

Learning Objectives

After today's class you should:

- Have a basic understanding of the **Sponsored Programs functions**
- **Identify the Sponsored Programs "team"** that supports your department/unit
- Understand the **roles and responsibilities** of the department and other units
- Understand the **Best Practices** of submitting to Sponsored Programs
 - Proposals, Awards and Subawards
- Know where to find **resources**

Sponsored Programs

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Class Outline

- Sponsored Projects Overview
- Sponsored Programs Overview
- Working with Sponsored Programs
- Best Practices
 - Proposals
 - Awards
 - Subawards
- Resources

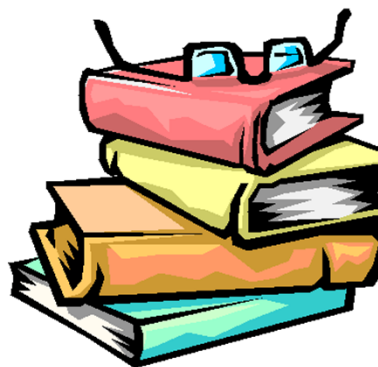


Sponsored Programs

Class Handouts

The following are available at: <http://research.ucdavis.edu/proposals-grants-contracts/spo/spo-training/>

- Today's Presentation
- UC Davis Contracting Offices
- Sponsored Programs Useful Links



Sponsored Programs

Sponsored Projects Overview

- What is a Sponsored Project?
- Gifts vs. Grants
- Who Signs What?

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What is a Sponsored Project?



- Essential elements
 - External funding;
 - Academic unit; and
 - Tasks or other activities being conducted for external party (deliverable)
- Individual activities in which UC Davis provides deliverables to an outside funder are sponsored projects
- Gifts do not include “deliverables”
- Sale of something by a non-academic unit does not qualify as a sponsored project
 - Examples: Ticket to an athletic event; Books and memorabilia in the bookstore

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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!

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Who Signs What?

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- 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 (Other Sponsored Activity) 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



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Who Signs What?



Graduate Studies

- External graduate student fellowship applications and awards
- External postdoctoral scholar grants and fellowships

Campus Contracting Services

- Purchase orders and agreements
- Business contracts (expense, no-cost and revenue)
- Equipment loans
- Revenue (service) agreements with an approved rate and commission agreements

Office of Foundation and Corporate Giving

- Gift agreements
- Acceptance of donations

Design & Construction Management

- Major infrastructure, building and renovation projects
- Real Estate Services:
 - Off-campus leasing
 - Faculty home loans
 - Property management services

Except for UCDHS

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Who Signs What? Health System Contracts

Clinical Trials

- Industry funded clinical trial agreements for the health system
 - Prospective testing in human subjects & require IRB review
 - Examine the Efficacy, Safety or Benefits of a FDA reviewed Medical Intervention involving a Drug, Device, Treatment or Diagnostic
 - Fully funded, directly or indirectly, by a For-Profit Entity

Health Plan Contracts

- Managed care contracts
- Healthcare payer contracts



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Health Affairs Contracts

- Non-research service agreements
- Non-research independent consultant agreements
- Non-research independent contractor agreements for professional services
- Affiliation agreements
- Training agreements
- Facility transfer agreements
- Intergovernmental Personnel Act (IPA) agreements
- 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

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Who Signs What?

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

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Consulting Agreements?

Can researchers sign consulting agreements?



- Typically – Yes, if the consulting activities are **outside of their UC scope of work and do not use university resources.**
- Before engaging in outside consulting activities, researcher should:
 - Check with their Chair or Dean prior to engaging
 - Review UCOP's "Guidance for Faculty and other Academic Employees on Issues related to Intellectual Property and Consulting"
- It is recommended that they have outside legal counsel review to avoid any conflict of obligations. (Example: UC Patent Policy)

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THE CONSULTING AGREEMENT CHRONICLES

Your news source for following the rules - Since 1879

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..."

