

Contracting at the University



Office of Grants and Contracts

UNIVERSITY OF COLORADO **DENVER** | **ANSCHUTZ MEDICAL CAMPUS**

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Contracting within the Office of Grants & Contracts

This course will provide an overview of how contracting works at the University and how the OGC Contracts team fits within our University contracting processes. This includes an overview of the various types of contracts, how to determine what type of contract you have, the various offices that review each type of contract, and the flow of different contract routing systems.

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[Appendix A: Sponsored Projects Contract Routing Flow Diagram](#)

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1. What is a Contract and what is an Amendment?

A **contract** is a legally binding agreement between two parties. Anything that binds the University to certain terms and conditions is considered a contract.

The University processes many different types of contracts for a variety of projects and scenarios. The type of contract will depend on the arrangement that the two parties intend to design and will drive many things, such as indirect (F&A) costs as well as which office has signature authority to review and execute the contract.

Amendments: An amendment changes an existing contract by adding new terms and conditions, changing existing terms, changing the scope of work details, adding new money, or changing the duration of the agreement. Any amendment will be processed by the same office that is responsible for processing the original agreement.

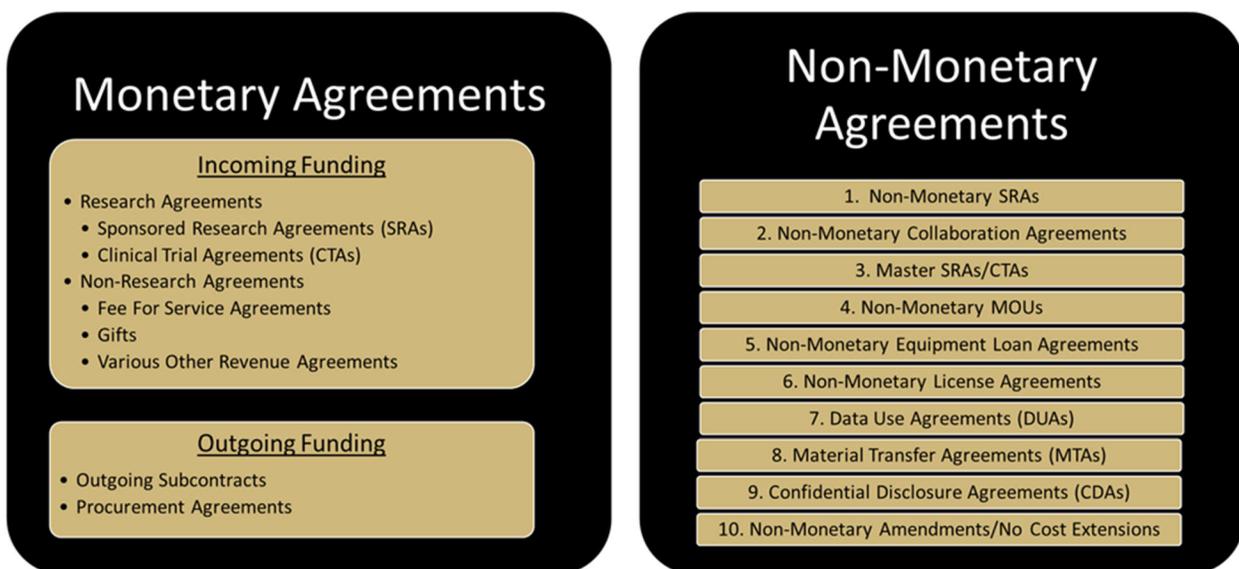


Non-competitive Continuations

Any request to continue an award can be routed as an amendment that references the original routing number. See the formstack link for amendments in Appendix D.

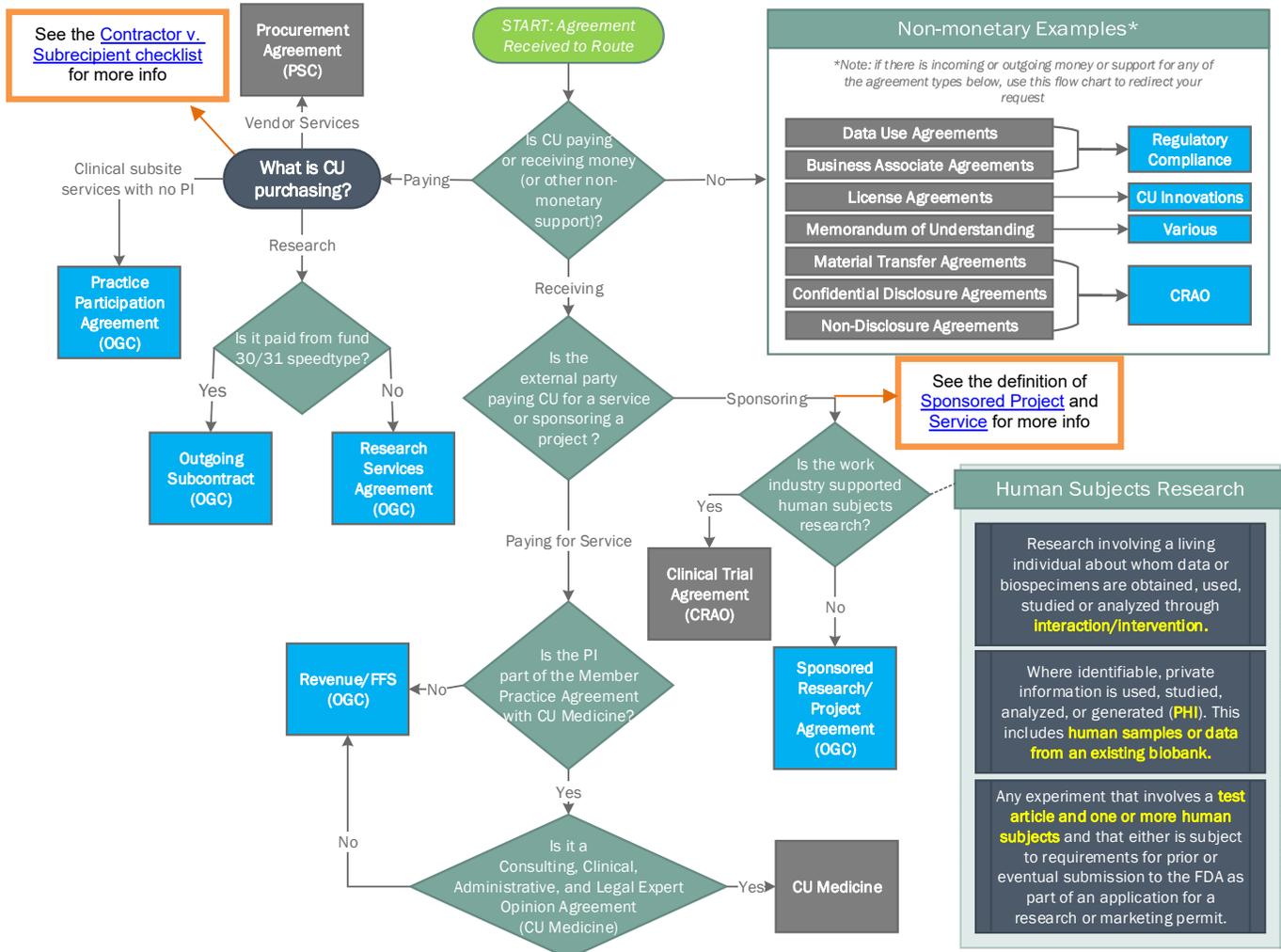
Non-Monetary v. Monetary: All agreements can be divided into two categories: monetary agreements and non-monetary agreements. **Monetary agreements** refer to the transfer of funds from one entity to another in order to accomplish specified objectives or goals. **Non-monetary agreements** may outline the conduct of a project or may provide for the transfer of other things of value, such as materials, supplies, or equipment.

