Sponsored Programs: Essentials, Processes, and Best Practices
Introductions

• Randi Jenkins
  • Associate Director, Sponsored Programs

• Michael Warnock
  • Associate Director, Sponsored Programs

• Aaron Trammell
  • Research Administration Training Officer, Sponsored Programs

• Who are you?
  • Name, department, how long have you been at the University?
Sponsored Programs: Essentials, Processes, and Best Practices

Reference Materials


Principles in rights to future research result -
[http://policy.ucop.edu/doc/2500487/PrinciplesRegardingResearchResults](http://policy.ucop.edu/doc/2500487/PrinciplesRegardingResearchResults)

Consulting with Industry –

UC Davis Policies (SPO) - [http://manuals.ucdavis.edu/PPM/contents.htm](http://manuals.ucdavis.edu/PPM/contents.htm)


Advance Account Request –

IP Awareness Training module - [http://research.ucdavis.edu/industry/ia/researchers/ip-types/](http://research.ucdavis.edu/industry/ia/researchers/ip-types/)


Where to sign up for Listservs - [http://research.ucdavis.edu/resources/listserv-subscriptions/](http://research.ucdavis.edu/resources/listserv-subscriptions/)
Today we are going to talk about.....

- Intro to Sponsored Programs
- Why have Sponsored Programs?
- Who on campus signs what???
- Proposals – Essentials & Best Practices
- Awards – Essentials & Best Practices
- Resources

Let's get started!
Today we are going to talk about.....

• Intro to Sponsored Programs
  • Why have Sponsored Programs?
  • Who on campus signs what???
• Proposals – Essentials & Best Practices
• Awards – Essentials & Best Practices
• Resources
SPO Intro...How we’re Organized – UC Davis

* The positions of Vice Chancellor – Human Health Sciences and Dean – School of Medicine are held by one individual.

Updated January 20, 2013
SPO Intro...How we’re Organized – Office of Research

Vice Chancellor for Research
   Harris Lewin

Executive Associate Vice Chancellor for Research Administration
   Cindy Kiel

Associate Vice Chancellor
   Interdisciplinary Research and Strategic Initiatives
   Paul Doell

Development Director
   Barbara Celi

Associate Vice Chancellor
   Interdisciplinary Research Support
   Director
   Sheryl Soucy-Lubell

Strategic Initiatives
   Manager
   Vacant

Central Facilities
   Director
   Darin Helfer

Special Research Programs
   Director
   Lars Berglund

Business & Finance
   Director
   Delinda Buchanan

Research Compliance & Integrity
   Director
   Craig Allison

Marketing & Communications
   Director
   Aaron (Al) Chehine

Human Resources
   Manager
   Marlene Denham

Institutional Review Board Administration
   Director
   Dan Recline

Sponsored Programs
   Executive Director
   Ahmad Hakim-Eldhi

Information Systems & Services
   Co-Manager
   Hai Nguyen

Programmer
   Co-Manager
   Ed Storm

International Contracts Specialist
   Carl Reed II

Faculty Coordinator
   Kurt Weimer

Innovation Access
   Executive Director
   David McGee

Venture Catalyst
   Interim Director
   Dushyant Pathak

Office of Corporate Relations
   Director
   Mona Ellerbrock

Research Office
   Faculty Position

Vacant Position
## Proposal Team

<table>
<thead>
<tr>
<th>Leadership</th>
<th>Proposals</th>
<th>Awards</th>
<th>Subawards</th>
<th>Negotiation Team</th>
<th>Closeouts</th>
<th>eRA &amp; Training</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Proposals</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Co-Associate Director</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Team Leader</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Agricultural and Environmental Sciences</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Agricultural and Environmental Sciences</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Biological Sciences (CBS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Engineering</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate School of Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Education</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Law</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Extension</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vice Chancellor – Research (ORUs except Cancer and Primate Centers)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Team Leader</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Letters and Science</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Studies</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Medicine</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Medicine</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Veterinary Medicine</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Miscellaneous Departments</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- **Michael | Warnock**  (530) 754-7917
- **Dye- Hixenbaugh, Chris**  (530) 754-8034
- **Snyder, Jinger**  (Dept. Assignment)  (530) 752-3767
- **Shanna Jose**  (Dept. Assignment)  (530) 754-8318
- **Snyder, Jinger**  (530) 752-3767
- **Pham, Lien**  (530) 754-1079
- **Bell, Patrick**  (530) 754-0114
- **Bell, Patrick**  (530) 754-0114
- **Bell, Patrick**  (530) 754-0114
- **Bell, Patrick**  (530) 754-0114
- **Pattison, Robert**  (530) 754-7996
- **Whistler, Victoria**  (530) 754-8206
- **Whistler, Victoria**  (530) 754-8206
- **Carpenter, Kris**  (Dept. Assignment)  (530) 754-8143
- **Aquilar, Victoria**  (Dept. Assignment)  (530) 754-8096
- **Neri, Erlita**  (530) 754-8192
- **Carpenter, Kris**  (Dept. Assignment)  (530) 754-8143

[http://research.ucdavis.edu/contact-us/sponsored-programs/](http://research.ucdavis.edu/contact-us/sponsored-programs/)
## Proposal Team – CA&ES Assignments

<table>
<thead>
<tr>
<th>Jinger Snyder</th>
<th>Shanna Jose</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ag &amp; Resource Economics</strong></td>
<td><strong>Agr &amp; Env Sci Deans Office</strong></td>
</tr>
<tr>
<td><strong>Entomology</strong></td>
<td><strong>Animal Science</strong></td>
</tr>
<tr>
<td><strong>Entomology/Nematology</strong></td>
<td><strong>Bftv Admin</strong></td>
</tr>
<tr>
<td><strong>Environmental Design</strong></td>
<td><strong>Biological &amp; Ag Engineering</strong></td>
</tr>
<tr>
<td><strong>Environmental Science &amp; Policy</strong></td>
<td><strong>Environmental Toxicology</strong></td>
</tr>
<tr>
<td><strong>Human &amp; Community Development</strong></td>
<td><strong>Food Science &amp; Technology</strong></td>
</tr>
<tr>
<td><strong>Human Ecology</strong></td>
<td><strong>Foundation Plant Services</strong></td>
</tr>
<tr>
<td><strong>International Ag Programs</strong></td>
<td><strong>Land Air &amp; Water Resources</strong></td>
</tr>
<tr>
<td><strong>Nematology</strong></td>
<td><strong>Lawr - Hydrology Program</strong></td>
</tr>
<tr>
<td><strong>Plant Pathology</strong></td>
<td><strong>Nutrition</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Plant Sciences</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Textiles &amp; Clothing</strong></td>
</tr>
<tr>
<td></td>
<td><strong>UC Calfresh Nutrition Ed Prog</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Viticulture &amp; Enology</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Wildlife &amp; Fisheries Biology</strong></td>
</tr>
</tbody>
</table>

