

# UCSF Guidelines and Requirements for Funds Received from Extramural Sources

## August 13, 2010

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Version: August 13, 2010

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
<b>A Sponsored Agreements</b>					
<b>A-1) Sponsored Grant</b>  <a href="#">Top</a>	<p>An award of financial support for a research, instruction or other sponsored activity project</p> <p>The award may be in response to a Request for Assistance (RFA) or other agency Program Announcement.</p> <p>The sponsor exercises limited control over the execution of the project.</p> <p>The sponsor requires progress and financial reports at set times, e.g., quarterly, yearly, etc.</p>	<p>NIH Research (R01) grants</p> <p>Institutional Training (T32) Grants</p> <p>A research grant from the American Heart Association</p> <p>A public service grant from the Bill Gates Foundation</p> <p>A scholarship grant from Pfizer Corporation</p>	<p>Federally Sponsored:</p> <ul style="list-style-type: none"> <li>Facilities &amp; Administrative (F&amp;A) rate varies by type of project (e.g. research, instruction, etc.) and by site (e.g. on-campus or off-campus)</li> </ul> <p>Non-Federally sponsored:</p> <ul style="list-style-type: none"> <li>Federal F&amp;A rates apply, but vary by type of project and campus site.</li> </ul> <p>If a sponsor has a published F&amp;A rate policy, exceptions from Federal F&amp;A rates may be approved by campus administration.</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Management and Budget Circular A-21</a></li> <li><a href="#">UC Contracts and Grants Manual</a></li> <li><a href="#">UCSF Administrative Policies, Section 400</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>, for government or non-profit grants</li> <li><a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a> for grants from for-profit entities</li> </ul>	<p>If primary sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>.</p> <p>If primary sponsor is a for-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a>.</p>
<b>A-2) Sponsored Cooperative Agreement</b>  <a href="#">Top</a>	<p>A cooperative agreement is a grant in which government sponsors are substantially involved in the research. Substantial involvement is defined as:</p> <ul style="list-style-type: none"> <li>Participating on committees, such as steering committees and sub-committees, central to the activity</li> <li>Participating in <a href="#">protocol</a> design or development</li> </ul>	<p>A NIH U01 Cooperative Agreement</p> <p>The Cancer Therapy Evaluation Program – a consortium of NIH investigators and outside institutions to study children with brain cancer</p>	<p>Federally Sponsored:</p> <ul style="list-style-type: none"> <li>Facilities &amp; Administrative (F&amp;A) rate varies by type of project (e.g. research, instruction, etc.) and by site (e.g. on-campus or off-campus).</li> </ul> <p>Non-Federally sponsored:</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Management and Budget Circular A-21</a></li> <li><a href="#">UC Contracts and Grants Manual</a></li> <li><a href="#">UCSF Administrative Policies, Section 400</a></li> </ul> <p>UCSF Office for policy</p>	<p>If primary sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>.</p>

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	<ul style="list-style-type: none"> <li>• Helping to select contractors or other project staff</li> <li>• Coordinating or participating in data collection, analysis, and interpretation</li> <li>• Coordinating or providing training of project staff at sponsoring institutions</li> <li>• Participating in selection and approval of data analysis mechanisms</li> <li>• Approving a stage of a clinical trial or other collaborative project before the next stage starts</li> <li>• Co-authoring papers</li> <li>• Providing Institute resources, including contractors</li> <li>• Helping with management and technical performance</li> </ul> <p>Usually involve more than one Principal Investigator and multiple sites</p> <p>Similar to a sponsored grant in procedures for application, review, and administration</p>		<ul style="list-style-type: none"> <li>• Federal F&amp;A rates apply, but vary by type of project and campus site.</li> </ul> <p>If a sponsor has a published F&amp;A rate policy, exceptions from Federal F&amp;A rates may be approved by campus administration.</p>	<p>interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>, for government or non-profit grants</li> </ul>	
<p><b>A-3) Sponsored Contract</b></p> <p><a href="#">Top</a></p>	<p>A contract with an external sponsor for a proscribed or defined project within a designated period for a specified amount with defined deliverables</p> <p>Federal contracts are usually issued in response to a Request for Proposal (RFP) or RFQ (Request for Quotation).</p> <p>Sponsor has a significant monitoring involvement</p>	<p>National Institutes of Health (NIH) contract to perform pre-clinical research to understand the progression of certain cancers in humans</p> <p>Home Health Systems, Inc. agreement to survey and analyze various methods of home health care</p> <p>State contract for UCSF</p>	<p>Federally Sponsored:</p> <ul style="list-style-type: none"> <li>• Facilities &amp; Administrative (F&amp;A) rate varies by type of project (e.g. research, instruction, etc.) and by site (e.g. on-campus or off-campus)</li> </ul> <p>Non-Federally sponsored:</p> <ul style="list-style-type: none"> <li>• Federal F&amp;A rates apply, but vary by type of project and campus</li> </ul>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Management and Budget Circular A-21</a></li> <li>• <a href="#">UC Contracts and Grants Manual</a></li> <li>• <a href="#">UCSF Administrative Policies, Section 400</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored</a></li> </ul>	<p>If primary sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>.</p> <p>If primary sponsor is a for-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a>.</p>

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		<p>Committee on Human Research to review human subject protocols</p> <p>VA contract for Alzheimer's treatment investigation research to be done at UCSF independent of the standard VAMC contract agreement (see IPA)</p>	<p>site.</p> <p>If a sponsor has a published F&amp;A rate policy, exceptions from Federal F&amp;A rates may be approved by campus administration.</p> <p>Waivers for industry research and clinical trial contracts are not an option.</p>	<p><a href="#">Research, Contracts &amp; Grants (OSR, C&amp;G)</a>, for government or non-profit contracts</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a> for contracts from for-profit entities</li> </ul>	
<p><b>A-4) Unfunded Research Collaboration (URC)</b></p> <p><a href="#">Top</a></p>	<p>A contract agreement for research collaboration between UCSF scientists on behalf of the Regents and outside parties where no funding is involved</p> <p>There is an agreed upon contribution of resources to the collaboration by all parties.</p> <p>Unfunded Research Collaborations involve use of University resources such as Institutional Review Boards, personnel, space etc.</p>	<p>A scientific collaboration between UCSF and Stanford to study tissue cells where time and departmental resources from both schools may be leveraged, but no funding is transferred from either party</p> <p>A scientific collaboration whereby UCSF provides analysis of data and blood samples, and an Industry partner provides access to a DNA Reader</p>	<p>Not applicable</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UC Contracts and Grants Manual</a></li> <li>• <a href="#">UCSF Administrative Policies, Section 400</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">OSR, Contracts &amp; Grants or OSR, Industry Contracts Division</a> depending upon collaboration partner</li> </ul>	<p>If primary sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>.</p> <p>If primary sponsor is a for-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a>.</p>
<p><b>A-5) Inter-Agency Personnel Agreement (IPA)</b></p>					
<p><b>A-5.1) Inter-Agency Personnel Agreement (VAMC IPA)</b> with the Veterans Affairs</p>	<p>A standardized agreement between UCSF and the Veterans Affairs Medical Center (usually the SF VAMC) whereby a UCSF faculty or staff member receives a VAMC assignment to perform specific non-clinical services on behalf of the VAMC</p>	<p>UCSF-SF VAMC IPA</p>	<p>Federal F&amp;A rate agreement has specific rates for IPA agreements.</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">Catalog of Federal Domestic Assistance</a></li> <li>• <a href="#">UCSF Administrative Policy 100-31</a> (for</li> </ul>	<p>VAMC sends IPA to <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a> to coordinate review and approval by department and Department Chair, with final approval by <a href="#">Office of Sponsored</a></p>