The following graphic outlines the various types of contracts processed at the University:



2. Contract Type Determination and Responsible University Offices

The University office(s) responsible for reviewing and executing an agreement will vary depending upon the type of contract. The following flowcharts can be applied in determining a contract type and the corresponding office for processing.



For additional guidance on purchase arrangements between OGC, CRAO, and the PSC, please reference [Appendix C-2](#).

The following table identifies which University office is responsible for each type of agreement. For a detailed list of agreements, contacts, and routing offices, please see [Appendix D](#).

Financial Services/OGC	<ul style="list-style-type: none"> •All types of Agreements for Sponsored Projects, including Sponsored Research Agreements (SRAs), but excluding Industry CTAs •Outgoing Subcontracts (See Vendor vs. Subcontractor Guidelines) •Revenue/Fee For Service (FFS) Agreements •Equipment Loan Agreements (Incoming and Outgoing)
Clinical Research Administration Office (CRAO)	<ul style="list-style-type: none"> •Industry Sponsored Clinical Trial Agreements (CTAs) involving human subjects •Material Transfer Agreements (MTAs) •Confidentiality Disclosure Agreements (CDAs) / Non-Disclosure Agreements (NDAs)
CU Innovations (Formerly TTO)	<ul style="list-style-type: none"> •License Agreements •Inter-Institutional IP Agreements
Procurement Service Center (PSC)	<ul style="list-style-type: none"> •Outgoing Vendor/Procurement Agreements (See Vendor vs. Subcontractor Guidelines)
Office of Regulatory Compliance (ORC)	<ul style="list-style-type: none"> •Data Use Agreements (DUAs)/ Business Associate Agreements (BAAs)
CU Medicine (Formerly UPI)	<ul style="list-style-type: none"> •Member Practice Consulting Agreements
CU Foundation/Office of Advancement	<ul style="list-style-type: none"> •Gift Agreements (see Gift vs. Grant Guidelines)

3. The Role of OGC Contracts Team

The OGC Contracts team is an office within the Office of Grants and Contracts (OGC). OGC Contracts is responsible for reviewing and executing the following agreement types, and any amendments thereto for both the Downtown Denver and Anschutz campuses:

- A. Sponsored Project (Fund 30, 31)
- B. Fee for Service (Fund 20, 28, 29)
- C. Outgoing subcontracts

A. Sponsored Projects (Funds 30 & 31)

A sponsored project is an activity defined in scope and goal generally undertaken by University faculty, often with the involvement of students and staff, utilizing University facilities and equipment, and conducted with financial and/or other valuable support from an external sponsoring entity. Sponsored projects may include basic and applied research, scholarly activity, training, instruction and instructional design, public service, and other creative endeavors. Sponsored projects include Research Projects (defined below).

For sponsored projects, the sponsoring entity typically expects an outcome that either directly benefits the sponsor or serves a charitable or public purpose. The sponsoring entity usually requires the University to report on how the funds or other project resources were used and what progress was made toward accomplishing the goals of the project.

A project is typically a “Sponsored Project” if it involves:

- Federal Funding (with CFDA number), including Federal Flow Through
- State Funding
- Resources other than just Principal Investigator (PI) time, such as lab equipment or space on campus
- Multiple PIs
- Compliance/regulatory components (human/animal subjects, export control, etc.)
- An intellectual or scholarly contribution from University personnel
- A formal proposal or award document
- An itemized budget which may place restrictions on how funds can be spent and/or re-budgeted
- Cost-sharing in order to receive the funding
- A specific commitment regarding the level of personnel effort
- A fiscal report, activity report, and/or external audit during the course of the work or at the end of the project period
- A proposed agreement with the sponsor that provides for the disposition of tangible or intangible property
- Unexpended funds that must be returned to the sponsor at the end of the activity

Sponsored projects can be further divided into three main categories:

- (1) Research Projects
 - (2) Human Subjects Research (including but not limited to Clinical Trials)
- (3) Other Sponsored Projects



Significance

The type of sponsored project determines the applicable indirect (F&A) cost rate for the project. The University’s indirect (F&A) cost rates can be found at: [Facilities and Administrative Cost Policy](#)

Types of Sponsored Projects

All sponsored projects, regardless of type, must be routed using the Routing Form in [InfoEd](#). See [Appendix A](#) at the end of this document for additional info on the routing requirements and process. Any extensions to the contract term, changes in the project budget, or other alterations to the initial agreement terms require an amendment to the initial agreement. To request an amendment to a Sponsored Project agreement, use the following request form: [Amendment/Continuation Formstack](#)

Research Projects provide funding to the University to conduct projects to uncover new and different trends or facts leading to a discovery. The pathway to discovery and the creativity of new ideas is in the hands of a PI and other University employees and usually starts as a proposal which outlines a promising area of inquiry. Such work is an investigation aimed at the discovery and interpretation of facts, revision of accepted theories in light of new facts, development of new analytical and experimental protocols, or practical applications of such new theories, analysis, data gathering and experiments.

A project is typically a “Research Project” if:

- The PI will develop any new methods to generate data for the project
- Work is testing a hypothesis generated by the PI
- The PI will use the data generated to recommend additional studies or next steps

Human Subjects Research involves research about a living human beings.

The NIH defines Human Subjects Research as:

Research involving a living individual about whom data or biospecimens are obtained, used, studied or analyzed through interaction/intervention, or Where identifiable, private information is used, studied, analyzed, or generated (PHI). This includes human samples or data from an existing biobank.

Clinical Trials are considered a type of research project and are defined by the National Institutes of Health (NIH) and Food and Drug Administration (FDA).

The NIH defines a clinical trial as:

A research study in which one or more human participants are prospectively assigned to one or more interventions (which may be placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.

Human Subjects Research/Clinical trials can be reviewed by different University offices depending on the exact scenario. For more information, see [Appendix C-1](#).

- If its HSR/clinical trial involving human subjects is industry sponsored, it is typically reviewed by the Clinical Research Administration Office (CRAO)
- If a clinical Trial is Federal, State, or Foundation/Non-Profit funded, it is typically reviewed by the Office of Grants and Contracts (OGC) and should be routed using the Routing Form in [InfoEd](#)

Other Sponsored Projects encompass projects that are sponsored based on the factors above, but not research-based. Examples of other sponsored projects include:

- Public/Community service
- Community Outreach projects
- Travel Grants
- Support for University Public Events

B. Fee for Service/Revenue Projects (Funds 20/28/29)

Fee for service activities in academic settings generally encompass service projects for which an external client pays a certain defined rate to the University for a deliverable generated using known practical applications of standard procedures and established theories, methods and standard experiments using special or unique University research capabilities. The results of such work are of specific interest to the client and normally involve a set fee according to a published rate schedule routinely charged to all potential customers, off-the-shelf tools and established protocols. Fee for service work does not require original, creative, or scholarly analyses or non-standard interpretation of data sets by University faculty, staff or students engaged in the work.

