

2016 BRINGING ADMINISTRATORS TOGETHER CONFERENCE

ORS: Facts, Forms, and the Future

Thursday, April 14, 2016

1:30 – 2:30 pm

UIC UNIVERSITY OF ILLINOIS
AT CHICAGO

UIC

Lincoln Hall

707 South Morgan Street

Workshop Presenter(s)

- **Michael Anderson**
Sponsored Projects Specialist (Proposals)
Email: ander020@uic.edu / Phone: 312-996-2243
- **Elizabeth Cruz-Garcia**
Sponsored Projects Specialist (Contracts)
Email: elicruz@uic.edu / Phone: 312-996-1039
- **Michael Isaac**
Sponsored Projects Specialist (Proposals)
Email: isaacm@uic.edu / 312-996-1975
- **Juan Tamparillas**
Sponsored Projects Specialist (Contracts)
Email: jtampa@uic.edu / 312-355-0446

Please ...

- Turn off cell phones.
- Avoid side conversations.
- Please hold your questions until after each section of the presentation.
- Sign the attendance roster.
- Complete the evaluation at the end of the workshop.

Workshop Objectives

- **Kuali Coeus (KC): Kuali Coeus (KC): KC replacing InfoEd. New forms to streamline processes.**
- **Introduction to ORSWeb – our new web based program for submitting documents to ORS.**
- **Overview of the contracts process including types of contracts, review, compliance and sticking points.**
- **Overview of no-budget agreements including compliance verification and negotiation.**

Kuali Coeus (KC)

KC replacing InfoEd. New forms to streamline processes.

- **Michael Anderson**
Sponsored Projects Specialist (Proposals)
Email: ander020@uic.edu / Phone: 312-996-2243

Kuali Coeus (KC)

- Replacing InfoEd
- Access information via PI Portal
- Increased transparency

Forms

- White Paper
- No Money, MTA, NDA/CDA, DUA
 - MTA: Material Transfer Agreement
 - NDA: Non-Disclosure Agreement/CDA: Confidential Disclosure Agreement
 - DUA – Data Use Agreement
- RPPR (Research Performance Progress Report)
 - Typically used for NIH

ORSWeb

Introduction to ORSWeb – our new web based program for submitting documents to ORS.

- **Michael Isaac**
Sponsored Projects Specialist (Proposals)
Email: isaacm@uic.edu / 312-996-1975

ORS_{Web}

- Homebuilt/Web based delivery system
- Send all documents electronically
 - PAFs, RFAs, Contracts, Grants.Gov applications
- Receipts and confirmations
- No more walking in the rain
 - Replacement of taking hard copies to ORS



- Home
- Front Desk
- MySubmissions
- Staff

WELCOME TO ORS DOCUMENTS SUBMISSION PORTAL

INSTRUCTIONS:

PLEASE COMPLETE THE FOLLOWING FORM AND SUBMIT, A NOTIFICATION WILL BE SENT TO ORSWeb - THE OFFICE OF RESEARCH SERVICES

Document Type * Proposal Request For Action (RFA)

Submission Type *

Selected Department * [Select Department](#)

PI Net ID

PI First Name *

PI Last Name *

PI Email *

Business Manager NetID

Business Manager First Name

Business Manager Last Name

Business Manager Email

Submitter Net ID

Submitter First Name *

Submitter Last Name *

Submitter Email *

CC To

Enter comma separated email addresses. **Do not include awards@uic.edu.**

PAF Number

PAF Number, Banner grant code or ORS PAF Proposal Number.
(If you already have a PAF number please enter it)

Project Title *

Project Sponsor *

Sponsor Deadline Date *

Comments

The Following File Extensions are allowed : pdf,doc,docx,ppt,xls,zip,jpg,txt,bmp,pptx,xlsx,jpeg,png

Drag your files here

Upload file(s) using the 'upload' button before you 'Submit' the form

If you have any technical issues please email at orswebsupport@helpdesk.uic.edu.

ORSWeb

- Beta testing will begin April 18th
- Simultaneous roll out with Kuali-Coeus

Contracts

Basic Overview

By Elizabeth Cruz

Overview of the contracts process including types of contracts, review, compliance and sticking points.

Elizabeth Cruz-Garcia

Sponsored Projects Specialist (Contracts)

Email: elicruz@uic.edu / Phone: 312-996-1039

Federal vs Non-Federal

- Federal funds must be administered in accordance with federal laws and regulations
 - Numerous, complex compliance requirements
- Non-federal funds tend to not have as many compliance requirements

This applies to both Money-In
and Subawards.