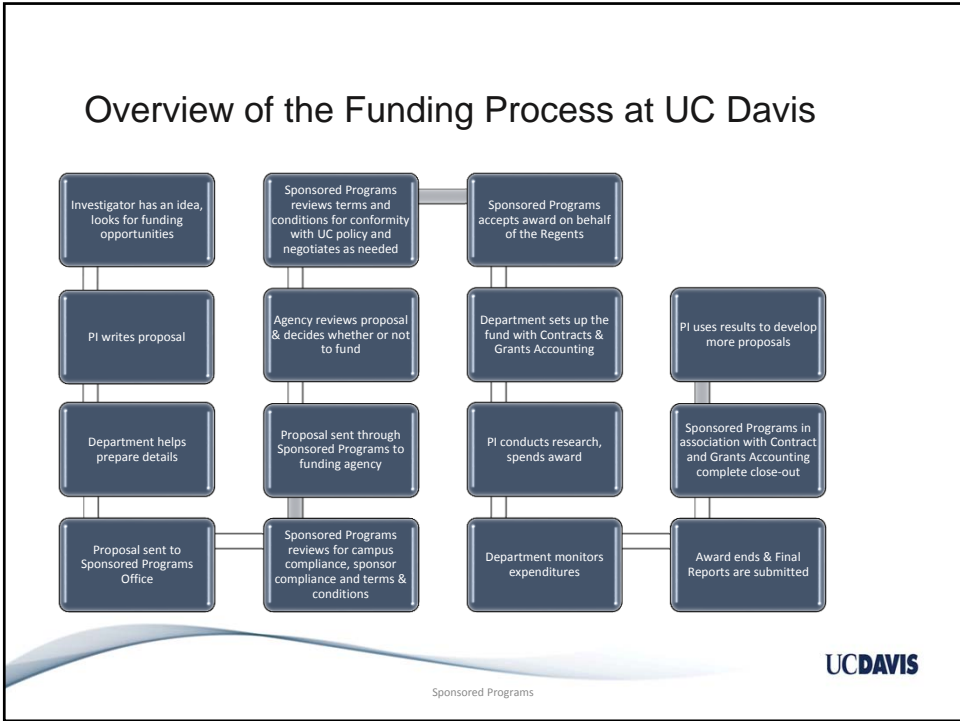
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Sponsored Programs Overview

- Funding Process at UC Davis
- Why have a Sponsored Programs Office?
- Functions of Sponsored Programs

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Why have a Sponsored Programs Office?

- Required by UC Policy
- Delegations of Authority
- Ensure Institutional Efficiency
- Compliance with Sponsor Requirements

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Required by UC Policy



- UCOP Policy 95-01 effective 12/14/1994
- Employees receiving any part of their salary through the University, or whose activities use any University resources or facilities, must submit their proposals for extramural support through the appropriate local contracts and grants office. Awards must be made to The Regents of the University of California.

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Delegation of Authority

- Contract and Grant Manual 2-200
- No solicitation or application for extramural support of research, training, or public service programs shall be made officially in the name of The Regents without the prior approval of The Regents or of an authorized official of the University. This authorization is by formal delegation of contract and grant authority. Standing Order 100.4(dd) authorizes the President of the University to solicit and accept or execute such proposals and awards, with stated exceptions. The President has redelegated this authority . . . to the appropriate Vice Chancellors, Deans, Directors, and Contract and Grant Officers.

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Ensure Institutional Efficiency



- Consistency in:
 - Proposals and award terms
- Review of application of F&A Rates
- Review of application of Fringe Benefit Rates
- Review of Institutional Commitments
- Institutional Perspective (rather than departmental) when working with sponsors
- Coordination Among Campus Offices Interfacing with Sponsors

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Ensure 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

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Ensure Institutional Efficiency: Application of F&A Rates

- F&A Rates:
 - Negotiated with the government based on documented and audited costs
 - Most administrative costs are “departmental administration” costs
 - Use of rate simplifies budgeting and reduces institutional costs
 - University rates are significantly lower than corporate rates
 - F&A Rates do not fully cover institutional overhead
 - Unless you have grounds for a UCOP exception, apply the full applicable rate in proposal
 - UCOP does not waive indirect costs for for-profit entities
 - The sponsor must have a documented policy regarding a lower F&A Rate

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Ensure Institutional Efficiency: Application of Fringe Benefit Rates

- 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

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Ensure Institutional Efficiency: Review of Institutional Commitments

- Appropriate authorizations for department/college commitments
- Cost share requirements
- Approved F&A contributions
- Limited submission compliance

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Ensure Institutional Efficiency: Institutional Perspective