Jinger Snyder - jssnyder@ucdavis.edu

Shanna Jose - snation@ucdavis.edu

[11]

## Proposal Team – SOM Assignments

Victoria Aguilar – vmaguilar@ucdavis.edu

Kris Carpenter - kccarpenter@ucdavis.edu

**Proposals - School of Medicine Assigned Analysts**

<table>
<thead>
<tr>
<th>Victoria Aguilar</th>
<th>Kris Carpenter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Betty I Moore Nursing School</td>
<td>Med: Anesthesiology</td>
</tr>
<tr>
<td>Med int Med - Administration</td>
<td>Med: Pathology</td>
</tr>
<tr>
<td>Med int Med - Allergy</td>
<td>Med: Pediatric Cardiology</td>
</tr>
<tr>
<td>Med int Med - Cardiovascular</td>
<td>Med: Pharmacology</td>
</tr>
<tr>
<td>Med int Med - Gastroenterology</td>
<td>Med: Psychiatry</td>
</tr>
<tr>
<td>Med int Med - Genl Medicine</td>
<td>Med: Public Health Sciences</td>
</tr>
<tr>
<td>Med int Med - Gi Research</td>
<td>Med: Radiation Oncology</td>
</tr>
<tr>
<td>Med int Med - Gm Education</td>
<td>Med: Surgery</td>
</tr>
<tr>
<td>Med int Med - Pulmonary</td>
<td>Med: Cell Biology &amp; Human Anat</td>
</tr>
<tr>
<td>Med int Med - Rheumatology</td>
<td>Med: Medical Microbiology &amp; Imm</td>
</tr>
<tr>
<td>Med int Med-Infectious Disease</td>
<td>Med: Ortho Research Lab</td>
</tr>
<tr>
<td>Med: Cancer Center Admin</td>
<td>Med: Pm&amp;R Research Lab</td>
</tr>
<tr>
<td>Med: Cln &amp; Transl Sci Ctr</td>
<td>Med: Psychiatry &amp; Behav Sci</td>
</tr>
<tr>
<td>Med: Dermatology</td>
<td>Med: Stem Cell Research Program</td>
</tr>
<tr>
<td>Med: Diagnostic Radiology</td>
<td></td>
</tr>
<tr>
<td>Med: Div of Internal Med</td>
<td></td>
</tr>
<tr>
<td>Med: Emergency Medicine</td>
<td></td>
</tr>
<tr>
<td>Med: Fam &amp; Comm Medicine</td>
<td></td>
</tr>
<tr>
<td>Med: Family Practice</td>
<td></td>
</tr>
<tr>
<td>Med: General Pediatrics</td>
<td></td>
</tr>
<tr>
<td>Med: Int Med - Radiochemistry</td>
<td></td>
</tr>
<tr>
<td>Med: Microbiology</td>
<td></td>
</tr>
<tr>
<td>Med: Mind Institute</td>
<td></td>
</tr>
<tr>
<td>Med: Musculoskeletal Health</td>
<td></td>
</tr>
<tr>
<td>Med: Neurological Surgery</td>
<td></td>
</tr>
<tr>
<td>Med: Neurology</td>
<td></td>
</tr>
<tr>
<td>Med: Obstetrics &amp; Gynecology</td>
<td></td>
</tr>
<tr>
<td>Med: Office of Medical Ed</td>
<td></td>
</tr>
<tr>
<td>Med: Ophthalmology</td>
<td></td>
</tr>
<tr>
<td>Med: Otolaryngology</td>
<td></td>
</tr>
</tbody>
</table>

Proposal Team – Miscellaneous Departments

Miscellaneous Departments

- Library
- Office of the Chancellor
- Office of the Provost
- UCDMC - Hospitals and Clinics
- Vice Chancellor - Student Affairs
- Vice Chancellor Campus Planning, Facilities/Safety
- Vice President - Agriculture and Natural Resources

Kris Carpenter - kccarpenter@ucdavis.edu

Proposal Team “essentials”

• Proposal Inbox (proposals@ucdavis.edu)

• Complete proposal, data sheet and documentation due to SPO no less than 5 days prior to proposal due date

• Final science need not be complete when proposal submitted to SPO, but must be complete and to SPO at least one business day before due date

• SPO will submit most electronic proposals

• For proposals SPO does not submit, allow at least one (more at discretion of department) business day before actual sponsor deadline—department deadline becomes effective submission deadline for SPO

• All proposals required to come through SPO even if sponsor does not require it (http://manuals.ucdavis.edu/ppm/230/230-02.pdf)

• Contact your analyst with questions
## Award Team

<table>
<thead>
<tr>
<th>Leadership</th>
<th>Proposals</th>
<th>Awards</th>
<th>Subawards</th>
<th>Negotiation Team</th>
<th>Closeouts</th>
<th>eRA &amp; Training</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Awards</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Co-Associate Director</td>
<td>Jenkins, Randi</td>
<td>(530) 754-6323</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Team Leader</td>
<td>Garrido, Joe</td>
<td>(530) 754-7982</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Agricultural and Environmental Sciences</td>
<td>Pacquaio, Bill (Dept. Assignments)</td>
<td>(530) 754-7982</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Agricultural and Environmental Sciences</td>
<td>Sissac, Victoria (Dept. Assignments)</td>
<td>(530) 754-8094</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Engineering</td>
<td>Kelly Musselman</td>
<td>(530) 754-8140</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Letters and Science</td>
<td>Russ, Brian</td>
<td>(530) 754-7999</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Team Leader</td>
<td>Rossi, Marie</td>
<td>(530) 754-8277</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>College of Biological Sciences (CBS)</td>
<td>Ballinger, Erica</td>
<td>(530) 754-8062</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate School of Management</td>
<td>Ballinger, Erica</td>
<td>(530) 754-8062</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Studies</td>
<td>Wood, Karen</td>
<td>(530) 754-8112</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Education</td>
<td>Wood, Karen</td>
<td>(530) 754-8112</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Office of the Provost</td>
<td>Wood, Karen</td>
<td>(530) 754-8112</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Law</td>
<td>Ballinger, Erica</td>
<td>(530) 754-8062</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Medicine</td>
<td>Kirkchaney, Mary Ellen (Dept. Assignments)</td>
<td>(530) 754-8091</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Medicine</td>
<td>Fix, Monique (Dept. Assignments)</td>
<td>(530) 754-8113</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School of Veterinary Medicine</td>
<td>Parker, Lisa</td>
<td>(530) 754-8017</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>University Extension</td>
<td>Ballinger, Erica</td>
<td>(530) 754-8062</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vice Chancellor – Research (ORUs except Cancer and Primate Centers)</td>
<td>Wood, Karen</td>
<td>(530) 754-8112</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Miscellaneous Departments</td>
<td>Ballinger, Erica (Dept. Assignments)</td>
<td>(530) 754-8062</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

