

Chapin Hall & The University of Chicago

# Joint Research Fund Awarded Teams Guide



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As an independent, non-partisan policy research center, Chapin Hall adheres to the values of science, meeting the highest standards of ethics, integrity, rigor, and objectivity in its research, analyses, and reporting. Learn more about these commitments in our [Statement of Independence](#).

Chapin Hall partners with policymakers, practitioners, and philanthropists at the forefront of research and policy development by applying a unique blend of scientific research, real-world experience, and policy expertise to construct actionable information, practical tools, and, ultimately, positive change for children and families.

Established in 1985, Chapin Hall's areas of research include child welfare systems, community capacity to support children and families, and youth homelessness. For more information about Chapin Hall, visit [www.chapinhall.org](http://www.chapinhall.org) or @Chapin\_Hall.

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## INTRODUCTION

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### Overview of the Joint Research Fund

The University of Chicago and Chapin Hall at the University of Chicago signed an affiliation agreement in October 2012. In that agreement, they affirmed a mutual desire to continue promoting intellectual connections and collaborations between University faculty, other academic personnel and students, and Chapin Hall researchers. To foster this, the parties together established the Joint Research Fund with the intent to encourage robust academic collaboration and intellectual exchange through the establishment of empirical partnerships that promote well-being among children and families who experience adversity, leading to innovative new directions in policies and practices.

The Provost of the University and the Executive Director of Chapin Hall serve as the co-leaders of the JRF. They appoint a Steering Committee (“the Committee”), composed of four University faculty and two Chapin Hall researchers who define the fund’s grantmaking guidelines and select projects to be funded. The Provost and the Executive Director amend or affirm awards.

JRF resources are intended to seed new, sustainable partnerships between Chapin Hall and University researchers that further Chapin Hall’s mission, address research questions with policy implications and practical significance, leverage interdisciplinary perspectives, and promise the development of future research. Each institution contributes \$100,000 to the Fund annually. More information is available on the JRF website.

All awards are subject to the following guidelines:

- The minimum award amount for any single research project is \$30,000 and the maximum award is \$100,000, regardless of the proposed project period. (Note: The Committee reserves the right to offer partial funding to projects).
- Research projects may last up to 24 months; start and end dates should be clear in the proposed budget and project plan.
- Project plans must include at least one of the following deliverables: peer-reviewed publication, policy brief, or funding proposal.
- Awarded funds may be utilized for project expenses, including salaries, fringe benefits, paid time off, reasonable travel, and subrecipient expenses, but may not be applied toward overhead costs (i.e., administrative or indirect costs), honoraria, trainings, or conferences.

### Award Terms

Award terms and conditions are outlined in the award letters which include the awarded amount, report due dates, and the project budget. Letters are first signed by the Executive Director of Chapin Hall, then by the Provost of the university, and finally by the co-investigators. Awarded teams should carefully review these terms. Your award letter spells out your reporting requirements. Any significant modifications to your project timeline or budget requires prior review and approval.

## PROJECT MANAGEMENT

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### Fiscal Management

The JRF Funds sit with the University and are disbursed through the Provost's Office. Award letters are filed and shared with the JRF Account Administrator in the Provost's Office who disburses funds to Chapin Hall and the relevant University unit. Chapin Hall invoices the fund monthly.

Any funds not expended within the approved award period must be returned to the JRF account fund. It is understood that awarded funds will be used for such purposes as outlined in the submitted proposal and that no substantial variances will be made to either the scope of work or budget without the Fund's prior approval in writing.

Contact [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org) or the Office of Research for troubleshooting or further assistance with fund disbursement.

### Budgets and Invoicing

For Chapin Hall, budgeting and invoicing are managed by Financial Operations according to standard procedures. University departments typically invoice once or twice yearly. University invoices go to the Provost's Office. We refer awarded teams to their departments and the University Research Administration (URA), and the Provost's office (see contacts) with respect to account set up, internal invoices, and ongoing accounting.

### Reporting

Teams are required to submit annual progress reports and final reports to the JRF. All reports should include budget updates, and a work progress summary of one page or less. The dates for interim and final reports are outlined in the award letter. The final report should be accompanied by any products and other deliverables that may be produced through the course of the project.

