@ucdavis.edu  |
| Design & Construction Management | 530-754-1111  
|                              | http://dcm.ucdavis.edu/information/contact.html  
|                              | Real Estate Services: See http://dcm.ucdavis.edu/res/index.html  |
## Contact Info – for the Health System:

|-------------------------|--------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
*Note about Campus Contracting*

- Re-structuring
- Websites changing

Coordinate with other offices in advance:
- Need a subcontract? Talk to Campus Contracting Services
- Portion of award include construction requiring a public bid? Talk to DCM early!
Can researchers sign consulting agreements?

• Typically, UC is not a party to agreements for employees’ consulting activities outside of their UC scope of work.

• Check with your Chair or Dean prior to engaging in outside consulting activities.

• Review UCOP’s “Guidance for Faculty and other Academic Employees on Issues related to Intellectual Property and Consulting”

• It is recommended that you have legal counsel review to avoid any conflict of obligations. (Example: UC Patent Policy)
2010: “UC Regents sue UC professor for engaging in non-UC work”

2014: “University Regents sue…” The UC Board of Regents has filed a $1 million lawsuit against a UC professor, for allegedly failing to contribute to a university-sponsored profit-sharing plan that would benefit research and other projects at the school…”
What if a researcher receives a gift?

Ask whether the funding is truly a gift. Should it be classified as a gift or as a grant?

Reference 1980 UCOP policy: List of characteristics *generally* found in GIFTS and characteristics *generally* found in GRANTS.

- **Don’t** base decisions upon the presence or absence of a single characteristic or criterion.

- **Do** look at the award as a whole in order to make a judgment as to its proper classification.

- SPO analysts are able to assist with this determination.
Quick Guide to Gift/Grant Determination

In general, classify funds as GIFTS when the following characteristics exist:

- No contractual requirements;
- No quid pro quo;
- No audit requirements;
- No obligation to return unspent funds;
- No intellectual property rights to donor;
- No obligation for reports (reports not tied to payments);
  - However, stewardship progress reports okay
- Qualifies for tax treatment as charitable contribution by donor

In general, classify funds as GRANTS when the following characteristics exist:

- Provision for audits;
- Grantor receives consideration (can be detailed technical/expenditure reports);
- Involves testing of proprietary products;
- Research is directed to satisfying specific grantor requirements (e.g., precise scope of work specified rather than a general area of research);
- Specified period of performance or termination at discretion of grantor;
- Unexpended funds returned to grantor;
- Patent/IP rights requested by grantor.

Determination can only reliably be made upon reading the award document!
Authority to accept awards on behalf of The Regents of the University of California

Sponsored Programs is the authorized institutional representative for accepting, on behalf of the Regents, extramural funds supporting research at the University of California.

- SPO reviews T&Cs for appropriateness for an institution of higher education;
- When necessary, SPO interacts with campus counsel, UCOP, Risk Management, InnovationAccess, etc.

Policy references:
UC Davis Policy reference: PPM 230-01
UCOP C&G handbook: “All contract or grant awards from extramural sponsors, from UC campuses, or from UC-managed DOE laboratories, for research, training, or public service projects to any [University of California] unit must be approved and accepted by the Research Administration Office.”
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Incorrect IDC rates delay award processing

• Indirect Cost rate - Also called Overhead, Facilities & Administrative or F&A costs

• UC Davis F&A Rate Agreement with federal government
  • The F&A rate is a reimbursement mechanism. The rate is based on costs that have been documented to the government (and the government agrees) have already been incurred.

• When the indirect costs of a project are not recovered from a project’s sponsors, the University must subsidize these costs from other funding sources.
Quick Recap on Indirect Costs

Indirect costs do not fully reimburse the University’s expenses.

Three reasons:

1. **The F&A rate is the result of a negotiation** in which UC documents its costs and proposes a rate, and the government proposes a lower rate. Typically, the agreed-upon rate is somewhere in the middle which means some documented costs are not covered.

2. **Federally negotiated rates contain restrictions** which limit indirect cost recovery for legitimate costs.
   
   Ex. Administrative costs capped at 26% since 1991, despite increasing administrative, compliance and reporting requirements that have been added year after year.

