Gifts vs Grants

• Our discussion today will revolve around grants and contracts received from Foundations and Non-profits.

• First we must have an understanding of how gift funds differ from grant funding
Proposals

Notify the Relevant Offices at Duke

ORA/ORS
CFR/Medical Center FR

• Why?
• Who notifies?
  • Faculty
  • Grant Managers

Proposals

Sponsor Expectations

• RFPs/RFAs/Calls for Proposals/Guidelines
  o Submissions limited by Sponsor
  o Internally Managed Opportunities
    ➢ Which Funders are Internally Managed?
    ➢ Why?
Proposals

Types of Non-profit Funders

• Foundations
  o Private foundations
  o Family foundations
  o Community foundations
• Corporate Philanthropy
• