



University of Colorado
Denver | Anschutz Medical Campus

Contracts Back to School

Liz Causey, Assistant Director of Contracts, OGC



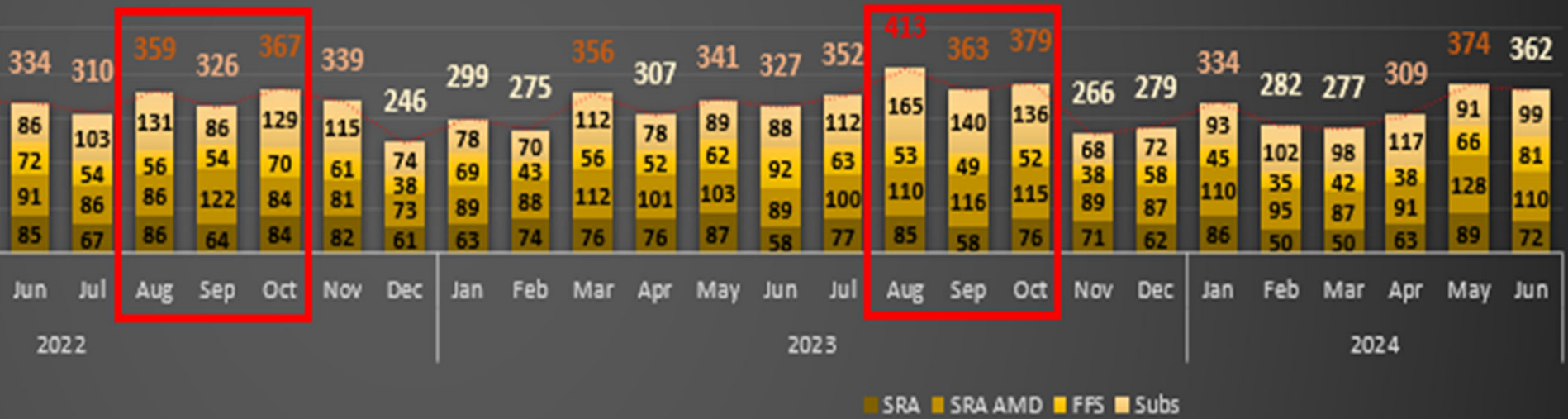
University of Colorado
Denver | Anschutz Medical Campus

Extra Credit:
Sponsored Projects 11
“SP11”
(part of Shane’s SP series)

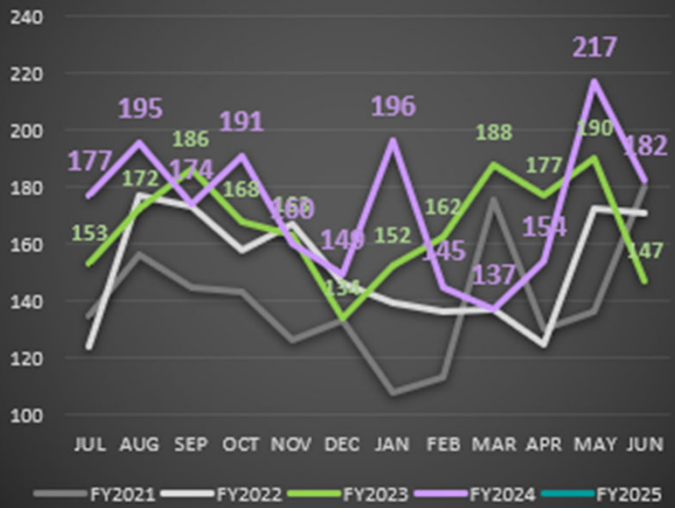
Statistics



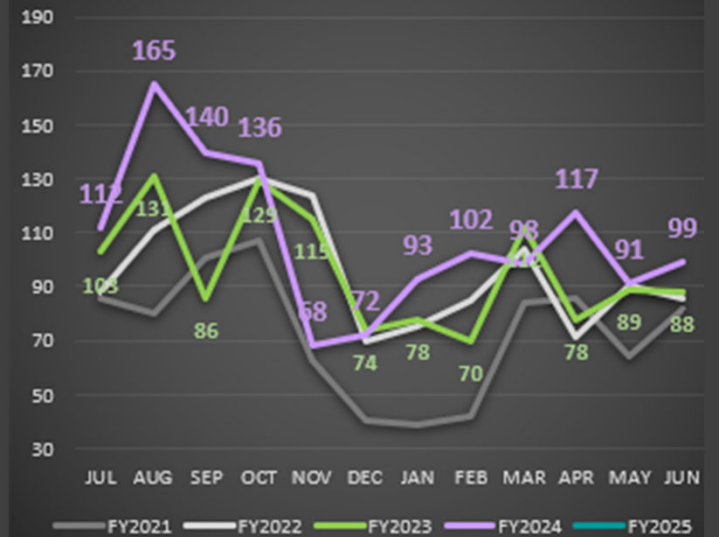
Monthly OGC Agreement Submissions by Area



InfoEd Total Request Volume by Month



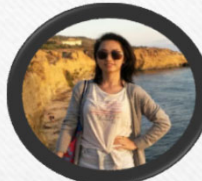
Outgoing Sub Volume by Month





MIKE CONNER:
SRA TEAM LEAD/SENIOR ANALYST

- Sponsor Types: Private Industry, International, Federal
- Secondary agreement reviews/review escalation
- Redline Training/onboarding
- Random issue interceptor
- Signature Authority for Sponsored Research



LUCY CHEN:
STATE OF COLORADO AUTHORITY & FFS EXPERT-in-TRAINING

- SRA Sponsor Types: Association/Foundation, State/Local Gov
- Ogc.revenue triage
- Signature Authority FFS



CRISTINA DAVIS:
AMENDMENT CHAMPION & FDP MASTER

- Amendment Sponsor Types: Association/Foundation, International, Universities/Hospitals, Private Companies
- Signature Authority for FDP Amendments
- FDP Templates



SANDRA BACKUS:
SRA CONTRACT COORDINATOR

- Agreement review set-up for sponsored projects
- Ogc.contracts triage
- Provides all partially executed copies
- Intercepts 85% fully executed copies



KHULAN AMARSANAA:
FEDERAL SUBAWARD MASTER DRAFTER

- Federal Subawards and Amendments: (NIH, NSF, etc.)