3. **Project and Sponsor-specific waivers.** The amount of funds required to subsidize IDC limitations is estimated by the UCOP Office of Research and Graduate Studies (ORGS) to be as much as **$356 million per year** across the UC system.
Quick Recap on Indirect Costs

- UC Davis’ IDC rates are consistent with comparable institutions.

Federally negotiated indirect cost rates for on-campus research (MTDC)*

* 2016 data

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<td>52%</td>
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<td>56%</td>
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- Incorrect IDC rates in research budgets delay proposal submissions, award processing, and research initiation.
### UC Facilities and Administrative (F&A, Indirect) Cost Rates

#### Recent History of Negotiated Organized Research On-Campus Rates

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### Notes:

1. The next F&A rate proposal scheduled for submission to the U.S. Department of Health and Human Services, Cost Allocation Services (DHHS-CAS).
2. Weighted average rates are weighed by campus based on the actual total annual indirect costs recovered from federal awards.
3. Riverside campus rate for FY13-14 is provisional at 52% pending final negotiation with DHHS.

*Italics and coloring indicate rates resulting from the latest round of rate proposal submissions and negotiations.*

All rates shown are “Predetermined” and convert to “Provisional” rates for periods beyond the agreement period until new rates are negotiated.
Quick Recap on Indirect Costs

• For all UC and CSU campuses, the approved indirect cost rate on State-funded agreements is 25% MTDC.

• The minimum UC rate for State awards is currently 25% MTDC, regardless of whether the performance of the project will take place on or off campus. Over the next several years, this rate will increase as follows:

<table>
<thead>
<tr>
<th>Period</th>
<th>Rate</th>
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<tbody>
<tr>
<td>Now – 6/30/2017</td>
<td>25%</td>
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<tr>
<td>7/1/2017 – 6/30/2018</td>
<td>30%</td>
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<tr>
<td>7/1/2018 – 6/30/2019</td>
<td>35%</td>
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<tr>
<td>7/1/2019 – 6/30/2020</td>
<td>40%</td>
</tr>
</tbody>
</table>

• These rates do not apply when the state is acting as a pass-through entity of federal funds. The appropriate [UC federally negotiated F&A Rate](#) will apply to State agency awards made with federal funding. Please see 2 CFR § 200.414 and 2 CFR § 200.331.

• For State awards, the rate in effect for the first year of a multi-year project will be the rate used for the entire project in proposed and awarded budgets. If additional funds (not previously appropriated or budgeted) are awarded by a State agency; the proposed budget for these additional funds would use the UC-approved state rate in effect at the time the new budget request is submitted.

• Incorrect IDC rates in research budgets delay proposal submissions, award processing, and research initiation.
Missing data sheet and/or compliance documents delay proposal/award processing

Your Chair is the authorized person on campus who can commit resources from your department.

- When the Chair signs the datasheet, those resources are committed to the Project.
- When SPO submits a proposal, or signs an award, those resources are committed to the sponsor.
- This is why SPO requires the Chair’s signature on the data sheet.

PI responsibilities: the PI’s signature on the data sheet signifies that the PI accepts responsibility for all aspects of the design, conduct and reporting of the project, required by federal & state law, and University policy. Read the certifications included on the data sheet.

References: Data sheet & Research Compliance Guide
Financial conflict of interest paperwork: PHS COI, Form 800, Form 700-U...

The State of California mandates that a 700-U form must be filed by all persons employed by UC or CSU who have **principal responsibility** for a **research project** if the project is to be funded or supported, in whole or in part, by a contract or grant (or other funds earmarked by the donor for a specific research project or for a specific researcher) from a **nongovernmental entity**.

Regulation 18755 lists certain non-profit entities that do not trigger disclosure.

State requires a “wet” signature dated at the time the award is accepted. (What does that mean?)

Reference: Research Compliance & Integrity Office
Why so many certifications and compliance documents?

• Case Study: U. Virginia: Prof. Eric Poehlman was the first U.S. academic sentenced to prison for falsifying data in a grant application. Poehlman was in extremely good standing within his research fields, ultimately publishing over two hundred journal articles.