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<p>Medical Center (VAMC)</p> <p><a href="#">Top</a></p>	<p>IPA agreements are initiated by the VAMC in the agency's standard format.</p> <p>Individuals remain UCSF employees for the assignment period and are not placed on leave of absence or terminated from UCSF employment.</p>			<p>academic appointees)</p> <ul style="list-style-type: none"> <li><a href="#">VA 5007-10 Directive 5334</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G).</a></li> </ul>	<p><a href="#">Research, Contracts &amp; Grants (OSR, C&amp;G).</a></p>
<p><b>A-5.2) Faculty and Staff Temporary Assignment Agreement (IPA / IGA- non VAMC)</b></p> <p><a href="#">Top</a></p>	<p>A standardized agreement between UCSF and an outside agency (either in the form of an Intergovernmental Personnel Act Assignment Agreement (IPA) or a contract) to allow UCSF faculty and staff to work for a limited period of time at an outside agency (Note: For VAMC IPAs see A-5.1 above).</p> <p>Individuals remain UCSF employees for the assignment period and are not placed on leave of absence or terminated from UCSF employment.</p>	<p>An IPA agreement with Center for Disease Control (CDC) whereby a UCSF faculty member works at CDC for a limited period of time</p> <p>A contract with American Heart Association (AHA) where faculty member works at the AHA for a six month period</p>	<p>The Federal F&amp;A rate agreement has specific rates for IPA agreements.</p> <p>For agreements with non-federal agencies, the federal F&amp;A rate applies unless an exception has been approved by UCOP.</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Administrative Policy 100-32</a> (for academic appointees)</li> <li>Catalog of Federal Domestic Assistance</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>If primary sponsor is a government or non-profit agency, <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G).</a></li> </ul> <p>If primary sponsor is a for-profit entity, <a href="#">Office of Sponsored Research, Industry Contracts Division(OSR, ICD)</a></p>	<p>If the sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G).</a></p> <p>If primary sponsor is a for-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD).</a></p> <p>Note: Temporary Assignment agreements require approval of multiple offices including Chair, Dean, VC Academic Affairs (for academic assignments) and OSR. Contact OSR for full procedures.</p>
<p><b>A-5.3) Visiting Academics</b></p> <p><a href="#">Top</a></p>	<p>Faculty and staff visiting or volunteering time and effort at UCSF</p>	<p>Visiting faculty appointed from home institution</p> <p>Visiting researcher from other schools</p>	<p>Not applicable</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>Volunteer clinical faculty with no salary have minimal requirements</li> </ul> <p>UCSF Office for policy interpretation:</p>	<p>For Visiting Faculty, the primary contact point is the related Dean's office</p>

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				<ul style="list-style-type: none"> <li>• <a href="#">Dean's Office</a> for each school</li> </ul>	
<b>A-6) JPA – NCIRE Joint Personnel Agreements</b>  <a href="#">Top</a>	<p>An agreement that details the terms under which the personal effort of a UCSF employee is provided to NCIRE to work on NCIRE projects and activities</p> <p>Can only cover personnel-related costs (pay, benefits, and other costs based on pay)</p> <p>NCIRE work must be done at the San Francisco Veterans Affairs Medical Center (SF VAMC) or in research space leased by the VA.</p>	<p>Agreement between UCSF and the <a href="#">Northern California Institute for Research and Education (NCIRE)</a></p>	<p>NCIRE Rate of 26% of Modified Total Direct Cost (MTDC)</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• Master Agreement May 23, 1996</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Dean's Office</a> for each school</li> <li>• Director of Administration, <a href="#">Office of the Senior Vice Chancellor, Administration and Finance (SR SVC Finance and Administration (FAS))</a></li> </ul>	<p>There are separate review processes for faculty and post-doctoral fellows and other non-academic staff.</p> <p>For faculty, NCIRE sends a department-approved JPA to the <a href="#">Vice Dean for Academic Affairs, School of Medicine</a> for review and approval. Following this approval, the JPA is sent to the Director of Administration, (SR SVC Finance and Administration Office).</p> <p>For postdoctoral fellows and non-academic staff NCIRE sends a department-approved JPA to <a href="#">Director of Finance and Administration, SR SVC Finance and Administration Office</a></p>
<b>A-7) Industry Clinical Trial Contract</b>					
<b>A-7.1) Industry Clinical Trial Contract</b>  <a href="#">Top</a>	<p>Primary sponsor is a for-profit entity.</p> <p>An award for the controlled, clinical testing of Investigational New Drugs (INDs) or Investigational Devices (IDEs) using either a sponsor or investigator developed protocol under a FDA Phase I, II, III, or IV drug study or a FDA-regulated medical device study.</p> <p>The controlled, clinical testing of a protocol performed under the sponsorship of an <a href="#">approved national cooperative consortium</a> for clinical trial services</p> <p>Ancillary studies at UCSF that support an FDA-approved clinical trial being performed at an outside agency, or under a clinical trial sponsored</p>	<p>Contract with Merck to test experimental drug on human subjects conducted in accordance with a protocol under an FDA Phase II approved clinical trial.</p> <p>Blood testing done in a UCSF research lab of samples from an outside University that is conducting an FDA approved clinical trial.</p> <p>A project whereby a PI</p>	<p><a href="#">Industry Clinical Trial Rate of 26% of Total Direct Cost (TDC), assessed as 20.6% of Revenue received.</a></p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UC Contracts and Grants Manual</a></li> <li>• <a href="#">Industry Sponsored Research and Clinical Trial Contracts Policy 400-14</a></li> <li>• <a href="#">UCOP Memo 95-05</a> Requirements for Administration of Agreements with Private Sponsors for Drug and Device Testing Using Human Subjects</li> </ul>	<p>Review and approval by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a></p>