[http://research.ucdavis.edu/contact-us/sponsored-programs/](http://research.ucdavis.edu/contact-us/sponsored-programs/)
Award Team – CA&ES Assignments

Bill Pacuilla – bpacuilla@ucdavis.edu
Victoria Sissac - vsissac@ucdavis.edu

<table>
<thead>
<tr>
<th>Assigned Analysts</th>
<th>Bill Pacuilla</th>
<th>Victoria Sissac</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ag &amp; Resource Economics</td>
<td>Agr &amp; Env Sci Deans Office</td>
<td></td>
</tr>
<tr>
<td>Animal Science</td>
<td>Environmental Toxicology</td>
<td></td>
</tr>
<tr>
<td>Biological &amp; Ag Engineering</td>
<td>Foundation Plant Services</td>
<td></td>
</tr>
<tr>
<td>Entomology/Nematology</td>
<td>Land Air &amp; Water Resources</td>
<td></td>
</tr>
<tr>
<td>Environmental Design</td>
<td>Lawr - Hydrology Program</td>
<td></td>
</tr>
<tr>
<td>Environmental Science &amp; Policy</td>
<td>Plant Sciences</td>
<td></td>
</tr>
<tr>
<td>Food Science &amp; Technology</td>
<td>UC Calfresh Nutrition Ed Prog</td>
<td></td>
</tr>
<tr>
<td>Human &amp; Community Development</td>
<td>Wildlife &amp; Fisheries Biology</td>
<td></td>
</tr>
<tr>
<td>Human Ecology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>International Ag Programs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Nematology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Nutrition</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Plant Pathology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Textiles &amp; Clothing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Viticulture &amp; Enology</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Award Team – SOM Assignments

<table>
<thead>
<tr>
<th>Monique Fix</th>
<th>Mary Ellen Kirckchaney</th>
</tr>
</thead>
<tbody>
<tr>
<td>Betty I Moore Nursing School</td>
<td>Med Int Med - Gastroenterology</td>
</tr>
<tr>
<td>Med Int Med - Administration</td>
<td>Med Int Med - Gm Education</td>
</tr>
<tr>
<td>Med Int Med - Allergy</td>
<td>Med Int Med - Infectious Disease</td>
</tr>
<tr>
<td>Med Int Med - Cardiovascular</td>
<td>Med Int Med-Kidney Transplant</td>
</tr>
<tr>
<td>Med Int Med - Endocrinology</td>
<td>Med: Biochem &amp; Molecular Med</td>
</tr>
<tr>
<td>Med Int Med - Genl Medicine</td>
<td>Med: Div of Internal Med</td>
</tr>
<tr>
<td>Med Int Med - GI Research</td>
<td>Med: General Pediatrics</td>
</tr>
<tr>
<td>Med Int Med - Nephrology</td>
<td>Med: Microbiology</td>
</tr>
<tr>
<td>Med Int Med - Pulmonary</td>
<td>Med: Mind Institute</td>
</tr>
<tr>
<td>Med Int Med - Pulmonary Med</td>
<td>Med: Neurology</td>
</tr>
<tr>
<td>Med Int Med - Rheumatology</td>
<td>Med: Office of Medical Ed</td>
</tr>
<tr>
<td>Med: Anesthesiology</td>
<td>Med: Ophthalmology</td>
</tr>
<tr>
<td>Med: Cancer Center Admin</td>
<td>Med: Pathology</td>
</tr>
<tr>
<td>Med: Clin &amp; Transl Sci Ctr</td>
<td>Med: Pharmacology</td>
</tr>
<tr>
<td>Med: Dermatology</td>
<td>Med: Psychiatry</td>
</tr>
<tr>
<td>Med: Diagnostic Radiology</td>
<td>Med: Public Health Sciences</td>
</tr>
<tr>
<td>Med: Fam &amp; Comm Medicine</td>
<td>Med: Cell Biology &amp; Human Anat</td>
</tr>
<tr>
<td>Med: Family Practice</td>
<td>Med: Medical Microbiology &amp; Imm</td>
</tr>
<tr>
<td>Med: Musculoskeletal Health</td>
<td>Med: Ortho Research Lab</td>
</tr>
<tr>
<td>Med: Neurological Surgery</td>
<td>Med: Orthopedic Surgery</td>
</tr>
<tr>
<td>Med: Obstetrics &amp; Gynecology</td>
<td>Med: Physiology &amp; Membrane Biol</td>
</tr>
<tr>
<td>Med: Otolaryngology</td>
<td>Med: Pm&amp;R Research Lab</td>
</tr>
<tr>
<td>Med: Pediatric Cardiology</td>
<td>Med:</td>
</tr>
<tr>
<td>Med: Phys Med &amp; Rehab</td>
<td></td>
</tr>
<tr>
<td>Med: Radiation Oncology</td>
<td></td>
</tr>
<tr>
<td>Med: Surgery</td>
<td></td>
</tr>
<tr>
<td>Med: VC/Deans Office</td>
<td></td>
</tr>
<tr>
<td>Med: Inst Population Hlth Imp</td>
<td></td>
</tr>
<tr>
<td>Med: Psychiatry &amp; Behav Sci</td>
<td></td>
</tr>
<tr>
<td>Med: Stem Cell Research Program</td>
<td></td>
</tr>
</tbody>
</table>

Monique Fix – mfix@ucdavis.edu
Mary Ellen Kirckchaney - mekirckchaney@ucdavis.edu

Award Team – Miscellaneous Departments

Miscellaneous Departments

- Library
- Office of the Chancellor
- UCDMC - Hospitals and Clinics
- Vice Chancellor - Student Affairs
- Vice Chancellor Campus Planning, Facilities/Safety
- Vice President - Agriculture and Natural Resources

Erica Ballinger - eballinger@ucdavis.edu

Award Team “essentials”

• All extramurally funded awards should be sent to SPO at Awards@ucdavis.edu
  
  SPO has delegated authority to accept awards for UC Davis.
  