TYPES OF CONTRACTS

Money In

- Grants
- Research Contracts
- Cooperative Agreements
- Subcontract/Subaward
- Amendments
- Purchase Order
- IPA
- Collaborative Agreements
- Letter of Agreement
- SBIR/STTR
- Technical Testing Agreements

Money Out

- Subcontracts/Subawards
- Amendments
- Consultant Agreement

No Money

- Data Use Agreements
- NDA/CDA
- Teaming Agreements
- MTA
- MOU
- NCE
- PI Change
- Termination
- Master Agreements
- Collaborative Agreements

Compliance and Approvals

- PAF Approved – an approved PAF is required for signature
- Legal Name: The Board of Trustees of the University of Illinois is the legal name of the University
- IP Disclosure Form – needed for agreements with a scope of work
- IRB/Human subjects – must have IRB approval for work with human subjects prior to signature
- E-Verify – if a federal contract requires E-Verify, ORS sends the agreement to HR for compliance with the federal regulation
- FCOI/COI – we must have COI approval for agreements with PHS sponsors and subawardees and for agreements that have COI checked
- Animals and Biohazard–must have ACC approval
- FFATA – Attachment 3B must be completed for all federal subawards
- Money-In and Subawards involving federal funds must include:
 - CFDA# and Program Title
 - Federal Award No.
 - Federal Project Title
- Subawards – we need the Banner screen shot for all subawards prior to processing
- Export Control – we do not accept export controlled information or materials

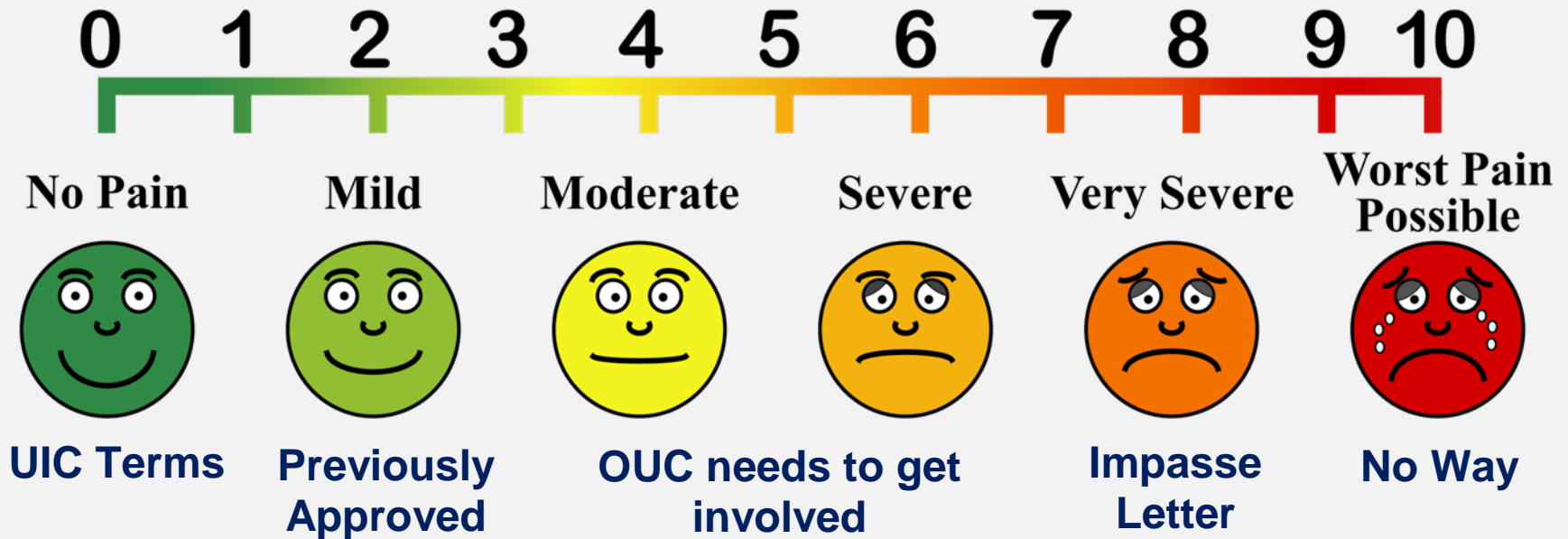
Sticking Points for Contract Negotiations

- Publication
- Intellectual Property
- Data Ownership
- Indemnification
- Confidentiality
- Governing law
- Flow Down Clauses
- Arbitration
- Warranties
- Insurance
- Export Controls



The Art of Compromise

Negotiation Assessment Tool



Negotiation Process Participants

- Business – PI/Business Manager
- Sponsor
- Legal – OUC
- Insurance – Risk Management
- Intellectual Property – OUC/OTM
- Export Controls – OUC/Export Control Officer

Execution

Stalemate

Impasse letter is prepared by the Negotiator and authorized by the following:

- Legal
- PI, Dean and Dept. Head
- VCR

Successfully negotiated agreement

Once both parties reach mutually agreeable terms, the Agreement can be fully executed



No-Money Agreements

Overview of no-budget agreements including compliance verification and negotiation.