- Right to publish
- Ensure appropriate F&A recovery
 - Right to full recovery of direct costs
- Limitations on research
 - Future research by PI
 - Current and future research of other faculty
- Acceptability to Regents
 - Propriety
 - Political sensitivity

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Compliance with Sponsor and University Requirements

- Electronic system registration
- Tax ID, DUNS, etc.
- Reps & Certs
 - IRB
 - IACUC
 - Conflict of Interest
 - Export Control
- Single consistent point of contact
- Special sponsor requirements
- Terms and Conditions

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Functions of Sponsored Programs

- Sponsored Programs
- Proposals
- Awards
- Negotiations
- Subawards
- Closeouts

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Sponsored Programs

- Reviewing and submitting research proposals
- Negotiating and accepting awards on behalf of the Regents
- Drafting, negotiating, and executing (outgoing) subawards for collaborative research

Source: Policy #PPM 230-01 and PPM 230-02

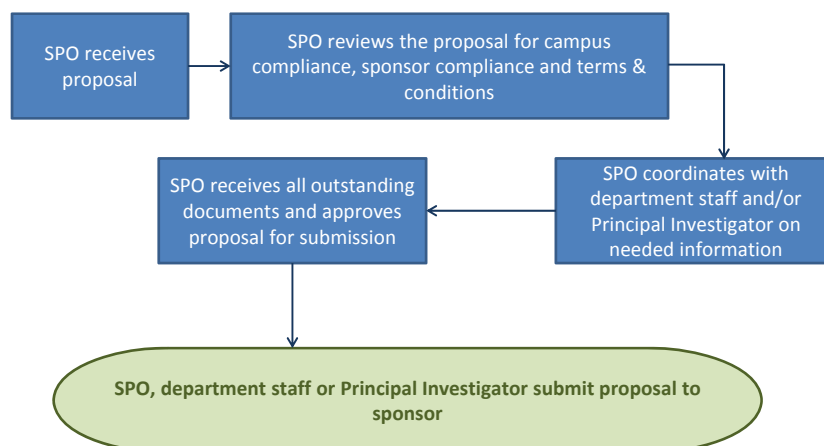
<http://manuals.ucdavis.edu/ppm/230/230-01.pdf>

<http://manuals.ucdavis.edu/ppm/230/230-02.pdf>

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Proposal Process



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Proposals Team Review

Campus Compliance

- Lead PI and Chair/Director Certification; Dean and other department approval, if applicable
- Principal Investigator Eligibility
- Cost-sharing certification, if applicable
- Informed Participation, if applicable
- Final Scope of Work
- Subcontractor information, if applicable
- Budget and Budget Justification
 - Review abstract or Scope of Work to ensure appropriate F&A Rate is applied

Sponsor Compliance

- Principal Investigator and Institutional Eligibility
- Limited Submission Selectee documentation, if applicable
- Human and animal subjects
- BUA approval, if rDNA or pathogenic agents
- Stem Cell Use approval, if applicable
- Human Anatomical Specimen approval, if applicable
- Financial Conflict of Interest
- Sponsor- and program-specific administrative requirements