  *Please see Policy #PPM 230-01 and PPM 230-02

• How might an award arrive?
  
  • FedConnect or other sponsor electronic systems (SPO will retrieve)
  • Email, If you receive an award, please forward it to awards@ucdavis.edu
  • Hand delivery, FedEx, campus mail (inter-campus mail delivered 3/week)

• Who do I contact? Should it always be my assigned analyst?
  
  • When SPO receives an award, an analyst is assigned and department notifications are sent to provide the analyst’s name and contact information.
  • Once award is assigned, you may contact your analyst directly.
  
(having the SPO Project Number available when you call is helpful.)
Negotiation Team

Executive Director [Team Leader]  Hakim-Elahee, Ahmad  (530) 754-7687
C & G Officer  Blair, Sue  (530) 754-8266
C & G Officer  Lamar, Kimberly  (530) 754-8191
C & G Officer  Noble, Paula  (530) 754-8115
C & G Analyst  Ody, Valerie  (530) 752-5469

http://research.ucdavis.edu/contact-us/sponsored-programs/
# Subaward Team

## Subawards

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive Director, [Team Leader]</td>
<td>Hakim-Elahi, Ahmad</td>
<td>(530) 754-7687</td>
</tr>
<tr>
<td>C &amp; G Officer, [Supervisor]</td>
<td>Noble, Paula</td>
<td>(530) 754-8115</td>
</tr>
<tr>
<td>C &amp; G Analyst</td>
<td>Smith, Kimberly</td>
<td>(530) 752-3732</td>
</tr>
<tr>
<td>C &amp; G Analyst</td>
<td>Willis, Eugene</td>
<td>(530) 754-7941</td>
</tr>
<tr>
<td>C &amp; G Analyst</td>
<td>Tryon, Mathew</td>
<td>(530) 752-5458</td>
</tr>
<tr>
<td>C &amp; G Analyst</td>
<td>Lundy, Khris</td>
<td>(530) 752-3749</td>
</tr>
</tbody>
</table>

[http://research.ucdavis.edu/contact-us/sponsored-programs/](http://research.ucdavis.edu/contact-us/sponsored-programs/)
Today we are going to talk about.....

• Intro to Sponsored Programs

• Why have Sponsored Programs?
  • Sponsor requirement
  • Value added
  • Institutional efficiency
  • UC policy citations (95-01)
  • Delegations of authority

• Who on campus signs what???

• Proposals – Essentials & Best Practices

• Awards – Essentials & Best Practices
Why have SPO - Sponsor perspective

• Sponsor requirements
  • Reps & Certs
    • IRB
    • IACUC
    • CoI
    • Export Control
  • Electronic system registration
  • Tax ID, DUNS, etc.
  • MBE/WBE subcontracting plans
  • Special sponsor requirements
  • Single consistent point of contact
Why have SPO - Sponsor perspective

• Reps & Certs
• IRB

The role of the Institutional Review Board (IRB) is to review and make decisions on all research involving human subjects at the University of California, Davis, with the intent of ensuring compliance with the appropriate regulations and policy, designed to ensure that the safety and welfare of subjects are properly protected. The IRB at UC Davis is comprised of three committees: two clinical (IRB-A, IRB –B) and one social and behavioral (IRB-C), with members of each committee including UC Davis faculty, clinicians, staff, students and community members. The Vice Chancellor for Research selects and appoints members of the IRB and provides staff support to the IRB.

• IACUC

The IACUC oversees the UC Davis Animal Care and Use program. The IACUC’s responsibilities include, but are not limited to: reviewing the university’s program for the humane care and use of animals used in research and teaching and the status of the institution’s animal facilities. The IACUC reviews approves, requires modifications, or withholds approval of Animal Care and Use Protocols. The Vice Chancellor for Administrative and Resource Management has been delegated the responsibilities and authority of the Institutional Official of the Animal Care program. The department of Safety Services provides the staff support to the IACUC.
Why have SPO - Sponsor perspective

• Reps & Certs

• COI
   The Conflict of Interest Committee (COIC) advises the Vice Chancellor of Research on potential conflicts of interest in research based upon financial disclosures from investigators and recommends action to be taken in response to such conflicts. This faculty-based committee welcomes receiving faculty applications. The Vice Chancellor for Research selects and appoints members of the COIC and provides staff support to the COIC.

• Export Control
   The United States export controls exist to protect the national security and foreign policy interests of the United States, and is governed by the U.S. State Department International Traffic in Arms Regulations (ITAR) and the U.S. Commerce Department Export Administration Regulations (EAR) or foreign entities. Due to concerns about homeland security, proliferation of weapons of mass destruction, terrorism, and unauthorized releases of technology to U.S. economic competitors, the federal government has recently increased its scrutiny of export control compliance by colleges and universities.

• Other Reps & Certs Required by the Sponsor
Why have SPO - Sponsor perspective

• Electronic system registration
• Fastlane
• Grants.gov
• Institutional registrations
Why have SPO - Sponsor perspective

- Tax ID, DUNS, etc.

### Identification Numbers and Codes

<table>
<thead>
<tr>
<th>Type of Code</th>
<th>Code Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Animal Welfare Assurance Number (Vertebrate Animals)</td>
<td>A-3433-01 (for Grants.gov applications, use A3433-01)</td>
</tr>
<tr>
<td>Assurance of Compliance No. (Human Subjects) – Approved until 6/13/2018</td>
<td>FWA000004557 (for Grants.gov applications, use 00004557)</td>
</tr>
<tr>
<td>Commercial and Government Entity (CAGE) Code</td>
<td>1CBG4</td>
</tr>
<tr>
<td>Contractor Establishment Code (CEC)</td>
<td>18-562-770A</td>
</tr>
<tr>
<td>Dun and Bradstreet Number (DUNS)</td>
<td>04-712-0084</td>
</tr>
<tr>
<td>Employer Identification Number (EIN) or Taxpayer Identification Number (TIN)</td>
<td>94-6036494</td>
</tr>
<tr>
<td>Federal Interagency Committee on Educational Institutions (FICE) Code</td>
<td>001313-6</td>
</tr>
<tr>
<td>NSF Institutional Code</td>
<td>0013136000</td>
</tr>
<tr>
<td>North American Industry Classification System (NAICS) Number, formerly called</td>
<td>61131</td>
</tr>
<tr>
<td>the Standard Industrial Classification Code Number (S.I.C. Code)</td>
<td></td>
</tr>
<tr>
<td>PHS Entity Identification Number</td>
<td>1946036494A1</td>
</tr>
<tr>
<td>PHS Institutional Profile Number</td>
<td>577503</td>
</tr>
<tr>
<td>PHS Organizational Component Code</td>
<td></td>
</tr>
<tr>
<td>School of Medicine</td>
<td>01</td>
</tr>
<tr>
<td>School of Veterinary Medicine</td>
<td>11</td>
</tr>
<tr>
<td>Other Academic Use (use this for all other units)</td>
<td>20</td>
</tr>
</tbody>
</table>

