Unfunded Agreements

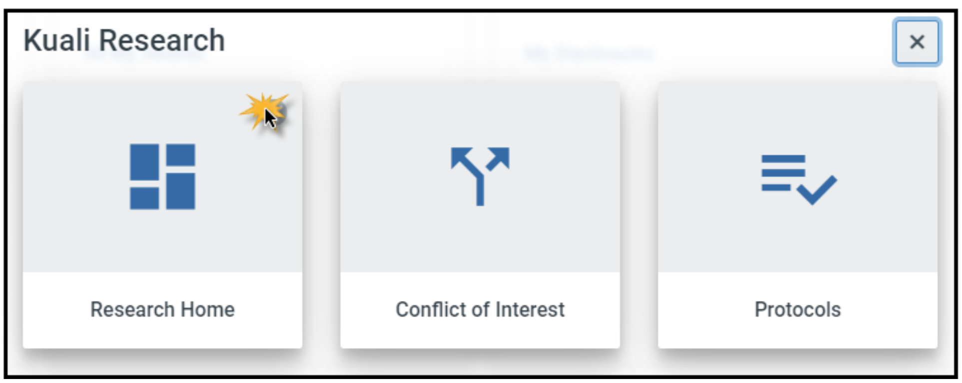
- If your Unfunded Agreement is ***for or related to*** an Industry Initiated Clinical Trial, contact the Office of Clinical Trial Administration at octa@ucsd.edu.
- If you are transferring materials, please use the Material Transfer Request Form as MTA's are not in Kuali.
- The process is the same for all Unfunded Agreements. You may have fewer or additional questions depending on the type of Unfunded Agreement.

1. Login into Kuali using your Business Systems ID **or** Active Directory login and password

If you do not have access to Kuali Research, navigate to the end of this training guide for detailed instructions or click on the following link: Requesting Kuali Access.

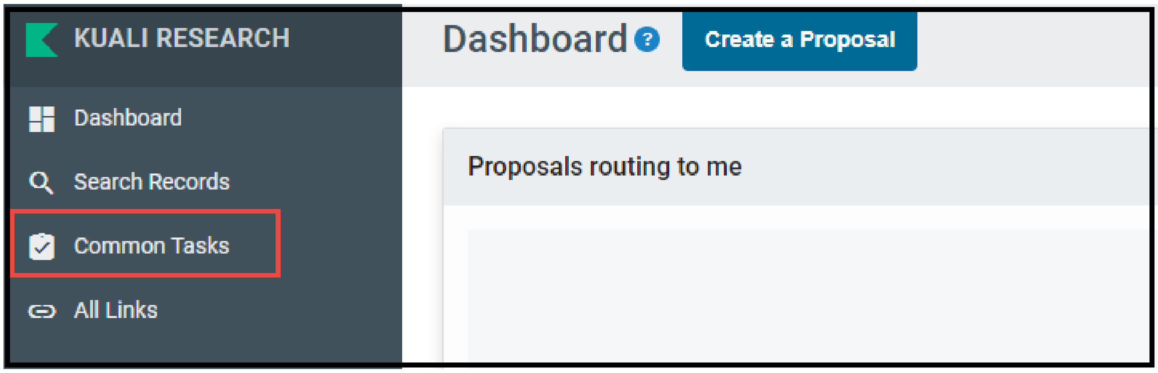
Note: PI's requesting access should request the role of: ***Department Proposal Creator***

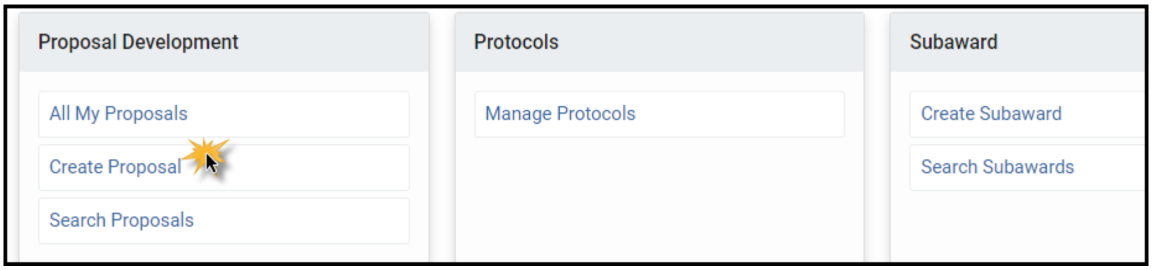
2. Click on **Research Home**



3. From the left-hand navigation:

- Click on **Common Tasks**
- Click on **Create Proposal** in the Proposal Development Card





