Proposal and Solicitation Routing Procedures for Schools and Units with Institutional Advancement (Development Office) and Sponsored Programs

Institutional Advancement / Development Office

Council for Advancement and Support of Education (CASE) Management Reporting Standards states: “The difference between a private grant and a contract depends on the intention of the awarding agency and the legal obligation incurred by an institution in accepting the award. A grant, like a gift, is donative in nature; it is bestowed voluntarily and without expectation of any tangible compensation. A contract carries an explicit quid pro-quo relationship between the source and the institution. Government grants – whether local, state, federal, or foreign – should be excluded.”

Institutional Advancement (IA) has strategies that include seeking support from private funding agencies, i.e., foundations and corporations; therefore, IA, OSP, and Schools / Center will work closely with one another to ensure coordination of all proposals to private funders.

IA has a role for acknowledging certain grant, as well as gift, income from non-governmental sources in compliance with IRS requirements for 501(C)(3) entities.

IA often participates in negotiation and acceptance of private awards, particularly when donor relationships are at stake, though when criteria apply (see right column) OSP must participate and approve.

Office of Sponsored Programs will continue to provide to Institutional Advancement access to the proposal / award database and assist with enhancing access capabilities.

Non-governmental funding will count as both philanthropic support and research support.

Office of Sponsored Programs

All governmental or government-related funding must be processed through OSP and will not count as philanthropic support.

Non-governmental funding must be processed through OSP, if:

- IRB / IACUC approval is required; or
- Review or authorization by the Environmental Health and Safety Office which includes biosafety, chemical safety, asbestos, radiation safety and immunization is required; or
- A conflict of interest is identified; or
- There is any other research compliance issue (such as intellectual property, time and effort reporting); or
- There are conditional obligations of the funding (such as space, employment requirements, specific scientific or financial reporting).

Funding support that does not involve any of the above does not need to be processed through OSP and counts as philanthropic support.

All reporting and financial responsibility for grants routed through OSP resides with OSP and OGCA.

OSP will fax the cover page of the application to any foundation or corporation to central IA within 24 hours of receipt.

Proposals and solicitations that are not required to be routed through OSP will still be routed through the Office of Business and Finance for each School or Center, as appropriate, using an Institutional Advancement routing form.

(4/20/04)
OSP and IA Proposal Decision Tree

Proposal Development

(Research, Education, Training, Public Service)

Review & Approval Department Level

Review & Approval Dean's Office or equivalent (or if applicable EVP or President)

Sponsorship Type A & B:
Proposal and Award processed by OSP (If Sponsorship B: school will notify IA after submission)

Sponsorship Type C:
Proposal processed by OSP with IA prior concurrence, Award processed by OSP

Sponsorship Type D:
Proposal processed by IA (if government funds involved need OSP/OGCA prior concurrence), Award processed by IA unless any compliance question is yes then processed by OSP

Sponsorship Type

A. Government sponsorship (or flow through)?

B. Foundation, Corporation (non-government), solicited, public announcement?

C. Foundation, Corporation (non-government), unsolicited (no public announcement?)

D. Foundation, Corporation (non-government), unrestricted gifts?

Compliance Questions

Involves conditional obligations (e.g., time & effort, space, employment requirements, scientific reporting including technical or final reports, financial reporting, indirect costs, contingent payments, budget or spending restrictions or timetable, audits, or return of unused funds)?

Requires review or approval by Environmental Health and Safety Office (e.g., biosafety, chemical safety, asbestos, radiation safety, immunization)?

Involves intellectual property (e.g., proprietary rights, background rights, copyright, confidential information, disposition of tangible or intangible property), indemnification, restrictions or monitoring of publications or research data?

Requires review or approval by IRB or IACUC?

Involves individual or institutional conflict of interest or commitment?