[http://research.ucdavis.edu/about-us/institutional-information]
Why have SPO - Sponsor perspective

- MBE/WBE subcontracting plans
- Drug free workplace
- Nondiscriminatory workplace
- Civil rights assurances
- Special sponsor requirements
- Single point of contact
- SPO negotiates entire agreement with sponsor—no separate negotiations for IP terms, accounting terms, etc.
- SPO provides institutional assurances for sponsor—no need to deal independently with IRB, IACUC, COI, etc.
- SPO provides institutional commitment to sponsor—award is to institution
Why have SPO - Institutional Efficiency

• Consistency in proposals

• Consistency in award terms

• F&A rate negotiation

• Fringe benefit rate negotiation

• Review of institutional commitments

• Institutional (rather than individual and/or departmental) perspective when working with sponsors

• Coordination among campus offices interfacing with sponsors
Why have SPO - Institutional Efficiency

Consistency in proposals:

- Institutional attribution
- Appropriate use of rates
- Compliance requirements
- Comply with Federal regulations regarding a Drug Free Workplace
- Provide a smoke-free workplace
- Comply with Public Health Service regulations regarding Misconduct in Science
- Comply with the Civil Rights Act of 1964
- Comply with the Rehabilitation Act of 1973
- Comply with Public Law 92-318 which prohibits discrimination on the basis of sex
- Comply with the Age Discrimination Act of 1973
- Comply with the Federal regulations regarding Conflict of Interest
- Lobbying disclosure
Why have SPO - Institutional Efficiency

Consistency in award terms:
• Having negotiations conducted centrally provides stability within the institution and a known quantity for sponsors

F&A rate negotiation:
• Negotiated with the government based on documented and audited costs
• Negotiation begins with a proposal that documents costs
• Negotiation results in a rate lower than documented costs
• Administrative costs capped at 26% even if documented costs are more
• Vast majority of administrative costs are “departmental administration” costs which includes administrative costs in departments, dean’s offices and institutes/centers
• Use of rate simplifies budgeting and reduces institutional costs
• University rates are significantly lower than corporate rates
• When in doubt include full applicable rate in proposal
Why have SPO - Institutional Efficiency

Fringe benefit rate application:

- Negotiated with the government each year
- Rate based on documented costs in prior year
- Negotiated rate adjusted for over or under recovery
- Use of rate is more predictable for project budgeting and expenditures

Review of institutional commitments:

- Appropriate signatures for department/college commitments
- Cost share requirements
- Approved F&A contributions
- Limited submission compliance
Why have SPO - Institutional Efficiency

Institutional (rather than individual and/or departmental) perspective when working with sponsors:

- Right to publish
- F&A recovery
- Right to full recovery
- Limitations on research
  - Future research by PI
  - Current and future research of other faculty
- Acceptability to Regents
  - Propriety
  - Political sensitivity
Why have SPO - Institutional Efficiency

Coordination among campus offices interfacing with sponsors:

• Safety Services (Environmental Health & Safety)
• Research Compliance & Integrity
• InnovationAccess
• Office of Corporate Relations
• Development Office
• Contracting Services
• Health System Contracts
• Graduate Studies
Today we are going to talk about.....

- Intro to Sponsored Programs
- Why have Sponsored Programs?
- **Who on campus signs what???

- Proposals – Essentials & Best Practices
- Awards – Essentials & Best Practices
- Resources
Who on Campus Signs What??
Who on Campus Can Sign this Document?

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
<table>
<thead>
<tr>
<th>Contact info</th>
<th>Sponsored Programs Office</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><a href="mailto:proposals@ucdavis.edu">proposals@ucdavis.edu</a></td>
</tr>
<tr>
<td></td>
<td><a href="mailto:Awards@ucdavis.edu">Awards@ucdavis.edu</a></td>
</tr>
<tr>
<td></td>
<td><a href="mailto:Subawards@ucdavis.edu">Subawards@ucdavis.edu</a></td>
</tr>
<tr>
<td></td>
<td>530.754.7700</td>
</tr>
<tr>
<td></td>
<td><a href="http://research.ucdavis.edu/contact-us/sponsored-programs/">http://research.ucdavis.edu/contact-us/sponsored-programs/</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>InnovationAccess</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Phone: (530) 754-8649</td>
</tr>
<tr>
<td></td>
<td>Fax: (530) 754-7620</td>
</tr>
<tr>
<td></td>
<td>E-mail: <a href="mailto:innovationAccess@ucdavis.edu">innovationAccess@ucdavis.edu</a></td>
</tr>
<tr>
<td></td>
<td><a href="http://research.ucdavis.edu/contact-us/innovationaccess/">http://research.ucdavis.edu/contact-us/innovationaccess/</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Campus Contracting Services</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Purchasing: <a href="http://purchasing.ucdavis.edu/about/teamassign.cfm?show=purch">http://purchasing.ucdavis.edu/about/teamassign.cfm?show=purch</a></td>
</tr>
<tr>
<td></td>
<td>Business Contracts: <a href="http://purchasing.ucdavis.edu/about/teamassign.cfm?show=bc">http://purchasing.ucdavis.edu/about/teamassign.cfm?show=bc</a></td>
</tr>
<tr>
<td></td>
<td>Strategic Sourcing: <a href="http://purchasing.ucdavis.edu/ssi/index.cfm">http://purchasing.ucdavis.edu/ssi/index.cfm</a></td>
</tr>
<tr>
<td></td>
<td>Phone: (530) 752-0370</td>
</tr>
<tr>
<td></td>
<td>Fax: (530) 757-8720</td>
</tr>
<tr>
<td></td>
<td><a href="http://purchasing.ucdavis.edu/">http://purchasing.ucdavis.edu/</a></td>
</tr>
<tr>
<td></td>
<td>Small business subcontracting plans: Wayne Boney, 754-1347, <a href="mailto:wboney@ucdavis.edu">wboney@ucdavis.edu</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Graduate Studies</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><a href="https://gradstudies.ucdavis.edu/">https://gradstudies.ucdavis.edu/</a></td>
</tr>
<tr>
<td></td>
<td>Phone: (530) 752-0650</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Development</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><a href="http://giving.ucdavis.edu/contact-us/index.html">http://giving.ucdavis.edu/contact-us/index.html</a></td>
</tr>
<tr>
<td></td>
<td>Phone: (530) 754-GIFT (4438); Fax: (530) 754-2294</td>
</tr>
<tr>
<td></td>
<td>E-mail: <a href="mailto:development@ucdavis.edu">development@ucdavis.edu</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Design &amp; Construction Management</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>530-754-1111</td>
</tr>
<tr>
<td></td>
<td><a href="http://dcm.ucdavis.edu/information/contact.html">http://dcm.ucdavis.edu/information/contact.html</a></td>
</tr>
<tr>
<td></td>
<td>Real Estate Services: See <a href="http://dcm.ucdavis.edu/res/index.html">http://dcm.ucdavis.edu/res/index.html</a></td>
</tr>
</tbody>
</table>
## Contact Info – for the Health System:

| Health System Contracts | Health Plan Contracts: Main line: 916-734-3820  
http://www.ucdmc.ucdavis.edu/healthsystemcontracts/healthplancontracts/contactus.html  
Health Affairs Contracts: Main Line: 916-734-3820  
http://www.ucdmc.ucdavis.edu/healthsystemcontracts/healthaffairscontracts/contactus.html  
Clinical Trials: Main line: 916-734-2345  
http://www.ucdmc.ucdavis.edu/healthsystemcontracts/clinicaltrialscontracts/contactus.html |
|--------------------------|-------------------------------------------------------------------------------------------------|
| UCDHS Material Management | Front Desk: (916) 734-2475 Facsimile: (916) 734-7791.  
http://www.ucdmc.ucdavis.edu/matmgt/purchasing/ |
*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!
What about a consulting agreement?

• 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”

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…”

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…”
As the document type drives the appropriate contract office, let’s talk about gifts verses grants:

Reference Tool: List of characteristics generally found in GIFTS and characteristics generally found in GRANTS (1980 UCOP policy). In many situations, not all characteristics will be present.

- **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!**
Today we are going to talk about.....

• Intro to Sponsored Programs

• Why have Sponsored Programs?

• Who on campus signs what???

• Proposals – Essentials & Best Practices
  • Roles and Responsibilities
  • Process

• Awards – Essentials & Best Practices

• Resources
Proposals...

Roles and responsibilities

- PI
- Department/college administration
- SPO
- Other OR units
- Other campus units
- Other system units
Roles and responsibilities

Principal Investigator (PI):
Primary engine of the entire research enterprise—nothing would happen without them.

- Ultimately responsible for what gets done
- Creative genius—generate the ideas
- Write the proposal
- Conduct the research
- Report, disclose and publish
Roles and responsibilities

Department/college/institute/center administration:
Administrative staff

- Assist PI in proposal preparation
  - Primary interface between PI and SPO
  - Help find institutional data that PI needs for proposal (institutional information http://research.ucdavis.edu/about-us/institutional-information/)
    Usually prepares data sheet and submits proposal to SPO
- Assist PI in conduct of research
  - Assist with completion of regulatory requirements
  - Assist with purchasing
- Assist PI in closeout
  - Monitor deadlines
  - Assist with formatting reports, disclosures
  - Assist with publication preparation

Chair/Dean:
- Sign data sheet to commit unit resources
- Support/advise PI
Roles and responsibilities

**SPO:**

- Answer questions and provide access to informational resources for PIs and departmental staff to assist with all aspects of proposal preparation, regulatory requirements, reporting and closeout.

- Review proposals for institutional commitments and adherence to internal and external regulatory requirements.

- Provide institutional endorsement of proposals per University and sponsor requirements.
Roles and responsibilities

SPO:
- Horror Stories...
Roles and responsibilities

**SPO:**

- Maintain institutional sponsored programs proposal and award database.
- Coordinate and submit sponsor just-in-time (JIT) requests (pre-award and post-award).
- Negotiate awards.
- Set up awards with Extramural Funds Accounting (EFA).
- Assist with reporting requirements.
- Assist with closeout of completed awards.
Roles and responsibilities

Other OR units:

• Interdisciplinary Research Support (IRS) - assists finding funding and with development of complex proposals

• Institutional Research Board (IRB) - oversees human subjects research
  • 3 committees
  • 2 clinical research
  • 1 behavioral and social research

• Research Compliance and Integrity (RCI)
  • Conflict of interest
  • Research integrity
  • Export control

• Innovation Access (IA)
  • IP management
  • IP licenses

• Office of Corporate Relations (OCR)

• OR Committees (not all strictly part of OR—see next slide)
Roles and responsibilities—Research Committees

- Administrative Coordinating Council for Deans (ACCD) - coordinates research programs involving 3 or more schools, colleges or divisions.

- Committee for Research Integrity (CRI) - appointed by the Provost and staffed by the VCR, recommends strategies for compliance with regulations and policies regarding research.

- Conflict of Interest Committee (COIC) - reviews COI disclosures and recommends actions to manage or mitigate conflicts.

- Core Facilities Committee - recommends structure and procedures for administration of core facilities.

- Institutional Biosafety Committee (IBC) - oversees use of recombinant DNA, infectious agents and biohazardous materials, reports to the VC for Administrative and Resource Management.

- Research Coordinating Council (RCC) - associate deans for research of the colleges and schools, a forum for communication between the OR and colleges/schools, and to discuss potential collaborative efforts among multiple colleges and schools.

- Research Recommendations Implementation Committee (RRIC) - advises the VCR on improvements and implementation strategies for research administration.

- Stem Cell Research Oversight Committee (SCRO) - reviews and decides on acceptability of protocols involving human stem cell research.
Roles and responsibilities

Other campus units:

• Committee on Research—part of Academic Senate, oversees internal research support programs.

• Anatomical Materials Review Committee (AMRC)—part of School of Medicine oversees use of human anatomical specimens in research.

• Biorepository Workgroup advises VCR on development and implementation of campus biorepositories.

• College of Engineering Research & Library Committee—part of CoE, makes decisions on engineering limited submissions proposals and recommendations on CoE research facilities.

• Human Anatomical Specimen and Tissue Oversight Committee (HASTOC)—appointed by the Dean of Medicine, advises on use of human specimens in research.