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	<p>under the direction of an <a href="#">approved national cooperative consortium</a>, can be classified as a clinical trial.</p> <p>Do not include any projects involving animal subjects.</p>	<p>reads and analyzes films that were generated for the purposes of an FDA approved clinical trial.</p> <p>A PI-authored clinical study funded by one or more for-profit entities that is being conducted under an IND.</p>		<ul style="list-style-type: none"> <li>• <a href="#">UCOP Memo 89-20</a>, Guidelines for University-Industry Relations</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a></li> </ul>	
<p><b>A-7.2) UCSF Coordinated Multi-Center Industry Clinical Trial Contract</b></p> <p><a href="#">Top</a></p>	<p>Primary sponsor is a for-profit entity.</p> <p>An award for the controlled, clinical testing of Investigational New Drugs (INDs) or Investigational Devices (IDEs) using either a sponsor or investigator developed protocol under a FDA Phase I, II, III, or IV drug study or a FDA-regulated medical device study that is to be conducted at more than one clinical site and for which UCSF is defined as the coordinating clinical center for the study. UCSF may be one of the clinical sites for the study.</p> <p>The controlled, clinical testing of a protocol performed under the sponsorship of an <a href="#">approved national cooperative consortium</a> for clinical trial services that is to be conducted at more than one clinical site and for which UCSF is the coordinating clinical center for the study. UCSF may be one of the clinical sites for the study.</p> <p>Do not include any projects involving animal subjects.</p>	<p>Contract with Merck to test experimental drug on human subjects conducted in accordance with a protocol under an FDA Phase II approved clinical trial for which UCSF is the coordinating center for the study and subcontracts the conduct of the study to organizations external to UCSF.</p>	<p><a href="#">Other Sponsored Activity Rate of 33% Modified Total Direct Cost (MTDC)</a></p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UC Contracts and Grants Manual</a></li> <li>• <a href="#">Industry Sponsored Research and Clinical Trial Contracts Policy 400-14</a></li> <li>• <a href="#">UCOP Memo 95-05</a> Requirements for Administration of Agreements with Private Sponsors for Drug and Device Testing Using Human Subjects</li> <li>• <a href="#">UCOP Memo 89-20</a>, Guidelines for University-Industry Relations</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a></li> </ul>	<p>Review and approval by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a></p>



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<p><b>A-8) Non-Industry Clinical Trial</b> <a href="#">Top</a></p>	<p>Primary sponsor is a government or non-profit entity. Award mechanism may be a contract, subcontract, cooperative agreement or grant.</p> <p>Awards given specifically for the controlled, clinical testing of Investigational New Drugs (INDs) or Investigational Devices (IDEs) using either a sponsor or investigator developed protocol under a FDA Phase I, II, III, or IV drug study or a FDA-regulated medical device study.</p> <p>The controlled, clinical testing of a protocol performed under the sponsorship of an <a href="#">approved national cooperative consortium</a> for clinical trial services.</p> <p>Ancillary studies at UCSF that support an FDA-approved clinical trial being performed at an outside agency, or under a clinical trial sponsored under the direction of an <a href="#">approved national cooperative consortium</a>, can be classified as a clinical trial.</p> <p>Does not include any projects involving animal subjects.</p>	<p>An NIH sponsored FDA Phase II testing of one drug versus another such as AZT vs. 3TC.</p> <p>An agreement with a pediatric AIDS Foundation to perform an FDA Phase IV clinical trial of a drug in children.</p> <p>Blood testing done in a UCSF research lab of samples from an outside University that is conducting an FDA approved clinical trial.</p>	<p>For all governmental agencies, use <a href="#">Federal F&amp;A Other Sponsored Activity Rate</a>.</p> <p>For non-industry, private not-for-profit entities, use Industry Clinical Trial Rate, unless the non-profit agency has a sponsor policy in place</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UC Contracts and Grants Manual</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>,</li> </ul>	<p>Review and signature by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a></p>
<p><b>A-9) Sponsored Subcontract</b> <a href="#">Top</a></p>	<p>A contract agreement to collaborate with a prime awardee to perform a specified part of the scope of work of a sponsored contract or sponsored grant</p> <p>Applicable terms and conditions from the prime award are flowed down to the subcontracting party.</p>	<p>An award where Stanford University has received a prime NIH research grant, and then passes a “sub-award” to UCSF to perform a portion of the research project.</p>	<p>For federal sub-contracts, the rate applicable to the prime federal awarding agency shall apply.</p> <p>Facilities &amp; Administrative (F&amp;A) rate varies by type of project (e.g. research, instruction, etc.) and by site (on or off-campus).</p> <p>For non-federal sub-</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UC Contracts and Grants Manual</a></li> <li><a href="#">UCSF Administrative Policies, Section 400</a></li> <li><a href="#">OMB Circular A-21</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored</a></li> </ul>	<p>If primary sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>.</p> <p>If primary sponsor is a for-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a>.</p>