A project is typically Fee for Service if it involves the University receiving money or equipment from an external entity and one of the following is also true:

- The faculty member executing a scope of work that was created by an outside entity, and expected to do so without variation
- Work restricted to performance of previously published methods that are routinely executed by the faculty member and/or methods prepared by company for which standardized pricing is typically appropriate
- The faculty member being asked to analyze data generated and draw conclusions from those data that will not be used in research but will be used for outreach or extension project or reports
- A scope of work that describes routine or repetitive services
- Work that will require little or no intellectual or scholarly contribution on the part of the faculty member
- No new intellectual property expected to be developed in performing the work.
- No scientific uncertainty regarding the faculty member's ability to perform the work and provide the stated deliverables
- The faculty member is not engaging in significant interpretive analysis of resulting data or provide conclusions
- No expectation of the faculty member for publishing on the work or the data.
- A budget that is based on a fixed rate (for example, \$100 per sample analyzed)
- The University is loaning or renting equipment

Examples of fee for service agreements include: Incoming/Outgoing Equipment Rentals, Lab Services, Conference Hosting, Material Transfer Agreements that involve a sale of a material, Consulting (Non-CU medicine) or Professional Services, Continuing Medical Education (CME) Events

If a faculty member has signed a Member Practice Agreement with CU Medicine, then certain non-sponsored project agreements that might normally route through OGC Contracts must go through CU Medicine instead and are captured under Fund 80. See the separate section on [CU Medicine](#) for more information.



Significance: fee for service/revenue projects differ from sponsored projects in a number of ways, including:

- The University charges General Administrative Recharge (GAR) costs instead of indirect (F&A) cost rates
- There are less intellectual property protections for PIs
- Publications rights are limited for PIs

C. Subcontracts/Subawards (Outgoing)

Subcontracts are types of contracts in which the University is the recipient of a sponsored agreement or award and then awards a portion of that funding to another entity. Key terms in this scenario include:

- **Prime Contract.** This is the original contract or award made to the University. The Federal government refers to prime grants as prime awards.
- **Pass-through Entity.** When the University makes a subcontract to another entity, the University is the pass-through entity. As a pass-through entity, the University assumes the roles and responsibilities of both the award recipient and sponsor.
- **Subrecipient.** The entity receiving the subcontract from the University is known as the subrecipient.

Subcontracts may be made with both federal funds and non-federal funds. Requirements for federal subcontracts are generally more stringent than non-federal subcontracts. Before making a subcontract with federal funds, the University:

- Must determine if the relationship between the University and the other non- federal entity constitutes a vendor or subrecipient relationship, as described at 2 CFR 200.330 and in the checklist below
- Conduct a risk assessment on the proposed subrecipient to evaluate and mitigate potential risk to federal funds

OGC’s Contractor vs. Subrecipient Checklist that is used to determine the relationship between the University and third parties.

SUBRECIPIENT: A subaward is likely appropriate if answers to the following questions are “Yes”.		
YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	1. The Scope of Work (SOW) represents an intellectually significant portion of the programmatic effort of the overall project.
<input type="checkbox"/>	<input type="checkbox"/>	2. Has its performance measured in relation to whether objectives of a Federal program are met.
<input type="checkbox"/>	<input type="checkbox"/>	3. Has responsibility for programmatic decision making.
<input type="checkbox"/>	<input type="checkbox"/>	4. Is responsible for adherence to applicable Federal program requirements specific in the Federal award.
<input type="checkbox"/>	<input type="checkbox"/>	5. Uses Federal funds to carry out a program for a public purpose specified in an authorizing statute as opposed to providing goods or services for the benefit of the pass-through entity
CONTRACTOR: A contract is for the purpose of obtaining goods and services for the non-Federal entity’s own use and creates a procurement relationship with the contractor.		
YES	NO	
<input type="checkbox"/>	<input type="checkbox"/>	1. Provides goods and services within normal business operations.
<input type="checkbox"/>	<input type="checkbox"/>	2. Provides similar goods and services to many different purchasers.
<input type="checkbox"/>	<input type="checkbox"/>	3. Operates in a competitive environment.
<input type="checkbox"/>	<input type="checkbox"/>	4. Provides goods or services that are ancillary (secondary) to the operation of a Federal program.

As a pass-through entity, the University is responsible for ensuring subcontractors are in compliance with the award terms and condition and federal statutes, regulations, and requirements. This responsibility is shared between OGC and the PI and their respective administrative unit. Post award subrecipient monitoring requirements are explained in 2 CFR 200.331.

The OGC Contracts team is responsible for drafting subcontracts. See [Appendix B](#) for a flow diagram of the subcontract routing process. For more information on the UCB and UCD Intercampus Subcontract/award process that replaces the need for a formal subcontract between the two entities, see the FAQ later in this document.

Frequently Asked Questions

FAQ: Who Can Sign Contracts?

An executed agreement between the University and another entity is legally binding on both parties. Failure to adhere to the terms and conditions of the agreement may not only hurt the reputation of the principal investigator and University, but may also result in administrative, civil, and/or criminal sanctions. Therefore, it is critical that the terms and conditions are carefully reviewed before the University executes an agreement.

To limit the liability and potential risk to the University, only a handful of employees are legally authorized to sign an agreement on behalf of the University. Those individuals are sometimes referred to as **Authorized Organization Representatives (AOR)**. **The office handling the processing of your agreement will know who has the authority to sign.**



Significance

It is absolutely critical that only the University's authorized employees sign agreements. Principal investigators do not have the authority to sign agreements and may expose both the University and themselves to liability.

The University of Colorado Boulder created a video explaining why the University's AOR must sign a contract. The video is found at:

<https://www.colorado.edu/ocg/signature-authority>.

FAQ: How does OGC Contracts handle contracts via DocuSign?

For sponsored agreements, including <i>incoming</i> subcontracts, routed through InfoEd (Funds 30/31)	Instruct Sponsor to: <ul style="list-style-type: none"> • Send DocuSign link directly to ogc.contracts@ucdenver.edu • Leave the name and title fields blank in the DocuSign request (or specify Liz Causey if it is not possible to leave blank) • Include reference to PI name and 6 digit InfoEd routing number in Subject Line of DocuSign request
For fee for service/revenue agreements (Funds 20, 28, 29)	Instruct Counterparty to: <ul style="list-style-type: none"> • Send DocuSign link directly to ogc.revenue@ucdenver.edu • Leave the name and title fields blank in the DocuSign request (or specify Liz Causey if it is not possible to leave blank)
For <i>outgoing</i> subcontracts	Instruct Counterparty to: <ul style="list-style-type: none"> • Send DocuSign link directly to ogc.subcontracts@ucdenver.edu • Leave the name and title fields blank in the DocuSign request (or specify Liz Causey if it is not possible to leave blank) • Include reference to PI name or FY##__ subcontract reference number in Subject Line of DocuSign request

FAQ: How Long will it take to get my contract executed?

The time required for OGC Contracts to finalize a contract is contingent upon numerous factors, including:

- The overall completeness and accuracy of materials submitted for review
- The current volume and priority of other contracts being reviewed
- The complexity of the contract
- The number of other University offices involved with the agreement
- The sponsor’s response time
- If the contract requires waivers or approvals from leadership, such as:
 - Governing law/foreign regulations (Controller and/or Legal Counsel)
 - Indemnification (Legal Counsel and/or Chancellor)
 - Publication rights (Vice Chancellor for Research)
 - Non-standard intellectual property terms (CU Innovations)
 - Indirect (F&A) cost rate (Chief Financial Officer)
 - Non-standard Data terms & SBIR/STTR Review (Office of Regulatory Compliance)

FAQ: What is the Intercampus Subcontract/award process we use with CU Boulder?

The Boulder and Denver/Anschutz CU campuses have executed a Master Collaboration Agreement to establish one set of terms and conditions that will be used each time we wish to subcontract work between the two campuses. For each new subcontract or award, a Task Order is drafted to document the work between the two campuses and the terms and conditions of the MCA are referenced in each. This Task Order template is used in place of a formal subcontract template for work between the two campuses.

Request an Intercampus Subcontract/award the same way you would a standard subcontract by using the [formstack to request a subcontract](#). Be sure to specify in the details that this is a subcontract with Boulder and we will use our Task Order template to capture the details of the project for processing. The subrecipient is required to sign the Task Order, but not the pass-through campus.