YINGFEI ZHEN:
SUBS TEAM LEAD

- Process Improvement & Subject Matter Expert
- FFATA Reporting
- Ogc.subcontracts triage
- FDP Subcontract Drafting: (State, Foundation, Private)
- Subs signature authority/marketplace updates
- Post Award approval routings
- Outgoing sub negotiations



LIZ CAUSEY:
FEARLESS LEADER

- Ogc.revenue triage
- Events, Equipment Loans, Art Loans (FFS)
- Issue escalation & Signing Authority
- Agreement Routing Assistance/Training

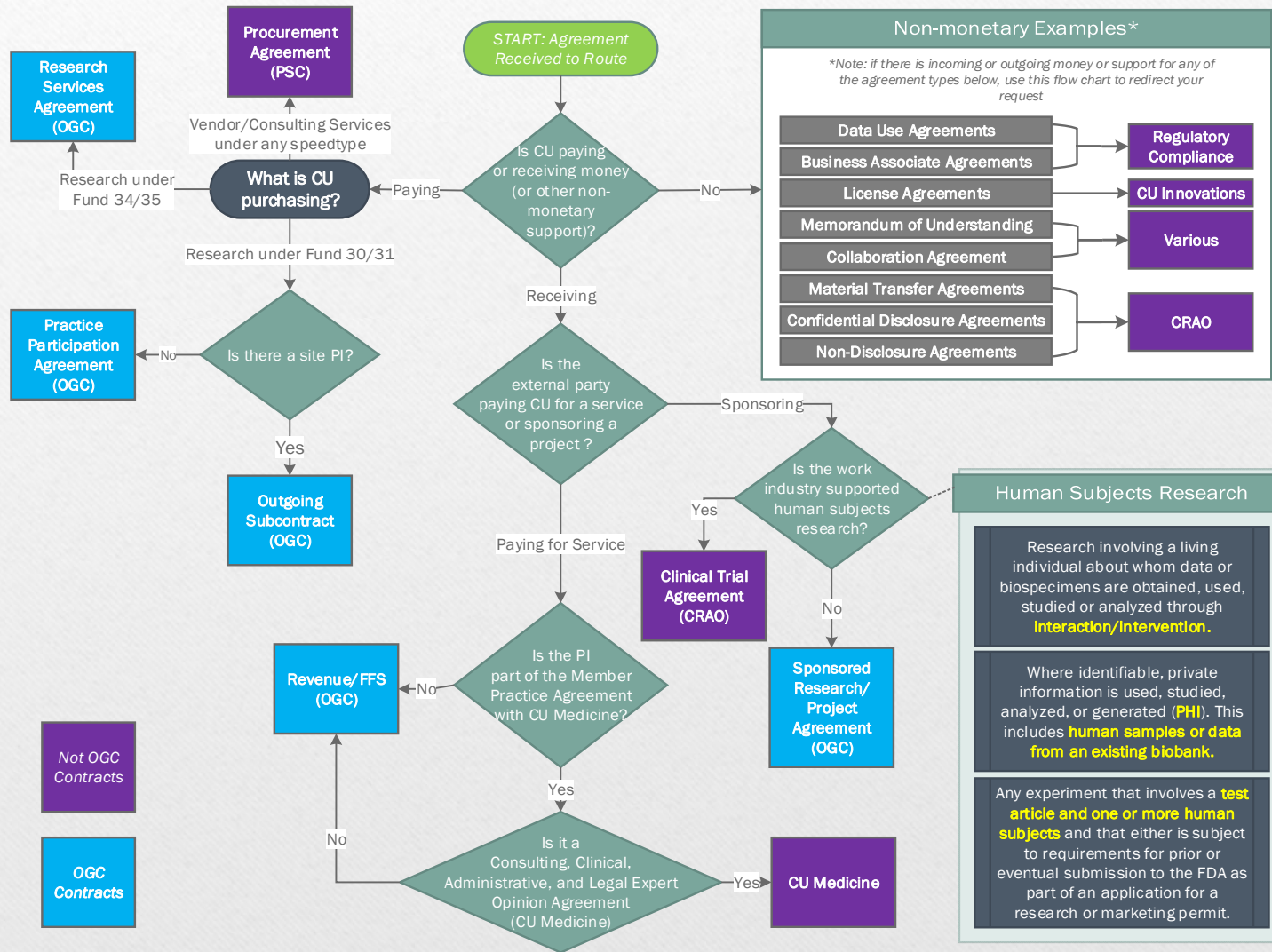
Meet the Staff!

Astronomy



University Contracting Universe

https://research.cuanschutz.edu/docs/librariesprovider148/ogc_documents/university-contracting-offices-flow-diagram.pdf?sfvrsn=ec4159bb_0



What work is being performed?

Research? Services?
Clinical Work? Transferring Materials or Info?

What is happening with money?

How is money flowing?
What speedtype are you using?

OGC Contracting Solar System



Solar System: OGC Contracting



Originals

InfoEd:

<https://era.cu.edu/>

If already submitted- email ogc.contracts@ucdenver.edu with the InfoEd routing number

Amendments

Formstack:

https://ucdenverdata.formstack.com/forms/ogc_proposal_continuation_form

Email to ogc.revenue@ucdenver.edu

Outgoing Subawards and Subcontracts (aka an Outgoing FDP template):

https://ucdenverdata.formstack.com/forms/subcontract_request_form

Outgoing Research Service Agreements or Practice Participation Agreements:

https://ucdenverdata.formstack.com/forms/research_services_agreement

Amendments

https://ucdenverdata.formstack.com/forms/amendment_request_form

Group inbox: Sandra
ogc.contracts@ucdenver.edu

Group inbox: Lucy
ogc.revenue@ucdenver.edu

Group inbox: Yingfei
ogc.subcontracts@ucdenver.edu

Research Services Agreement/ Practice Participation Agreement

No flow through terms

RSA

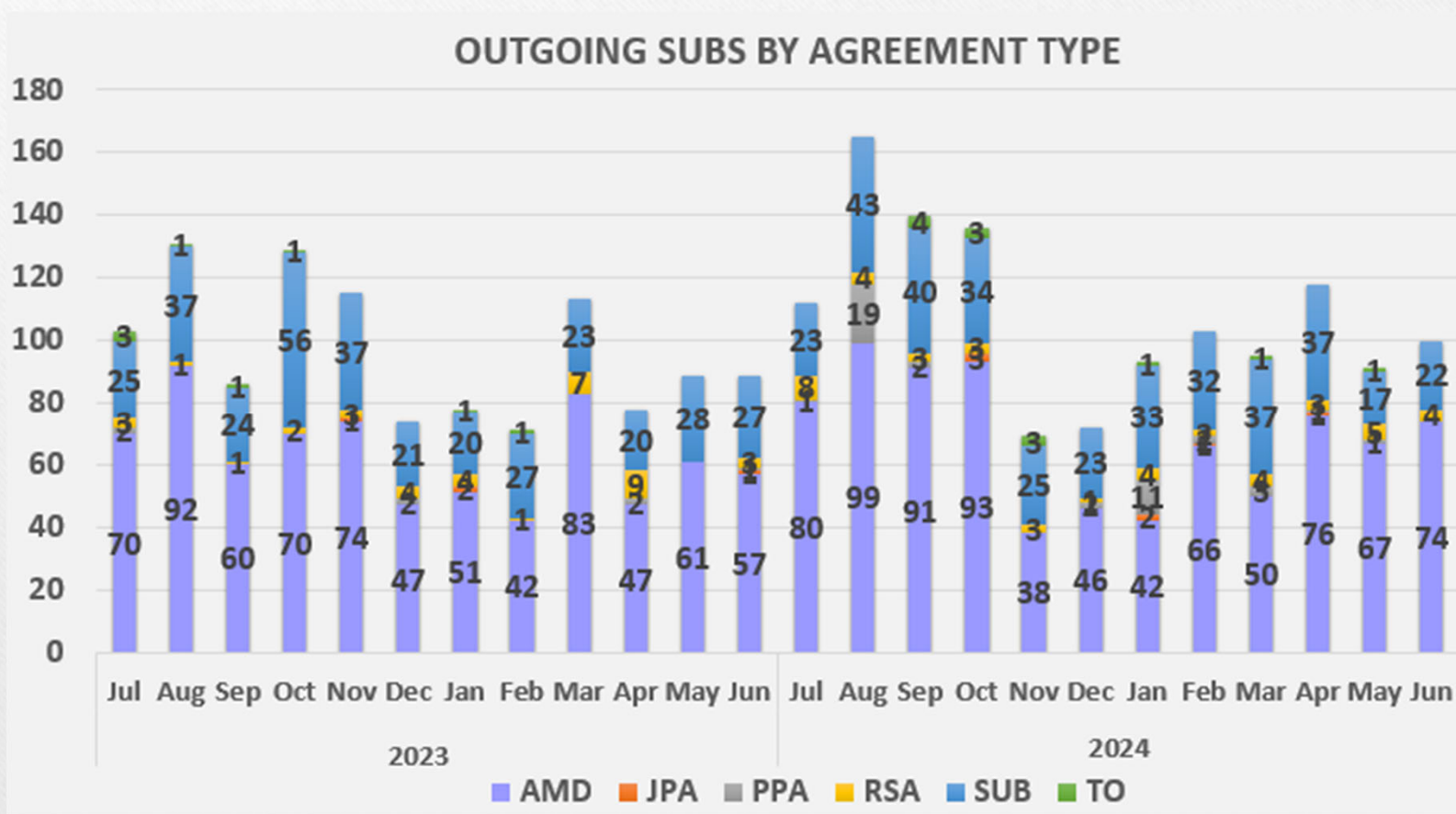
- Fund 34/35

PPA

- Fund 30/31
- No Site PI- all providers at a clinic will participate

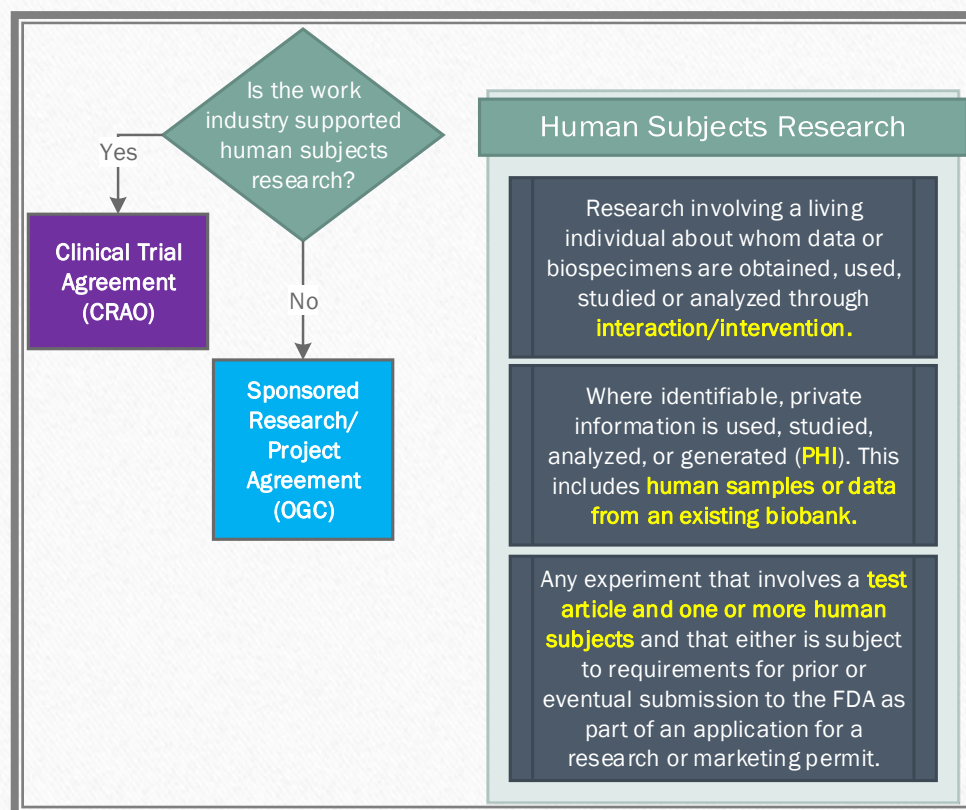
HEADS UP: Formstack updates coming soon!