• On March 17, 2005, Poehlman pleaded guilty to charges of scientific misconduct, admitting that 17 of his grant applications submitted to NIH were based on false data.

• Furthermore, ten of Poehlman’s published papers were proven to be fictitious.

• On June 28, 2006, Poehlman was sentenced to serve a year and a day in federal prison. It was totaled that Poehlman cheated research agencies out of $2.9 million.
Why so many certifications and compliance documents?

Case Study: U. Tennessee Prof J. Reece Roth, sentenced to 48 months in prison for violating the Arms Export Control Act after exporting technical information relating to plasma technology to a foreign nation without the required U.S. government license.

“This case should send a stern warning to those who would betray the trust of our nation by violating the export control laws by providing our military information to foreign nationals.”

- U.S. Attorney Russ Dedrick
Why so many certifications and compliance documents?

2013 “ASU audit findings: Allegations of wrongdoing against multiple board members”

“...auditors had found evidence that suggested evidence of conflicts of interest, numerous contracts with no proof of work completed, financial waste, inappropriate relationships, payments to family and friends of ASU board members, inappropriate payments and intentional obscuring of inappropriate payments and circumventing policies and procedures...”
What’s at risk?

An institution must comply with federal rules if it accepts federal funding for research; whether or not a specific project is funded by the federal government, it still has to comply with the rules.

Davis campus 2014-2015 $427 Million (out of $786M)
UC system 2014-2015 $3.9 Billion (out of $5.7B)
Principles Regarding Rights to Future Research Results in University Agreements with External Parties

1. Open Dissemination of Research Results & 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

http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/future-research-results/index.html

New in July 2015: Guidelines for implementing the Principles:
# Some Major Cultural Differences

<table>
<thead>
<tr>
<th>University</th>
<th>Industry</th>
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<tbody>
<tr>
<td>Open publication of research results</td>
<td>Trade secrets, confidentiality</td>
</tr>
<tr>
<td>Equal access to research and labs for students, faculty, and staff</td>
<td>Citizenship restrictions, restrictive access to proprietary information</td>
</tr>
<tr>
<td>Academic growth and development, research to further the field</td>
<td>Research to commercialize and profit</td>
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<tr>
<td>Perceived bureaucracy and administrative hurdles</td>
<td>Each company may have different decision making structures, potential delays</td>
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<tr>
<td>University owns IP</td>
<td>Company wants to own research results and IP</td>
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<tr>
<td>Research for public benefit</td>
<td>“Paying for research” for corporate benefit</td>
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Guidelines for Award Terms ("the good...")

UC follows these PRINCIPLES when we accept any agreement with an external party on behalf of our researchers:

- Open dissemination of research results
- Commitment to students
- Accessibility for research purposes
- Public benefit
- Informed (researcher) participation
- Legal integrity and consistency
- Fair consideration for commercial use
- Objective decision making

- From University of California’s “Principles Regarding Rights to Future Research Results in University Agreements with External Parties” (1999)
What terms should be negotiated? (“the bad…”)

• Any provisions that:
  (a) violate UC policy;
  
  (b) would put UC activities in conflict with California or federal law;
  
  (c) Lack legal integrity (do not further UC’s missions; or with which UC cannot reasonably comply);
  
  (d) Researchers find objectionable; or
  
  (e) Would negatively impact or limit other UC research programs.

Let’s look at examples:
What terms should be negotiated?

Assume you are the SPO award analyst. Do you want to negotiate with the sponsor?

Example 1:  "Grantee shall provide Sponsor with any planned disclosures or publications for review at least 45 days before submission for such disclosure or publication. Further, Grantee shall not disclose or publish the results of research conducted hereunder without Sponsor’s prior review and approval of the material to be disseminated."
What terms should be negotiated?

Examples ("& the ugly...")

- UCOP Policy ("Regulation 4"): "...the right of publication is reserved by the University. The University may itself publish the material or may authorize, in any specific case, a member or members of the faculty to publish it through some recognized scientific or professional medium of publication....."