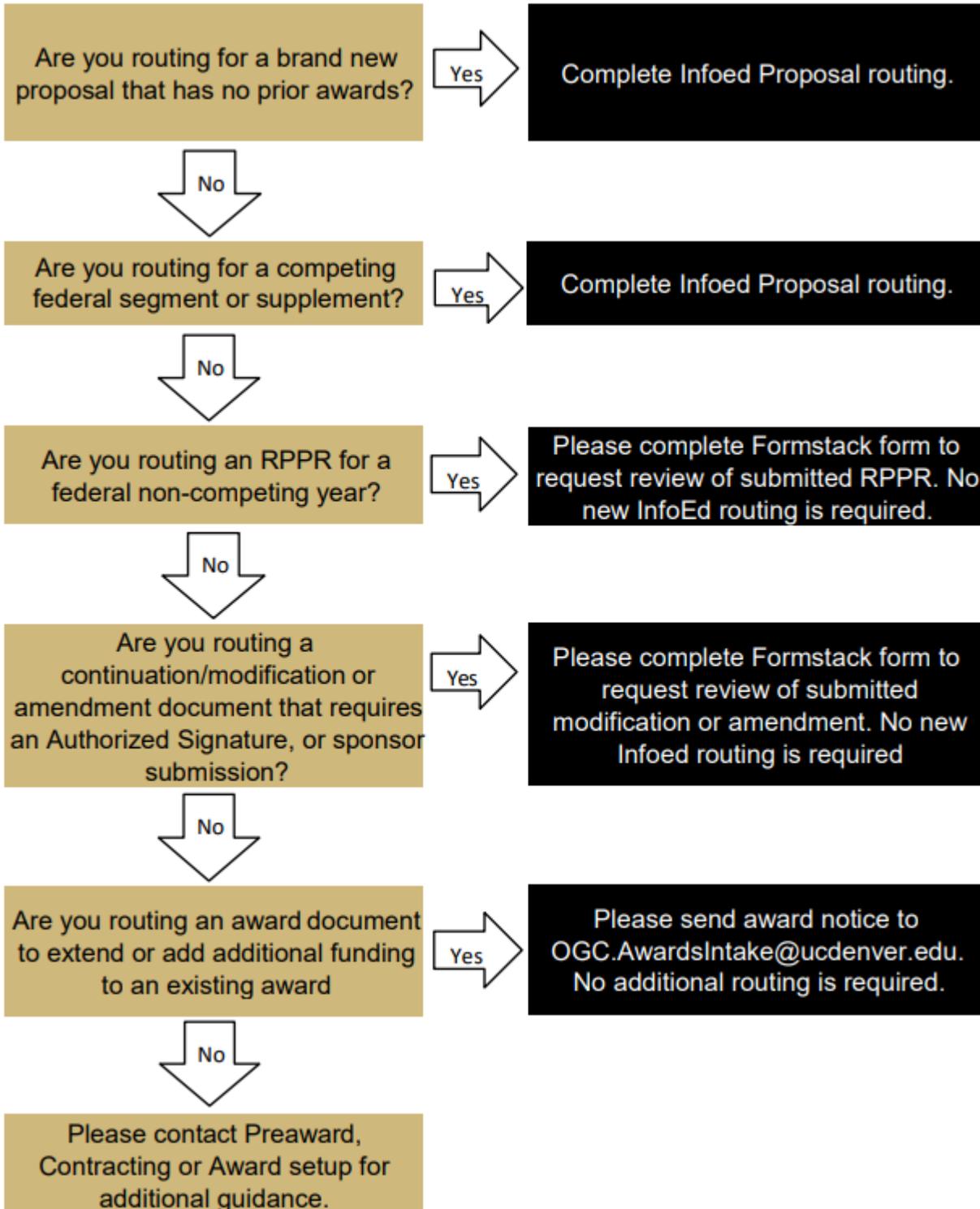
FAQ: Common Routing Questions & Scenarios

For more information on routing questions see our [Routing Announcement](#)

I Need to...	Required Actions
Route an amendment document to contracts for negotiation and setup a pre-award speedtype	Submit the continuation Formstack for an amendment and select “Yes” for the question “Would you like to request a Preaward?”
Request a pre-award speedtype for a future amendment routing	Submit Pre-award request via Formstack
Route an amendment needing a signature or negotiation and I do not need a pre-award speedtype	Submit the continuation Formstack for an amendment and select “No” for the question “Would you like to request a Preaward?”
Route for a brand new award or a competing continuation proposal and would like to request a pre-award speedtype	First, complete the InfoED routing form. Once the routing is in the “submitted” status, then complete the Pre-award request via Formstack .
Request a pre-award speedtype for a future award or competing continuation period that has already been routed in InfoED	Submit Pre-award request via Formstack

FAQ: How-to-Route Decision Tree

Use the decision tree below to guide how route your request.



FAQ: How can I review the status of my contract?

For a status update on fee for service or revenue agreements, please contact ogc.revenue@ucdenver.edu. For a status update on a subcontract, please contact ogc.subcontracts@ucdenver.edu.

For sponsored projects, you can review that status of your contract request by reviewing the proposal routing in [InfoEd](#). The following screenshots from InfoEd show how to determine the status of a contract after navigating to the agreements tab.

Agreement Status History

Agreement Status Agreement Status History Date

Partially Executed 06-Oct-2021

Agreement Status History Comments

You have characters left. Add

DATE ^	STATUS	RECORDED DATE	RECORDED BY
06-Oct-2021	Partially Executed	06-Oct-2021 04:23:17 PM	Elizabeth Ann Causey
05-Oct-2021	Fully Negotiated	06-Oct-2021 04:23:07 PM	Elizabeth Ann Causey
19-Aug-2021	In Negotiation	06-Oct-2021 04:22:49 PM	Elizabeth Ann Causey
18-Aug-2021	Reviewed/Redlined	18-Aug-2021 03:37:21 PM	Elizabeth Ann Causey
12-Aug-2021	Received by Reviewer	06-Oct-2021 04:22:22 PM	Elizabeth Ann Causey
09-Aug-2021	Received	09-Aug-2021 11:17:44 AM	Sandra K Backus

The “Recorded by” column is the member of the Contracts Team processing the agreement through each step in the process. Each step is captured in the Status column. Use the following table to learn more about each Status.

Status	Description
Received	The agreement has been received by OGC Contracts and has been assigned to a member of the team for review. The status will be updated once the reviewer has all necessary documents and attachments referenced in the agreement.
Received by Reviewer	The agreement includes all necessary pieces of information, attachments, and budgetary information and is ready for substantive review of the contract terms.
Reviewed/Redlined	The agreement has been reviewed and sent for signature, or any necessary changes have been captured in the copy provided and returned to the external party.
In Negotiation	The initial agreement required changes and the external party has returned with their own changes or objections.
Fully Negotiated	The initial agreement required changes on both sides, and is now finalized between the two parties
Partially Executed	The agreement has been signed by the first party (usually UCD), and returned for counter signature.
Fully Executed	All required signatures are complete and the agreement is now active.

FAQ: Gifts through CU Advancement or CU Foundation (Fund 34)

Gifts or charitable grants are given by individual donors, corporations, trusts, private foundations, corporate foundations etc. Some examples include scholarships or student support, program or faculty support, or capital support for construction or renovation. These are all captured under Fund 34.

Donors have limited influence on fund utilization; they may specify purpose (i.e. scholarships, programmatic support, faculty support etc.) but may not select actual beneficiaries.

