

MEMO

Date: September 9, 2011
To: The DU Community
From: Scott Lumpkin, Vice Chancellor, University Advancement
Jerry Mauck, Assistant Controller, Research Administration
Subject: *Working with Corporate, Foundation, Organization, and Government Funding Sources*

There are two departments within the University of Denver that support work with corporate, foundation, organization, and government funding—**University Advancement (UA)** and the **Office of Research and Sponsored Programs (ORSP)**. All proposals to external funding entities must be submitted in partnership with one of these offices. The attached guidelines will help you to determine whether funding, if received, might be considered a charitable contribution (to be processed through UA) or a sponsored program (to be processed through ORSP).

University Advancement (UA) coordinates all philanthropic proposals, including those to foundations and corporations. Such coordination allows DU to establish strategic relationships with our donors and to avoid inappropriate or embarrassing submissions of duplicate or ineligible proposals. In rare cases, foundations allow multiple submissions, but most will accept only one proposal per year from an institution. UA is especially sensitive to local funders, most of who either select projects to support or are interested in funding the institution's stated priority areas. UA will alert you to these restrictions, guide you to the best possible sources of funding, and help to ensure that your proposal conforms to the donor's guidelines. UA will also make certain that necessary University approvals are received prior to submission and/or acceptance of awards. Please contact Leigh Elliott (contact information below) prior to initiating communication of any kind with a foundation.

In addition, UA supports philanthropic activities with corporations on a limited basis. Corporate relationships often involve a diverse set of activities such as recruiting, technology transfer, and executive education. As such, UA generally focuses its efforts on corporations that operate corporate foundations and/or have existing relationships with the University of Denver. Although no goods or services are exchanged, a growing number of corporations have high expectations for recognition. UA can assist in navigating the complicated landscape of corporate philanthropy. As such, before approaching any corporation for philanthropic support, please contact Leigh Elliott.

The Office of Research and Sponsored Programs (ORSP) will work with you to seek non-charitable support from government agencies and other entities including corporations. ORSP can direct you to funding opportunities and guide you through the maze of requirements in preparing proposals and administering awards. When a sponsor awards a contract, ORSP will assist you in meeting the terms and conditions of the award—such as providing financial reports, and facilitating any audit or other compliance requirements. Because of regulatory and compliance requirements, it is especially important to work through ORSP if your project entails the use of human subjects, animals, or may result in patentable technology. ORSP will provide institutional signatures that bind the university and provide assurance of compliance with all appropriate laws and regulations.

ORSP and UA work together closely and regularly refer members of the DU community to each other. The following chart is designed to provide guidance as to where to initiate contact should you be pursuing external funding. Because each award has its own special circumstances, the attached list is a guide and not considered exhaustive. We encourage you to contact either office with questions or if you are in need of assistance. Please contact UA or ORSP at:

Leigh Elliott	Director, Foundation Relations	1-7469	leigh.elliott@du.edu
Julie Cunningham	Manager, Sponsored Programs Administration	1-4039	jcunnin2@du.edu

Guidelines for Determining the Appropriate DU Office to Assist You in Seeking External Funding

Any one of these guidelines may not be the determining factor in deciding whether external support is a charitable contribution or a sponsored program. ORSP and UA will work with you to determine which office best represents the needs of your project and of the University. Of note, the term grant can refer to either a philanthropic contribution or a sponsored program so use of this term by a funding entity does not in itself provide guidance as to which office will assist you.

University Advancement (UA)	Office of Research and Sponsored Programs (ORSP)
A contribution with charitable intent and no expectation of exchange of reciprocal value. May be for restricted or unrestricted use.	A contract, for specific work or deliverables. Exchange of reciprocal value between the University and Sponsor.
Donor may be private individual, charitable foundation, corporation, or other organization.	Sponsor may be government entity, research foundation, or corporation.
Applications are reviewed by a board of “lay” persons or the donors themselves.	Proposals are reviewed by peers, proficient in the academic discipline or research interest area.
Reports and financial statements to the donor are of a general nature and ensure the gift has been used as represented in the request.	Reports and financial statements to the sponsor require detailed reporting and/or accounting.
May be subject to general donor audits.	Audits are required by sponsor or government regulation, e.g., A133 audits.
There is no use of human subjects or animals in research, hazardous materials, etc.	Proposal must include assurances of compliance regarding use of human subjects, animals, biohazards, and other laws and regulations.
If the project or program is not implemented, the contribution may be returned or may be transferred to another project or program at the donor’s discretion.	Funds not spent must be refunded to the sponsor.
Results belong to the recipient organization.	Proprietary results belong to the sponsor after the work is completed.
Results of the work have no commercial value for the donor.	Results of the work have a specific commercial value for the sponsor.