Create Proposal Screen

1. **Proposal Type:** from the dropdown menu:
   a. **New** (if it is a new agreement) **or**
   b. **Continuation** (if it is an amendment to an existing Unfunded Agreement)

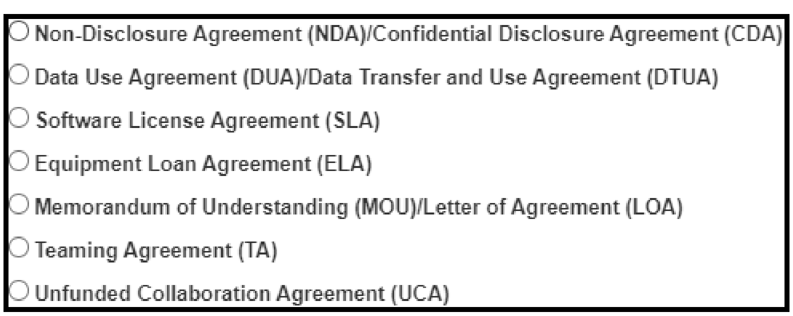
NOTE: No other available Proposal Type options are applicable to Unfunded Agreements

2. **Lead Unit:** Select the Lead Unit from the dropdown menu. (You may have multiple options if you are a Department Research Administrator or proposal creator for more than 1 department).

3. **Activity Type:** Select **Other Sponsored Activities** from the dropdown menu.

4. **Project Dates:** Enter the project **Start** and **End** dates

5. **Project Title:** Enter the following information:
   a. **PI/Technical Lead Last Name**
   b. **Abbreviation for Agreement Type (see list below)**


Non-Disclosure Agreement (NDA)/Confidential Disclosure Agreement (CDA)
Data Use Agreement (DUA)/Data Transfer and Use Agreement (DTUA)
Software License Agreement (SLA)
Equipment Loan Agreement (ELA)
Memorandum of Understanding (MOU)/Letter of Agreement (LOA)
Teaming Agreement (TA)
Unfunded Collaboration Agreement (UCA)

Contracting Entity ***(Example:*** *Martin NDA Cornell University)*

6. **Sponsor:** Enter the **contracting entity -** Several options are available to *search* for the sponsor:
   a. Start typing the name of the entity/sponsor directly into the field.
   b. Click on the magnifying glass at the end of the field and type in the name of the entity/sponsor in the Sponsor Name field using an asterisk* to narrow your search results (example: *Cornell*) and click on Search at the bottom of the Sponsor Lookup screen. All results with *Cornell* in the name will appear, allowing you to select the appropriate entity/sponsor.

NOTE: If you are unable to locate the entity/sponsor, you may need to request a new sponsor code be created. Depending on your campus area, follow the instructions below:

General Campus/Health Sciences:

1. Enter 9850 Sponsor Code Pending in the Sponsor field
2. After you have successfully entered the remaining information on the Create Proposal Screen, navigate to the **Attachments** section. In the **Notes** section enter the **name of the sponsor, physical address and website address** for the new entity/sponsor to be created. A notification will be sent to OCGA for a new sponsor to be created.

SIO:

1. Please contact SIO C&G 2-3 days in advance of routing to request a provisional sponsor code. If you do not have time to do this, please use the *9850 Sponsor Code Pending.*

7. **Sponsor Deadline:** Enter today's date

8. **Sponsor Deadline Type:** Select ***Internal*** from the dropdown menu.

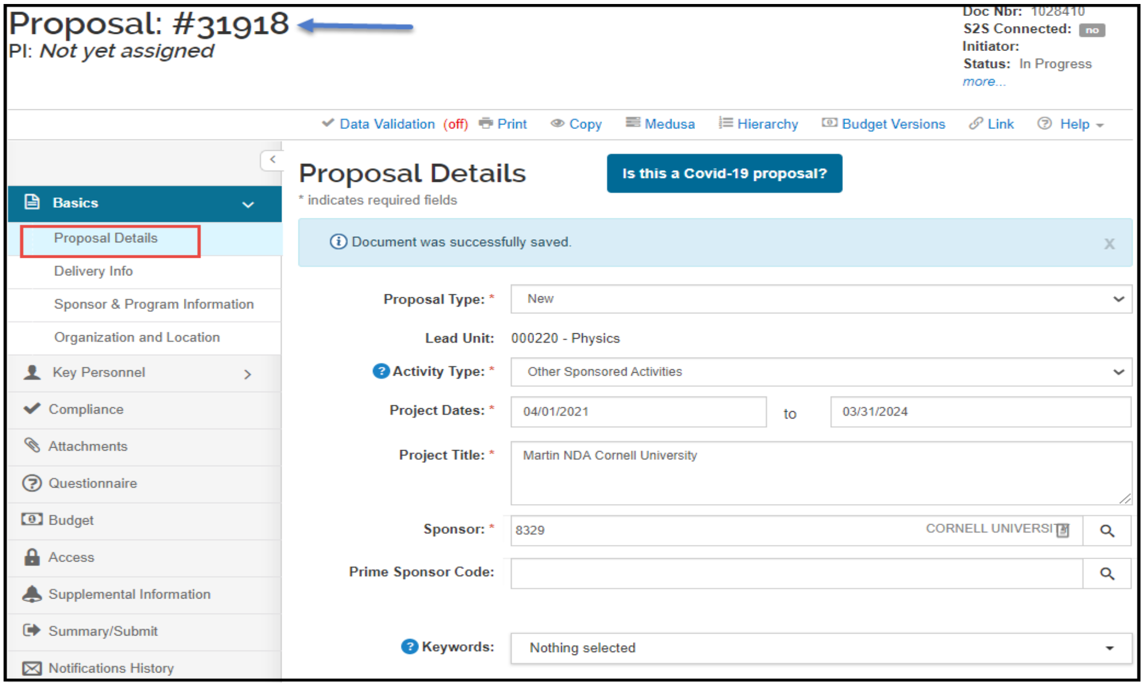
9. **Anticipated Agreement Type:** Select ***Unfunded Agreement*** from the dropdown menu

10. Click ***Save and Continue*** at the bottom of the screen.

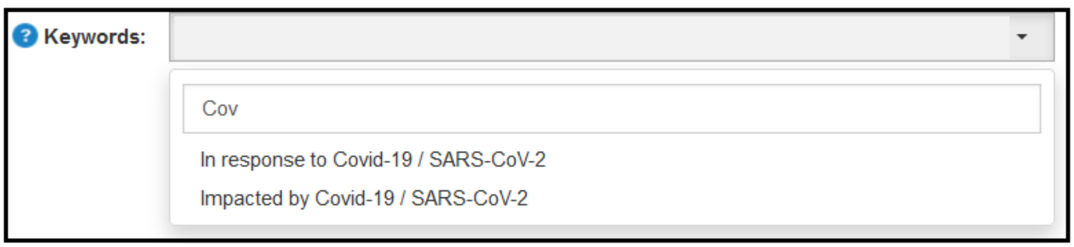
Proposal Details Screen

The Unfunded Agreement record has been saved, a proposal number has been created and you are now on the Proposal Details Screen. Verify the information you have entered.

NOTE: Multi-party agreements: If this agreement will be among multiple parties (UCSD, the entity already entered in the Sponsor field, plus additional entities), you will add the additional parties to the agreement in the ***Unfunded Agreement tab of the Questionnaire Section.***



Keywords: If the agreement is related to or impacted by COVID-19 / SARS-CoV-2, use the Keywords dropdown menu to select either "In response to Covid-19 / SARS-CoV-2" or "Impacted by Covid-19 / SARS-CoV-2.



1. After verifying the information, click ***Save*** at the bottom of the screen.
2. Navigate to the Key Personnel Section.