Research Services Agreement/ Practice Participation Agreement



Off-Planet Contracts

- Outgoing funding for routine goods or services (**PSC**)
- Professional services for SOM faculty (**CU MED**)
- Only the exchange of confidential information (**CRAO**)
- Material or Data Exchanges (**CRAO/Reg Compl via REDCap**)
- Licensing Intellectual Prop (**CU Innov/TTO**)
- Industry sponsored human subjects research (**CRAO**)



<https://grants.nih.gov/ct-decision/index.htm>

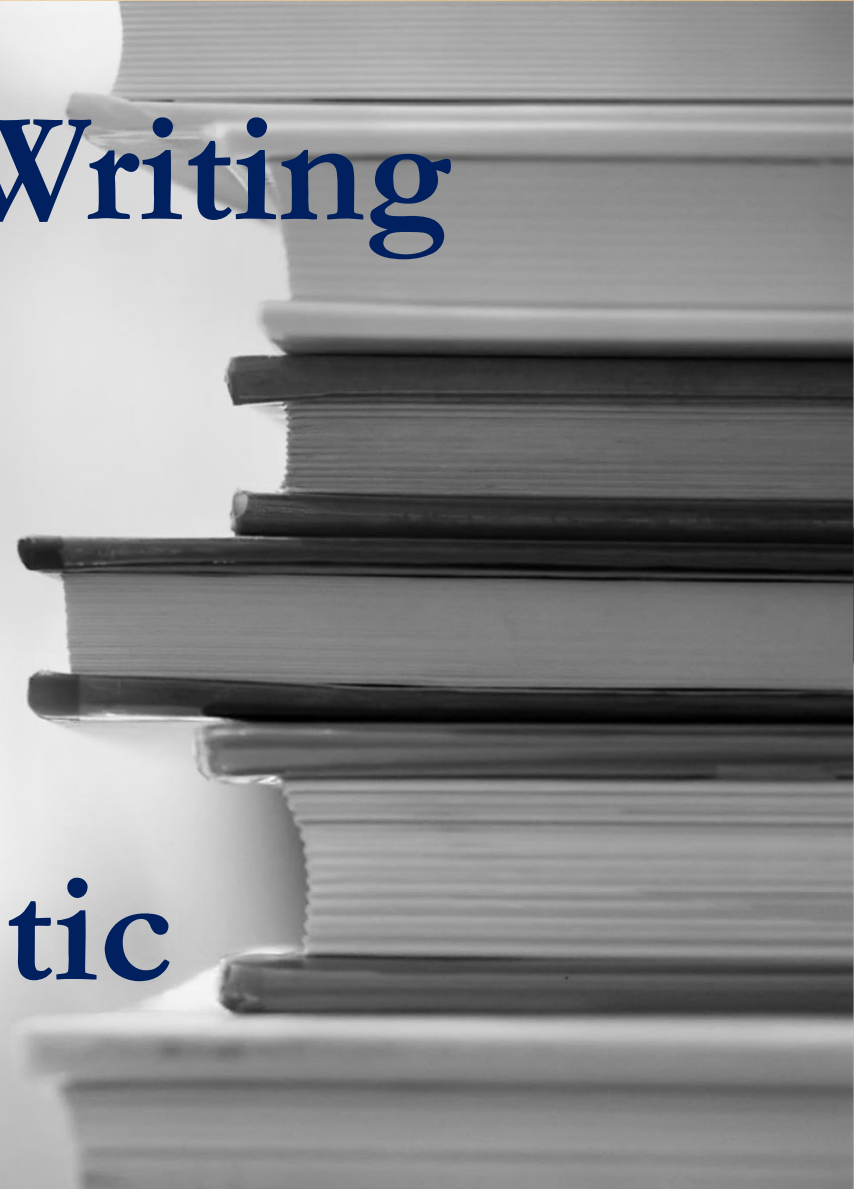


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Reading & Writing

v.

Arithmetic



Arithmetic



Budgets & SOWs

- ❖ The budget and statement of work (SOW) are part of the contract; however, budget/SOW development and negotiation is separate from the contract.
- ❖ The department will work with the outside entity, Sponsor, University, and Hospital to develop a budget/SOW
- ❖ In OGC, the contract cannot be submitted for review and execution until the budget and SOW are finalized.



F&A Rates

- ❖ Consider this carefully- it is difficult to correct after the other side has seen a number. Questions? Ask your favorite OGC person!
- ❖ If you update the F&A rate- be sure calculations and totals based upon it update correctly
- ❖ If you have a fixed rate or milestone payment schedule, are indirects included in those amounts already?
- ❖ When in CRAO: keep an eye out for TDC v. MTDC



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Reading/Writing or Contract Negotiation/Drafting



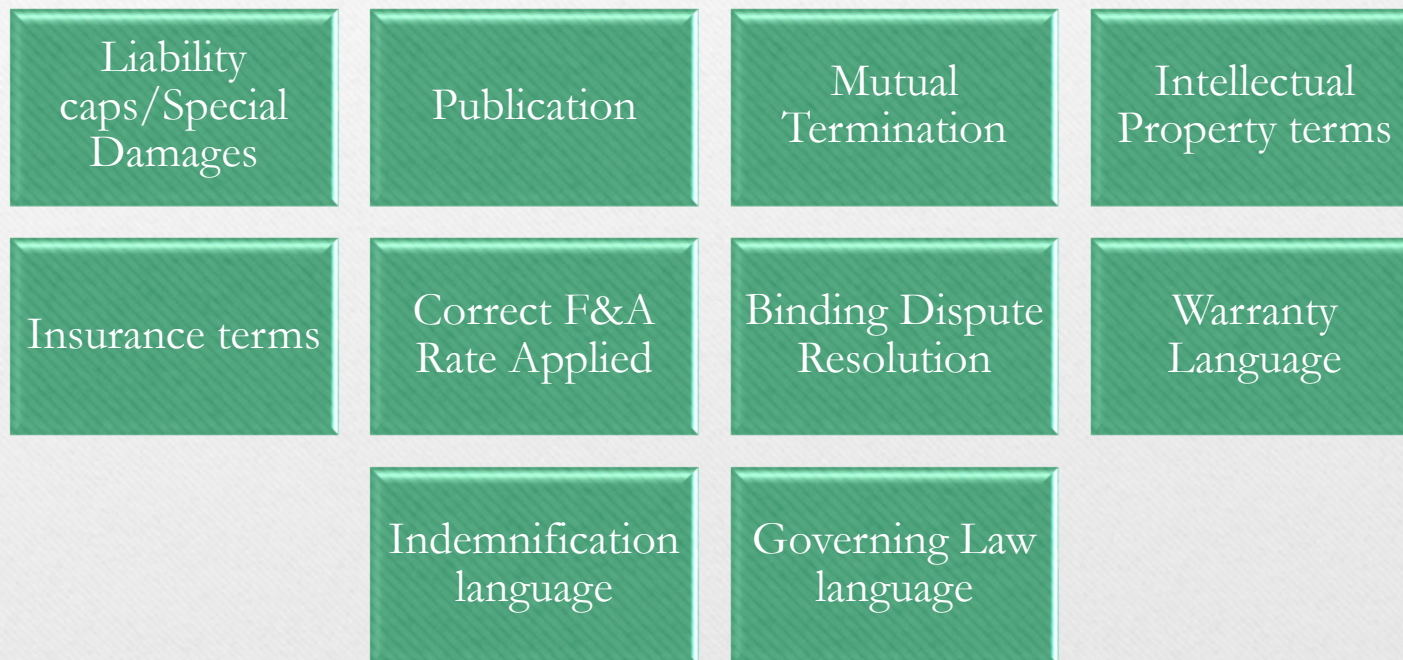
NEGOTIATION PROCESS aka “REDLINING”