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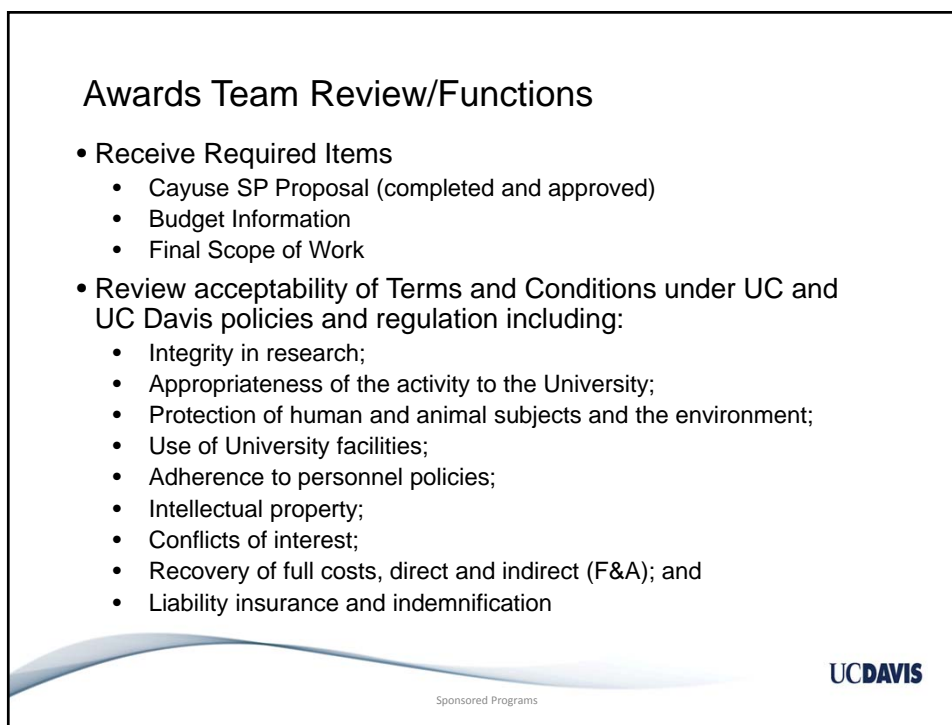
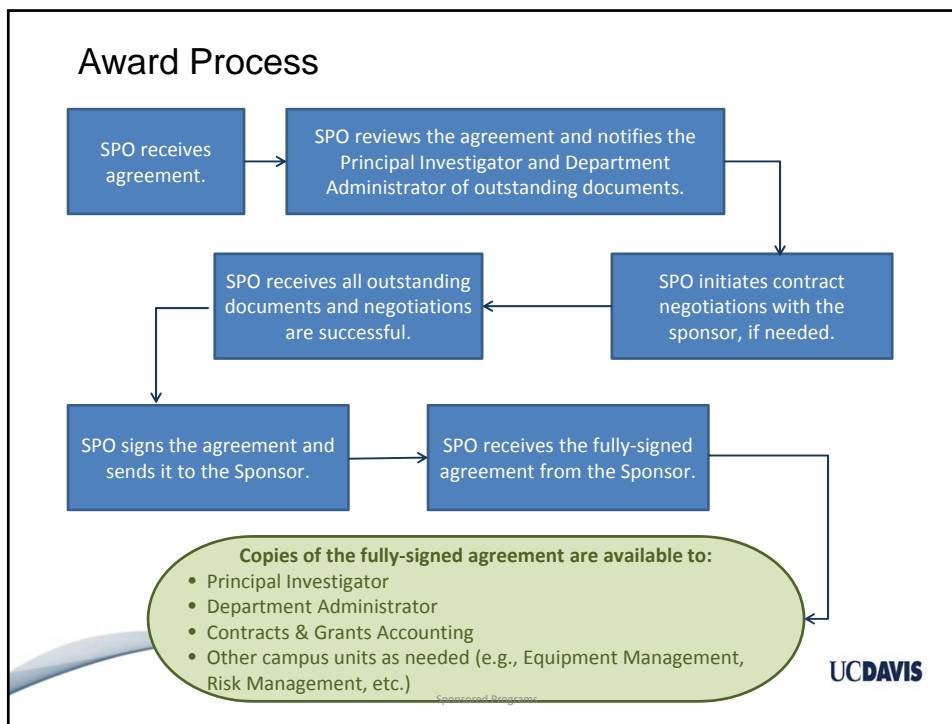
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Proposals Team Review

- Sponsored Programs confirms inclusion of:
 - The "science"
 - Project Summary
 - Project Description
 - Documents supporting the "science"
 - Current and pending support
 - References Cited
 - Biographical Sketches
 - Appendix information
- However, Sponsored Programs **does not** review:
 - Formatting
 - Table of Contents
 - Page margins
 - Font/pitch
 - Line spacing
 - Characters per inch
 - Page limitations

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Awards Team Review

- Review Terms and Conditions to identify areas that conflict with UC Policy including the 1999 UCOP policy *Principles Regarding Rights to Future Research Results in University Agreements with External Parties*
 - Open dissemination of research results and information
 - Commitment to students
 - Accessibility for research purposes
 - Public benefit
 - Informed participation
 - Legal integrity and consistency
 - Fair consideration for university research results
 - Objective decision-making