Key Personnel Screen

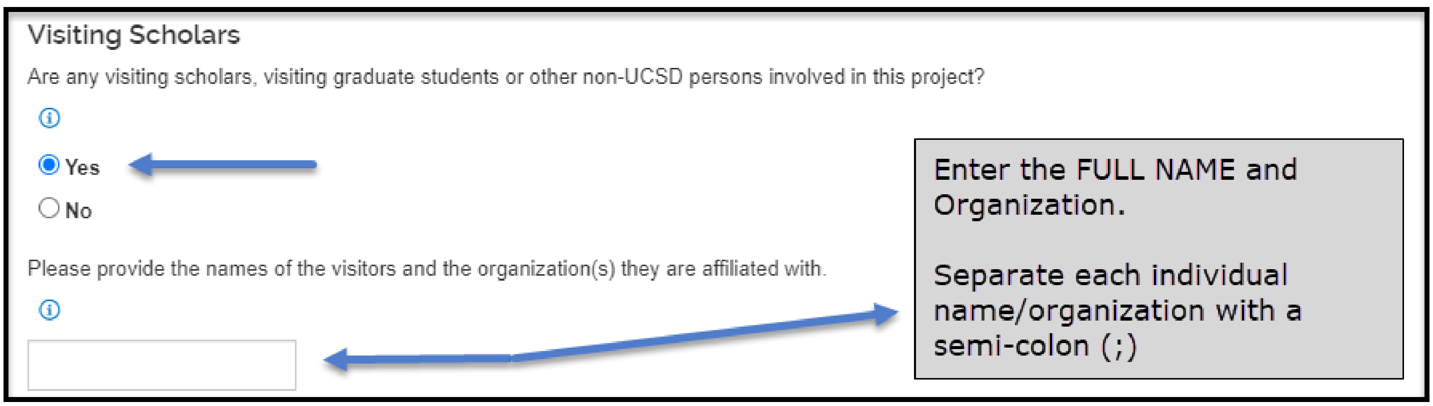
In this section you will add the Principal Investigator (PI) and all Key Personnel. Key Personnel are **UCSD individuals** who will need to be covered by the agreement.

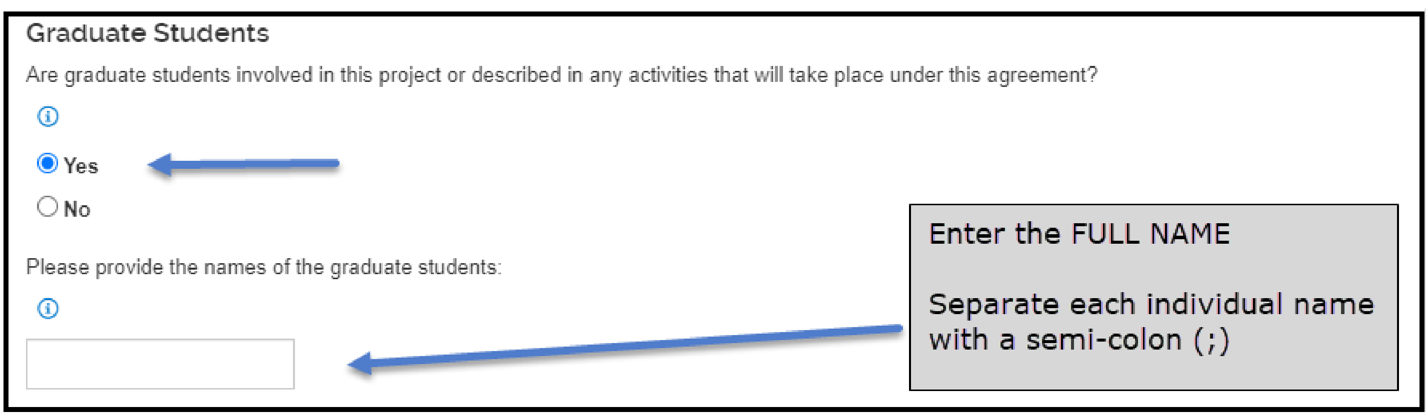
Note: Non-university employees (i.e. visiting scholars) and UC San Diego students will be listed in the **Compliance Questionnaire**.

1. Click on **Personnel** under Key Personnel
2. Click on **Add Personnel** and enter the Last Name of the **PI/Technical Lead** (best practice is to use the asterisk (*) to narrow your search results) and then click **Continue**
3. Click the radio button next to the appropriate person and click on **Continue**

4. Click on **Add Person**
    a. After you have added the PI/Technical Lead, **click on the blue "Notify" button next to the Principal Investigator's name.** This will send an electronic notification to the Principal Investigator to login to Kuali and answer the **Compliance Questionnaire**. The PI should answer the Compliance Questionnaire. To view the Compliance Questionnaire, click on the arrow next to the PI Name and navigate to the Compliance Questionnaire tab and click to open.
5. To add **Key Personnel,** click on **Add Personnel,** search for the individual and click **Continue**.
    a. Select **Key Person** as the role and enter the description in the **Key Person's role** field and click **Add Person.**
6. Click on ***Save and Continue*** at the bottom of the screen.