- Confidentiality Disclosure
- Data Use
- Material Transfer

Name: Juan Tamparillas

Title: Sponsored Research Specialist (Contract Negotiator)

Contact Information:  jtampa@uic.edu  50446

Confidential Disclosure Agreement (CDA)

- Also called a **Non-Disclosure Agreement** (NDA)
- A party promises to treat specific information as secret and not to disclose it to others without proper authorization.
- A CDA is a useful tool to facilitate conversations to evaluate the possibility of a collaboration.



Data Use Agreement (DUA)

- Used for the transfer of data that has been developed by nonprofit, government or private industry, where the data is non-public or is otherwise subject to some restrictions on its use.
- The Data might contain Patient information that is either:
 - Identifiable Data (Subject to HIPAA)
 - De-Identified Data



Material Transfer Agreement (MTA)

- Governs the transfer of tangible research materials for research purposes.
- The MTA defines the rights of the provider and the recipient with respect to the materials and any derivatives.
- Besides Licensing terms a MTA might include Confidentiality and Data Use language
- Are divided into **Incoming** and **Outgoing**



Compliance MTA – In



Disclosure of IP and Publication Rights - Incoming Material Transfer Agreement
Version 4.0 (12/09)

Office of Research Services (ORS)
1717 West Park Square, MC 672
604 Administration Center, Chicago, Illinois, 60607
Phone: 312.998.2867, Fax: 312.998.9000
www.research.uic.edu

This information will specify contact negotiations with the provider protect your rights, and ensure compliance with applicable law and University policies. The University will not be able to sign a contract with the provider without the information being requested and your signature on this form. Please submit this completed form and any supporting documents to the Office of Research Services for University review and signature.

University Principal Investigator (PI) Name: _____	Company/Institution Providing Material (Provider): _____
PI's Department/Administrative Contact for MTA Follow-up: _____	Provider Contact for MTA: _____
Phone: (____) _____	Phone: (____) _____
University Location/Address Material will be housed: _____	Material(s) already being provided prior to the MTA: _____
PI's PI # _____	Is this a Biological Material? <input type="checkbox"/> Yes <input type="checkbox"/> No

General:

1. Does this MTA require a specific scope of work? <input type="checkbox"/> Yes, please attach a brief summary of the research and the intended use of the material in the research. <input type="checkbox"/> No	1. Is the Material a live animal? <input type="checkbox"/> Yes, please attach appropriate IACUC approval letter. <input type="checkbox"/> No <i>Note: MTA must be signed and executed through the BSL, http://www.ors.uic.edu</i>
2. What is the intended use of the Material in your research? <input type="checkbox"/> Discovery/Basic <input type="checkbox"/> Applied <input type="checkbox"/> Other: _____	2. Will the Material be used in animals? <input type="checkbox"/> Yes, please attach appropriate IACUC approval letter. <input type="checkbox"/> No
3. Will the Material be available? <input type="checkbox"/> Yes <input type="checkbox"/> No	3. Is the Material of direct human origin? <input type="checkbox"/> Yes, please attach the appropriate IRB approval letter or exemption. <input type="checkbox"/> No
4. Will the Material/Informed Material become incorporated into a new research endeavor to cover with their ongoing research materials, including any of your pre-existing intellectual property, like University? <input type="checkbox"/> Yes, please attach the research plan/Intellectual Property/Contract Technology (IP) _____ <input type="checkbox"/> No	4. Will the material be used in human subjects? <input type="checkbox"/> Yes, please attach the appropriate IRB approval letter or exemption. <input type="checkbox"/> No
5. What is the source of funding for your research? _____	5. Have the material origin source identification (ESCR0) registration or approval must be obtained prior to the MTA completion.
6. Is the Material available for a proposal under development or submitted for funding? (If yes, please specify) _____	6. Human embryonic stem cells, are there cells on the MTA stem cell registry? <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Will other agreements/contributions will be applicable to the study? (If so, all of the applicable research agreements must be on file with ORS, Science, IBC, _____)	7. Is the material to be recombinant DNA? <input type="checkbox"/> Yes, please attach the appropriate IACUC approval letter. <input type="checkbox"/> No
8. Is the Material commercially available or available from other sources? <input type="checkbox"/> Yes <input type="checkbox"/> No	8. Is the Material an infectious agent? <input type="checkbox"/> Yes, please attach the appropriate IACUC approval letter. <input type="checkbox"/> No
9. Will any materials be involved in the conduct of the research? <input type="checkbox"/> Yes <input type="checkbox"/> No	9. Is the Material a hazardous chemical? <input type="checkbox"/> Yes <input type="checkbox"/> No
10. *The applicable approval permits to the protocol where the Material has been approved for use. Additional information on IACUC, IBC, or ESCR0 can be found at http://www.ors.uic.edu/mta/mta.html .	10. Is the Material on the Federal Select Agent List? <input type="checkbox"/> Yes, please attach the appropriate ESCR0 approval letter. <input type="checkbox"/> No http://www.ors.uic.edu/mta/mta.html

I hereby certify that the statements contained herein are true, complete and correct to the best of my knowledge. I further certify that I will conduct the research study in compliance with University of Illinois policies and the terms and conditions of the University's agreement with the material provider, and each of applicable laws and regulations. I am a University of Illinois faculty member authorized to oversee the transfer of the material(s) named above.