- California Senate Concurrent Resolution No. 66: "Resolved by the Senate of the State of California, the Assembly thereof concurring, That, to ensure academic freedom, the Legislature of the State of California urges the Regents of the University of California, the Trustees of the California State University, the Board of Governors of the California Community Colleges, and the governing board of each community college district in the state to prohibit the institutions under their jurisdiction, or any of the staff or component parts of these institutions, from signing any agreement that requires the permission of an entity outside the institution to publish or otherwise communicate the results of academic research..."
What terms should be negotiated?

Example 2:
“University shall not disclose any Confidential Information without the express written consent of Sponsor. “Confidential Information” shall not include research results generated by University, but shall include the content of this agreement. Material breach of this provision shall result in University’s obligation to repay all funds granted hereunder.”

Any objection?
What terms should be negotiated?

Examples (”& the ugly...”)

Same provision:  
“University shall not disclose any Confidential Information without the express written consent of Sponsor. “Confidential Information” shall not include research results generated by University, but shall include the content of this agreement. Material breach of this provision shall result in University’s obligation to repay all funds granted hereunder.”

New circumstance:  
Shortly after signing the award, UC Davis Campus Counsel’s Office receives a request under the California Public Records Act (CPRA). Can UC Davis comply with the terms of award and California state law?
What terms should be negotiated?

Example 3: Indemnification

*University agrees to indemnify, defend and save harmless the State, its officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by University in the performance of this Agreement*

Any objection?
What terms should be negotiated? Examples ("& the ugly...")

U.C. Board of Regents Standing Order 100.4(d)(d) states the President is authorized to execute on behalf of UC all contracts and other documents necessary in the exercise of the President’s duties, including documents to solicit and accept pledges, gifts, and grants, except that specific authorization by resolution of the Board shall be required for agreements by which the University assumes liability for conduct of persons other than University officers, agents, employees, students, invitees, and guests.

Agreements obligating UC to indemnify the sponsor (or anyone) for third-party liability requires the approval of the UC Board of Regents. The authority does not exist on campus.
What terms should be negotiated?

Example 4:
Inventor Anne Tidote invents a new compound for neutralizing snake-bite venom under a Sponsored Research Agreement from MedCo, which states, “UC will grant MedCo an exclusive license to all discoveries resulting from the research under this Agreement.” UC files patent application No. 1 and exclusively licenses it to MedCo.

During clinical trials, it is noted that the drug makes patients nauseous.

Professor Tidote receives a research grant from PharmaCo to investigate the drug’s adverse side effect. The research contract with PharmaCo promises PharmaCo an exclusive license to all inventions made under the research agreement with PharmaCo dollars.

Under the PharmaCo grant, Tidote discovers that mixing the compound with ginger during the manufacturing process results in an improved drug that has the same beneficial properties (neutralizes snake venom) without the disadvantageous side effect (nausea). UC files patent application No. 2.

Which Company is entitled to the exclusive license to patent application No. 2 – MedCo or PharmaCo?
What terms should be negotiated?

Examples ("& the ugly...")

Sponsored Research Agreements with intellectual property provisions must specify UC ownership of UC researchers’ inventions.

Language granting rights (especially exclusive rights) in UC patent rights to sponsors must:

- Avoid reaching to inventions created at other UC campuses
- Avoid reaching to other research projects
- Confine obligated patent rights to those inventions made in the period of performance of the project (Not inventions made one year before the project started.... Not inventions made one year after the project ended....)
- confine obligated IP rights to inventions that are potentially patentable (Not the researcher’s know-how, tangible materials, data, other unprotectable research results...)
If you enjoyed Example No. 4, we recommend:

- “IP at UC Davis” instructor-led course
- “IP Awareness Training” online training module
What terms does SPO negotiate?

Recap

- Violate UC policy
  - Example: Publication restrictions, 3rd-party liability, UC Patent Policy

- Would put UC activities in conflict with California or federal law;
  - Contract confidential/not subject to California Public Records Act

- Lack legal integrity (do not further UC’s missions; or with which UC cannot reasonably comply); or
  - Services competing with local service providers;
  - Broad statements affecting all UC campuses

- Researchers find objectionable.
  - Disposition of equipment, timeline, deliverables, etc.

- Negatively impact other researchers or research programs
What terms does SPO negotiate?
What are the risks?