**Interim Reports.** Interim JRF project reports serve as a progress check and a means of identifying issues prior to the end of the project period. Co-investigators are required to submit interim reports as a memo to the JRF Committee. They include a spending report and summary that addresses the following questions:

1. Project Update:

Provide a succinct status summary. Is the project on track to meet its proposed timeline, budget, and deliverables? Please describe major accomplishments, progress, any setbacks, and your plans for moving forward. Include any significant changes to the project and/or budget since the grant was awarded.

2. Workplan

If your workplan has changed, please summarize major adjustments and include an updated timeline and corresponding budget. If you foresee that you will not be able to complete the project as planned and during the grant period, please contact Anne Farrell (at [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org)) about requesting a no cost extension.

3. To the extent feasible, please describe plans for final analysis, reporting, and dissemination.

Interim reports should be submitted to [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org) (with a cc: to Anne Farrell) in the format of a brief memo to the committee from both co-investigators.

**Final Reports.** Final reports are due at project close-out. A final report includes 1) a final spending report noting any unspent funds (you will receive a template to assist with this); 2) any final deliverables or products (this is obtained from the Chapin Hall Financial Operations Team in consultation with University Departments and URA, as indicated); 3) a brief memo addressed to the JRF Committee that includes the following elements:

- Description of the research, findings, impact, challenges, and any highlights;
- List/description of products (extant and planned), with completed products appended or linked;
- List/description of future plans for products/presentations;
- Reflection from co-investigators on how the project furthered their own development and portfolios; and
- Plans to extend, expand, or leverage the work moving forward.

Final reports should be submitted to [jointresearchfund@chapinhall.org](mailto:jointresearchfund@chapinhall.org) in the format of a brief memo to the committee from both co-investigators.

The Chapin Hall investigator is encouraged to work with Chapin Hall's Communications department to create a project/report page on the Chapin Hall website to feature the work. We invite each team to present their research during a Chapin Hall lunch & learn presentation or similar forum.

## **MODIFICATIONS TO AWARD TERMS**

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Prior approval by the Committee (or its designees) is required for any substantive project changes. If any questions exist about whether approval is necessary, please err on the side of disclosure and check with the Fund before proceeding. Prior approval by the Fund is required for the following actions:

- Any substantive change in the scope of work and/or project approach, with the Committee (or its designees) having final determination over what qualifies as a substantive change;
- Any redistribution of funds between line items that exceed 15% of the total budget;
- Any change of either principal investigator;
- Any extension of the final budget period;
- Any carryover of unobligated balances for projects lasting more than one year; or
- Transfer of the performance of any substantive programmatic work to a third party.

## **Format of Request**

Project teams frequently request modifications to the scope or timeline of projects. We ask the co-investigators to outline these requests in a memo to the JRF Committee. Requests need to include a spending report and a brief narrative that addresses the following:

- Progress and accomplishments to date.
- Concise description of the reason for the request, including a summary of any setbacks or significant changes to the project and/or budget since the grant was awarded.
- Summary of substantive adjustments to the research questions, methods, and workplan, including an updated timeline and corresponding budget (for both Chapin Hall and University investigators; this usually takes some time to procure).

The JRF Manager first reviews these requests to ensure all the necessary information is reflected, in consultation with the JRF Designees as needed. The JRF Manager then shares the request with the JRF Committee for approval.

## **Approval of Modifications**

After a period of Committee review and comment (or on the recommendation of the Fund Administrator), the JRF Manager notifies the Investigators of a decision and next steps if indicated. The JRF Manager then notifies the Fund Administrator of the approval of modification to budget. All modification materials are then filed.

## APPENDIX A: GENERAL TERMS AND CONDITIONS

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The following term and conditions apply to each award that is made by the Joint Research Fund.

### A. DEFINITIONS:

- a. Fund is defined as the Joint Research Fund.
- b. Award Letter is the notice provided to all selected applicants by the Steering Committee of the Fund.
- c. Award Recipients are principal investigators from the University and Chapin Hall who have been selected to receive funding from the Fund.
- d. Awarded Project is the project selected by the Steering Committee to receive funds from the Fund.
- e. Institution is the individual reference for either the University or Chapin Hall; collectively “Institutions.”
- f. Any and All Materials are tangible reports, analysis, deliverables, studies, publications, training manuals, participant materials, slides, designs, drawings, specifications, documents, software and documentation, computer-based training modules and other work, regardless of format.

