

AWARD DOCUMENT QUICK GUIDE

Type	Government, Non-Profit, & other Grants	Incoming Subawards under Government or Non-Profit Funding	Federal Government Contracts	Industry Contracts- Non-Clinical Research (SRA)	Unfunded Research Collaborations	Industry Contracts- Clinical (CTA)	Service Contracts with Human Subjects	Service Contracts without Human Subjects	Material Transfer Agreements (MTA)	License Agreement (for WashU technology)	Data Use Agreements (DUA)	Data Access Agreements	Gifts/ Endowments	Confidentiality Agreement (CDA)	Small Business Subcontracting Plans
Contact for Pre-Award Stage	OSRS	OSRS	OSRS (with assistance of JROC) on Repts & Certs, legal terms review, & exception letter)	OSRS	NA	NA	NA	NA	NA	NA	NA	NA	NA	JROC or OTM	Resource Management (Purchasing)
Contact for Award Negotiation Stage	SPA (with assistance of JROC on negotiation as needed)	JROC	JROC	JROC	JROC	JROC	JROC	JROC	OTM	OTM	JROC	JROC	University Advancement	JROC or OTM	Resource Management (Purchasing)
Description	Funding directly from the Government (including Federal, State or Local) or a Non-Profit for research, training, or career project or other sponsored activity	An award issued by an entity of any type for research or other sponsored activity where the funding originates with the Federal Government or a Non-Profit. Funding follows a flow-down structure: for example •Gov - Academic - WU •Gov - Industry - WU •Non-Profit - Academic - WU	An agreement directly with the Federal Government providing funding for research or other sponsored activity which contains Federal Acquisition Regulation or "FAR" clauses and provides for robust compliance and reporting requirements. This is considered a procurement contract by the government.	An agreement directly with a for-profit company providing funding for a pre-clinical or non-clinical research project (in other words, it is not a Clinical Trial). Usually fixed price, and milestone oriented, with some IP rights going back to the company.	An agreement covering an unfunded collaboration where both WU and the other party are contributing to the performance of a research scope of work. Can be with a for-profit, non-profit or academic entity. Generally contains publication and IP terms.	An agreement directly with a for-profit company providing funding for a Clinical Trial Can be for a Sponsor-Initiated or Investigator-Initiated Clinical Trial. JROC also handles incoming & outgoing subcontracts issued under an industry CTA. For example: •Industry - WU - Academic •Industry - Academic - WU	An agreement to provide services involving human subjects. Services are generally a standardized process not involving a meaningful intellectual contribution by the PI. Service Recipient will own all IP and Results	An agreement to provide services which does NOT involve human subjects. Services are generally a standardized process not involving a meaningful intellectual contribution by the PI. Generally publication is not allowed unless the service is in support of a clinical trial. Service Recipient will own all IP and Results	A contract to allow for the transfer of tangible materials between two organizations, when the recipient intends to use it for their own research purposes. MTAs should only be used when the sole purpose of the agreement is the transfer of material.	An agreement to license existing WU technology, software or materials to for-profit entities.	An Agreement to transfer a Limited Data Set (LDS) (as defined by HIPAA). This agreement satisfies the HIPAA requirements when there is no informed consent allowing for the transfer of the LDS.	An agreement to obtain or access data from a databank (e.g.: National Death Index; Interuniversity Consortium for Policy and Social Research). Agreement generally limits use of the data to a specific research project. Not associated with HIPAA compliance.	Funds or goods that are given voluntarily to WU with no reciprocal obligations. May be restricted to a specific purpose or unrestricted.	An agreement with another entity of any type to discuss a potential future relationship (e.g. a future research agreement, service agreement, clinical trial, or technology license) which allows for the sharing of confidential information by one or both parties.	A written plan showing the anticipated purchases from eligible small and minority, woman, or veteran owned businesses required in FAR contracts and FAR subcontracts over \$650,000. Sometimes it is due at the proposal stage and sometimes due at the award stage.
Contact for Account Set-up / Fund Location	SPA / SPA Fund	SPA / SPA Fund	SPA / SPA Fund	SPA / SPA Fund	NA	CCS - Clinical Study Project Funds in Workday (fka "94 funds")	CCS - Clinical Study Project Funds in Workday (fka "94 funds")	Department Fund	NA	NA	NA	NA	SOM: Med School Finance	NA	NA
Indirect Cost Rate	Govt Research - 55.5% Govt OSA - 36% Nonprofit - varies	Govt Research - 55.5% Govt OSA - 36% Nonprofit - varies	Govt Research - 55.5% Govt OSA - 36% Nonprofit - varies	SOM: 50% TDC Danforth: 57.5% MTDC	NA	26% + Dept. Indirect	26% + Dept. Indirect	Determined by School (SOM = 20% of Revenue)	NA	NA	NA	NA		NA	NA
Intake Process	PD	PI Approval, PD (approved by OSRS)	PI Approval, PD (approved by OSRS)	SRA Intake Form, PD (approved by OSRS)	Collaboration Intake Form	Study Expeditor Form, eICA Form, Protocol, Informed Consent, Contract	Study Expeditor Form, eICA Form, Protocol, Informed Consent, Contract	Service Agreement Intake Form	MTA Intake Form	N/A	DUA Intake Form	N/A	N/A	N/A	DA Budget Document
COI approval required?	No	No, unless an SBIR/STTR	No	Yes	Yes if other party is industry	Yes if PI discloses a conflict on the intake form	Yes if PI discloses a conflict on the intake form	Yes	Yes if other party is industry	Yes	No	No	No	No	No

Acronyms Defined
 CCS Center for Clinical Studies
 JROC Joint Research Office for Contracts
 OSRS Office of Sponsored Research Services
 OTM Office of Technology Management
 SPA Sponsored Projects Accounting

General Contact Information
 JROC researchcontracts@wustl.edu
<https://research.wustl.edu/offices/jroc/>
 OTM otm@wustl.edu
http://research.wustl.edu/Offices_Committees/otm/Pages/OTM.aspx
 SPA spacontracts@wustl.edu
<https://financialservices.wustl.edu/wfin-topic/sponsored-projects-accounting/>
 OSRS researchgrants@wustl.edu <https://research.wustl.edu/offices/osrs/>