ROUTINE CHECKS

University Name is compliant/consistent	Consistent Party References	Clear & identifiable billing terms	Audits/Inspection
Confidential Information	Debarment/ Misconduct	PHI/HIPAA	Data Privacy/Use
	“Shall”	Weird Stuff	

NEGOTIATION PROCESS aka “REDLINING”

BIG TICKET ITEMS





University of Colorado
Denver | Anschutz Medical Campus

Orchestra: Building an Outgoing Sub

What is Subrecipient Commitment Form and when do I need one?

ALL FEDERAL FUNDING!

Grants and Contracts
FINANCIAL SERVICES
UNIVERSITY OF COLORADO DENVER | ANSCHUTZ MEDICAL CAMPUS

Subrecipient Commitment Form

This subrecipient commitment form must be completed by an organization that intends to enter a subrecipient relationship with the University of Colorado Denver | Anschutz Medical Campus (CU Denver | AMC).

NOTE: Missing or incomplete information may delay the subcontract process.

SECTION A: CU DENVER | ANSCHUTZ MEDICAL CAMPUS INFORMATION

Name of CU Denver | AMC PI
CU Denver | AMC Department
Title of Proposal
Prime Sponsor
Prime Award Number
CU Denver | AMC Period of Performance (MM/DD/YY) Start: Click or tap to enter a date. End: Click or tap to enter a date.
Subrecipient Period of Performance Start: Click or tap to enter a date. End: Click or tap to enter a date.

SECTION B: SUBRECIPIENT INFORMATION

Legal Entity Name
Employment Identification Number (EIN)
DUNS Number / Unique Entity Identifier
Subrecipient PI
Organization Address, including ZIP Code +4
Congressional District of Organization (if in the USA)
Performance Site Address (if different from organization address), including ZIP Code +4
Congressional District Performance Site (if in the USA)
CAGE Code, for Domestic Organizations
NAIS Code, for International Organization
NAGE Code, for International Organizations

SECTION C: PROPOSAL DOCUMENTS

Statement of Work (Required – must describe the subrecipient’s specific role)
 Detailed Line-Item Budget (Required)
 Narrative Budget Justification (Required)
 Biosketches of Key Personnel (in agency-required format, if required)
 Small/Small Disadvantaged Business Subcontracting Plan (in agency-required format, if required)
 Other

SECTION D: PROJECT INFORMATION

Does the project include any of the following? (Select all that apply.)
 Human Subjects
 Animal Subjects – Note: An IACUC approval must be submitted to CU Denver | AMC before the subaward can be issued.
 Stem Cells
 Genomic Data Sharing

1 | Page

SECTION E: SUBRECIPIENT BUDGET

	1 st Budget Period	Total Budget
Total Costs (Direct and Indirect (F&A) Costs)	\$	\$
Cost Share (if Applicable)	\$	\$

Indirect (F&A) Cost Rates

Federally negotiated F&A rate
 A reduced F&A rate Rate: Base Type Choose an item.
 No rate agreement, requesting and eligible for 10% de minimis rate (eligibility identified at 2 CFR 200.414)
 Not Applicable – subrecipient is not requesting payment of F&A.

Please provide a link to the subrecipient’s F&A agreement in the box below if a federally negotiated F&A rate is applied to this proposal. **FDP Expanded Clearinghouse members may skip this question.**

SECTION F: FDP Expanded Clearinghouse

Is the subrecipient a Participating Organization in the FDP Expanded Clearinghouse Initiative?
 Yes
 No

- If you answered “Yes” to the question above, you may skip the remainder of the questions on this form. Please go to SECTION K: Authorizations on page five.
- If you answered “No” to the question above, you must complete the remainder of the questions on this form.

SECTION G: SUBRECIPIENT ELIGIBILITY (FEDERAL AWARDS ONLY)

Per 2 CFR 25, federal award recipients and subrecipients must always maintain an active SAM.gov registration during the period of performance of a federal award. A subaward cannot be issued if the subrecipient does not have an active SAM.gov registration.

Entity Name as Registered in SAM.gov
DUNS Number / Unique Entity Identifier used in SAM.gov
Expiration Date

SECTION H: FFATA REPORTING REQUIREMENTS (FEDERAL AWARDS ONLY)

YES In your business or organization’s preceding completed Fiscal Year, did your business organization receive (1) 80 percent or more of its annual gross revenues in U.S. Federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements and (2) \$25,000,000 or more in annual gross revenues from U.S. Federal contracts, subcontracts, loans, grants, subgrants, and/or cooperative agreements?
 NO

If you answered “YES” to the question above, please complete the following question:

YES Does the public have access to information about the compensation of the executives of the organization referenced herein through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986? If “NO,” the subrecipient will be required to provide the names and total annual compensation of its top five highest compensated officers before a subaward may be issued.
 NO

2 | Page

SECTION I: SUBRECIPIENT CERTIFICATIONS

Answer each of the following questions if applicable to this proposal.

1. Experience.
 YES Does the subrecipient have prior experience receiving the same or similar award type?
 NO

2. Fringe Benefits.
 YES Are the fringe benefit rates included in this proposal consistent with the subrecipient’s federally negotiated rates?
 NO

If you answered “NO” to question 2, please provide a description of the basis on which the rate has been calculated in the Comments section below.