Compliance Questionnaire – This is also where **non-UCSD** employees (example: visiting scholars) and **UCSD** students will be added to the record.





Compliance Screen

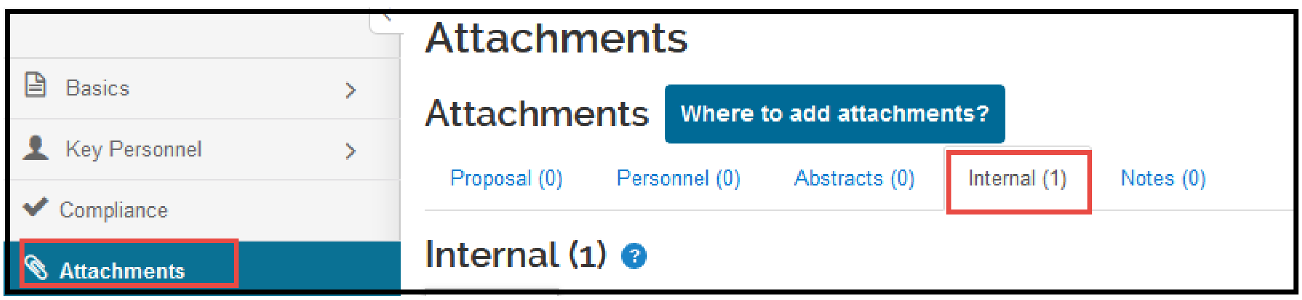
In this section, you will add a compliance entry for each compliance question responded to with "yes" in the Compliance Questionnaire answered by the Principal Investigator. For example, if the PI answered yes to the Human Research questions, you will add a compliance entry for Human Subjects.

NOTE: You will always add an **Export Control** compliance entry for **NDA/CDAs**, even if you answered **no** to all Export Control questions. The status will **always** be **PENDING.**

1. Click on **Add compliance entry**
2. Select the **Type** from the dropdown menu
3. Select the appropriate **Approval Status** from the dropdown menu.
4. Click on **Add Entry**
5. Click on ***Save and Continue***

Attachments Screen

In this section you will upload a Word document (preferred) or PDF version of the **draft agreement** in the **Internal** tab. You will also upload any relevant documentation (e.g., IRB approval, statement of work (SOW), research plan, SIO restricted party screening results, human subjects protocol approval, etc.) in the **Internal** tab.



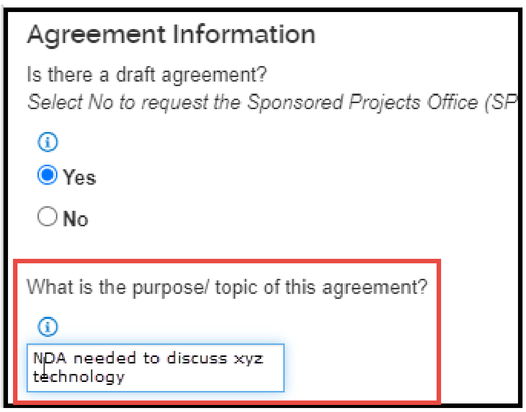
Note: If you do not have a draft agreement, the Ancillary Research Team will provide.

1. Click on the **Internal** tab
2. Click on the **+ Add** button
3. In the **Type** dropdown menu select **Other Internal Documentation**
4. In the **Status** dropdown select **Draft**
5. Type the name of the document in the **Description** box
6. Select **Choose File** and upload the document.
7. Click on **Save**
8. Continue this process for each document you need to attach and then click on ***Save and Continue***.