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			<p>contracts, the rate applicable to the prime non-federal agency shall apply.</p> <p>If the rate is lower than the F&amp;A rate, the prime agency needs to have a published F&amp;A rate exception approved by campus administration.</p>	<p><a href="#">Research, Contracts &amp; Grants (OSR, C&amp;G)</a>, for government or non-profit grants</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a> for grants from “for-profit” entities</li> </ul>	
<p><b>A-10) Confidentiality or Non-Disclosure Agreement (NDA)</b></p> <p><a href="#">Top</a></p>	<p>A written agreement whereby the recipient of information agrees to keep confidential specifically identified information given by the provider for a specified period of time</p> <p>Can be one-way or two-way disclosures</p>	<p>Company provides PI with a protocol, so the PI can evaluate whether s/he wants to participate in the clinical trial.</p> <p>UCSF researcher wants to share his/her research, ideas, or inventions with a company to explore partnership opportunities.</p>	None	<p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a> and</li> <li><a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a></li> </ul>	<p>If primary sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>.</p> <p>If primary sponsor is a for-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a>.</p>
<p><b>A-11) Material Transfer Agreement (MTA)</b></p> <p><a href="#">Top</a></p>	<p>A written agreement entered into by a provider and a recipient of tangible research material, including biological materials or mice to transfer the material while protecting the intellectual and other property rights of the provider, so that the research with the material may proceed.</p> <p>Incoming MTAs govern the transfer of material from another organization to UCSF.</p> <p>Outgoing MTAs govern the transfer of materials from UCSF to an outside entity; payment is limited to shipping and handling costs only.</p> <p>Tissue transfer agreements are a sub-set of</p>	<p>Incoming MTA – an agreement covering the receipt at UCSF of cell lines, DNA/RNA, viruses, fungi, monoclonal antibodies, transgenic animals, hybridomas, enzymes, peptides, chemicals, etc.</p> <p>Outgoing MTA – An agreement covering the transfer of cell lines, viruses etc from UCSF to an outside party</p>	None	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Administrative Policy 100-28</a></li> <li><a href="#">UC Guidelines on Dissemination of Tangible Research Products</a></li> <li><a href="#">UC Patent Policy</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Industry Contracts Division (OSR</a></li> </ul>	<p>Final review and signature by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a>.</p> <p>If the material is proprietary to UCSF and is not a human specimen, then review and approval is required by the <a href="#">Office of Technology Management (OTM)</a>. The OSR ICD will contact OTM as needed.</p>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
	material transfer agreements.	Transfer of human specimen or materials derived at UCSF to an outside entity		<a href="#">ICD)</a>	
<b>A-12) Fellowships</b>					
<b>A 12.1) Individual Pre-doctoral Graduate Division Fellowships</b> <a href="#">Top</a>	An agreement that supports the research, training, or dissertation preparation (usually by payment of a stipend) of a registered UCSF graduate student who will remain a student for the duration of the award.  Occasionally, fellowship recipients are not registered. For example, if the fellowship supports an off-site internship, the recipient may go on leave of absence for the award period.	An individual graduate student fellowship from Roche Corp  An award from a non-profit agency such as American Heart Association to pay a stipend to a UCSF graduate student	None	Policy Reference: <ul style="list-style-type: none"><li><a href="#">Graduate Division</a></li></ul> UCSF Office for policy interpretation: <ul style="list-style-type: none"><li><a href="#">Graduate Division</a></li></ul>	Pre-doctoral fellowships are reviewed and approved by the <a href="#">Graduate Division</a> when required by the funding agency.  Note: Some fellowships are made directly to the fellow, and require no university involvement.
<b>A 12.2) Individual Pre-doctoral Medical Student Fellowships</b> <a href="#">Top</a>	An agreement that supports an individual student in research, training, or medical training (usually by payment of a stipend) of a registered UCSF medical student who will remain a student for the duration of the award.  Occasionally, fellowship recipients are not registered (i.e. If the fellowship supports an off-site internship they may go on leave of absence for the award period).	Internal Dean's office or external financial support for a specific students work in a specific subject for a specific period of time	Not applicable	Policy Reference: <ul style="list-style-type: none"><li>School of Medicine Dean's Office</li></ul> UCSF Office for policy interpretation: <ul style="list-style-type: none"><li>School of Medicine Dean's Office</li></ul>	Processing of Office of Curricular Affairs with funding through Student Financial Aid or Dean's Office
<b>A-12.3) Individual Post-doctoral Fellowship Awards</b>	An award that supports the training (usually by payment of a stipend) of an individual who has been or will be appointed through the Graduate Division as a Postdoctoral Scholar or who has an appointment through a Graduate Medical	An F32 grant from NIH  Individual postdoctoral fellowship from Robert Wood Johnson Foundation	None, in most cases  If sponsor pays any overhead, it is credited to the "Institutional Allowance".	Policy Reference: <ul style="list-style-type: none"><li><a href="#">School of Medicine Office of Postdoctoral Education</a> or appropriate school contact</li></ul>	If primary sponsor is a government or non-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a> .

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<a href="#">Top</a>	Education (GME) program as a clinical fellow and who will retain that appointment for the duration of the award.	Individual postdoctoral fellowship from Roche Corp  F31 fellowship from NIH		UCSF Office for policy interpretation: <ul style="list-style-type: none"> <li> <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a> or <a href="#">Office of Sponsored Research, Industry Contracts Division(OSR, ICD)</a> </li> </ul>	If primary sponsor is a for-profit entity, review and approval is by <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a> .  F31 Federal individual pre-doctoral fellowships go through Contracts and Grants.  F31 Non-federal Graduate Fellowships go through the Graduate Division.  F31 Med Student individual fellowships go through the Medical School
<h2>B Gifts &amp; Endowments</h2>					
<b>B-1) Gifts</b>  <a href="#">Top</a>	Money, securities or other property given with donative intent  Terms are reviewed by Development Office to ascertain that funds are truly gifts and not contracts or private grants. Frequently a discussion with Office of Sponsored Research is required to accurately allocate support.  Voluntary and, except for planned gifts, non-reciprocal  Gifts from industry require a Form 700U.  Gifts from non-individuals require a confirmation of purpose letter from donating organization and, when the recipient is a Principal Investigator, a confirmation of purpose letter from the Principal Investigator.  Contractual considerations such as intellectual property rights may not be involved.	Gifts for construction of Mission Bay Campus  Gifts for events such as “Raising Hope”  Gifts to support faculty instruction and research effort	<a href="#">Development Office Funding Model Policy</a>	Policy Reference: <ul style="list-style-type: none"> <li> <a href="#">UCSF Administrative Policies</a> sections 100-30, 250-10, 450 and 500-10                     </li> </ul> UCSF Office for policy interpretation: <ul style="list-style-type: none"> <li> <a href="#">UCSF Development and Alumni Relations (UDAR) Office</a> </li> </ul>	Review and signature by <a href="#">UCSF Development and Alumni Relations (UDAR) Office</a>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
	<p>Donor may not prescribe the method of performance or investment of a gift.</p> <p>Donor may inquire how funds have been spent.</p> <p>If spent in accordance with donor wishes, gifts are non-returnable and there is no specified period of time associated with them.</p> <p>May be provided to directly support campus programs</p> <p>May be in the form of a bequest</p> <p>Made to either the UC Regents (directly to UCSF) or to the UCSF Foundation</p> <p>Earn STIP until used for donor-intended purpose</p> <p>Must be transferred to Regents funds for expenditure.</p>				
<p><b>B-2) True Endowment Funds</b></p> <p><a href="#">Top</a></p>	<p>Meet same definition criteria as provided in Section B-1, Gifts</p> <p>Subject to minimum amounts (contact <a href="#">UCSF Development and Alumni Relations [UDAR Office]</a>)</p> <p>Provided to establish an ongoing source of income for ongoing support of campus programs</p> <p>Principal does not support campus programs</p> <p>May be in the form of a bequest</p> <p>Made either to the Regents (directly to UCSF) or to the UCSF Foundation</p> <p>Invested in an endowment pool and earn annual distribution income (i.e.: payout)</p> <p>Endowment income funds earn STIP until used for donor-intended purpose.</p> <p>Foundation endowment income must be</p>	<p>Endowed Chair</p> <p>Distinguished Professorship</p> <p>Endowed Research Fund</p>	<p><a href="#">Development Office Funding Model Policy</a></p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UCSF Administrative Policies</a> Section 250-10, 450, and 500-11</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">UCSF Development and Alumni Relations (UDAR) Office</a></li> <li>• <a href="#">Budget and Resource Management Office</a></li> </ul> <p>For School of Medicine:</p> <p>Policy regarding establishment of endowed chairs - Director of Communications</p> <p>Policy regarding establishment</p>	<p>For UCSF Foundation Endowments:</p> <ul style="list-style-type: none"> <li>• <a href="#">UCSF Development and Alumni Relations (UDAR) Office</a></li> </ul> <p>For Regents Endowments:</p> <ul style="list-style-type: none"> <li>• <a href="#">Budget and Resource Management Office</a></li> </ul> <p>For School of Medicine Endowed Chairs or Professorships:</p> <p>School of Medicine Dean's Office</p>