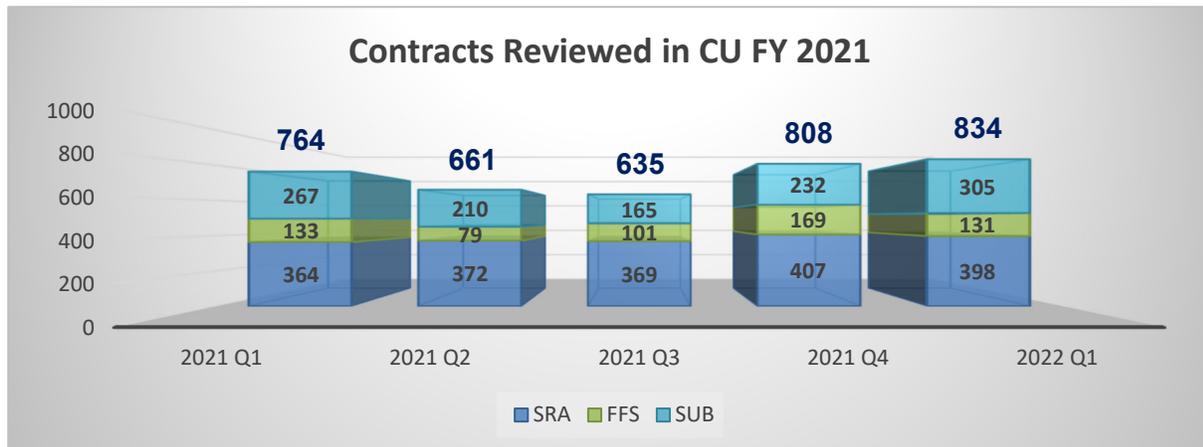
For any questions, or for help processing a gift agreement, please contact the Office of Advancement at advancement@ucdenver.edu

FAQ: CU Medicine Contracts (Fund 80)

If a faculty member has signed a Member Practice Agreement with CU Medicine, then certain non-sponsored project agreements that might normally route through OGC Contracts must go through CU Medicine instead. These include:

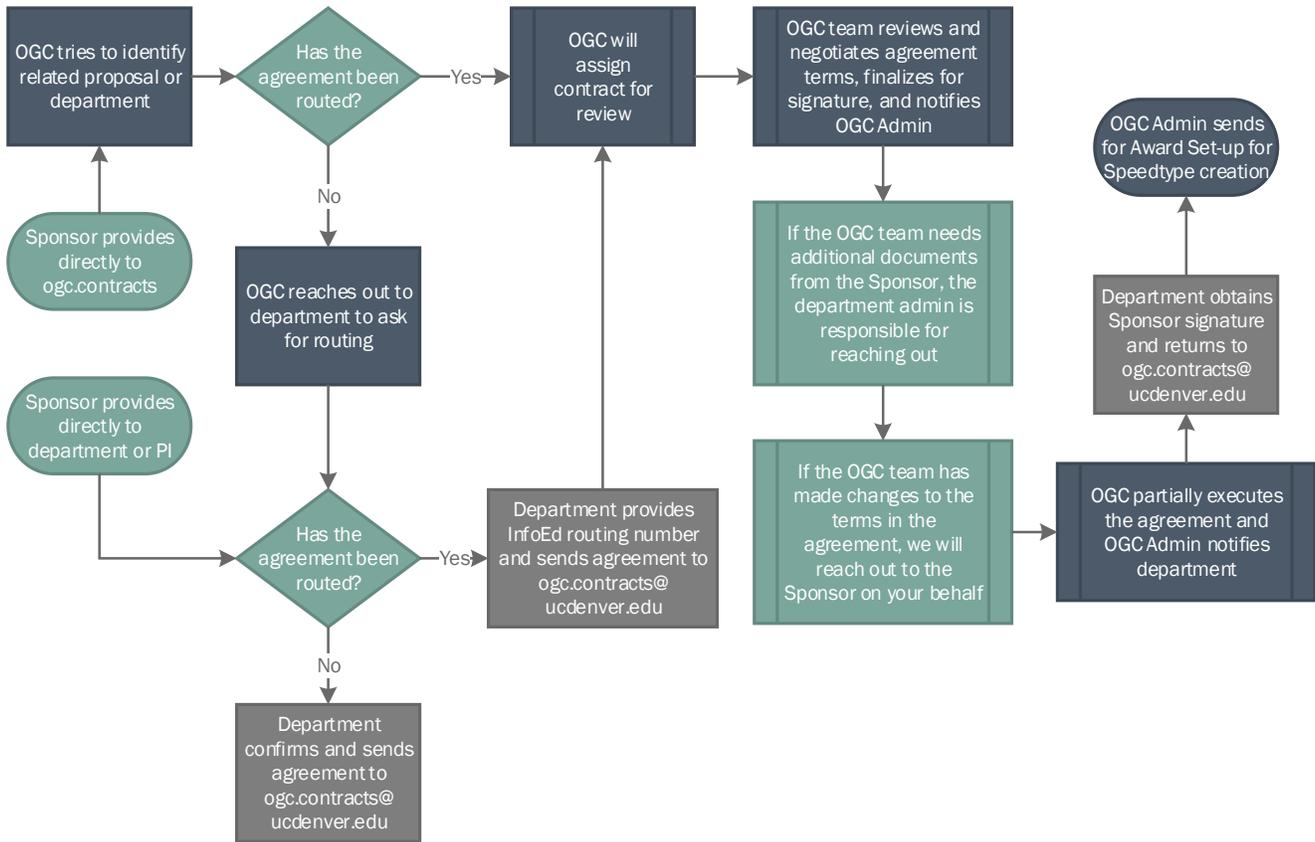
- Consulting Contracts. These are agreements for consultation services performed on behalf of an unaffiliated and typically for-profit entity, whereby the faculty member is requested to give intellectual advice or an opinion on subject matter that may or may not be directly related to patient care. The payment is typically for a faculty member’s time only and based on an hourly rate.
- Clinical Contracts. These are agreements other than managed care contracts specifically where the faculty member is providing patient care.
- Administrative. These are agreements when the faculty member is providing administrative (i.e., director of a clinic or lab, board member) support and not performing patient care services.
- Med Legal. These include contracts where the faculty member is providing a professional opinion to or for the benefit of an attorney, a judge or an administrative agency, whether in a judicial or an administrative proceeding or in contemplation of one, including serving as an expert witness.

FAQ: How many agreements does the OGC Contracts team process each year?



