

# OFFICE OF CONTRACTS AND GRANTS and ADVANCEMENT

## Proposal and Award Coordination Process

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The Office of Contacts and Grants (OCG) and the Office of Advancement serve the University of Dayton in two different capacities. OCG provides assistance to faculty and in the pursuit and administration of awards for sponsored programs. A sponsored program is defined as an externally-funded research or scholarly activity for which a formal written agreement, i.e., a grant, contract, or cooperative agreement, is entered into between the University of Dayton and the sponsor. Advancement is responsible for creating awareness, building relationships and generating support for the University's mission. While the offices serve different purposes, there is an opportunity for increased collaboration with regard to the pursuit and accounting of funding from foundations and other organizations. This process outlines the steps for enhanced coordination to achieve more comprehensive reporting and tracking of funding from non-governmental entities where the sponsor indicates a charitable intent.

Benefits of this increased coordination include, but are not limited to, the following:

- Transparent communication for optimization of resources available to seek external funds
- Optimized opportunity for customized short and long-term strategies
- Improved charitable reporting to align with peers
- Appropriate administration of funding to ensure University compliance
- Increased identification and optimization of campus-wide opportunities
- Increased clarity of roles and coordination between offices to improve the culture of grant seeking across campus

This document outlines an initial coordination model that can be modified, if necessary, as the process develops.

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### **PROPOSAL STAGE**

Indicators for OCG to recognize the need for potential coordination with Advancement include, but are not limited to, the following:

- The term "charitable" is used in guidelines or the application process description
- The funder designates the recipient must be a 501(c)3 (A 501(c)3 is a tax exempt, non-profit organization designated by the IRS.)
- The funder requests the applicant's IRS 990 form (A 990 is an annual reporting form 501(c)3 organizations must file with the IRS. They are public record.)
- The term "foundation" is in the title of the organization and the sponsor is not a government funding agency
- The term "grant" is used and the sponsor is not a government agency

In these instances, OCG will communicate with Advancement to review and determine if the funds are charitably intended (pre-award review).

If both offices agree that the funds are charitably intended, per the pre-award review, Advancement will support the proposal in the following ways: proposal positioning, amount requested, type of request, donor communication, donor perspective consultation, University requested information and documentation, budget and narrative review, University leadership commitment and other resources as needed. Advancement requires that a Pre-Proposal Template be filled out by the primary faculty/staff member (PI) prior to beginning the process. Advancement will record all funder communication in database for historical record and to identify any appropriate future strategy.

If it is determined that OCG should administer the award due to a variety of possible characteristics, as outlined in the University of Dayton Office of Advancement Gift vs. Sponsored Programs document<sup>1</sup>, OCG will prepare and submit the proposal in accordance with established proposal procedures for sponsored programs.

### **AWARD STAGE**

If OCG or Advancement receives notification of an award, it is agreed that one will communicate appropriately to the other, as well as to appropriate faculty and staff. OCG and Advancement will review the award documentation to determine if the award is charitable per Internal Revenue Service (IRS) and Council for Advancement and Support of Education (CASE) guidelines<sup>2</sup>. The Vice President for Research, Vice President for Advancement, and Vice President for Finance and Administrative Services can perform a higher level review, if needed.

### **AWARD ADMINISTRATION STAGE**

When payment is received by OCG for what has been determined as charitable giving, OCG will forward the payment to the Director of Development for Foundation Relations in the Advancement office, along with identification of the Banner fund account number to which the funds should be posted. This fund account number will be established by OCG prior to submission to the Director of Development for Foundation Relations. The Director of Development for Foundation Relations will complete a gift processing form and submit to Advancement Records. The check will be deposited in the development clearing account, 285000 and will be posted (i.e., transferred) to the fund account identified by OCG at the end of the month for administration.

If either Advancement or OCG receives charitable funding which required coordination under this policy and such coordination did not occur, then they will share this information and determine what steps need to be taken, if any, to comply with the process outlined above.

### **AWARD ACKNOWLEDGMENT & REPORTING**

Appropriate tax receipts will be sent and Advancement will help determine proper acknowledgment with the Principal Investigator (PI). The gift will be included in the organizational stewardship calendar as appropriate (i.e.: event invitations, annual updates, etc.)

Reporting requirements will be recorded in OCG and Advancement, as well as with the PI. The PI will drive the content per the Goals and Measurable Objectives indicated in the proposal. Research Accounting will manage financial reporting. Advancement can provide assistance with report narrative editing and recommendations, donor communication of the report and other resources as determined.

### **UNIVERSITY FINANCIAL REPORTING**

In Advancement reports to the University of Dayton Board of Trustees, charitable funding that is administered through OCG will be identified as a separate line item and unit. The overall "UDRI" charitable funds total will be included in University campaign and fundraising totals and will be submitted to the VSE (Voluntary Support of Education) for peer comparison reporting.

The dollar amount per year that will be affected will vary widely depending upon the year, relevant proposals, and charitable determinations and so on.

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<sup>1</sup> Reference Documents - University of Dayton Gift vs. Sponsored Programs document

<sup>2</sup> Reference Documents - IRS Publication 526; CASE Reporting Standards & Management Guidelines