3. Lobbying.
 YES Does the subrecipient certify that no payments have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this proposed project?
 NO

4. Suspension and Debarment.
 YES a) Is the PI, any other employee, or any student planning to participate on this project currently debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs or activities? If yes, please provide an explanation in the comment box below.
 NO
 YES b) Within three (3) years preceding this offer, has anyone in your organization been convicted of or had a civil judgement rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public or subcontract, including but not limited to: violation of federal or state antitrust statutes relating to the submission of offers, or, commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property? If yes, please provide an explanation in the comment section below.
 NO
 YES c) Within three (3) years preceding this offer, has your organization had one or more awards terminated for default by any federal agency?
 NO

Comments

3 | Page

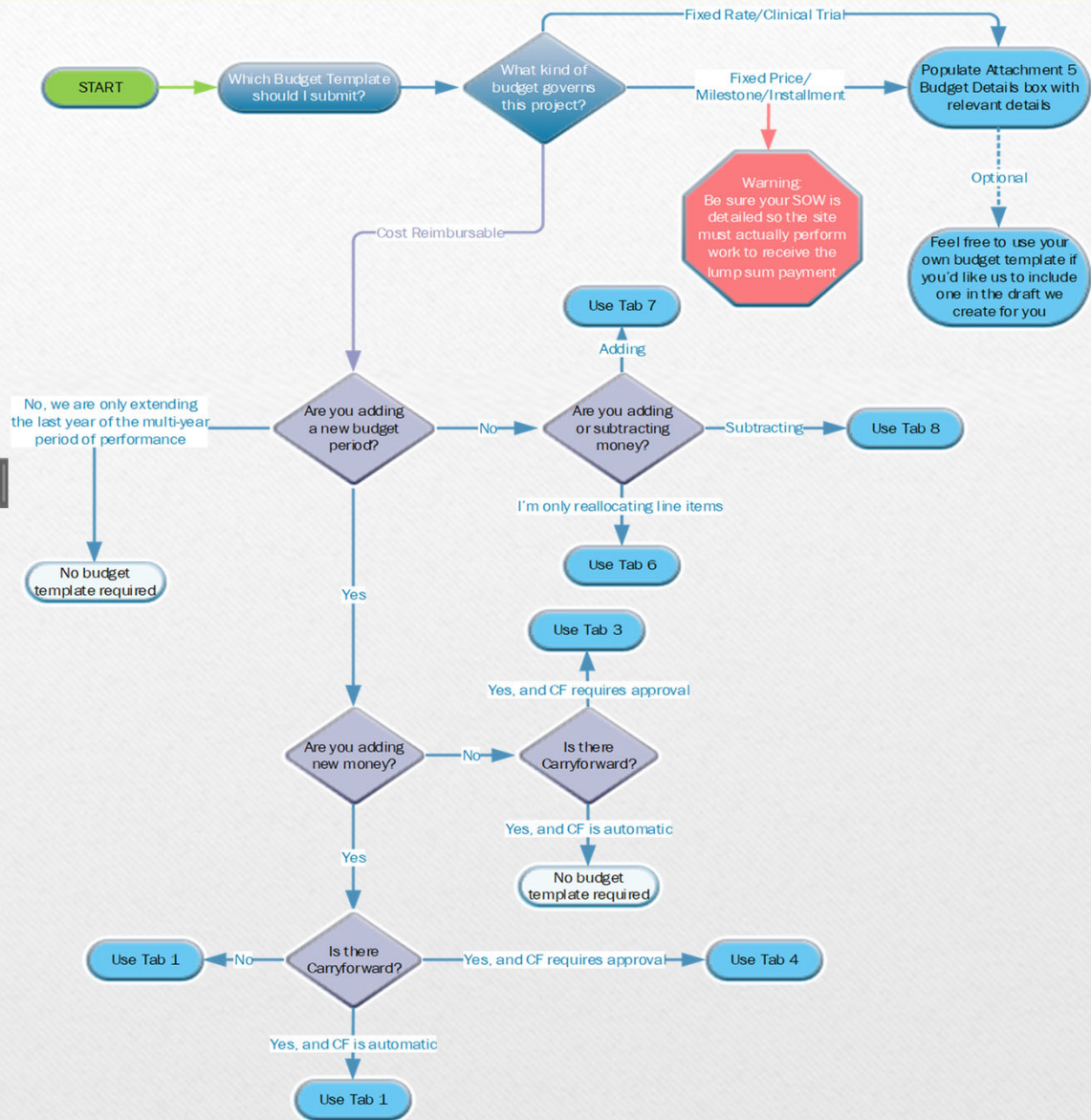
Does it need to be signed?
Can we use an LOI instead?

Nope!
Nope!

Outgoing SUB Budget Templates

- 1-NEW BUDG PERIOD+NEW \$
- 2- NEW BUDG PERIOD+AUTO CF ONLY
- 3-NEW BUDG PERIOD+APPROVED CF
- 4-NEW BUDG PERIOD+NEW\$+APPRVDCF
- 5-NO COST EXTENSION
- 6-SAME BUDG PERIOD-REALLOC
- 7-SAME BUDG PERIOD-INCREASE
- 8-SAME BUDG PERIOD-DEOBLIG
- DECISION TREE

***NCE = extending overall multi-year segment...NOT adding a year within a segment**



What is a Contract Packet?

https://research.cuanschutz.edu/docs/librariesprovider148/ogc_documents/contract_packet-2023.pdf?sfvrsn=cb035abb_0

Attachment 3A Pass-Through Entity (PTE) Contacts		Subaward Number:
PTE Information		
Entity Name:	University of Colorado Denver Anschutz Medical Campus	
Legal Address:	University of Colorado Denver, Office of Grants and Contracts, Anschutz Medical Campus Bldg. 500, W1124, 13001 E. 17th Place, Mail Stop F428 Aurora, CO 80045	
Website:		
PTE Contacts		
Central Email:		
Principal Investigator Name:	[Instructions: Insert the faculty's name]	
Email:	[Instructions: Insert the faculty's email]	Telephone Number: [Instructions: Insert the faculty's #]
Administrative Contact Name:	[Instructions: Insert your name]	
Email:	[Instructions: Insert your email]	Telephone Number: [Instructions: Insert your #]
COI Contact email (if different to above):	xenia@ucdenver.edu	
Financial Contact Name:	[Instructions: Insert person in your department who handles invoicing- not OGC post award]	
Email:	[Instructions: Insert their email]	Telephone Number: [Instructions: Insert their #]
Email invoices?	<input checked="" type="radio"/> Yes <input type="radio"/> No Invoice email (if different):	
Authorized Official Name:	Liz Causey	
Email:	OGC.Subcontracts@ucdenver.edu	Telephone Number:
PI Address:		
[Instructions: This is your faculty's address/place of performance]		
Administrative Address:		
[Instructions: This is your address]		
Invoice Address:		
[Instructions: This is where you want invoices to be sent]		



