Auburn’s Extramural Funding: A Team Approach

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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...
The Highlights

- Collaborative team goals
  
  Discusses – June 2012 SPAN Meeting

- Respective roles and responsibilities of each office

- Exchange transaction decision process

- Updated policy and checklist
  
  Discusses – 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.
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.
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.
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.
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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www.auburn.edu/policies ➤ Financial
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
Questions?

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