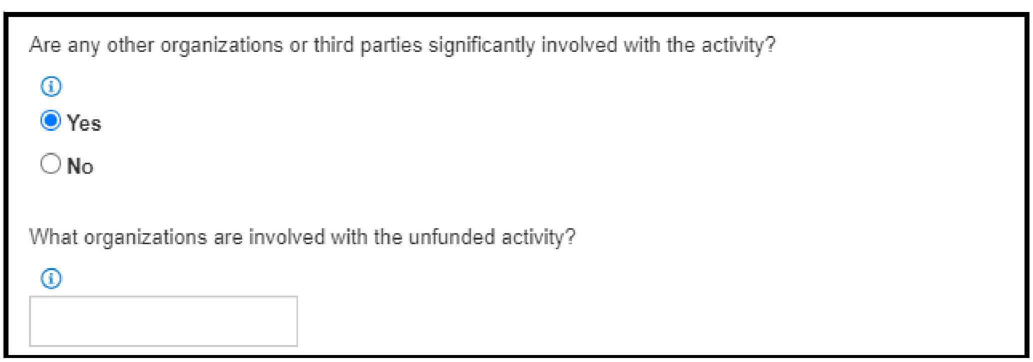
Questionnaire Screen

1. **Contact tab:** Enter the full name and email address for the authorized official/legal contact for the sponsor/entity <u>UCSD is working with</u> and click on **Save.**
2. Navigate to the **Space tab:** select **yes** or **no** based on the **needs of the Unfunded Agreement only**.

   Note: If new space is being requested, the agreement will route to the department approvers (MSO/DBO and Chair).
3. Navigate to the **Unfunded Agreement tab:** In this tab you will answer additional questions relevant to your Unfunded Agreement. Depending on the selections you choose, more questions may populate.
4. In the **Agreement Information** section for the question "**What is the purpose/topic of this agreement?"** the answer should include the *research field* and *technologies* (**example: *PI needs to have NDA in place to discuss xyz technology).***



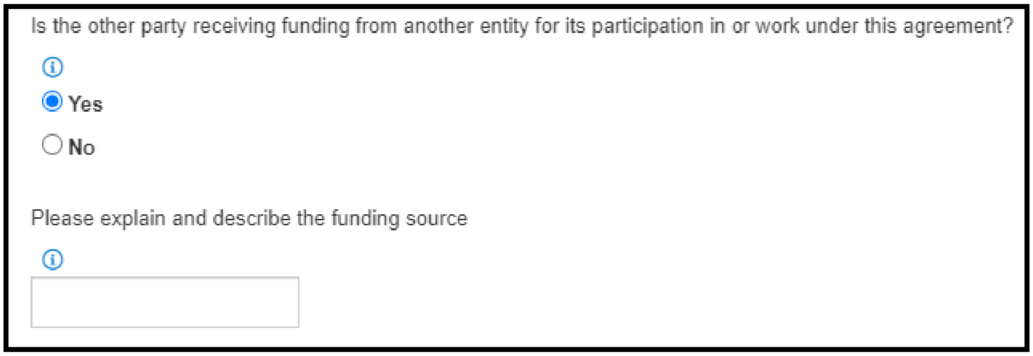
5. In the **Agreement Information** section if your response is ***YES*** for:



For example:

- Is another research institution or company involved in the project under a separate collaboration agreement or data use agreement?
- Is there a company that is funding or created a piece of equipment shared under an Equipment Loan Agreement?

6. In the **Agreement Information** section if your response is ***YES*** for:

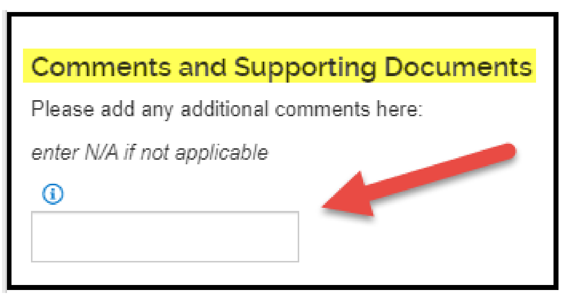


For example, if the related project is:

- federally funded, Bayh Dole regulations concerning government IP rights may apply.
- funded by a for profit company, the company may require IP rights we should be aware of or that could limit our ability to publish.

7. If this agreement includes multiple parties, you will enter the additional parties to the agreement in the **Comments and Supporting Documents** section. Please enter the following information for all additional parties to the agreement:
   a. Legal Name of Entity
   b. Contact name
   c. Contact email

****This is also where you will add any notes to the Ancillary Research Team****



8. Click on ***Save and Continue****.*

Budget Screen

Budgets are not relevant to Unfunded Agreements, click ***Save and Continue***

Access Screen

No action is required, click ***Save and Continue***

Supplemental Info Screen

Here you will enter your COA (Chart of Accounts) Financial Unit.