*Protip: this will be different
for each project/PI*

Attachment 3B Subrecipient Contacts		Subaward Number:
Subrecipient Information for FFATA reporting		
Entity's DUNS Name:		
EIN No.:	Institution Type:	
DUNS:	Currently registered in SAM.gov: <input type="radio"/> Yes <input type="radio"/> No Exempt from reporting executive compensation: <input type="radio"/> Yes <input type="radio"/> No (if no, complete 38pg2)	
Parent DUNS:	This section for U.S. Entities: Zip Code Look-up	
Place of Performance Address ⁷ :	Congressional District:	Zip Code+4:
The site will populate or provide this information		
Subrecipient Contacts		
Central Email:		
Website:		
Principal Investigator Name:		
Email:	Telephone Number:	
Administrative Contact Name:		
Email:	Telephone Number:	
Financial Contact Name:		
Email:	Telephone Number:	
Invoice/Payment Email:		
Authorized Official Name:		
Email:	Telephone Number:	
Legal Address:		
Administrative Address:		
Payment Address:		

What is a Contract Packet?

https://research.cuanschutz.edu/docs/librariesprovider148/ogc_documents/contract-packet-2023.pdf?sfvrsn=cb035abb_0

INSTRUCTIONS:

If you leave this attachment blank with your submission, we will default select 2 options for you:
(1) A Final Technical Report and (2) Annual Technical Reports

Attachment 4 Reporting and Prior Approval Terms

Subaward Number:

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3A):

Technical Reports:

- Monthly technical/progress reports will be submitted to the PTE's within days of the end of the month.
- Quarterly technical/progress reports will be submitted within 30 days after the end of each project quarter to the PTE's .
- Annual technical / progress reports will be submitted within days prior to the end of each budget period to the PTE's . Such report shall also include a detailed budget for the next Budget Period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.
- A Final technical/progress report will be submitted to the PTE's within days of the end of the Project Period or after termination of this award, whichever comes first.
- Technical/progress reports on the project as may be required by PTE's in order for the PTE to satisfy its reporting obligations to the Federal Awarding Agency.

Prior Approvals:

Carryover:

Other Reports:

- In accordance with 37 CFR 401.14, Subrecipient agrees to notify both the Federal Awarding Agency via iEdison and PTE's within 60 days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Federal Awarding Agency specific forms to the PTE's within 60 days of the end of the Project Period to be included as part of the PTE's final invention report to the Federal Awarding Agency. A negative report is required:
- Property Inventory Report (only when required by Federal Awarding Agency), specific requirements below.

Additional Technical and Reporting Requirements:

Protip: be sure to populate your selections for reporting requirements!

Attachment 5 Statement of Work, Cost Sharing, Indirects & Budget

Subaward Number:

Statement of Work

Below Attached, pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a Subrecipient Federal Award Project Description

Budget Information

Indirect Information Indirect Cost Rate (IDC) Applied % Cost Sharing
Rate Type: If Yes, include Amount: \$

Budget Details Below Attached, pages

Instructions:

Cost Reimbursement:

Use one of the budget templates on our website:

<https://research.cuanschutz.edu/ogc/home/ogc-teams/contracting/OGCContracts/subcontracts#ac-subcontract-request-forms-2>

Fixed Rate (Clinical Trials):

For projects reimbursable on a per patient or per enrollment basis, use your own budget template, or input details here on \$/patient enrolled, start-up costs, and any other expenses not included in per patient costs.

Fixed Price:

No budget template needed. Input any budget categories, milestones, timelines, or details in this box. You are welcome to include an additional budget attachment if you'd like us to include it in your draft.