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Awards Team Review

- Outstanding Compliance Documents
 - Cost-share certification
 - Human and animal subjects approval
 - Export control
 - Use of biological materials approval
 - Financial Conflict of Interest items
 - Stem Cell Research approval
 - Use of Anatomical Specimens approval
- Interacts with campus counsel, UCOP, Risk Management, InnovationAccess, Research Compliance and Integrity, etc. when necessary

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Negotiations Team Functions

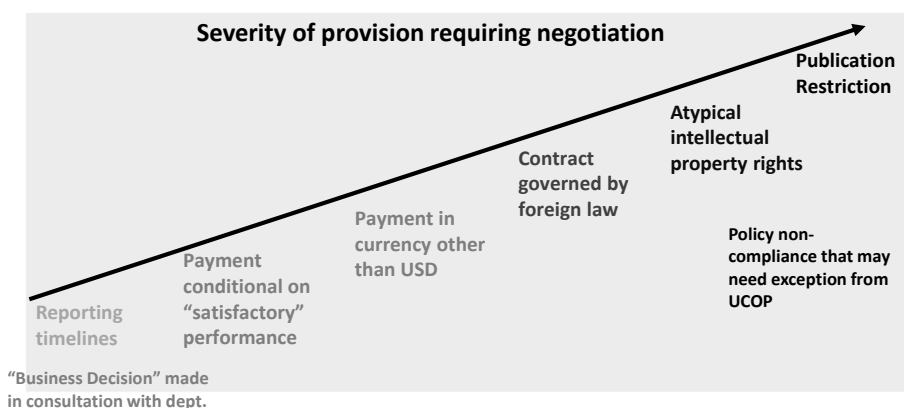
The Negotiation Team provides specialized support for UC Davis' research mission in the area of complex contract negotiations and is responsible for review/negotiation of the following:

- All Awards from For-Profit Entities
- All Federal Contracts or flow through awards issued to UCD under a Federal Contract
- Master Agreements
- Non-Monetary Agreements such as:
 - Collaborative Research Agreements
 - Confidentiality Agreements
 - Teaming Agreements
 - Memorandums of Understanding
- Awards which are designed by the Executive Associate Vice Chancellor as campus special interest (e.g. Bechtel Foundation)

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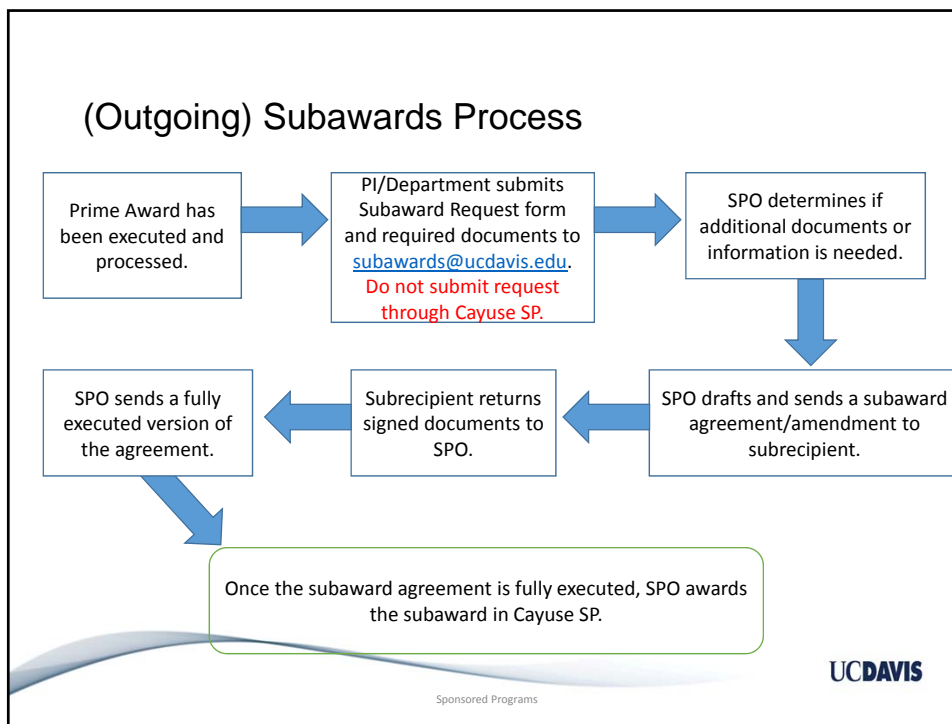
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What Terms Does Sponsored Programs Negotiate? What are the Risks?