• Industry Relations Committee—specific to the UCD Health System to advise and recommend actions regarding conflict of commitment, conflict of interest and vendor relations.

• Translational Research Integration and Compliance Committee (TRICC)—part of the School of Medicine, reviews and recommends regarding several programs impacting clinical and translational research.
Roles and responsibilities

Other system units:

- University of California Office of the President—provides direction on types of research acceptable to conduct on UC campuses (e.g., http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/tobacco-industry-funding/index.html)

- Research Policy Analysis & Coordination—provides guidance and systemwide coordination on research policy implementation http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/index.html

- UCOP General Counsel
Proposals...

**Process**

- Finding Funding
- Preparing a Proposal
- Proposal Submission
- Securing an Award
- Conducting the Research
- Closeout
Process - Finding funding

- PI—ultimately responsible
- Department/college administration—may be able to assist, some units have dedicated staff for this
- SPO—no significant role
- Other OR units
- Interdisciplinary Research Support Office
- Other campus units—no significant role
- Other system units—no significant role
- Listservs –
  - http://research.ucdavis.edu/resources/listserv-subscriptions/
Process - Preparing a proposal

• PI—ultimately responsible for proposal preparation

• Department/college administration—may provide considerable support verifying that the proposal complies with sponsor requirements, varies from unit to unit

• SPO—provides basic institutional information to be included in proposal [http://research.ucdavis.edu/about-us/institutional-information/](http://research.ucdavis.edu/about-us/institutional-information/) and by email/phone; may be able to assist with budget given enough lead time

• Other OR units—Office of Interdisciplinary Research Support provides considerable support for large, complex proposals

• Other campus units—no significant role

• Other system units—no significant role
Process - Proposal submission

• PI—responsible for securing appropriate signatures on data sheet and securing commitments with appropriate signatures for proposed subwardees and/or cost share, and forwarding to SPO with appropriate lead time for SPO review. By signing the data sheet, the PI assures that the proposal (including the budget) has been prepared in accordance with all policies and regulations pertinent to the application, and she/he further agrees to abide by all rules, policies and regulations that may apply to any ensuing award.

• Department/college administration—chairs/deans signing the data sheet agree to commit resources under their control that have been identified to support the proposal; staff assist in completing forms, securing signatures and forwarding the proposal to SPO in time for SPO review before the submission deadline.
Process - Proposal submission cont.

- SPO—review proposal for institutional commitments; review for appropriate signatures on department/college commitments; review for compliance steps required before submission; review for appropriate F&A rate in budget; provide institutional endorsement for sponsor-required representations and certifications in accordance with delegated authority

- Other OR units—generally none unless sponsor requires their involvement before award

- Other campus units—generally none, may become involved in review of legal terms for RFPs if proposal submission invokes acceptance of those terms

- Other system units—no significant role
Process - Securing an award

• PI—must accept responsibility for conduct of the research described in the award; provides requested information in response to sponsor inquiries

• Department/college administration—assists PI with responses to sponsor inquiries

• SPO—reviews responses to sponsor inquiries and provides institutional endorsement of those responses; negotiates terms of award; accepts award on behalf of UC Regents

• Other OR units—IRB, COI and other compliance units review and provide input as appropriate for the project

• Other campus units—EHS, IACUC and other compliance units review and provide input as appropriate for the project; EFA creates the expenditure account(s) for the project

• Other system units—generally none unless legal and/or compliance issues become exceedingly complex
Process - Conducting the research

- PI—**this is the fun part** and the PI is the only one who can do it!; must monitor expenditures and progress of subawardees/consultants; must complete effort reports and other required reports

- Department/college administration—assists PI with purchases, payroll actions and other administrative matters as necessary

- SPO—executes subawards if necessary, requests NCTEs, processes rebudget requests, etc.

- Other OR units—IRB conducts periodic reviews as required

- Other campus units
  - EFA monitors expenditures and provides periodic financial reports to sponsor
  - Campus Contracting Services executes Subcontracts
  - Risk Management

- Other system units—no significant role
Process - Closeout

- PI—must write and submit technical report; must complete invention disclosures as required; must approve final financial report on project

- Department/college administration—assists PI with completion of required documentation for closeout

- SPO—records required closeout activities and closes project record

- Other OR units—IA can assist with invention report questions

- Other campus units—EFA produces and submits final financial report

- Other system units—UCOP files federally-funded invention records in iedison
Today we are going to talk about.....

• Intro to Sponsored Programs

• Why have Sponsored Programs?

• Who on campus signs what???

• Proposals – Essentials & Best Practices

• Awards – Essentials & Best Practices
  • What inhibits speedy award processing?
    • Incorrect IDC
    • Compliance paperwork
    • Negotiations of terms & conditions

• Resources
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.”
What inhibits speedy award processing?

- Incorrect F&A rate
- Missing data sheet and/or compliance documents
- Negotiation of terms
- “After The Fact” Awards
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)*

* 2014 data

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>54.5%</td>
<td>59.5%</td>
<td>57%</td>
<td>55.5%</td>
<td>60.5%</td>
<td>69%</td>
</tr>
</tbody>
</table>

