Contractual Requirements

Contract details the Responsibilities and Obligations of the parties

- **Contractor proposes to conduct a specific scope of work for a cost**
  - *PRCI pays for the legitimate effort to achieve the targeted research outcome*
- **PRCI agrees to pay for reimbursable costs up to the contract cost limit**
  - *What isn't reimbursable?*
    - **Travel not approved by the PRCI PM or first-class air travel**
    - **Costs beyond the contract cost limit**
      - *Note that costs are authorized only on an annual basis – not for future ballot years*
    - **Costs not billed within one year of when they became billable**
    - **Costs that are outside the work scope, as interpreted by the PM supported by the TL**
    - **Costs incurred after a checkpoint or a stage gate, before a "go" was authorized**
      - *Milestone go/no-go checkpoints should be stipulated in the contract*
    - **Costs incurred with scope changes that were not addressed by a contract modification**
    - **Cost incurred by PRCI to address deficiencies so deliverables to conform to specifications**

Contract Fundamentals

- **Identify responsible individuals (PMs of each side)**
- **Establish dates for deliverables**
- **Establish contract payment terms**
  - Progress payments, milestone payments
  - Holdbacks
- **Reporting obligations and report formats**
  - Monthly report, Final report, Final PowerPoint, Webinar
  - Notifications of delays
- **Intellectual property and data rights**
- **Confidentiality obligations**
- **Termination provisions**
- **Indemnifications & limits of liability**
- **Insurance requirements**

Data Management Plan

- **Executive Summary**
  Provide an overview of the plan's purpose, scope, and objectives.
- **Data Ownership & Stewardship**
  Clearly define who owns the data and who is responsible for its management and dissemination.
- **Data Types & Sources**
  List expected data formats (e.g., CSV, JSON, XML) and sources (regulatory reports, historical records, geospatial data).
- **Data Collection & Repository Design**
  Describe how data will be collected, stored, and organized for efficient retrieval and analysis.
- **Data Standardization & Quality Control**
  Outline processes for cleaning, normalizing, and validating data to ensure accuracy and consistency.
- **Confidentiality & Security Measures**
  Include strategies for safeguarding sensitive or proprietary data, addressing privacy concerns, and implementing access controls.

Data Management Plan

- **Data Sharing & Preservation**
  Specify how and when data will be shared, archived, or preserved, and justify if sharing is not possible.
- **Metadata & Documentation**
  Provide details on metadata standards and documentation practices for transparency and reproducibility.
- **Compliance & Legal Requirements**
  Ensure adherence to contractual obligations, non-disclosure agreements, and relevant regulations.
- **Long-Term Storage & Accessibility**
  Plan for secure, sustainable storage solutions to maintain usability over time.
- **Tools & Templates**
  Reference available resources such as the PRCI Data Management Plan Skeleton and transmittal templates for consistency.

Invoicing Fundamentals

- **Invoices are submitted via PRCI.org**
  - **Must have an account with your company on PRCI's website to submit an invoice**
  - **If identified as the accounting representative on a contract, the project should appear on your dashboard**
    - **Search for the contract number on the website, invoices can be submitted via email to accounting@prci.org**
    - **May delay payment processing as no approval notices provided**
- **All invoices must:**
  - **Include the PRCI contract number; may also have project numbers**
  - **Must be broken out by milestone/task**
    - **Invoiced amounts cannot exceed the available balance for a given milestone/task**
  - **The billing period cannot span multiple calendar years**
  - **Many contracts do not obligate PRCI to pay for charges that are more than one year old**
  - **Many contracts have a withholding if the final report has not been received and approved (Article 2B holdback)**

Invoice Approvals

- **All invoices must be approved by the PRCI PM to ensure:**
  - The charges are reasonable for the work that has been completed
  - The work is being performed per the terms of the contract:
    - Based on status updates provided by the Principal Investigator (e.g., monthly reports)
  - Deliverables are received and approved by the project team before holdback is released
  - Charges are not more than one year old (will be changing to a shorter period in the future)
- **A review is also performed by the PRCI administrative staff**

Contractual Requirements – End of Year Reporting

Enter a Contractor Update in PRIME

- Summarize work completed during the year in "Work Completed This Period"

- Outline next year's plan in "Work Planned for Next Period"

- Submit all charges for the prior year by January 31. (Any work performed in 2026 must be invoiced separately from work performed in 2025)

- Include detailed costs incurred to date, consistent with the contract.