Appendix A

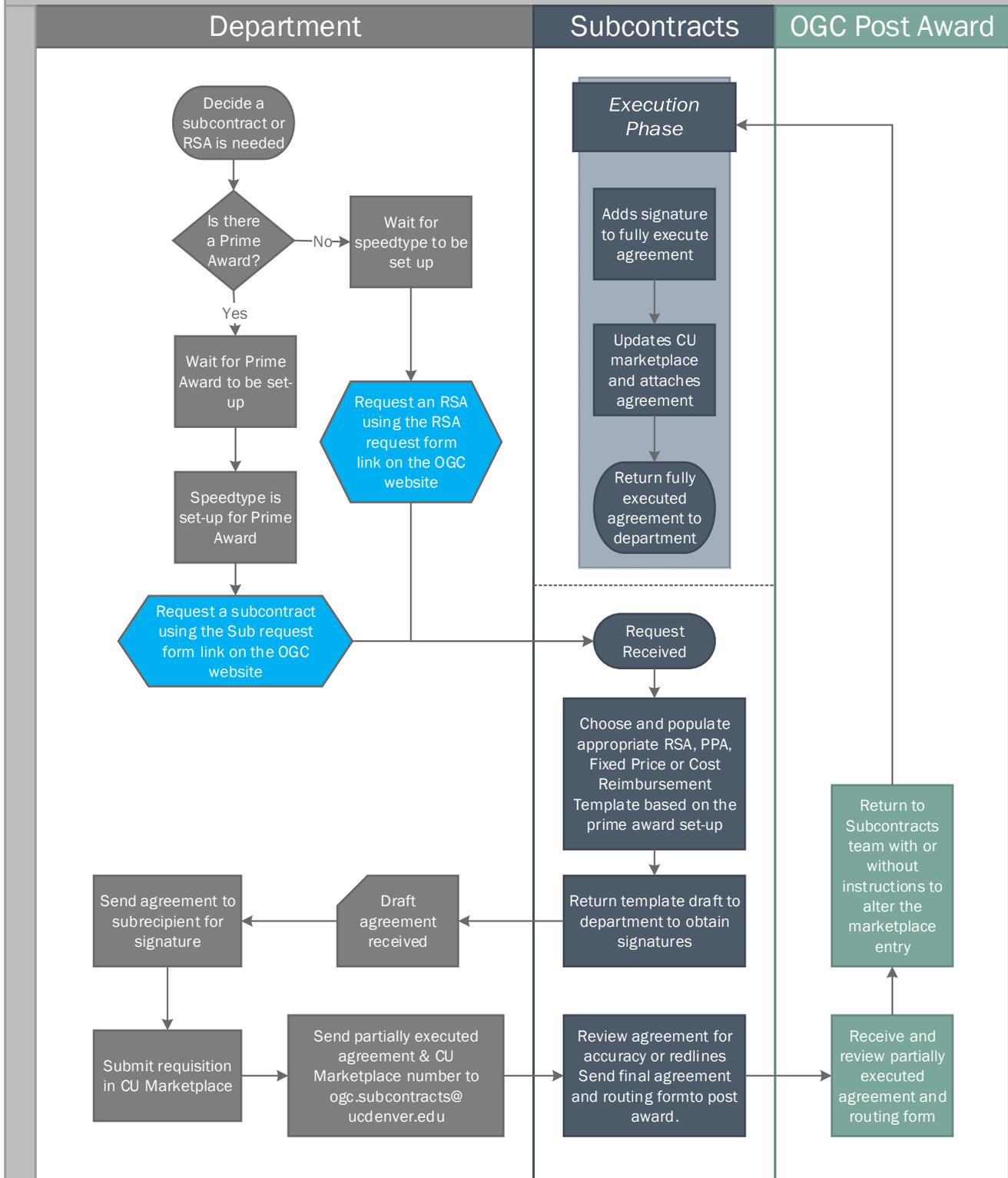
SPONSORED PROJECTS CONTRACT ROUTING



Award Type	New Project	Non-Competing Continuation	Competing Continuation / Supplement	Amendment (Same Project)	RPPR
Federal Grants	Infoed Routing Required	Email award directly to OGC Award Set Up	Infoed Routing Required	N/A	Submit via Formstack
Federal Flow Through Grants/Contracts	Infoed Routing Required	N/A	N/A	Submit via Formstack	N/A
Foundation Grants	Infoed Routing Required	Email applicable documentation directly to OGC Award Set Up	N/A	Submit via Formstack	N/A
Contracts	Infoed Routing Required	N/A	N/A	Submit via Formstack	N/A