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Subawards Team Review

- Required documents
 - Subaward Request Form
 - Subrecipient Commitment Form or Multiple Campus Award (MCA) Commitment Form*
 - Subrecipient's Scope of Work
 - Subrecipient's Budget and Budget Justification
 - Additional Elements Required by the Sponsor (e.g. sponsor required invoice report form, etc.)

***FDP Pilot Program**

UCD is participating in the Federal Demonstration Partnership (FDP) Expanded Clearinghouse Pilot. This pilot is testing the use of on-line entity profiles to decrease the amount of duplicate information collected from potential subrecipient institutions.

Participating pilot institutions will not fill out the full three-page Subrecipient Commitment Form. Instead, participating institutions should complete the one-page FDP Pilot Subrecipient Project Information sheet.

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Closeouts



- Closeout (definition): The process by which the Sponsor determines all applicable administrative actions and required work of the award have been completed by the grantee.
- Requirements vary by sponsor.
- Common requirements are:
 - Final **Financial** Report – Completed by Contracts and Grants Accounting
 - Final **Technical** Report – Completed by Principal Investigator
 - Final **Equipment** Report – Completed by Equipment Management
 - Final **Patent Certification** – Completed by Principal Investigator or SPO with assistance from Innovation Access, when needed
 - Required even if no inventions from the award

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Working with Sponsored Programs

- Roles and Responsibilities
- Who We Are
- Contacting Sponsored Programs

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Roles and Responsibilities

Principal Investigator

- What gets done and how
- Creative genius
- Writing the proposal
- Conducting the work
- Reporting, disclosures and publication
- Ensuring the proposal, including the budget, has been prepared in accordance with all applicable policies and regulations
- Agreeing to abide by all applicable rules, policies and regulations



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Roles and Responsibilities

Department/College Administration

Administrative Staff

- Proposal preparation assistance
 - Primary interface with Sponsored Programs
- Assist in conducting research
 - Regulatory requirements
 - Purchasing
- Assist with closeout
 - Monitor deadlines
 - Formatting reports, disclosures
 - Publication preparation

Chair/Dean

- Commit unit resources
 - Authorizing the Internal Processing Form
- Support/advise PI

Administrators



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Roles and Responsibilities

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- Answer questions and provide access to institutional resources
- Review proposals and awards for:
 - Institutional commitments
 - Adherence to regulatory requirements
 - Institutional endorsement of proposals
- Submit proposals when required by the sponsor
- Issue outgoing subawards
- Maintain proposal and award database/records
- Coordinate Just-in-Time requests
- Negotiate and accept awards
- Reporting assistance
- Close-out assistance



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Roles and Responsibilities

Contracts and Grants Accounting

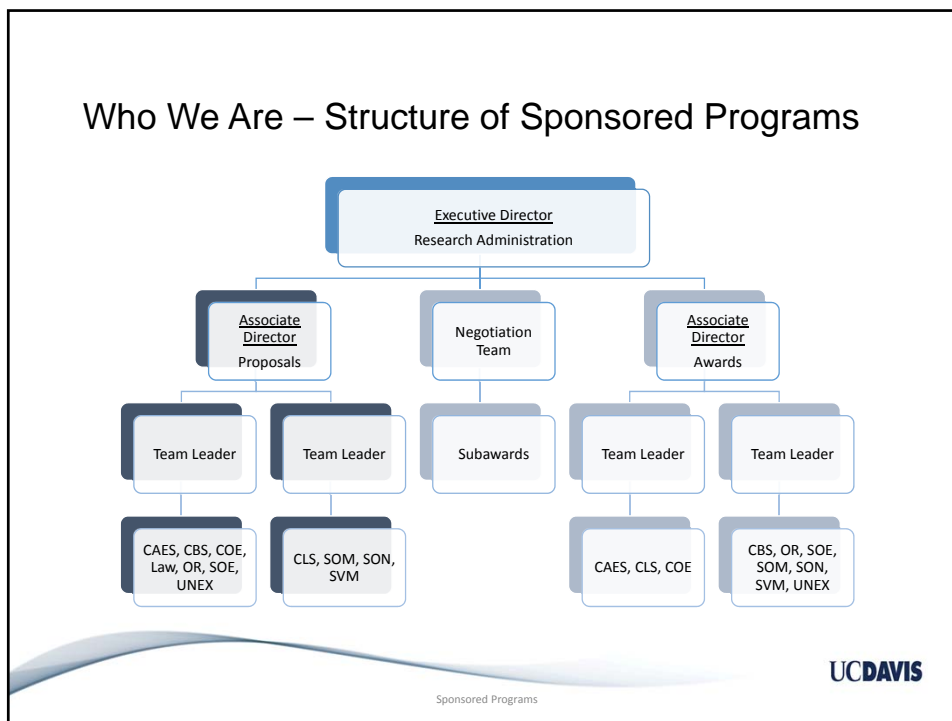
- Fund allocation
- Fiscal oversight and reporting
- Coordination with auditors
- Effort reporting
- Cost share reporting
- Fiscal closeouts