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	transferred to Regents funds for expenditure			of Endowment Funds - Director of Finance	
<p><b>B-3) Funds-Functioning-As-Endowments (FFE's)</b></p> <p><a href="#">Top</a></p>	<p>Meet same definition criteria as provided in Section B-1 Gifts</p> <p>Subject to minimum amounts to fund (contact <a href="#">UCSF Development and Alumni Relations [UDAR] Office</a>)</p> <p>Spending of principal restricted while held as FFE (contact <a href="#">UCSF Development and Alumni Relations [UDAR] Office</a>)</p> <p>Once gift principal is placed in FFE, it must be held as FFE for minimum time period (contact <a href="#">UCSF Development and Alumni Relations [UDAR] Office</a>).</p> <p>May be in the form of a bequest</p> <p>May be established in either the Regents (directly to UCSF) or the UCSF Foundation</p> <p>FFE invested in the endowment pool earns annual income. (i.e. payout)</p> <p>Foundation endowment income funds earn STIP until used for donor-intended purpose.</p> <p>Must be transferred to Regents funds for expenditure</p>	Gift funds not required for current spending	<p><a href="#">Development Office Funding Model Policy</a></p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Administrative Policies</a> Section 250-10, 450, and 500-11</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Development and Alumni Relations (UDAR) Office</a></li> <li><a href="#">Budget and Resource Management Office</a></li> </ul> <p>For School of Medicine:</p> <p>Policy regarding establishment of endowed chairs - Director of Communications</p> <p>Policy regarding establishment of Endowment Funds - Director of Finance</p>	<p>For UCSF Foundation Endowments:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Development and Alumni Relations (UDAR) Office</a></li> </ul> <p>For Regents Endowments:</p> <ul style="list-style-type: none"> <li><a href="#">Budget and Resource Management Office</a></li> </ul> <p>For School of Medicine Endowed Chairs or Professorships:</p> <p>School of Medicine Dean's Office</p>
<b>C Technology Licensing</b>					
<p><b>C-1) Patent License</b></p>	<p>Agreements for the licensing of patent rights in UCSF inventions to other parties, usually commercial entities for the development, manufacture and sale of a product or service</p>	<p>Patent licenses on items such as: Oral drug delivery using cellular protein transport processes; polymer for</p>	None	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Administrative Policy</a> 100-25 (in progress)</li> </ul>	<p>Review and signature by:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Technology Management (OTM)</a></li> </ul>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
<a href="#">Top</a>	<p>using the invention</p> <p>Income derived from license issue fees and royalties</p> <p>Disposition of income is subject to the specific patent policy in effect at the date of inventor hiring and to the implementing policies of UCOP and OTM</p>	retinal breaks; Human hyaluronidase; etc.		<ul style="list-style-type: none"> <li>University of California Patent Policy</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Technology Management (OTM)</a></li> </ul>	
<p><b>C-2) Copyright License</b></p> <p><a href="#">Top</a></p>	<p>Agreements for the licensing of copyrighted materials having commercial value such as non-patented software.</p> <p>Income derived from license issue fees and royalties</p> <p>Disposition and distribution of income subject to campus policies, generally in accordance with the policy governing distribution of patent license income unless an exception is warranted and is approved by the Dean and the Chancellor.</p>	Copyright licenses for items such as: Medicare compliance software; atrial fibrillation simulation software; omega digital medical record, etc.	None	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Administrative Policy</a> 100-26 (in progress) University of California Policy on Copyright Ownership, August 19, 1992</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Technology Management (OTM)</a></li> </ul>	<p>Review by:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Technology Management (OTM)</a></li> </ul>
<p><b>D Professional Fee Services</b></p> <p><b>Currently under further review. In the interim follow the guidelines herein.</b></p>					
<p><b>D-1) Professional Fee Services</b></p> <p><a href="#">Top</a></p>	<p>Clinical patient care services rendered by an academic unit, or faculty within the direct context of the UCSF mission other than research.</p> <p>Does not include managing an external party's clinic or other operations</p> <p>(See Clinical Management and Related Services section E-1)</p> <p>Agreement is between an outside party and the University (UC Regents), not with individual faculty members</p> <p>Department and Control Point are responsible for</p>	Professional and clinical care services rendered by faculty within the direct context of the UCSF mission.	<a href="#">Faculty Compensation Plan Policy</a>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">Faculty Compensation Plan policies</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>Dean's Office of each school</li> </ul>	<p>For Provision of Services Approval:</p> <ul style="list-style-type: none"> <li>Dean/Designee</li> </ul> <p>For Risk Management Review/ Approval:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a> and, by agreement, Dean or Malpractice designee with Office of Legal Affairs as backup for advice/ consultation related to legal issues</li> </ul>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
	negotiating scope, terms and fair market price for the service				
<b>D-2) Clinical Services with Operational Responsibility</b> <a href="#">Top</a>	<p>Agreement between an outside party and the University (Regents); not with individual faculty; for specified and/or requested clinical specialty services.</p> <p>The outside party shall procure and maintain, at its own expense, policies of general and professional liability insurance.</p> <p>The outside party is solely responsible for billing and collecting fees and charges from patients, payers, or other responsible third parties for any services performed by University physicians under such an Agreement including, but not limited to, Medicare for contractual services.</p> <p>Compensation is made to the UC department, and not to individual faculty members generally for specified hourly or per-session rates (e.g. \$ 500 per 4-hour session).</p> <p>Department and Control Point are responsible for negotiating scope, terms and fair market price for the service</p> <p>Outreach agreements are not for research.</p>	<p>Clinical patient care services to be rendered by individual faculty member(s), usually at the outside party's location, such as a community hospital.</p> <p>A community medical center requests that the UCSF Department of Pediatrics neurology specialists provide specialized professional clinical care services to the medical center's patients two afternoons each week.</p>	<a href="#">Faculty Compensation Plan Policy</a>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">Faculty Compensation Plan policies</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>Dean's Office of each school</li> </ul>	<p>For Provision of Services Approval:</p> <ul style="list-style-type: none"> <li>Dean/Designee</li> </ul> <p>For Risk Management Review/ Approval:</p> <ul style="list-style-type: none"> <li><a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a> and, by agreement, Dean or Malpractice designee with Office of Legal Affairs as backup for advice/ consultation related to legal issues</li> </ul>
<b>D-3) Faculty Consulting Fees</b> <a href="#">Top</a>	<p>Agreement between an outside party and individual faculty member, not with the University (UC Regents).</p> <p>Funds received by faculty members who provide occasional expertise or advice to outside organizations.</p> <p>Disposition of receipts is governed by the terms of the faculty compensation plans.</p> <p>Payment received by faculty member for serving as a site visit member, consulting to non-profit</p>	<p>Consultation provided by faculty to a company regarding design of study, or development of a product, or participation in a scientific review committee.</p>	<a href="#">Faculty Compensation Plan Policy</a>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>Faculty Compensation Plan Policies- <a href="#">Academic Personnel Manual Section 025</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>Dean's Office of each school</li> </ul>	<p>Faculty should carefully consider issues related to nature and scope of services, potential conflict of interest or commitment, and the University's intellectual property rights.</p> <p>Additional guidance and forms: <a href="#">SOM Faculty Consulting Activities</a>:</p> <p>At the request of Faculty, review shall be initiated by a member of the Dean's Office.</p>