### B. INTELLECTUAL PROPERTY:

- a. PRE-EXISTING INTELLECTUAL PROPERTY. To the extent discoveries, inventions, innovations, ideas, formulations, methods, techniques, technological developments, enhancements, modifications or improvements and works of authorship existing as of the beginning date of the awarded project (collectively, “Pre-Existing Intellectual Property”) are owned by either Institution and are incorporated into the Materials developed under an Awarded Project funded by the Fund, the Institution shall retain ownership over their own Pre-Existing Intellectual Property. The Institution shall grant to the other Institution a perpetual, non-royalty-bearing, world-wide license to use the other Institution’s Pre-Existing Intellectual Property when included in the Materials that are developed under an Awarded Project funded by the Fund. To the extent intellectual property owned by a third party is incorporated into the Materials, either Institution will obtain the necessary permissions and/or licenses to use.



- b. OWNERSHIP. Any and all Materials developed or created under an Awarded Project solely by employees of the University (“University IP”) will be owned by the University. Any and all Materials developed or created under an Awarded Project solely by employees of Chapin Hall (“Chapin Hall IP”) will be owned by Chapin Hall. Any and all Materials jointly developed or created under an Awarded Project jointly by employees of Chapin Hall and the University shall be jointly owned (“Joint IP”). The University hereby grants to Chapin Hall a nonexclusive, irrevocable, perpetual, royalty-free, non-sublicensable license to reproduce, publish, copy, or otherwise use, solely for noncommercial purposes, any and all such Materials, including any and all data collected in connection with an Awarded Project in any and all forms in which said data are fixed. Chapin Hall hereby grants to the University a nonexclusive, irrevocable, perpetual, royalty-free, non-sublicensable license to reproduce, publish, copy, or otherwise use, solely for noncommercial purposes, any and all such Materials, including any and all data collected in connection with an Awarded Project in any and all forms in which said data are fixed.
  
- c. PATENTS. The Institutions agree that if the research conducted under an Awarded Project results in a new invention, development, or discovery (collectively “Inventions”), the inventing Institution will promptly disclose the Invention to the other Institution on a confidential basis. Inventorship will be determined in accordance with U.S. patent law (if patentable) or by mutual agreement between the Institutions (if not patentable), taking into account the role and contributions of the individuals involved in the development of the Invention. Ownership shall follow inventorship.
  
- d. DATA RIGHTS. Any additional data rights will be addressed specifically in the Appendix B (“Data Rights & Confidentiality”).
  
- C. PUBLICATION: Either Institution shall have the right to publish the results of research performed under an Awarded Project.
  
- D. ACKNOWLEDGMENT: Each Institution agrees to include the below attribution in a prominent location within publications, reports or other materials that acknowledges the contribution of the Fund:  
  
This [publication, report, other type of material] was funded by the University of Chicago-Chapin Hall Joint Research Fund through [Award Number] to [PI’s names].
  
- E. ASSIGNMENT: Neither Institution may assign, subaward, or delegate any rights, duties, or obligation hereunder without the prior written approval of the Fund.

## APPENDIX B: DATA RIGHTS & CONFIDENTIALITY

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In the performance of this Agreement, the Institutions may receive information from a third party pertaining to proprietary financial, strategic, and personally identifiable information relating to the third party's service population, either in writing or orally, information which the third party deems to be proprietary and/or confidential (hereinafter, "Confidential Information"). Confidential Information shall consist of (i) written information clearly marked as "proprietary" or "confidential" and (ii) oral information reduced to writing within thirty days of oral disclosure and clearly marked as "proprietary" or "confidential." Each Institution shall maintain the confidentiality of any information delivered to it by the third party. The Institutions shall use Confidential Information solely for the purposes of this Agreement. The Institutions shall protect the third party Confidential Information from disclosure using at least the same degree of care as it uses to protect its own confidential information. The disclosure of Confidential Information by the third party shall not of itself be construed as a grant of any right or license with respect to the information. In the event the Institutions are required by law, regulation or judicial or administrative process to disclose any Confidential Information, the Institutions will promptly notify the third party in writing, if permitted by law, prior to making any such disclosure in order to facilitate the third party's seeking a protective order or other appropriate remedy from the appropriate body. This provision shall survive a period of two (2) years after the expiration and/or termination of this Agreement.

Confidential Information does not include information which the Institutions can demonstrate and document: (i) was in its knowledge or possession prior to receipt from the third party; (ii) was public knowledge or becomes public knowledge through no fault of the Institutions; (iii) is or has been properly provided to the Institutions by an independent third party who has no obligation of confidentiality to the third party; or (iv) is thereafter independently developed by the Institutions without reference to the information from the third party.