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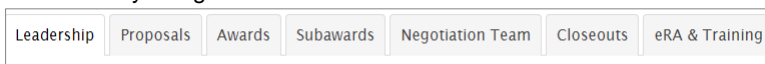
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Who We Are – Structure of Sponsored Programs



Contacting Sponsored Programs

- General inquires:
 - Proposals: proposals@ucdavis.edu
 - Awards: awards@ucdavis.edu
 - Subawards: subawards@ucdavis.edu
 - Negotiations: OR-SPO-Negotiation-Team@ad3.ucdavis.edu
 - Closeouts: closeouts@ucdavis.edu
 - Cayuse Rapid Response Team: ORCayuseHelp@ucdavis.edu
 - Training: SPOTraining@ucdavis.edu
- Contact your analyst: <http://research.ucdavis.edu/contact-us/sponsored-programs/>
 - Select the appropriate tab
 - Look by assignment



Contacting Sponsored Programs

- Provide the:
 - Cayuse SP Project, Proposal, Award or Subaward Number and
 - Lead Principal Investigator's name
- Be prepared with:
 - Reason for calling/emailing
 - Solicitation or other relevant documents

>> Proposal Routing Status	
Proposal No: 18-1091	Submission Deadline: 10/16/2017
Project No:	Proposal Specialist:
Lead Investigator: Kassie Obelleiro	Contract Specialist:
Sponsor: NIH National Institutes of Health Center for Scientific Review (Proposals Only--No Awards)	Account Manager:
Project Title: Project title	

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Best Practices

- Working with your Sponsored Programs teams on:
 - Proposals
 - Awards
 - Subawards

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Best Practices: Working with Your Proposals Team

- Timely submission:
 - Submit for Routing to allow for all department level approvals before receipt by Sponsored Programs
 - To Sponsored Programs at least five (5) days before the sponsor deadline
 - To sponsor two (2) days before the sponsor deadline
- Submit a complete package for review
 - Must include (at a minimum):
 - Completed Internal Processing Form/Cayuse SP proposal,
 - Draft Scope of Work, and
 - Budget and Budget Justification
 - PI Exception, if applicable
 - Electronic Form 800, if applicable (<https://or-forms.ucdavis.edu/>)
 - Also include the Solicitation, Request for Proposals and/or communication from the sponsor re: proposal submission requirements/guidelines

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Best Practices: Working with Your Awards Team

- Follow UC's rules
 - Apply the correct Indirect Cost (IDC)/F&A rate. Consult with Sponsored Programs early and often.
 - Complete necessary compliance documents & provide to Sponsored Programs.
 - Avoid ATFs if possible. Provide Sponsored Programs an opportunity to review a proposed project before an award arrives.
 - Read email from award analyst carefully. Upon request for PI concurrence, alert Sponsored Programs promptly if PI disagrees with awards terms.
- Coordinate with other offices in advance if down-stream 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.