Signature _____ Date _____ Document 0417
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Compliance MTA – Out



Disclosure of IP and Publication Rights - Incoming Material Transfer Agreement
Version: 4.0 (12/09)

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1715 West Park Street, MC 672
606 Administration Center, Chicago, Illinois, 60607
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This information will specify contract negotiations with the provider protect your rights, and ensure compliance with applicable law and University policies. The University will not be able to sign a contract with the provider without the information being requested and your signature on this form. Please submit this completed form and any supporting documents to the Office of Research Services for University review and signature.

University Principal Investigator (PI) Name: _____	Company/Institution Providing Material (Provider): _____
PI's Department/Institution Contact for MTA Follow-up: _____	Provider Contact for MTA: _____
PI's Email: _____	Phone: _____
University Location/Address Material will be housed: _____	Let ALL Material being provided under the MTA: _____
PI's PI # _____	Is this a Biological Material? <input type="checkbox"/> Yes <input type="checkbox"/> No
General:	
1. Does this MTA require a specific scope of work? <input type="checkbox"/> Yes, please attach. <input type="checkbox"/> No, please attach a brief summary of the research and the intended use of the material in the research.	1. Is the Material a live agent? <input type="checkbox"/> Yes, please attach appropriate IACUC approval letter. <input type="checkbox"/> No, please attach the appropriate IRB approval letter or exemption. http://www.uic.edu/officeofresearchservices
2. What is the intended use of the Material in your research? <input type="checkbox"/> Discovery/Use <input type="checkbox"/> Other: _____	2. Will the Material be used in animals? <input type="checkbox"/> Yes, please attach appropriate IACUC approval letter. <input type="checkbox"/> No, please attach the appropriate IRB approval letter or exemption.
3. Will the Material be used in human subjects? <input type="checkbox"/> Yes, please attach the appropriate IRB approval letter or exemption. <input type="checkbox"/> No.	3. Will the Material be used in human subjects? <input type="checkbox"/> Yes, please attach the appropriate IRB approval letter or exemption. <input type="checkbox"/> No.
4. Will the Material be used in a proposed under development or approved for the hospital? (see approval) _____	4. Will the Material be used in a proposed under development or approved for the hospital? (see approval) _____
5. Will other agreements, fund/information will be applicable to the study? (List all other applicable approved research agreements, must list on this page, CDA, license, MTA, etc.) _____	5. Will other agreements, fund/information will be applicable to the study? (List all other applicable approved research agreements, must list on this page, CDA, license, MTA, etc.) _____
6. Is the Material commercially available or available from other sources? <input type="checkbox"/> Yes <input type="checkbox"/> No	6. Is the Material commercially available or available from other sources? <input type="checkbox"/> Yes <input type="checkbox"/> No
7. Will any materials be involved in the conduct of the research? <input type="checkbox"/> Yes <input type="checkbox"/> No	7. Will any materials be involved in the conduct of the research? <input type="checkbox"/> Yes <input type="checkbox"/> No
<small>*The applicable approval permits to the protocol where the Material has been approved for use. Additional information on IACUC, IRB, or ESCRO can be found at http://www.uic.edu/officeofresearchservices.</small>	
8. I/they certify that the statements contained herein are true, complete and correct to the best of my knowledge. (Further certify that you will conduct the research study in compliance with University of Illinois policies with the terms and conditions of the University's agreement with the material provider, and each of applicable laws and regulations.) Is it a University of Illinois faculty member authorized to oversee the transfer of the material named above? _____	8. I/they certify that the statements contained herein are true, complete and correct to the best of my knowledge. (Further certify that you will conduct the research study in compliance with University of Illinois policies with the terms and conditions of the University's agreement with the material provider, and each of applicable laws and regulations.) Is it a University of Illinois faculty member authorized to oversee the transfer of the material named above? _____

Signature _____ Date _____
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RETROACTIVE
INCOMING
MTA

Workshop Summary

- ORS is your partner to support sponsored research and we are excited about the roll out of the new systems – ORSWeb, Quali Coeus, and the PI Portal.
- We continue to work collaboratively with PIs and Business Managers by providing exceptional service and expertise and these new systems will assist in that goal.

Thank you for attending our presentation! Please feel free to contact any of us if you have additional questions.

Questions / Concerns?