Reporting timelines

Payment conditional on “satisfactory” performance

Payment in currency other than USD

Contract governed by Belgian law

Atypical intellectual property rights

Publication restriction

Severity of provision requiring negotiation

“My Business Decision” made in consultation with dept.

Policy Violation may need exception from UCOP
Why bother?

- 2006XXXX – researcher prohibited from transferring research materials
- 2009XXXX – sponsor filed for bankruptcy; bankruptcy estate dispersed, but dept not made whole. Department financial loss
- 2010XXXX – sponsor disputed performance in light of scope of work; denied UC invoices for over four years
- 2010XXXX – dispute re “satisfactory” performance; sponsor rejected UC invoices; department financial loss
- 2013XXXX – dispute over deliverables; UC IP potentially jeopardized.
- … many, many other examples

SPO’s charge is to **Balance** - Balance between (i) quickly executing an award (negotiate for best reasonable terms), and (ii) the risk of poor outcome detrimental to researcher and department.

If SPO signs off on risky terms in an agreement, we will do so with the informed participation, consent, and financial assurance of the stakeholders – PI, chair, & maybe dean.
A note on State Contracting

• In January 2010, Assembly Bill 20 (AB20) became effective. It required the State Department of General Services (DGS) to negotiate model contract terms for use by State agencies funding research, training or public service projects done by campuses of the UC and CSU systems.

• On November 2, 2015, the implementing MOU for the AB20 model agreement was executed by the three parties with an implementation date of January 1, 2016.
AB20: A New Relationship

• Use of the model agreement is predicated on a different working relationship with the State.

• Campuses will provide complete

• Proposals will be reviewed in advance by university sponsored projects offices

• Proposal will contain more detail upfront, allowing for less detail to be required later, for example, with each invoice
The following awards will not use the AB20 templates:
- CIRM Agreements
- CEC - PIER/EPIC Agreements
- California Marketing Boards

SPO will deliver an instructor-led training on AB20 to your department upon request

Please see our website “Model Contract Language for Contracts with State of California agencies”
ATFs delay award processing

ATF awards – SPO has no record of a proposal preceding the award.

“After the Fact” awards – often a “trifecta”

• often no data sheet or compliance docs at SPO
• often incorrect IDC rate
• Sometimes require negotiation of terms

• Department & sponsor have already agreed upon a budget which may be incorrect. Could be damaging to relationships to adjust budget and other terms at award stage.
So, what is the fastest way for me to get access to my award?

In short, follow UC’s rules....

• Apply the correct F&A rate. Consult with SPO early and often.
• Submit a complete data sheet to SPO.
• Complete necessary compliance documents & provide to SPO.
• Avoid ATFs. Provide SPO an opportunity to review a proposed project before an award arrives.
• Read award carefully. If you disagree with a provision, alert SPO promptly.

Also:

• Coordinate with other offices in advance if downstream contracting is needed:
  • Need a purchase order - Talk to Campus Contracting Services
  • Portion of award includes construction requiring a public bid - Talk to DCM early!
Today we are going to talk about.....

- SPO Award Team Overview
- Who on campus signs what?
  - What if researcher wants to consult? (Consulting Agreements)
  - What if researcher receives a gift? (Gift or Grant?)
- Awards – Essentials & Best Practices
  - What inhibits speedy award processing?
    - Incorrect IDC
    - Absent Compliance paperwork
    - Terms in conflict with the Principles Regarding Rights to Future Research
    - “After the Fact” Awards
- Post-Award Essentials & Best Practices
- Resources
Post Award Issues: I need a ....subaward

SPO’s Subaward Team ([subawards@ucdavis.edu](mailto:subawards@ucdavis.edu))

- Determine whether a subaward or other mechanism is appropriate
  - Campus Contracting Services for independent contractor agreements, independent consultant agreements, P.O.s, etc.
  - Health System Contracts & Health System Purchasing

- Process for getting a subaward:
  - **Step 1:** After receiving notification that the Prime Award has been awarded, the PI/Department Administrator requests a subaward by completing a [Subaward Request Form](mailto:subawards@ucdavis.edu).