1. Enter the COA Financial Unit
2. Click ***Save and Continue***

Note: The Financial Unit will be used for reporting purposes only.

If you do not know your COA Financial Unit number:

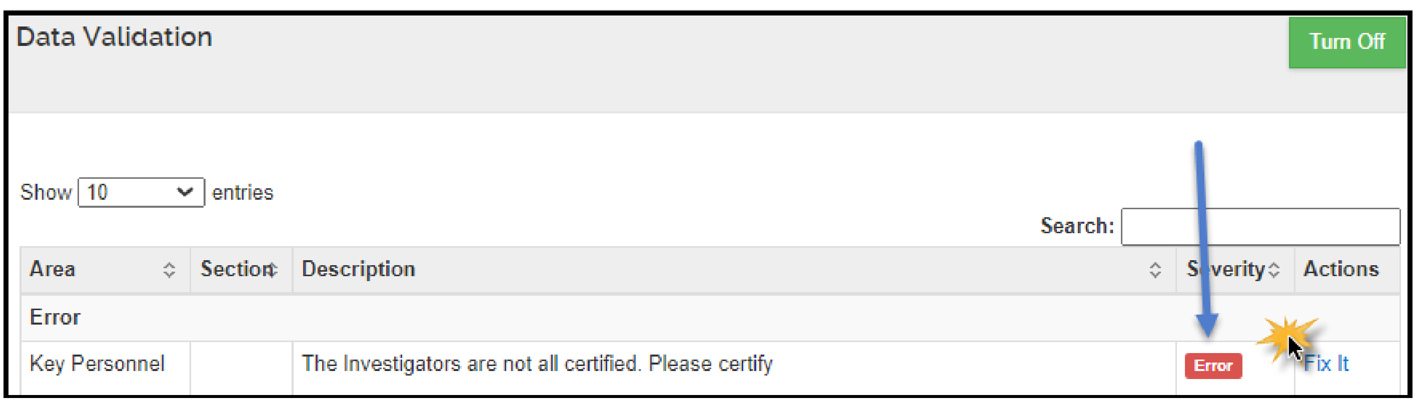
1. Click on the **magnifying glass icon**
2. In the **Account description** field, enter your unit name (example: *physics*)
3. Click on **Search** at the bottom of the screen
4. Click on **Select** next to the appropriate name
5. Click ***Save and Continue***

Submit Screen

1. Click on **Submit for Review**

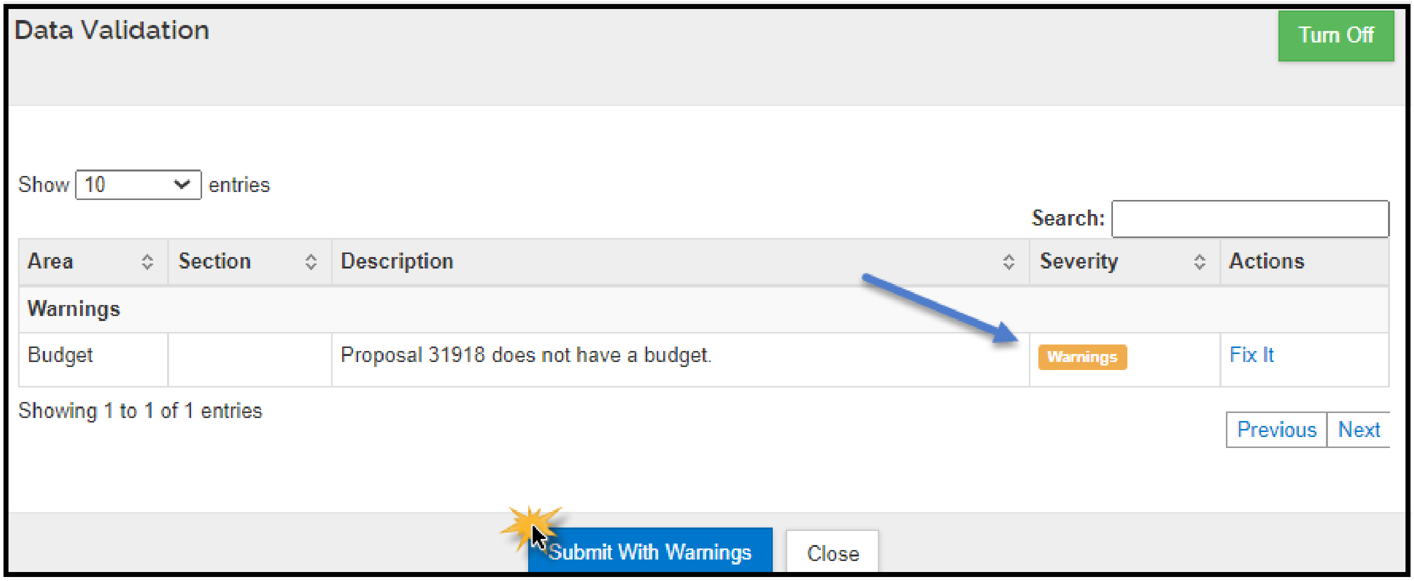
NOTE: You **may** receive a **Data Validation** pop-up indicating you have Errors and Warnings. You will need to "fix" the **Errors**.