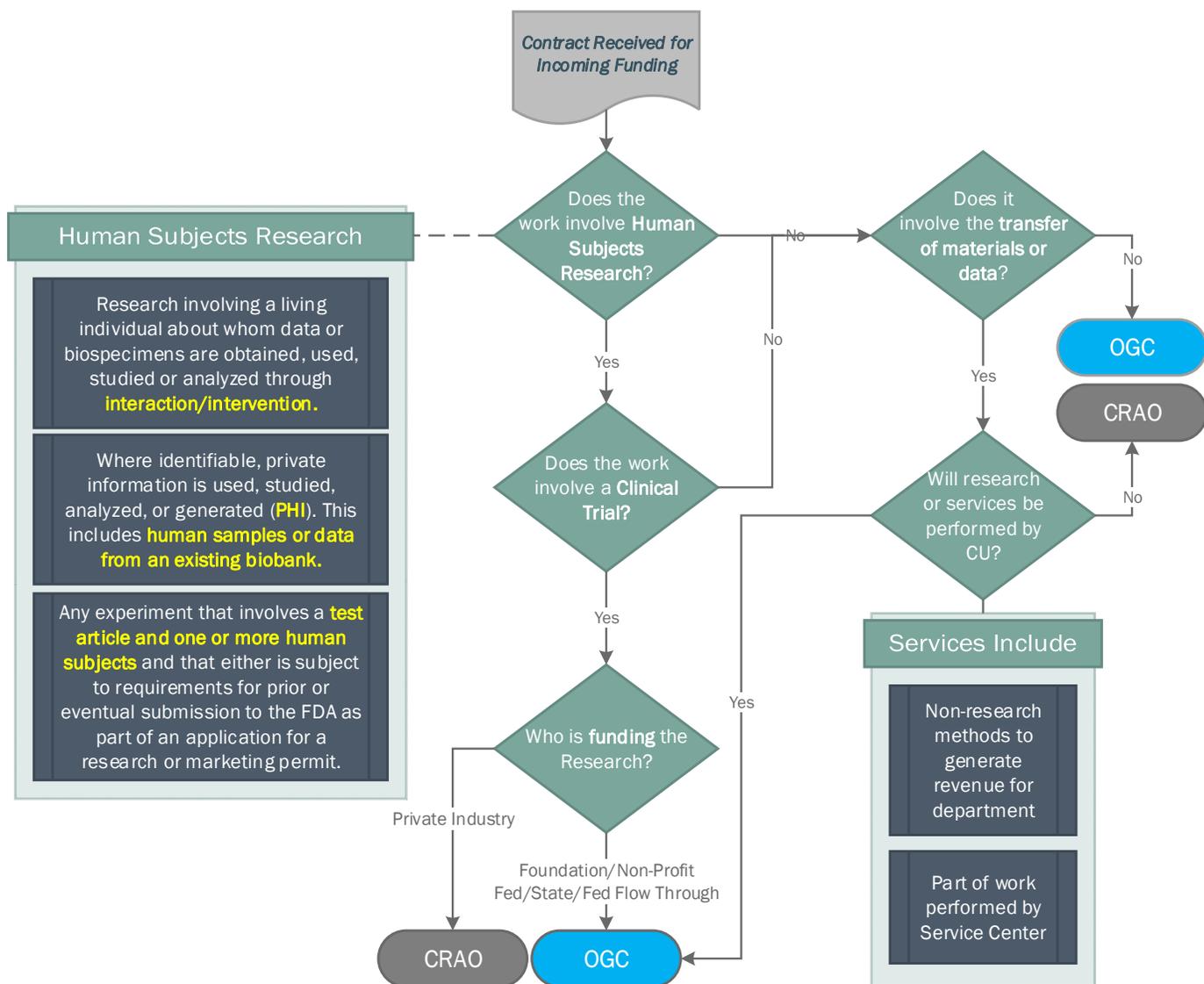
Appendix B

OGC Sub/RSA Contract Process



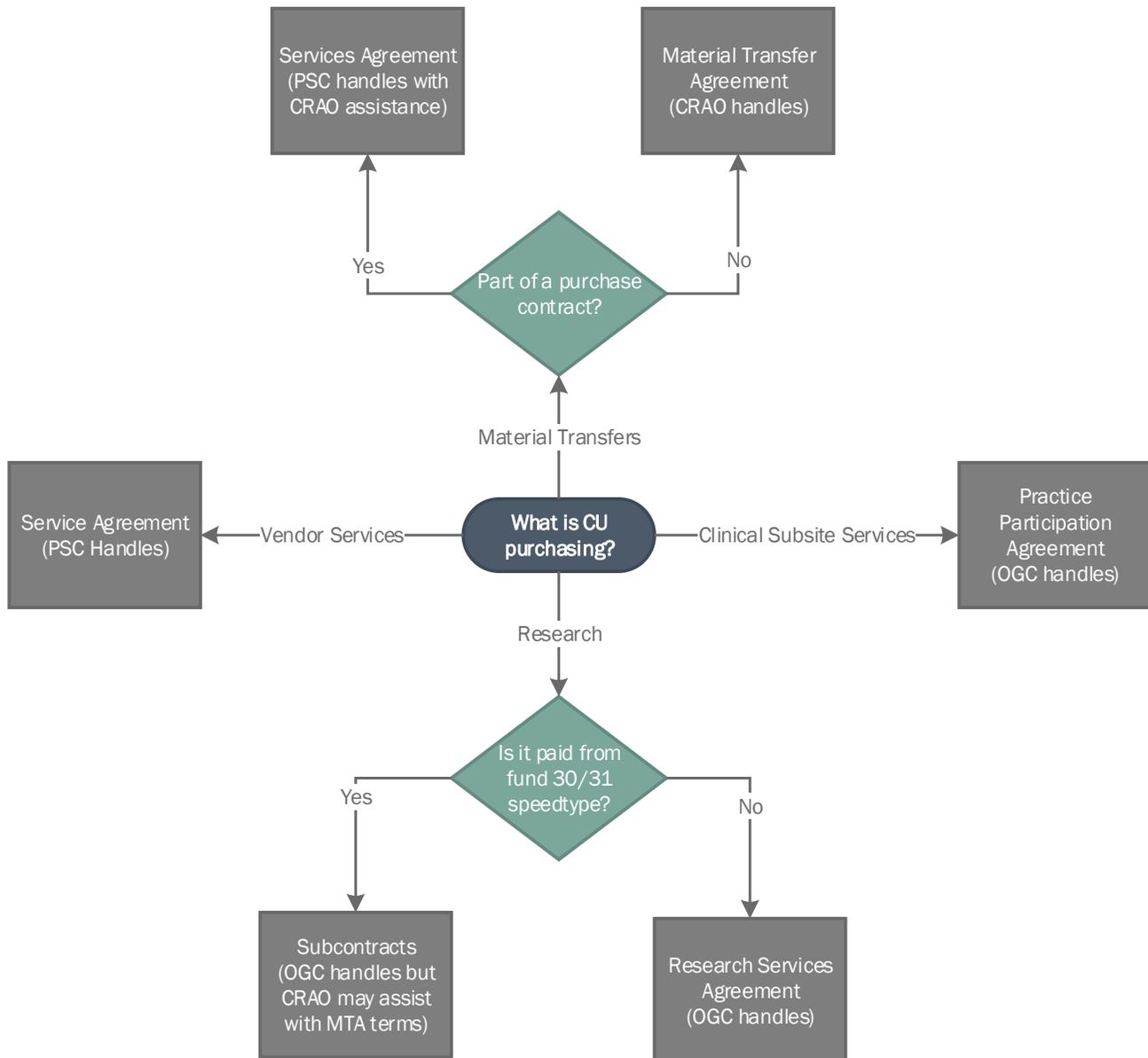
Appendix C-1

The flow diagram below explores the differences between the agreements that OGC and CRAO handles for incoming money.



Appendix C-2

The flow diagram below explores the differences between various offices that route agreements where CU is a purchaser.



Appendix D

The following table further breaks down the different agreement types by office, including a definition for each type of agreement, the office responsible for each agreement type, and the internal process for each type of agreement.

Agreement Type & Description	Responsible Department	Additional Information
<p>Industry-Funded Clinical Trial Agreement (CTA) or Clinical Services Agreement (CSA) involving Human Subject Research: A CTA or CSA that is funded by a private industry and involves human subject research. Examples include:</p> <ul style="list-style-type: none"> • Investigational drug or device studies • Post-market studies • Medical record reviews • Observational studies • Registries • Industry funded multi-site incoming subawards • Research Collaboration Agreements • Amendments • Master Agreements • Ancillary agreements related to the above list 	<p>Department: Clinical Research Administration Office (CRAO)</p>	<p>Required Documents: (1) Protocol, (2) Editable version of the Contract, and (3) Sponsor Contact Information</p> <p>Intake System: The Human Subjects Research Portal. See link below: https://forms.ucdenver.edu/secure/rss_ra_ogc_ra</p>
<p>Material Transfer Agreement: A MTA is an agreement that covers the transfer of material such as cells, animals, other scientific material from one entity to another.</p> <p>*Please note that if an MTA involves more than the transfer of material, such as the sale of the material, it may fall into another category.</p>	<p>Department: CRAO</p>	<p>Required Documents: (1) MTA Information Sheet (2) For MTAS where UCD is receiving material, the providing entity's MTA template.</p> <p>Intake System: The Human Subjects Research Portal. See link below: https://forms.ucdenver.edu/secure/rss_ra_ogc_ra</p>

<p>All other Contracts/Grants (other than above) related to Sponsored Projects: This includes Industry contracts without Human Subjects and Non-Industry contracts (including government and non-profit) with/without human subjects. Examples include:</p> <ul style="list-style-type: none"> • Sponsored Research Agreements (SRAs) • Grants • Master Agreements • Incoming Subawards/Subcontracts • Fellowships • Interagency Agreements • Collaboration/Consortium Agreements • Amendments • No Cost Extensions • Ancillary agreements related to the above list, including subrecipient commitment forms 	<p>Department: Office of Grants and Contracts</p>	<p>Required Documents:</p> <ol style="list-style-type: none"> (1) Protocol and/or SOW <i>if applicable</i> (2) Budget and documentation regarding F&A amount and documentation supporting any deviations from policy (3) Editable version of the Contract, and (4) Sponsor Contact Information <p>Intake System: Info Ed (https://era.cu.edu/) or email OGC.Contracts@ucdenver.edu</p> <p>Amendments: https://ucdenverdata.formstack.com/forms/ogc_proposal_continuation_form</p>
<p>Outgoing Subcontract: An outgoing subcontract is an agreement made between CU Denver and another institution or organization to perform an intellectually significant portion of the SOW (Statement of Work) under a CU Denver sponsored project.</p> <p>*This is distinct from agreements in which CU Denver is purchasing good or services (see Outgoing vendor/procurement agreements below).</p>	<p>Department: Office of Grants and Contracts</p>	<p>Required Documents:</p> <ol style="list-style-type: none"> (1) Subcontract request form (2) Subrecipient commitment form (if applicable) (3) Budget Sheet (4) Subcontract Packet (5) Statement of Work <p>Intake System:</p> <ol style="list-style-type: none"> (1) Subcontracts: https://ucdenverdata.formstack.com/forms/subcontract_request_form (2) Amendments to Existing Subcontracts: https://ucdenverdata.formstack.com/forms/amendment_request_form (3) Research Services Agreement (for subcontracts without a prime award): https://ucdenverdata.formstack.com/forms/research_services_agreement <p>Any Questions can be directed to ogc.subcontracts@ucdenver.edu</p>