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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
	companies, medical legal work (professional legal witness), or other similar activity.				Faculty member has signature authority.
<b>D-4) Affiliated Organization Agreement</b> <a href="#">Top</a>	<p>A written agreement where UCSF, under special circumstances, enters into an affiliation with an external organization for a defined time period for a specific purpose or purposes.</p> <p>Regental approval is normally required.</p> <p>Often permit the use of the University's name, facilities, personnel, or other resources in return for specified benefits received by the University.</p> <p>Often serves as an "umbrella" for other types of agreements included in this document. In such cases, the review and approval processes for those other types of agreements may be altered from those stated in this document.</p>	<p>Provision of faculty and staff for hospital and patient care services such as those with SFGH or the SF VAMC</p> <p>Research programs involving facilities, operational agreements, or personnel agreements, such as those with the Gladstone Institute of Virology and Immunology, the Howard Hughes Medical Institute, the Ernest Gallo Clinic and Research Center, and NCIRE</p>	<p>Full cost of providing campus services may be charged based on approved affiliation agreement.</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>Category II agreements under <a href="#">UCSF Administrative Policy 100-10</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>Dean's Office of each school</li> <li>Vice Chancellor University Advancement &amp; Planning</li> </ul>	<p>Final Approval by Dean/ Designee or Vice Chancellor/Designee</p> <p>Review and Approval by Campus General Counsel</p> <p>Chancellor and Regents' approval may be needed in some instances</p> <p>Note: Sub-agreements may be reviewed under the provisions of the applicable type as appropriate.</p>
<b>D-5) Continuing Education</b> <a href="#">Top</a> <p style="color: red;">Currently under further review. In the interim follow the guidelines herein.</p>	<p>Programs aimed at improving the professional competence of individuals.</p> <p>These programs include classes, lecture series, conferences, workshops, seminars, short courses, and correspondence courses, whether for credit or non-credit, offered by UCSF to individuals other than students formally registered in the University's degree, certificate, or residency programs.</p> <p>The revenues generated by registration fees, educational grants, etc. must cover total costs of operations, including staff salaries and program expenses.</p> <p>Exempt from this policy are:</p> <ul style="list-style-type: none"> <li>Regular summer session programs</li> </ul>	<p>School of Medicine CME courses in Pediatric Urology, Imaging Advances, Fiber optic Airway Management Workshop.</p>	<p>None, except for non-federal education grants which are considered private gifts which are assessed at the <a href="#">Gift and Endowment Assessment Rate</a></p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">UCSF Administrative Policy 100-30</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>Dean's Office of each school</li> <li><a href="#">UCSF Development Office</a></li> </ul>	<p>Review and signature by Department Chair and Dean/Designee</p> <p>Non-federal education grants must be processed through the <a href="#">UCSF Development Office</a></p>