Intellectual Property Release

- **All contractor presentations slated for non-PRCI venues require an IP release form**
  - Contractor completes the form – available from PRCI's website (Research, Contractors Resources, Documents)
  - Submits to PRCI PM and project team leader
  - Project team has to agree with the venue/content
  - A project team member is recommended to be a co-author
- **Required even after the report is published**
- **Why is an IP release required?**
  - Allows PRCI to track where/what/when information is presented
  - In some cases, requires copyright negotiation
  - Assures the content is suitable for the venue
  - Protects the contractor relative to the confidentiality clause of the contract
- **Preferred (but not always required) that the final deliverables have been approved by the project team and the results have been made available for public release (sale)**

Posting Documents

- **PRIME functions as a good central repository for project related documents. Generally, it is the responsibility of the Contractor to post all project related documents to PRIME. At a minimum this includes test plans, task reports, draft final reports, and meeting presentations**
    - Project related data, spreadsheets, etc. must also be posted per the contract when the project is completed
- **Contract status updates are <u>not</u> posted as a document. Rather, they should be entered in the Contractor updates section of the project.**

Posting Documents

- **Project final deliverables (draft final report, final report, or software deliverables)**
  - Most final deliverables require conformance to PRCI's PRCI Final Report and Software Specifications
  - A checklist is available to grade conformance to that specification
  - **Revisions should be emailed rather than posted**
    - **New postings require a new vote**
    - **Coordinate with the Program Manager**

Posting Draft Final Reports/Software

- **Post draft reports in Word format**
  - Allows revision tracking/comments by the project team
  - Allows the contractor to merge/accept/reject edits

- **Project deliverables must be approved by the project team**
  - Requires a 50% quorum unless the project team decides on an alternate approach
  - Vote
    - Approve
    - Approve with noted exceptions
    - Reject
      - A single reject vote requires a new vote
    - Abstain

New Report Format

- **All backup information moved to appendices**
- **Focus on:**
  - Why the work was done (what was the gap)
  - How to address the issue/close the gap
  - How to implement/use
- **Main body (before the references) should be relatively short**
  - E.g., < 40 pages
  - Recommendations are for how to implement the research
    - Follow-up ideas should be added as ideas to PRIME
- **To minimize rewrites, it is recommended to:**
  - Review a detailed outline with the project team
  - Provide periodic reviews during the writing

Deliverable Revisions

- **Addressing project team comments/issues**
  - If Approved, nothing further needs to be done
    - PRCI staff will convert to a PDF and post as a final report
  - If Approved with noted exceptions
    - Address comments, a project team call may be required to address conflicting viewpoints
    - Email or Dropbox a clean version in PDF format and MS Word
    - Complete the revision tracking spreadsheet (if PM approves, may use Word version compare)
    - If PM/team agrees revisions are satisfactory, the draft will be overwritten with the final version
  - If rejected, post a new document in Word format
    - PRCI staff will supersede the previous version
    - A new round of voting will be required

Resources

- PRCI Webinar Tutorials
- *Contractors Handbook*
- *Technology Readiness Levels*
- *PRCI Final Report and Software Specifications*
- *PRCI Final Report Skeleton* (Reminder to download the latest)
- *Revisions Tracker for PRCI Final Reports* (Example)
- *PRCI Report Specification Conformance Checklist*
- *PRCI Project Cost Estimating Schedule*
- *PRCI Intellectual Property (IP) Release Form*
- *Sample Contractor Invoice*

thank you