1. Click on **Fix it** next to the red **Error** button. It will take you to the page with the error that needs to be fixed.



NOTE: You **will** also receive **Warnings**. Warnings do not prevent you from submitting your Unfunded Agreement and no action is required.

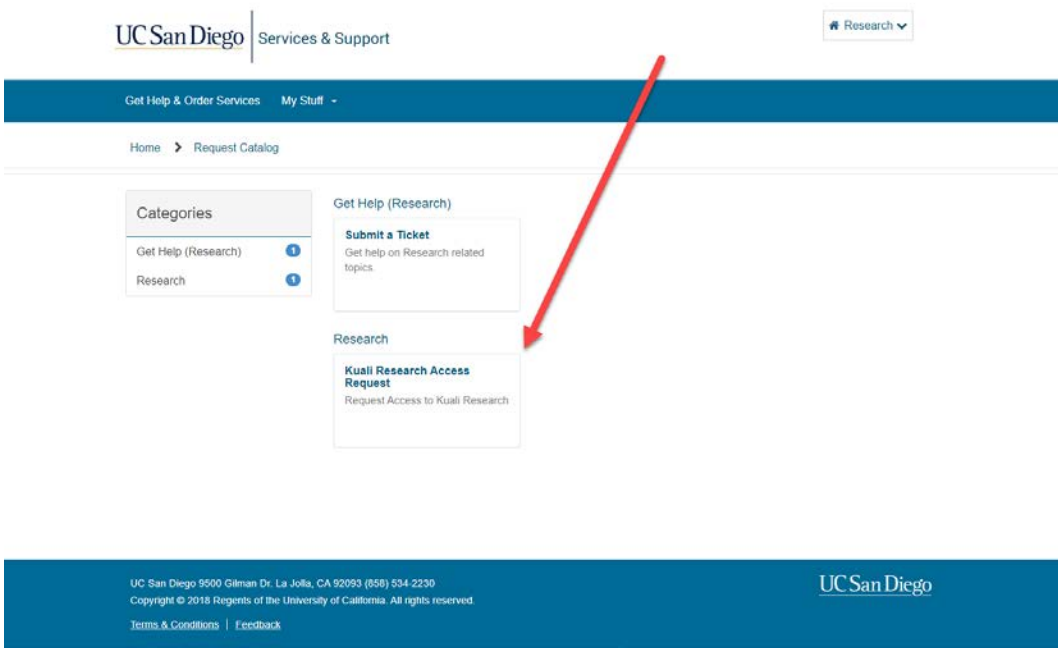
1. Click on **Submit With Warnings**


Data Validation
Turn Off
Show 10 entries
Search:
Area
Section
Description
Severity
Actions
Warnings
Budget
Proposal 31918 does not have a budget.
Warnings
Fix It
Showing 1 to 1 of 1 entries
Previous
Next
Submit With Warnings
Close

Requesting Access to Kuali Research

The recommended role if you will only be creating Unfunded Agreements in Kuali is “Department Proposal Creator”.

1. In the [UC San Diego Support & Services Research Portal](), select 'Kuali Research Access Request'



2. Complete the Kuali Research Access Request form and select 'Submit'