  - **Step 2:** The PI/Department Administrator emails the Subaward Request Form and all relevant documents to the Subaward Team at [subawards@ucdavis.edu](mailto:subawards@ucdavis.edu). The attached documents should be current or applicable to the period of performance for which you are subcontracting.

  - **Step 3:** The Subaward Team reviews the Subaward Request Form and its attached documents to determine whether additional documents or information are needed.

  - **Step 4:** The Subaward Team drafts and sends a subaward agreement or amendment to the subrecipient, along with any applicable compliance requests (typically within 2 weeks after the Subaward Analyst receives the completed Subaward Request Form including all relevant documents, however, turnaround time may vary depending upon volume of requests).

  - **Step 5:** The subrecipient returns documents to the Subaward Team. The Subaward Team sends a fully executable version of the subaward agreement and once fully executed the Subaward Team awards the subaward and routes the document fully-executed subaward to CGA and the department.
Research Performance Progress Reports (RPPR’s)

The PI is responsible for submitting all required interim and final technical or project reports to the awarding agency or sponsor. The PI should review the award terms and conditions and make note of the following items in order to ensure timely completion of the reports as required by the Sponsor:

• What technical or program reports are required?
• What are the deadlines for reports?
• What format and submission methods are required?

More information on Progress Reports is available on our website, at http://research.ucdavis.edu/proposals-grants-contracts/spo/award-management/#progressreports
RPPRs – Massive resources available!

Grantee Access to the RPPR
Grantees may access a list of progress reports that are due using the Status page in eRA Commons, and selecting the Tab "List of Applications/Grants." The far right column on the resulting table entitled Action will include an RPPR link if a progress report is due. Select the RPPR link.

Resources
Training:
  - RPPR Training for Grantees Webinar - October 17, 2012 (1 hr 47 mins)
  - RPPR Training for Grantees - October 17, 2012 (PPT - 1.3 MB)
  - RPPR Phase II Training for Grantees Webinar - November 14, 2013 (YouTube video)
  - RPPR Phase II Training for Grantees Webinar Questions - November 14, 2013 (YouTube Video)
  - RPPR Phase II Training for Grantees - November 14, 2013 (PPT - 2 MB)
  - NIH RPPR Instruction Guide (PDF - 4.3 MB)
    NIH RPPR Instruction Guide (MS Word - 5.7 MB)
  - Screen Shots of the R01-like RPPR (PDF - 4.2 MB)
  - Learn how the RPPR differs from eSNAP
  - Information about the public access policy
  - Frequently Asked Questions

Points of Contact
- System issues or comments
  - eRA Help Desk
- Content questions or comments

Tip: RPPRs are not for Final Technical Reports.
Close out

Closeout is the process by which the Sponsor determines that all applicable administrative actions and all required work of the award have been completed by the grantee.

Closeout requirements vary by sponsor.

For Federal awards, Grantees must typically submit the following closeout reports:

- Final Federal **Financial** Report (except for Fellowships)
- Final **Progress** Report (except for Fellowships for which the Termination Notice will continue to serve as the Final Progress Report)
- Final **Invention** Statement and Certification (except for Training grants, Fellowships, and certain other programs—e.g., activity codes C06, R13, R25, S10)
Closeout

**Financial Report:** You’ll receive automated notification from CGA 90 days prior to the award end date. Using CGA’s Award Closeout Checklist and reviewing your financial ledgers you will:

- Compare approved budget with the ending actual budget. Any re-budgeting required?
- Are all expenditures allowable based on the T&Cs of the award?
- Were expenditures incurred within the budget period?
- Have payroll appointments been changed to ensure no further expenditures are recorded?

**Technical Report:** Timeliness is important

**Invention Report:** Required even if negative

**Equipment Report:** Equipment Management can assist

SPO Closeout Analyst: **Terrence (“Terry”) Duperron**

[tpduperron@ucdavis.edu](mailto:tpduperron@ucdavis.edu)
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  - What inhibits speedy award processing?
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    - Absent Compliance paperwork
    - Terms in conflict with the Principles Regarding Rights to Future Research
    - “After the Fact” Awards
- Post-Award Essentials & Best Practices
- Resources
Our Website...

