

RESEARCH FUNDING

Investigator's Certification of Unrestricted Gifts

The Department fully endorses the use of gifts and/or grants from private sources to support research. However, it is important to distinguish between gifts, which by definition are given in the spirit of “disinterested generosity” (IRS definition), and grants, which are provided with the expectation of achieving specific research goals and/or some form of quid pro quo return on the funding. In contrast to a gift, grant funding should be accompanied by appropriate overhead payments and contractual disclosures. This form will help the Department determine whether private funding should be considered as a gift or a grant and should be completed whenever funds in the amount of \$10,000 or more are proposed for deposit into a University account as a “gift”.

**UCLA Administrative Policies and Procedures (APPM) Policy 921:
Accepting Support for Research from Nongovernmental Organizations.**

For purposes of this policy support includes, but is not limited to, money, equipment, research materials, knockout mice, etc. Support from nongovernmental organizations for research may be processed as gifts, grants, contracts or Material Transfer Agreements (MTAs) depending on the circumstances of each award. The criteria for determining which awards are to be processed as gifts are not rigid. Rather, the determination that a particular award is, or is not, to be considered a gift is a matter that requires thoughtful judgment.

- A. In general, gifts are awarded irrevocably by individuals or organizations external to the University without any expectation of a quid pro quo and without any contractual obligations imposed upon the University. Gifts are nonrefundable and nontransferable to other institutions. An administrative fee, established by the Chancellor, is imposed on all gifts upon acceptance.
- B. Support from nongovernmental organizations takes on the appearance of grants, contracts or MTAs when it includes requirements such as a specified period of performance; a stipulation that funds unexpended at the end of that period shall be returned to the donor; a specific scope of work statement to be followed; the reporting of expenses incurred on the project; maintenance of auditable financial records; disposition of intellectual property rights; or other conditions or obligations required of the University in order to receive the funds. Grants, contracts and MTAs are all awarded via written agreements.
 1. The intent of most grants is the provision of “financial assistance” to support a specific project proposed by the University on behalf of an investigator. In most cases, only technical and financial reports are required; there are no other deliverables.
 2. Contracts are more typically awarded in response to a call for proposals from a sponsor, commonly specify performance expectations, and in addition to technical and financial reports, obligate the University to provide deliverables on a specified timetable.
 3. An MTA is entered into by a provider and recipient of research material. The intent of the MTA is to protect the intellectual property rights and other rights of the parties while permitting research with the material to proceed... The provider of the materials does not provide research funding for the project. The materials are not to be used in humans.

DEPARTMENT OF MEDICINE GIFT CERTIFICATION*

Complete this form whenever funds in the amount of ≥\$10,000 are proposed for deposit as a “Gift”.

Faculty Name:	_____	Donor Name:	_____
Division:	_____	Donor Address:	_____
Email:	_____		_____

Gift Amount:	_____	Donor Contact:	_____
		Contact Phone #:	_____

Please respond Yes/No to all of the following:

- | <u>Yes</u> | <u>No</u> | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | The donor has asked that you limit the use the funds to support a specific area/type of research. |
| <input type="checkbox"/> | <input type="checkbox"/> | The donor has requested and/or reviewed specific research objectives or a research proposal related to the funds that are being given. |
| <input type="checkbox"/> | <input type="checkbox"/> | The donor is a company, or affiliated with a company, that has a potential commercial interest in results that might develop from your research. |
| <input type="checkbox"/> | <input type="checkbox"/> | The donor holds (or intends to hold) intellectual property rights to any of the materials/products that will be involved in your research. |
| <input type="checkbox"/> | <input type="checkbox"/> | Your research will involve materials/products that are provided by the donor. |
| <input type="checkbox"/> | <input type="checkbox"/> | The donor is a company, or affiliated with a company, that regularly funds research grants or contracts in your area of expertise. |
| <input type="checkbox"/> | <input type="checkbox"/> | The donor expects to participate in your research by providing advice, reviewing results, or receiving research reports of some type. |
| <input type="checkbox"/> | <input type="checkbox"/> | You serve as a Board Member, Consultant and/or in another role for the donor that might raise concerns about conflict of interest. |

Please clarify all “Yes” responses with a focus on why these funds should be considered as an unrestricted gift rather than grant or contract funding:

I certify that the above information is correct to the best of my knowledge.

_____	_____	_____
Name	Signature	Date

Submit this form to: Steve Chorna, UCLA Med-Admin; 32-139 CHS; Campus 951736, as part of the completed Gift Transmittal packet.

***NOTE:** The final designation of funds as a “gift” is at the discretion of the Department and ultimately the Gift Services Office. The information you provide will be combined with other University Forms/Disclosures to make the final determination.