

VCRE Delegations for Contract Signatory Authority (by Agreement Type)

Effective September 1, 2012

Category	Typical Agreement Types	Signing Authority	Support/Consultation	Key Features
Federal, State, Non-Profit and Other Extramural Funded Grants and Contracts and Cooperative Agreements, Other than Those Otherwise Specified Below	Various	OGCA Director and Designees	Director of Research Compliance (DIRC)	
Industry Sponsored Research Agt with No Federal or State Funding	Sponsored Research Agreement, Applied Research Agreement or Project Scoping Agreement	Executive Director UMII	OGCA - Proposal stage: review of the scope for policy and compliance needs. Review budget against institutional rates/policies. IPF will be accepted with the understanding the budget may not be final budget; Award Stage: OGCA Assistant Director will review the award agreement and work with legal counsel. They will work in concert with the Executive Director of UMII in the negotiation. DIRC	industry or private sponsor, no public funding; unique terms apply to protect sponsor trade secrets & comply with regulations; may be outside of safe harbor for private business use
Federal Funded Grants and Contracts that Include Industry Partner (as Prime or Sub)	Various	OGCA Director and Designees EXCEPTIONS: Projects that contain publication restrictions, Export Controlled Data under a TCP that cannot be negotiated out, UMII Executive Director will be the Signatory	Grant Administration Provided by OGCA Staff (includes review of flow through provisions, electronic submission and related Federal processes) and Budget review; DIRC; TTO if IP Terms Vary from Terms of Research Agreement Templates. UMII for any that have non-standard terms	Includes SBIR, STTR, ARPA-E, GOALI, U01 programs that require Allocation of Rights Agt or Patent Management Agreement (TTO to sign PMAs and non-standard ARA)
Foundation Funding Awards from Industry Foundations, Industry Trade Groups	Foundation Award Forms	Executive Director UMII	Budget Check; DIRC; TTO	IC is Umass published rate for Foundations or the published rate put out by the Foundations written policy

Foundation Funding Awards and other not-for-profits	Foundation Award Forms	OGCA Director and Designees EXCEPTIONS: Projects that contain publication restrictions, Export Controlled Data under a TCP that cannot be negotiated out, UMII Executive Director will be the Signatory	DIRC	IC is UMass published rate for Foundations or the published rate put out by the Foundations written policy
Unrestricted Grants from Industry	Standard Form Grant Letter	Executive Director UMII	DIRC	must conform to standard form of grant letter; typically having little or no overhead rates charged; non-conforming award letters for unrestricted awards are not advisable and require VCRE approval
Research Services Agreement	Research Services Agt	Executive Director UMII	Budget Check; DIRC	not fee for service agreements
License Agreements and IIAs	UMass technology transfer and all related patent prosecution decisions	Amherst TTO Director	Export Control or EHS Concerns Referred to DIRC	
Start-Ups Based on UMass Technology and Student Entrepreneurship Initiatives	Coordinate Development of Procedures and Guidelines for Creation and sustaining Start-Ups and Encouraging Student Entrepreneurship, including coordinate with MATTO, MTTC and Isenberg School and Other Amherst Offices and Functions	Amherst TTO Director	Keep Executive Director UMII closely apprised and invite to periodic planning meetings	
Confidentiality Agt.	activities	Executive Director UMII		
Confidentiality Agt.	CDA to support proposed patent license or option agt or interinstitutional patent agt	Amherst TTO Director or Designated Case Manager		
MTA	MTA to support proposed patent license or option agt or university exchange for scholarship purposes	Amherst TTO Director or Designated Case Manager		no money or purchase order - see research services
MTA	MTA to support proposed research activities	Executive Director UMII		no money or purchase order - see research services
Data Use/Access Agts	related data rights agts	DIRC		
Facilities access agreements	Contracts, typically with Federal labs	Chancellor or Designee	DIRC; TTO	no funding associated with these, typically provides access to federal or industrial labs
NOTES				
1. All CDAs and MTAs require Export Control APPROVAL of the Director of Research Compliance; contract lead will coordinate approval process				
2. All conflicts matters are handled by DIRC, with information provided by DIRC to respective Directors to help inform contract negotiations; refer PI inquiries to DIRC				
3. All research projects involving Background IP or Licensee will include comprehensive involvement of TTO in the following sequence: (i) consult as to contracting approach at beginning of project, (ii) review of significant drafts of agreements if the IP terms vary from standard agreement templates, and (iii) concurrence with final terms. TTO will develop and maintain an efficient and reliable database, accessible by appropriate VCRE staff, to identify invention disclosures, background IP, licensees and relevant agreements (e.g., licenses, MTAs, CDAs)				
4. TTO exclusively handles all discussions regarding decisions on patent prosecution and copyright registration and is lead on discussions with Dave Curley, Director of Trademarks. No other persons should make suggestions or create expectations around filings with any sponsor or inventor.				
5. All licenses and all agreements with non-standard terms shall be reviewed by Office of the General Counsel (OGC)				
6. All research agreements are subject to review for Private Business Use (PBU) by coordination of OGC with Vice Chancellor for Administration & Finance (with the exception of state- & municipal-funded projects)				