- 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

<table>
<thead>
<tr>
<th>Campus</th>
<th>01-02</th>
<th>02-03</th>
<th>03-04</th>
<th>04-05</th>
<th>05-06</th>
<th>06-07</th>
<th>07-08</th>
<th>08-09</th>
<th>09-10</th>
<th>10-11</th>
<th>11-12</th>
<th>12-13</th>
<th>13-14</th>
<th>14-15</th>
<th>15-16</th>
<th>16-17</th>
<th>17-18</th>
</tr>
</thead>
<tbody>
<tr>
<td>Berkeley</td>
<td>50.4</td>
<td>51.5</td>
<td>52.0</td>
<td>52.0</td>
<td>52.0</td>
<td>53.0</td>
<td>53.5</td>
<td>53.5</td>
<td>53.5</td>
<td>55.5</td>
<td>56.5</td>
<td>56.5</td>
<td>57.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Davis</td>
<td>48.0</td>
<td>48.5</td>
<td>48.5</td>
<td>48.5</td>
<td>51.5</td>
<td>51.5</td>
<td>52.0</td>
<td>52.0</td>
<td>53.0</td>
<td>53.5</td>
<td>54.0</td>
<td>54.5</td>
<td>55.5</td>
<td>56.5</td>
<td>57.0</td>
<td>57.0</td>
<td></td>
</tr>
<tr>
<td>Irvine</td>
<td>50.4</td>
<td>51.5</td>
<td>51.5</td>
<td>51.5</td>
<td>52.5</td>
<td>52.5</td>
<td>52.5</td>
<td>52.5</td>
<td>53.0</td>
<td>53.5</td>
<td>54.0</td>
<td>54.5</td>
<td>54.0</td>
<td>54.0</td>
<td>54.0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Los Angeles</td>
<td>53.0</td>
<td>52.5</td>
<td>52.5</td>
<td>53.5</td>
<td>54.5</td>
<td>54.5</td>
<td>54.0</td>
<td>54.0</td>
<td>54.0</td>
<td>54.0</td>
<td>54.0</td>
<td>54.0</td>
<td>54.0</td>
<td>54.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Merced</td>
<td>50.0</td>
<td>50.0</td>
<td>50.0</td>
<td>50.0</td>
<td>52.0</td>
<td>52.0</td>
<td>52.0</td>
<td>52.0</td>
<td>55.0</td>
<td>55.0</td>
<td>55.0</td>
<td>55.0</td>
<td>55.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Riverside</td>
<td>47.5</td>
<td>47.5</td>
<td>47.5</td>
<td>49.5</td>
<td>49.5</td>
<td>50.0</td>
<td>50.0</td>
<td>50.5</td>
<td>52.0</td>
<td>52.0</td>
<td>52.0</td>
<td>52.0</td>
<td>52.0</td>
<td>(3)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>San Diego</td>
<td>52.0</td>
<td>52.0</td>
<td>52.0</td>
<td>53.5</td>
<td>54.0</td>
<td>54.5</td>
<td>54.5</td>
<td>54.5</td>
<td>54.5</td>
<td>55.0</td>
<td>55.0</td>
<td>55.0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>San Francisco</td>
<td>49.0</td>
<td>50.5</td>
<td>51.5</td>
<td>51.5</td>
<td>53.5</td>
<td>54.0</td>
<td>54.5</td>
<td>54.5</td>
<td>54.5</td>
<td>54.5</td>
<td>56.5</td>
<td>57.0</td>
<td>58.0</td>
<td>58.5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Santa Barbara</td>
<td>46.0</td>
<td>47.5</td>
<td>47.5</td>
<td>47.0</td>
<td>47.0</td>
<td>51.0</td>
<td>51.5</td>
<td>51.5</td>
<td>51.5</td>
<td>51.5</td>
<td>51.5</td>
<td>51.5</td>
<td>53.0</td>
<td>53.5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Santa Cruz</td>
<td>49.0</td>
<td>49.0</td>
<td>49.0</td>
<td>49.0</td>
<td>51.0</td>
<td>51.0</td>
<td>51.5</td>
<td>51.5</td>
<td>51.5</td>
<td>51.5</td>
<td>52.0</td>
<td>52.5</td>
<td>53.0</td>
<td>53.5</td>
<td>54.0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UC Average</td>
<td>49.5</td>
<td>50.1</td>
<td>50.2</td>
<td>50.6</td>
<td>51.2</td>
<td>52.3</td>
<td>52.5</td>
<td>52.6</td>
<td>53.3</td>
<td>53.3</td>
<td>53.3</td>
<td>53.3</td>
<td>54.1</td>
<td>54.4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UC Median</td>
<td>49.0</td>
<td>50.5</td>
<td>50.8</td>
<td>50.8</td>
<td>51.5</td>
<td>52.0</td>
<td>52.3</td>
<td>52.3</td>
<td>53.3</td>
<td>53.3</td>
<td>53.3</td>
<td>53.5</td>
<td>54.0</td>
<td>54.3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>UC Weighted Avg. (1)</td>
<td>50.6</td>
<td>51.1</td>
<td>51.3</td>
<td>51.8</td>
<td>52.5</td>
<td>53.2</td>
<td>53.4</td>
<td>53.5</td>
<td>53.8</td>
<td>53.8</td>
<td>53.8</td>
<td>53.8</td>
<td>54.7</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(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.
What inhibits speedy award processing?

• Incorrect F&A rate

• Missing data sheet and/or compliance documents

• Negotiation of terms

• “After The Fact” Awards
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 within 30 days of SPO’s acceptance of the award.

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 2013-2014 $376 Million
UC system 2013-2014 $5.7 Billion
What inhibits speedy award processing?

- Incorrect F&A rate
- Missing data sheet and/or compliance documents
- Negotiation of terms
- “After the Fact” Awards
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...)
What terms should be negotiated?

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?

Severity of provision requiring negotiation:

- Payment in currency other than USD
- Atypical intellectual property rights
- Contract governed by Belgian law
- Reporting timelines
- Payment conditional on "satisfactory" performance
- "Business Decision" made in consultation with dept
- Policy Violation may need exception from UCOP

Publication Restriction

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.
What inhibits speedy award processing?

• Incorrect F&A rate

• Missing data sheet and/or compliance documents

• Negotiation of terms

• "After the Fact" Awards
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. 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.....

- Intro to Sponsored Programs
- Why have Sponsored Programs?
- Who on campus signs what???
- Proposals – Essentials & Best Practices
- Awards – Essentials & Best Practices

- Resources
  - Our website - [http://research.ucdavis.edu/](http://research.ucdavis.edu/)
  - The Compliance Guide (IRB, IACUC, etc.)
  - Listserves
  - Monthly Research Forums
  - Other classes that we offer through Staff Development and Professional Services (SDPS)
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:
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 Obelleiro (kobelleiro@ucdavis.edu) if you are interested in developing your own.
  1. Air Quality Research Center (AQRC) General Funding Opportunities: https://lists.ucdavis.edu/sympa/subscribe/aqrc-general
  2. AQRC Climate Funding Opportunities: https://lists.ucdavis.edu/sympa/subscribe/aqrc-climate
  3. AQRC Health Funding Opportunities: https://lists.ucdavis.edu/sympa/subscribe/aqrc-health
  4. CROCR Nuclear Laboratory and Cyclotron Funding Opportunities:
     https://lists.ucdavis.edu/sympa/subscribe/cnrfunding

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/wvs/subscribe/irb-info

or rci: 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/orrci

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

http://research.ucdavis.edu/resources/listserv-subscriptions/
Monthly Research Forums

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

• Proposal Preparation and Submission
• Writing a Proposal Budget: Lab*
  *the “concepts” course is offered online
• Understanding the Awards Process

• Other courses
  • Intellectual Property at UC Davis (In conjunction with Innovation Access)

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 still have?

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

Follow us at @UCDavisSPO