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# **Auburn's Extramural Funding: A Team Approach**

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**AU Sponsored Programs**

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# Who's on first?!?

When it comes to the roles of the  
Office of Development and the  
Office of Sponsored Programs....

**...sometimes we suffer confusion and wonder...**



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# The Highlights

- ▶ *Collaborative team goals*  
*Discussed – June 2012 SPAN Meeting*
- ▶ Respective roles and responsibilities of each office
- ▶ Exchange transaction decision process
- ▶ *Updated policy and checklist*  
*Discussed – June 2012 SPAN Meeting*

# Roles and Responsibilities

## ► Corporate & Foundation Relations:

- Focuses **externally** on broad partnerships and relationship-building activities on Auburn's behalf with corporations and foundations
  - Provide an infrastructure for prospect coordination, planning and solicitation to assist university units
  - Serve as a liaison between these entities and Auburn's academic and research units
- Solicit contributions from corporate and foundation entities, particularly for multi-unit proposals
- Coordinate stewardship and recognition efforts for corporate and foundation support

# Roles and Responsibilities

## ► Office of Sponsored Programs

- Focus **internally** with faculty to prepare and submit proposals to federal, state, corporate and private entities
- Review and approve proposals to determine compliance with Auburn policies and applicable sponsor, state or federal regulations
- Write and execute sub-agreements with other institutions
- Negotiate awards on Auburn's behalf
- Monitor programmatic aspects of projects from proposal development through project close-out

# Is it a gift, grant or exchange transaction?

## ► Gift

- A **voluntary, non-reciprocal** and **irrevocable** transfer of cash or other assets from a donor without any expectation of/or **receipt of direct economic benefit** or **provision of goods or services** from the **recipient**.

# Is it a gift, grant or exchange transaction?

## ► Grant

- A form of assistance made in response to a **submitted proposal** that formalizes the transfer of money or property from a sponsor **in exchange for a specified, anticipated outcome**.
  - A commonly used but non-specific term.
  - “Grants” may be gifts (non-exchange transactions) or may be exchange transactions. The exchange dictates the direction.
  - All grant characteristics must be considered to determine it is an exchange or non-exchange transaction.

# Is it a gift, grant or exchange transaction?

## ► Contract

- An **agreement** made in response to a proposal that formalizes the **transfer of money or property** from a sponsor **in exchange for specified services** (e.g., research and development), sometimes including proprietary rights to products derived.
  - A contract is, by definition, an exchange transaction.
  - A contract is usually very restrictive.
  - It constitutes an agreement between the parties that gives each a legal duty to the other.



# Is it a gift, grant or exchange transaction?

## ► Exchange Transaction

- A transaction where the **giving party** (sponsor) **receives something of value in return for giving something of value** (e.g., receiving research data in exchange for a grant).

# Who “counts” what?

## ► Office of Development

- “counts” non-exchange transactions from private sources:
  - gifts/contributions
  - “grants” determined to be non-exchange transactions

## ► Office of Sponsored Programs


- “counts” support for research, instruction, public service and outreach, and cooperative extension from
  - public sources: federal, state and local government
  - private sources
  - non-exchange transactions (grants)
  - exchange transactions (grants, contracts)

# Can the same award be counted by both?

## ► Absolutely!

- Each office uses different reporting guidelines appropriate to its mission and role within the university
- As expected there will be overlap, but don't add the two reports together

# Gifts and Sponsored Projects Policy



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Administrative Functional Field : Financial - Budget Services (3)

Requests for State Funds Policy

Restricted Funds Transfer Policy

Service Centers and Other Income Accounting Policy

Administrative Functional Field : Financial - Business Office (4)

Collections Contributions and Accounts Receivable Policies

Credit Card Policies

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Administrative Functional Field : Financial - Contracts & Grants (1)

Contracts and Grants Accounting Policies and Procedures

Administrative Functional Field : Financial - Controller/Financial Reporting (9)

Department Error Correction Policy

Direct Cost Policy

Administrative Functional Field

Responsible Office

Financial - Budget Services

Business Office

Financial - Budget Services

Business Office

Financial - Budget Services

Business Office

Financial - Business Office

Business Office

Financial - Business Office

Business Office

Financial - Business Office

Business Office

Financial - Business Office

Business Office

Financial - Business Office

Business Office

Financial - Contracts & Grants

Business Office

Financial - Controller/Financial Reporting

Business Office

Financial - Controller/Financial Reporting

Business Office

[www.auburn.edu/policies](http://www.auburn.edu/policies) ► Financial

# Gifts and Sponsored Projects Policy

Auburn University  
Income Classification Checklist (Gifts and Sponsored Projects)

Please complete this form by answering each question. If you have questions related to the form, see the official policy at [www.auburn.edu](http://www.auburn.edu)

Amount: \_\_\_\_\_ Donor/Sponsor: \_\_\_\_\_

	Yes	No
1. Was a formal proposal required to obtain these funds? If yes, please describe: _____	<input type="checkbox"/>	<input type="checkbox"/>
2. Is a deliverable required? If yes, please describe: _____	<input type="checkbox"/>	<input type="checkbox"/>
3. Is AU required to return unexpended funds?	<input type="checkbox"/>	<input type="checkbox"/>
4. Is there a specific period of performance?	<input type="checkbox"/>	<input type="checkbox"/>
5. Will use of these funds involve animal subjects, human subjects, recombinant DNA or biological hazards, radioactive or other hazardous materials? If yes, please ensure that proper compliance committee protocols are in place before work is begun or funds are expended.	<input type="checkbox"/>	<input type="checkbox"/>
6. Are there publication restrictions, attributions, and/or permissions required? If yes, please describe: _____	<input type="checkbox"/>	<input type="checkbox"/>
7. Was a budget required for anticipated expenditures? If yes, please describe: _____	<input type="checkbox"/>	<input type="checkbox"/>

If you answer "No" to every question, proceed to complete AU Office of Development Gift/Pledge Records Form (available through a Development representative) and submit to AU Development Accounting.

If you answered "Yes" to any of the questions other than question #5, please contact your Sponsored Programs Contract Administrator to determine how your deposit should be routed.

"I certify the above is a true representation of the expectations surrounding the giving and receipt of the above referenced funds and that the designation of monies as a gift is accurate to the best of my knowledge. I certify that this request is in compliance with Auburn University/Auburn University Foundation Policy to identify and administer gifts and sponsored projects."

\_\_\_\_\_  
Date: \_\_\_\_\_

\_\_\_\_\_  
EMAIL: \_\_\_\_\_ PHONE: \_\_\_\_\_

\_\_\_\_\_  
Date: \_\_\_\_\_

Prepared by: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewed by: \_\_\_\_\_ Date: \_\_\_\_\_  
Department Head/Center Director

Approved by: \_\_\_\_\_ Date: \_\_\_\_\_  
Dean

## AU Income Classification Checklist

- ▶ Issues are complex
- ▶ Checklist is a guidance document
- ▶ Proper classification protects the University, the faculty member, the donor and the sponsor
- ▶ Unique cases are discussed in our monthly collaboration meetings



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# Questions?

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