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Best Practices: Working with Your Subawards Team (Outgoing Subawards)

- Subawards:
 - Submit Subaward Request Form and all requirement documents to subawards@ucdavis.edu
 - Ensure packet is complete and sent in one email (prefer separate email per subaward request transaction)
 - Check Cayuse for status prior to contacting your analyst

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Resources

- Common Acronyms
- Office of Research Website
- Guide to Research Compliance
- SPARK Training Website
- Listserv Subscriptions
- Research Administration Forums
- Other Classes

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Common Acronyms

- BAA: Broad Agency Announcement
- BUA: Biological Use Approval
- CGA: Contracts and Grants Accounting
- COI: Conflict of Interest
- F&A: Facilities & Administrative rates; also referred to as indirect cost rate (IDC or ICR) or “overhead”
- FOA: Funding Opportunity Announcement
- IACUC: Institutional Animal Care and Use Committee
- IP: Intellectual Property
- IRB: Institutional Review Board
- PI: Principal Investigator
- RCI: Research Compliance and Integrity
- RCR: Responsible Conduct of Research
- RFA: Request for Applications
- RFP: Request for Proposals
- SBIR: Small Business Innovation Research
- SPO: Sponsored Programs unit in the Office of Research
- STTR: Small Business Technology Transfer

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Office of Research Website

<http://research.ucdavis.edu/>

The screenshot shows the UC Davis Office of Research website. At the top, there is a navigation bar with links for 'ABOUT US', 'RESEARCH', 'RESEARCH ENGAGEMENT', 'PERSONAL GRANTS/CONTRACTS', 'RISKS/COMPLIANCE', 'OFFICE', 'RESOURCES', and 'CONTACT US'. Below the navigation bar is a large banner image showing a horse being examined in a laboratory setting, with the text 'Explore. Enlighten. Empower.' and a 'Take the Tour' button. Underneath the banner are four circular icons representing 'Key Initiatives', 'Research Programs', 'Technology Communication', and 'News'. The 'FEATURED STORIES' section includes three articles with images: 'Mapping Climate Change with Meat', 'UC Davis Secures Record Research Funding Increases to \$123 Million', and 'New UC Davis Biomass Techno Complex Opens'. At the bottom, there is a 'FACILITY TOOLKIT' section with icons for 'Find Funding Opportunities', 'Submit Your Proposal', 'Manage Your Award', 'Sign a Compliance', 'Protect Your Invention', 'Access Forms', and 'Find Training Resources'.

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Guide to Research Compliance

- Available at: http://research.ucdavis.edu/wp-content/uploads/UCDavis_Guide_to_Research_Compliance_-20132.pdf

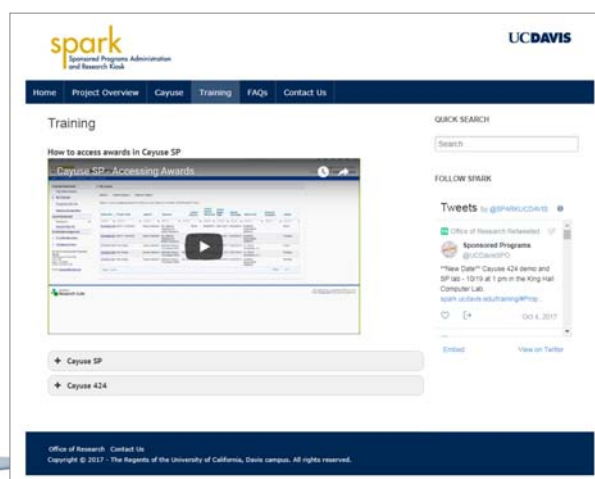


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SPARK Training Website

<http://spark.ucdavis.edu/training/>



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Office of Research Listserv Subscriptions

- C&G Listserv:  <https://lists.ucdavis.edu/sympa/info/ovcr-cg>

- Other Office of Research Listservs: <http://research.ucdavis.edu/resources/listserv-subscriptions/>

- Core Facilities Program
- Digital Millennium Copyright Act (DMCA)
- Funding
- Institutional Review Board (IRB)
- Research Compliance and Integrity (RCI)
- Responsible Conduct of Research (RCR)
- Research Unit Lists



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Monthly Research Administration Forum

- The fourth Wednesday of each month from 8:30-10am (January – October)
- 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)

January 2018

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		1	2	3	4	5
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

TIP: CGA, IRB, RCI and other units provide important updates at the Forum too!

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Other Classes Offered by SPO

- Proposal Preparation and Submission
- Writing a Proposal Budget: Lab
- Understanding the Award Process
- Electronic Research Administration



Visit the SDPS website for a list of dates and times and to sign up. <http://sdps.ucdavis.edu/>

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Thank You!

For research-related announcements, you can now follow SPO on Twitter and YouTube!



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