

SPONSORSHIP MATRIX: CONTINUUM OF SPONSORED PROGRAMS (1) AT DUKE UNIVERSITY

ITEM	CHARITABLE CONTRIBUTION OR GIFT	RESEARCH GIFT OR UNRESTRICTED GRANT	GRANT	SPONSORED RESEARCH AGREEMENT	COOPERATIVE AGREEMENT	FULLY NEGOTIATED CONTRACT
Duke Offices (2)	ADR / OCR / OFR	ADR / ORS / OSP / OCR / OFR	ADR / ORS / OSP / OCR / OFR	ADR / ORS / OSP	ORS / OSP	ORS / OSP
WBS Element	Any	Restricted 39x Code	Restricted Code with Reporting (non-39x)	Restricted Code with Reporting (non-39x)	Restricted Code with Reporting (non-39x)	Restricted Code with Reporting (non-39x)
Intellectual Property Terms	None (Duke owns)	None (Duke Owns)	Duke Owns with License Option to Sponsor	Duke Owns with License Option to Sponsor	Duke Owns with License Option to Sponsor	Duke Owns with License Option to Sponsor
Publication Terms	None (No Restrictions)	None (No Restrictions)	Duke Full Retains Full Publication Rights (No Review)	Duke Retains Publication Rights with Sponsor Review for Confidential or Patentable Material	Duke Retains Publication Rights with Sponsor Review for Confidential or Patentable Material	Duke Retains Publication Rights with Sponsor Review for Confidential or Patentable Material
Scope of Work	None (PI Conducts "Departmental Research" per A-21)	None (PI Conducts "Departmental Research" per A-21)	Description of Research Project	Description of Research Project	Detailed SOW Developed with Sponsor	Detailed or Restrictive SOW
Reporting Requirements	None - Gift Acknowledgement Only	None - Confirmation of Use and Purpose Only (3)	Final Technical and/or Financial Report	Specified Technical and Financial Reports	Specified Technical and Financial Reports	Specified Proprietary Deliverable
Budget Type	None or Lump Sum	None or Lump Sum	Lump-Sum or Detailed Budget	Detailed Budget	Detailed Budget	Task-Based Budget
Documentation	Letter Stating Gift or Charitable Contribution	Letter Stating Financial Support	Grant Agreement or Letter with Terms and Conditions	Duke Sponsored Research Agreement	Agreement with Terms and Conditions	Negotiated Terms, Conditions, and Clauses
F&A	None	None	Full or Maximum Allowed by Sponsor	Full or Maximum Allowed by Sponsor	Full or Maximum Allowed by Sponsor	Full or Maximum Allowed by Sponsor
Use and Retention of Funds	Unrestricted Use; Unexpended Funds Retained by Duke	Use Restricted to Specified Purpose; Unexpended Funds Retained by Duke	Some Expenditures may require Pre-Approval by ORS; Unexpended Funds Returned Unless Otherwise Authorized by Sponsor	Some Expenditures may require Pre-Approval by ORS; Unexpended Funds Returned Unless Otherwise Authorized by Sponsor	Some Expenditures may require Pre-Approval by ORS; Unexpended Funds Returned Unless Otherwise Authorized by Sponsor	Some Expenditures may require Pre-Approval by ORS; Unexpended Funds Returned Unless Otherwise Authorized by Sponsor

NOTES:

(1) "Sponsored Programs" refers generally to academic activities including research, curriculum development, certain instruction and continuing education, scholarly, and artistic activities.

(2) Abbreviations: ADR - Office of Alumni & Development Records; OCR - Office of Corporate Relations; OFR - Office of Foundation Relations; ORS - Office of Research Support; OSP - Office of Sponsored Programs

(3) Any confirmational report may not be a technical report of any detail. However, if publications result, copies may be shared. In addition, confirmation of proper utilization of funds would be allowed such as in a "stewardship report.". For example, if a company provided funds to help students build a solar-powered vehicle for a national student competition, the PI could report back how the students did in the competition, but not be required to provide detailed technical information including raw data.