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	<ul style="list-style-type: none"> <li>• Cultural events and public lectures sponsored and administered by a department or organized research unit for which no credit is given or fees charged</li> <li>• Meetings of learned societies hosted by instructional units</li> <li>• Training programs for University staff</li> </ul>				
<p><b>D-6) Agency Fund Agreement</b></p> <p><a href="#">Top</a></p>	<p>Fund established for an outside party (the "Principal") that supports or enhances UC's mission.</p> <p>UC acting as the Principal's fiscal agent Benefits both UC and the Principal</p> <p>Subject to specific instructions and directives regarding uses and purpose of funds</p> <p>Requires one or more UC faculty or staff employee "Sponsors" authorized by the Principal to act on its behalf, responsible for proper administration and monitoring of the Agency Fund</p> <p>Sponsor responsibilities may not be delegated</p> <p>Fund services are limited to cash receipt and disbursement and use of campus services such as reprographics, purchasing services and occasional payroll services for short term, limited distributions (such as paying Administrative Assistant supporting faculty editor effort)</p> <p>Requires positive cash balance at all times</p> <p>Upon closure, positive balances are returned to the Principal. (STIP interest will be charged to Agency Funds that are in a financial deficit)</p> <p>Funds deposited into the Agency Fund by the Principal are not a tax-deductible contribution to</p>	<p>External party or Principal may be professional/ scientific organizations with faculty/staff editors and/or student/staff/ alumni associations</p> <p>Registered Campus Organizations (RCOs) that need to be reimbursed for expenses, e.g. ABOG, Fraternities, Golf Club, Campus RCOs, and The Black Caucus, etc</p>	<p>None</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UCSF Administrative Policy 300-12 and 500-10</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Budget and Resource Management Office</a></li> </ul>	<p>Department Chair/ Dean or Designee</p> <p>Vice-Chancellor Academic Affairs or designee</p> <p><a href="#">Budget and Resource Management Office</a></p> <p><a href="#">Controllers Office</a></p>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
	the University				
<b>E Clinical and Other Management Services</b>					
<b>E-1) Clinical Management and Related Service</b>  <a href="#">Top</a>	<p>Contract between an outside party and the University (UC Regents) for management, support or assessment of all or part of the outside party or a third party's clinic or other operations.</p> <p>Includes clinical services rendered by an academic unit</p> <p>Contract is not between an outside party and an individual faculty member.</p> <p>Services are not for instruction or research but are related to university's overall mission.</p> <p>Department and Control Point are responsible for negotiating scope, terms and fair market price for the service</p>	<p>Department of OB/GYN enters into agreement to oversee the management of a pre-natal clinic at XYZ Hospital.</p> <p>A Department contracts with a hospital for an assessment of an associated clinic's operations.</p> <p>Department of Anesthesia contracts to directly manage an Intensive Care Unit at a hospital.</p>	<a href="#">Service Center Rate</a>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UC Business and Finance Bulletin A-56</a></li> <li>• <a href="#">UCSF Administrative Policy 100-10, 250-11</a></li> <li>• UC Letter from Controller to Accounting and Budget Officers, July 28, 1993</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• Dean's Office of each school</li> <li>• <a href="#">Budget and Resource Management Office</a></li> </ul>	<p>For endorsement and functional approval:</p> <ul style="list-style-type: none"> <li>• Dean or Designee</li> </ul> <p>For risk management review/ approval:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a>, Dean and Medical Malpractice designee</li> </ul> <p>For execution of contracts:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a></li> </ul>
<b>E-2) Training Affiliation Agreement</b>  <a href="#">Top</a>	<p>Outgoing: UCSF trainees obtain training and clinical experience at Non-UCSF clinical facilities.</p> <p>Incoming: Other educational institutions send their trainees to UCSF clinical facilities for clinical experience.</p> <p>Generally includes no monetary compensation for either the teaching or the services rendered.</p>	<p>Outgoing: Agreement with Kaiser for residents to receive clinical training at Kaiser's San Francisco hospitals and clinics.</p> <p>Incoming: Agreement with St. Mary's Medical Center for St. Mary's residents to receive clinical training at UCSF facilities.</p>	None	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UCSF Administrative Policy 100-10</a></li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Legal Affairs</a></li> </ul>	<p>For review and negotiations of contracts:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a></li> </ul> <p>For risk management services review/ approval:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a> and Medical Malpractice designee</li> </ul> <p>For approval and execution:</p> <ul style="list-style-type: none"> <li>• Dean's Office or designee signature for each School</li> </ul>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
					included in agreement
<b>E-3) Memorandum of Understanding – Collaborative Agreement for non-research activities</b>  <a href="#">Top</a>	<p>A non-research agreement where UCSF agrees to collaborate with another institution.</p> <p>The agreement is normally non-monetary.</p> <p>Usually the agreement involves sharing space; e.g. having UC personnel located at another institution.</p> <p>Parties derive a significant non-monetary benefit such as space, sharing of scientific expertise, etc.</p> <p>The agreement may be called a Memorandum of Understanding (MOU) or Letter of Understanding (LOU).</p>	<p>Parking Fee arrangement with the City of San Francisco</p>	<p>Direct Cost of providing campus service may be charged based on final affiliation agreement</p>	<ul style="list-style-type: none"> <li>UCSF Office for policy interpretation</li> <li>Dean's Office of each school</li> <li><a href="#">Budget and Resource Management Office</a></li> </ul>	<p>For provision of services approval:</p> <ul style="list-style-type: none"> <li>Dean or Designee</li> </ul> <p>For negotiation and execution with:</p> <ul style="list-style-type: none"> <li>Gov't &amp; Non-Gov't Non-Profits: <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a></li> <li>Industry: <a href="#">Office of Sponsored Research, Industry Contracts Division (OSR, ICD)</a>.</li> </ul> <p>For risk management review/ approval:</p> <ul style="list-style-type: none"> <li>OSR by agreement, Dean and Medical Malpractice designee</li> </ul>
<b>F Sales and Services of Educational Activities</b>					
<b>F-1) Recharge Activity – Internal Customers Only</b>  <a href="#">Top</a>	<p>Mechanism for charging INTERNAL customers (defined as able to be recharged via a journal) for products or services.</p> <p>Function like non-profit businesses generating sufficient income to support the cost of operating the activity</p> <p>Not a way to generate extra income (profit), or recoup unallowable/indirect costs from federal funds</p> <p>Products or services provided are neither patient care nor research, therefore Institutional Review Board (IRB) or Intellectual Property rights cannot be involved.</p>	<p>Recharges to internal customers for photocopies produced on departmental copy machines</p> <p>Recharges to internal customers for bone densitometry scans produced by Radiology</p>	<p>Not applicable</p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li><a href="#">Campus Administrative Policy</a> 250-11</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li><a href="#">Budget and Resource Management Office</a></li> </ul>	<p>For departmental review:</p> <ul style="list-style-type: none"> <li>Cognizant Business Officer</li> </ul> <p>For School or Vice-Chancellor's review:</p> <ul style="list-style-type: none"> <li><a href="#">Control Point (Dean's or Vice-Chancellor's Office)</a></li> </ul> <p>Requires review and approval from:</p> <ul style="list-style-type: none"> <li><a href="#">Budget and Resource Management Office</a></li> </ul>
<b>F-2) Recharge</b>	Mechanism for charging both INTERNAL	Recharges for cell growth	<a href="#">Service Center Rate</a>	Policy Reference:	For departmental review:

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
<p><b>Activity – Both Internal AND External Customers</b></p> <p><a href="#">Top</a></p>	<p>customers (defined as able to be recharged via a journal) and EXTERNAL customers (defined as not able to be recharged via a journal, instead they are billed and pay by cash, check or credit) for products or services</p> <p>All of the definitions in F-1 above apply, and in addition the following conditions apply.</p> <ul style="list-style-type: none"> <li>• Business contracts between external customers and the Regents of the University of California are required. These should be routine if a standard agreement is used.</li> <li>• Business contracts will only be executed for recharge activities that have been approved by the <a href="#">Budget and Resource Management Office</a>.</li> <li>• The University must not assume any obligation beyond delivery of a standardized University product or service at a pre-established, per unit, uniform price.</li> <li>• External customers may not be charged less than total cost.</li> <li>• Indirect costs must be included in the rates charged for the products or services unless a formal waiver has been reviewed and approved by the <a href="#">Budget and Resource Management Office</a>.</li> <li>• Unrelated Business Income Tax (UBIT) and Sales Tax review is required.</li> </ul>	<p>media and tissue cultured cells prepared by the Cell Culture Facility to internal customers as well as external customers.</p>	<p>or</p> <p>Program Income Rate, section III.F. of <a href="#">Campus Administrative Policy 400-18</a></p>	<ul style="list-style-type: none"> <li>• <a href="#">Campus Administrative Policy 250-11</a></li> <li>• <a href="#">Campus Administrative Policy 400-18</a> (for activity with Program Income)</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Budget and Resource Management Office</a></li> <li>• <a href="#">Procedures and Guidelines for External Sales and Service of Educational Activities</a></li> </ul>	<ul style="list-style-type: none"> <li>• Cognizant Business Officer</li> </ul> <p>For School or Vice-Chancellor's review:</p> <ul style="list-style-type: none"> <li>• <a href="#">Control Point (Dean's or Vice-Chancellor's Office)</a></li> </ul> <p>Requires review and approval from:</p> <ul style="list-style-type: none"> <li>• <a href="#">Budget and Resource Management Office</a></li> </ul> <p>For business contract review and execution:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a></li> </ul> <p>For determination of UBIT and Sales Tax applicability:</p> <ul style="list-style-type: none"> <li>• <a href="#">Controllers Office</a></li> </ul>
<p><b>F-3) External Sales of Education Related Activities</b></p>	<p>Sales of products or services to EXTERNAL customers (defined as not able to be charged via a journal, instead they are billed and pay by cash, check or credit). Activities under this category are very similar to recharge activities, except there are NO internal customers. Sales of products or services to BOTH internal and</p>	<p>The School of Nursing has an agreement with <a href="#">Adam.com</a> to organize and provide chat room services and orientation for chat hosts for a 2-month period.</p>	<p><a href="#">Service Center Rate</a></p> <p>Or Program Income Rate, section III.F. of <a href="#">Campus Administrative Policy 400-18</a></p>	<p>Policy Reference:</p> <ul style="list-style-type: none"> <li>• <a href="#">UC Business and Finance Bulletin A-56</a></li> <li>• <a href="#">UC Contracts and Grant Manual section 8-520</a></li> </ul>	<p>For departmental review and approval:</p> <ul style="list-style-type: none"> <li>• Cognizant Departmental Business Officer</li> </ul> <p>For School or Vice-Chancellor's</p>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
<p><b>F-3) External Sales of Education Related Activities (cont.)</b></p> <p><a href="#">Top</a></p>	<p>external customers are recharges (see F-2 above).</p> <p>The University must not assume any obligation beyond delivery of a standardized University product or service at a pre-established, per unit, uniform price.</p> <p>The activity must have some integral relationship to UCSF's instruction, research, or public service missions and yield some identifiable benefit to UCSF.</p> <p>Customers may not be charged less than total cost.</p> <p>Business contracts between external customers and the Regents of the University of California are required. These should be routine if a standard agreement is used.</p> <p>Indirect costs must be included in the fee or price charged for the product or service.</p> <p>Unrelated Business Income Tax (UBIT) and Sales Tax review is required.</p> <p>The following are NOT External Sales of Education Related Activities:</p> <ul style="list-style-type: none"> <li>• Non-standardized testing [Sponsored Contract]</li> <li>• Sales of survey services (data collection and/or data analysis) [Sponsored Contract or Faculty Consulting or Clinical Management Services]</li> <li>• Service to industry agreements [Sponsored Contracts, Non-Federal Clinical Trials, Affiliated Organization Agreements, Industry Sponsored Agreements or Sponsored Cooperative Agreements]</li> <li>• Educational services provided at sponsor's</li> </ul>	<p>Department receives some reimbursement for the services.</p>		<ul style="list-style-type: none"> <li>• UC Letter from Controller to Accounting and Budget Officers, July 28, 1993</li> <li>• <a href="#">Campus Administrative Policy 400-18</a> (for activity with Program Income)</li> </ul> <p>UCSF Office for policy interpretation:</p> <ul style="list-style-type: none"> <li>• <a href="#">Budget and Resource Management Office</a></li> <li>• <a href="#">Procedures and Guidelines for External Sales and Service of Educational Activities</a></li> </ul>	<p>review and approval:</p> <ul style="list-style-type: none"> <li>• <a href="#">Control Point (Dean's or Vice-Chancellor's Office)</a></li> </ul> <p>For review of compliance with University costing policies:</p> <ul style="list-style-type: none"> <li>• <a href="#">Budget and Resource Management Office</a></li> <li>• <a href="#">See also UCSF Procedures and Guidelines for External Sales and Services of Educational Activities</a></li> </ul> <p>For business contract review and execution:</p> <ul style="list-style-type: none"> <li>• <a href="#">Office of Sponsored Research, Contracts &amp; Grants (OSR, C&amp;G)</a></li> </ul> <p>For determination of UBIT and Sales Tax applicability:</p> <ul style="list-style-type: none"> <li>• <a href="#">Controllers Office</a></li> </ul>

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Type of Agreement	Definition	Examples	Overhead Consideration	Policy	Review Department/ Signature Authority
<b>F-3) External Sales of Education Related Activities (cont.)</b>  <a href="#">Top</a>	<p>site for sponsor's personnel [Faculty Consulting Fees or Sponsored Contract]</p> <ul style="list-style-type: none"> <li>• Products or services that are patient care [Professional Fee Services] or research [Sponsored Agreement or Affiliated Organization Agreement] (If Institutional Review Board (IRB) or Intellectual Property rights issues arise, it is not patient care).</li> <li>• Use of unique facilities when staff support or analytical services are also provided (e.g., not sold at pre-established, per unit, uniform prices for standard routines) [Sponsored Contract or Professional Fee Services];</li> <li>• Sale of consulting services [Faculty Consulting Fees, or Professional Fee Services or Clinical and other Management Services];</li> <li>• Agreements with non-University hospitals or clinics to provide medical services (e.g., scarce anesthesiology or radiology services) [Professional Fee Services, Outreach Agreements, or, if other party is a government agency, a Sponsored Contract];</li> <li>• Agreements to test a company's drug or device. [Industry-Sponsored Clinical Trial].</li> </ul>				