

MEMO

Date: February 21, 2013
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 gift (to be processed through UA) or a sponsored program (to be processed through ORSP).

Enclosed are three tables that depict the administration of funds that are clearly either: (a) gifts or (b) sponsored programs, as well as (c) philanthropic research. In addition to the charts, a checklist is also enclosed that can be used by DU staff to further define where proposals should be administered.

Proposals submitted and funds received that are philanthropic, as defined by the IRS, will be fully managed and administered by **University Advancement (UA)** and will not have involvement of the **Office of Research and Sponsored Projects (ORSP)**. On the other hand, proposals submitted and funds received that fall under an active IRB will be fully managed and administered by the offices of ORSP.

As part of these new procedures, indirect costs **WILL** be included in any proposals to foundations that allow this expense. Indirect costs will **NOT** be included if not allowed by a funder, or if a funder has denied them previously. The inclusion of indirect costs will be part of the project/proposal budget development process. It is the proposal writer's responsibility to inquire with the funder whether indirect costs are allowable. The funder will **NEVER** be contacted regarding direct costs after the proposal has been submitted.

ORSP and UA work together closely and regularly refer members of the DU community to each other. The enclosed tables and checklist are 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 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:

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Julie Cunningham	Manager, Sponsored Programs Administration	1-4039	jcunnin2@du.edu

DU Grant Administration Process Gifts

Philanthropic Proposals meet the following guidelines:

- The donor is providing general support for a project, typically from an organization such as a foundation, corporation, or trade association.
- The donor is not receiving anything in return for financial support (no quid pro quo or contractual obligations).
- The University provides stewardship, which will include narrative and financial reports to the donor during the gift period and/or after all funding has been distributed.
- The University owns any results, research, or intellectual property produced as a result of the funding.

Action	Response	Responsible Party
Pre-Submission		
Faculty call with need for funding	Refer to UA for foundation funding research assistance and strategy development and ORSP for grant assistance	UA/ORSP
Faculty call to confirm proposal intent	Confirm proposal's philanthropic status through checklist	UA/ORSP
Proposal identified as philanthropic	Faculty member referred to UA for administration	ORSP
Philanthropic proposal complete	Confirm proposal eligibility with funder and coordinate with university priorities	UA
Submission		
Assemble philanthropic proposals	Assemble complete foundation proposal, including number of copies and attachments and submit to funder	UA
Philanthropic proposal submitted to funder	Complete proposal in Banner and set up project administration	UA
Implementation		
Philanthropic agreement received and returned to funder	Process agreement, including all signatures	UA
Communicate with funder	Thank you for financial support, periodic updates on project, etc.	UA
Manage all reporting timelines	Communicate gift requirements to the faculty member	UA
Write required interim and final reports	Work with faculty to write reports	UA
Budgeting and financial reporting	Manage all financial reporting requirements with faculty member and budget officer	UA

DU Grant Administration Process Sponsored Projects

Sponsored Project Proposals confirm to the following requirements:

- All government support.
- Support that includes a contract or specific deliverable to the funder.
- Any funding that requires an audit, such as an A133, or government regulation.
- Proposals that include assurances of compliance regarding use of human subjects, animals, biohazards, and other laws and regulations.
- Projects in which the proprietary results belong to the funder or have a commercial value for the sponsor.

Action	Response	Responsible Party
Pre-Submission		
Faculty call with need for funding	Refer to UA for foundation funding research assistance and strategy development. Refer to ORSP for sponsored project assistance	UA/ORSP
Faculty call to confirm proposal intent	Confirm proposal's grant status through checklist	UA/ORSP
Proposal identified as sponsored project	Faculty member referred to ORSP for administration	UA
Sponsored project proposal complete	Confirm proposal eligibility with funder	ORSP
Submission		
Assemble sponsored project proposals	Assemble complete proposal, including number of copies, and attachments	ORSP
Proposal submitted to funder	Complete proposal in Banner and set up project administration	ORSP
Implementation		
Sponsored project agreement received and returned to funder	Process agreement, including all signatures	ORSP
Manage all reporting timelines	Coordinate with faculty/PI	ORSP
Write required interim and final reports	Work with faculty to write reports	ORSP
Budgeting and financial reporting	Manage all financial reporting requirements	ORSP

DU Grant Administration Process Philanthropic Research and/or an IRB

General breakdown of responsibilities is as follows:

ORSP: Administrative Managers—Responsible for the compliance and grant administration aspect, including: obtaining signatures for agreements; budget oversight; and IRB management; interim and final reports.

UA: Relationship Managers—Responsible for managing all aspects of the proposal and gift that involve relationships, including contacting the foundation, submitting any documents to the foundation, and assisting in the writing of any documents such as proposals and/or reports.

Action	Response	Responsible Party
Pre-Submission		
Faculty call with need for funding	Refer to UA for foundation funding research assistance and strategy development and ORSP for grants assistance	UA/ORSP
Faculty call to confirm proposal intent	Confirm proposal's philanthropic grant status through checklist	UA/ORSP
Proposal identified as fulfilling philanthropic grant requirements	Faculty member referred to UA for proposal development, strategy, and writing	ORSP
Philanthropic grant proposal complete	Confirm proposal eligibility with funder and coordinated with university priorities	UA
Submission		
Assemble philanthropic grant proposals	Assemble complete foundation proposal, including number of copies and attachments	UA
Philanthropic grant proposal submitted to funder	Send full copy of proposal to ORSP to "open file"	UA
Philanthropic grant proposal submitted to funder	Set up access in Banner	ORSP
Implementation		
Philanthropic grant agreement received	Process agreement, including all signatures	ORSP
Philanthropic grant agreement submitted to funder	Send full copy of agreement to UA	ORSP
Communicate with funder	Thank you for financial support, periodic updates on project, etc.	UA
Manage all reporting timelines for philanthropic grants	Send full copy to UA after reports are submitted to funder	ORSP
Write required reports for philanthropic grants	Work with faculty to write interim and final reports	UA
Budgeting and financial reporting for philanthropic grants	Manage all financial reporting requirements	ORSP