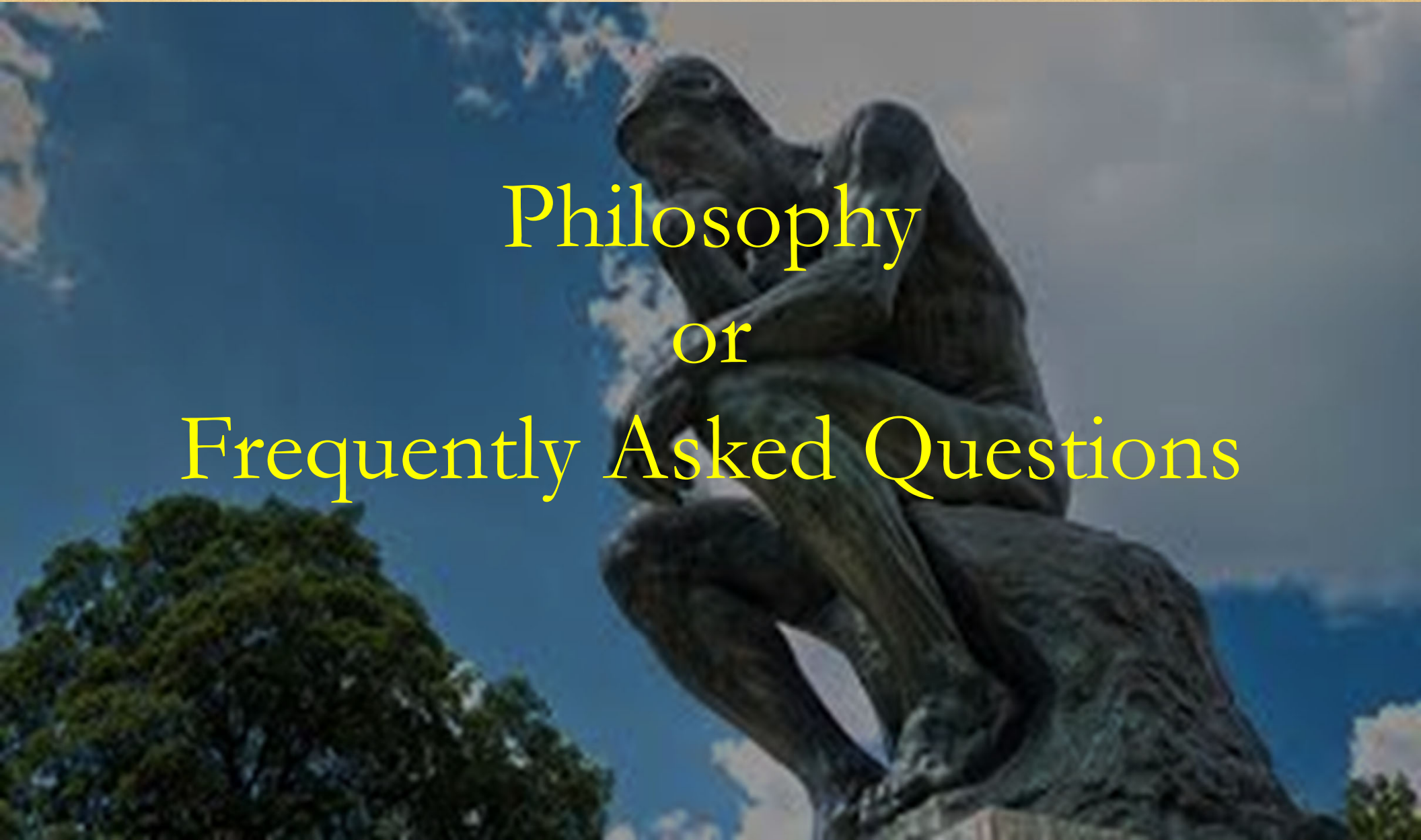
Budget Totals

Direct Costs \$

Indirect Costs \$

Total Costs \$

All amounts are in United States Dollars



Philosophy
or
Frequently Asked Questions

How do I check the status of my agreement?



Outgoing Subs

1. Formstack Confirmation Email



2. Draft is Ready



3. Request Post Award Approval



4. Provide Fully Executed Copy

Amendment Request Form

N

noreply@formstack.com
To: Subcontracts, OGC

Reply

Reply All

Forward



Fri 8/9/2024 12:41 PM

Formstack Submission For: Amendment Request Form
Submitted at 08/09/24 12:40 PM

Protip: subject line is always [PI LAST NAME]_[FAIN/SPONSOR AWARD#]_[FY#_SITE]

Attached is the sub or amendment draft for the above reference prime agreement, CU PI, and subrecipient. Please follow the instructions below from here and let me know if you have any questions.

ROUTING PROCESS:

1. Review the Subaward/Subcontract/Amendment for accuracy and confirm it is acceptable to both you and the Subrecipient/Subcontractor. If not, respond to this email with requested changes.
2. Obtain Subrecipient/Subcontractor signature
3. Return the partially executed document here
4. Provide the CU Marketplace # in your reply (requisition or PO#)

SUBRECIPIENT MONITORING:

Please also find the attached Risk Assessment Questionnaire that can help guide your subrecipient monitoring activities from here.

For more information on subrecipient monitoring, please see our website: <https://research.cuanschutz.edu/ogc/home/ogc-teams/contracting/OGCContracts/subcontracts#ac-subrecipient-monitoring-documents-3>

Hi Post Award,

Attached are the partially executed agreement and routing form for this subcontract or amendment- please let us know if you approve.
CU Marketplace # _____.

Liz Causey

Manager of Contracts | Office of Grants & Contracts

liz.causey@cuanschutz.edu



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Attached you will find:

- 1) A fully executed version of the subcontract or amendment you have requested

Sponsored Projects

University of Colorado Denver | Anschutz Medical Campus

Home My Profile Search for Records My Messages My Action Items

Proposals

Human Protocol

Conflict of Interest

My Projects

SPIN

Maintenance Outage

Recent Activity - 30 Items

<input type="checkbox"/>	Record Number		Mc
<input type="checkbox"/>	212137	Proposal Development	Prc
<input type="checkbox"/>	232135	Proposal Tracking	Prc
<input type="checkbox"/>	222617	Proposal Tracking	Prc
<input type="checkbox"/>	195103	Overview Info	Prc
<input type="checkbox"/>	221821	In Use ⚠	Prc
<input type="checkbox"/>	205518	Forward	Prc
<input type="checkbox"/>	181458	Delete	Prc
<input type="checkbox"/>	195536	Bookmark Record	Prc

View

Submissions (1) -

212137/New/Awarded -

Summary

Sponsor

Personnel (4) +

Budget +

Agreements (4) -

Amendment/35A1797 - Denver Career Pathways: +

Agreement Summary (4 Found)

Create New

Drag a column header and drop it here to group by that column

Number	Institution	Contract Title	Type	Status	From	To	Date Sig...	
212137	Liz Causey	35A1797 - Denver ...	Amendment	Partially Executed				Detail
212137	Lucy Chen	35A1797 - Denver ...	Amendment	Partially Executed				Detail
212137	Mike Conner	Denver Career Path...	Agreement	Fully Executed				Detail
212137	Mike Conner	35A1797 - Denver ...	Amendment	Fully Executed				Detail

Sponsored Projects

Agreement Comments [Edit](#)

Amendment 3

4/15: Dept reached out; Responded to dept/sponsor (CD)
4/11: Sponsor gave status update (CD)
3/8: Sponsor sent status update (CD)
2/13: Followed up with dept on Amendment 2 (CD)
2/12: In negotiation (CD)
2/9: Dept responded (CD)
1/26: Sponsor replied; Reached back out to the dept (CD)
1/16: Dept sent sponsor contact; Sent redlines to sponsor (CD)
1/9: Reached out to dept for sponsor contact (CD)

Agreement Status History

Agreement Status

In Negotiation ▼

Agreement Status History Date

30-Jul-2024

Agreement Status History Comments

Add

You have 1000 characters left.

DATE ▼	STATUS	RECORDED DATE	RECORDED BY	COMMENTS
12-Feb-2024	In Negotiation	12-Feb-2024 03:40:31 PM	Cristina D. Davis	
16-Jan-2024	Reviewed/Redlined	16-Jan-2024 02:47:16 PM	Cristina D. Davis	Sent redlines to sponsor (CD)
16-Jan-2024	Received by Reviewer	16-Jan-2024 02:47:07 PM	Cristina D. Davis	
05-Jan-2024	Received	05-Jan-2024 09:36:25 AM	Sandra K Backus	New Agreement

What if I forget all the things I learned today?

<https://research.cuanschultz.edu/ogc/home/ogc-teams/contracting/OGCContracts>