- Complete facelift in November, 2014!
- The Office of Research main page is: [http://research.ucdavis.edu/](http://research.ucdavis.edu/)
  - Faculty Toolkit
  - Announcements
- Sponsored Programs main page is:

Sponsored Programs

Project Timeline
The Compliance Guide

• Can be found at our website, under the Award Management tab -
Listserv Subscriptions

Copyright Info: Moderated forum for information related to copyright as it affects the UC Davis campus.
https://lists.ucdavis.edu/sympa/info/copyright.info

DMCA Info: Moderated forum for information related to the DMCA as it affects the UC Davis campus.
https://lists.ucdavis.edu/sympa/info/dmca.info

Funding: This moderated list is for disseminating information about Limited Submissions programs and other new funding opportunities. Limited Submissions programs are funding opportunities in which the sponsor agency allows UC Davis to submit only a limited number of applications. Please subscribe using your UC Davis (ucdavis.edu or ucdmc.ucdavis.edu) email account. If you are not signed in to Sympa, you will need to sign in before seeing the list information.

- Weekly Research Funding Update: Subscribe to one of the following three listservs to receive the relevant Weekly Research Funding Update. Weekly emails are only sent when there are new opportunities or information.
  1. Funding Announcements General: https://lists.ucdavis.edu/sympa/subscribe/funding/index.html
  2. Funding Announcements Humanities: https://lists.ucdavis.edu/sympa/subscribe/fundinghum/index.html

- The following listservs were developed with assistance from the Funding Opportunities Program. Contact Kassie Obello (kobello@ucdavis.edu) if you are interested in developing your own.
  1. Air Quality Research Center (AQR) General Funding Opportunities: https://lists.ucdavis.edu/sympa/subscribe/aqr-general
  2. AQR Climate Funding Opportunities: https://lists.ucdavis.edu/sympa/subscribe/aqr-climate
  3. AQR Health Funding Opportunities: https://lists.ucdavis.edu/sympa/subscribe/aqr-health
  4. Crocker Nuclear Laboratory and Cyclotron Funding Opportunities: https://lists.ucdavis.edu/sympa/subscribe/cnl-funding

IRB Info: This moderated list is for notifying all UC Davis human subject researchers and research personnel of changes to the UC Davis Human Research Protection Web site and/or policy and procedure changes of the UC Davis Institutional Review Board (IRB). https://lists.ucdavis.edu/wws/subscribe/irb-info

ORC Info: This moderated list is for notifying UC Davis faculty, staff and research personnel of changes to the UC Davis Research Compliance and Integrity Web site and/or policy and procedure changes of the related compliance committees.

- Research Compliance and Integrity Announcements: https://lists.ucdavis.edu/sympa/info/or-rci

OVCRC: This moderated list is for disseminating information about contract and grant administration, and related trainings and workshops. It is the primary mechanism for informing the campus community of the latest research administration news. https://lists.ucdavis.edu/sympa/info/ovcr-cq

RCR: This moderated list is for individuals to receive information regarding the Responsible Conduct of Research Program (ethical research training) at UC Davis.

- RCR Program Announcements: https://lists.ucdavis.edu/sympa/info/rcr
Monthly Research Forums

- The fourth Wednesday of each month from 8:30-10am
- Located at Sponsored Programs office
  - 1850 Research Park Drive, Davis.
- Reminders are sent out via the OVCR-cg listserv (visit our website to sign up for this listserv)

**TIP:** CGA provides important updates at the Forum too!
Other classes that we offer

- Sponsored Programs Essentials, Part 1: Introduction to SPO & Pre Award
- Sponsored Programs Essentials, Part 2: Post Award
- Proposal Preparation and Submission
- Writing a Proposal Budget: Lab
- Understanding the Awards Process
- Other courses
  - Intellectual Property at UC Davis (In conjunction with InnovationAccess)
  - Contracting with State of California agencies (not through SDPS)

Please visit the SDPS website for a list of dates and times and to sign up for all of our classes
http://sdps.ucdavis.edu/
Questions?

• What questions do you have?

• Don’t forget your evaluation forms!
For research-related announcements, you can now follow SPO on Twitter and YouTube!

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Thank you!

Sponsored Programs UC Davis