<p>Revenue/Fee for Service Contracts: This includes agreements related to revenue generating activities for CU Denver. Examples include:</p> <ul style="list-style-type: none"> • Consulting/Professional Service agreements not subject to the Member Practice Agreement (please check with your department administrator if you are unsure what this means) • Letters of Agreement/other contracts related to CU Denver hosted/accredited courses/programs/conferences • Internal Facility/Lab Use Agreements • Revenue agreements for on-campus service centers • External Building Use Agreements • Sponsorship Agreements • Amendments • Masters <p>Ancillary agreements related to the above list</p>	<p>Department: Office of Grants and Contracts</p>	<p>Required Documents: (1) Contract (2) Sponsor contact email</p> <p>Intake System: Send email to OGC.Revenue@ucdenver.edu</p>
<p>Equipment Loan Agreements (incoming or outgoing): This involves the loaning of equipment from one entity to another. This includes both agreements where CU Denver is loaning equipment or when CU Denver is borrowing equipment.</p>	<p>Department: Office of Grants and Contracts</p>	<p>Required Documents: (1) Contract (2) Sponsor contact email</p> <p>Intake System: Send email to OGC.Revenue@ucdenver.edu</p>
<p>Outgoing Vendor/Procurement Agreements: This includes agreements where CU Denver is paying another entity/individual for goods or services.</p>	<p>Department : Procurement Service Center (PSC)</p>	<p>Required Documents: (1) Contract from Vendor if provided (2) Creation of Marketplace requisition</p>

<p>License Agreements: License agreements are agreements between CU Denver and a commercial entity to grant rights to the company for the purpose of developing, making, and/or selling products based upon CU Denver's intellectual property</p>	<p>Department: CU Innovations (Formerly TTO)</p>	<p>Required Documents:</p> <ol style="list-style-type: none"> (1) Contract (2) Name and contact info of collaborator (3) Contact information of other institution's technology transfer office (4) University of Colorado technology case number (if applicable) <p>Intake System: Send email to cuinnovations@ucdenver.edu</p>
<p>Inter-Institutional IP Agreements: An agreement between academic institutions that dictates which institution will take point on intellectual property protection and commercialization.</p>	<p>Department: CU Innovations (Formerly TTO)</p>	<p>Required information:</p> <ol style="list-style-type: none"> (1) Contract (2) Name and contact info of collaborator (3) Contact information of other institution's technology transfer office (4) University of Colorado technology case number (if applicable)
<p>Data Use Agreements/Business Associate Agreements (BAAs): Includes agreements related to the use of data that CU Denver is obtaining or allowing another entity to have access to.</p>	<p>Department: Office of Regulatory Compliance (ORC)</p>	<p>Required Documents:</p> <ol style="list-style-type: none"> (1) Contract (2) Data Summary Sheet <p>Intake System: The Human Subjects Research Portal. See link below: https://ucdenverdata.formstack.com/forms/ogc_proposal_continuation_form</p>
<p>Member Practice Consulting Agreements: This includes agreements related to consulting that are subject to a Member Practice Agreement CU Medicine (formerly UPI). Examples include:</p> <ul style="list-style-type: none"> • Consulting services Clinical services 	<p>Department: CU Medicine (Formerly UPI)</p>	<p>Required Documents:</p> <ol style="list-style-type: none"> (1) Contract (2) Sponsor Contact email <p>Intake System:</p> <ol style="list-style-type: none"> (1) Send via email to contractprocessing@cumedicine.us (2) Please use the following format for subject line: Contract with (name of company) for (name of provider) (department)

<p>Gift Agreements: This includes agreements where CU Denver is receiving money as a gift, with no deliverables or strings attached.</p> <ul style="list-style-type: none"> • Gifts are typically donated by individuals/trusts/private or corporate foundations • Given with “no strings” attached (only report of the use of funds is expected) • Scholarships or educational aid (donor may not determine who receives funds) <p>*Please note that there is a fine line between gifts and grants. If unclear, please reach out to OGC.Contracts@ucdenver.edu</p>	<p>Department: Office of Advancement</p>	<p>Contacts:</p> <p>CU Anschutz Advancement:</p> <p>Kyle Jaccaud-Smith (Kyle.JaccaudSmith@ucdenver.edu)</p> <p>Or</p> <p>CU Denver Advancement: Anna Crawford (Anna.Crawford@ucdenver.edu)</p> <p>Or</p> <p>CU Foundation: Compliance@cufund.org</p>
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Appendix E

Below is a quick reference table to guide your understanding of CU Funding Sources for our Anschutz and Downtown Denver campuses.

Type of Agreement	Advancement Through CU Foundation	Sponsor, OGC, and CU Foundation	Office of Grants & Contracts			CU Medicine
	Gift	Tri-Party Grant	SPONSORED PROJECTS Grant	Contract	Revenue-Generating Fee for Service Agreement	Member Practice Agreement
Definition	<p>Anything of value given to the university by an external party or parties (donor, donor advised funds, corporations, trusts and consortia) who expect nothing of significant value in return, other than potential public acknowledgment of the gift and documented disposition of the gift / program implementation in accordance with the donor's or group's wishes.</p> <ul style="list-style-type: none"> ✓ Gifts may support research, faculty, scholarship, equipment, construction, programs and events or other areas ✓ No negotiations for IP, export or contract clauses ✓ Financial and/or progress reports may be required ✓ No federal, state or local government funds 	<p>This grant structure is used for specific foundation sponsors that cannot provide funding directly to CU Denver (i.e. Caring for Colorado or the Colorado Health Foundation).</p> <ul style="list-style-type: none"> ✓ Award routed through InfoEd and submitted by Advancement Office ✓ Detailed reporting is required (financial/non-financial) ✓ May require research compliance 	<p>A financial award from an external federal, state, or foundation sponsor governed by specific terms and conditions established in a written agreement between the sponsor and CU Denver for the purpose of research, training, or fellowships.</p> <ul style="list-style-type: none"> ✓ Award directly benefits sponsor and/or serves a charitable/public purpose ✓ Terms approved for grants ✓ Deliverables and/or detailed reporting required 	<p>A legal document detailing the obligations of two or more parties over the course of a research project. It usually has specific deliverables and milestones to be met and terms dictating how the contracting parties will interact over time. Frequently includes terms governing publication, intellectual property, and use of research results.</p> <ul style="list-style-type: none"> ✓ Includes: Sponsored Research Agreements, Master Agreements, Fellowships, Interagency Agreements, Collaboration/Consortium Agreements, Amendments, No Cost Extensions, Clinical Trials ✓ Negotiated terms & conditions ✓ Includes incoming Subawards/Subcontracts 	<p>Process that enables university personnel to perform certain services for outside entities that will generate revenue for CU Denver.</p> <ul style="list-style-type: none"> ✓ Used for lab operations, equipment rentals (incoming or outgoing), lab use, use of CU Denver facilities, professional or consulting services, on-campus service centers, conference hosting ✓ Does not include work paid for by funding under 30, 31, or 34 ✓ Only for outgoing services provided by CU personnel (for incoming, use standard PSC procedures) 	<p>If a faculty member has signed a Member Practice Agreement with CU Medicine, then the non-sponsored project agreements listed below are routed through CU Medicine instead of the University.</p> <ul style="list-style-type: none"> ✓ Consulting Contracts: a faculty member is requested to give intellectual advice/opinion at an hourly rate ✓ Clinical Contracts: a faculty member is providing patient care outside a managed care contract ✓ Administrative Agreements: a faculty member is providing support, but not patient care ✓ Legal Expert: a faculty member is providing professional opinion for attorney, judge, or admin agency for an ongoing or contemplated judicial proceeding
Fund Type	34	30/31	30/31	30/31	20/28/29	80
Questions? Contact...	<p><u>Office of Advancement:</u> advancement@cuanschutz.edu Anschutz: Kyle.JaccuadSmith@ucdenver.edu CU Denver: Anna.Crawford@ucdenver.edu <u>CU Foundation:</u> Compliance@cufund.org</p>		<p><u>Office of Grants & Contracts</u> Pre-Award xenia@ucdenver.edu</p> <p><u>Office of Grants & Contracts</u> OGC Contracts ogc.contracts@ucdenver.edu</p> <p><u>Office of Grants & Contracts</u> OGC Revenue ogc.revenue@ucdenver.edu</p>			<p><u>CU Medicine</u> ContractProcessing@cumedicine.us</p>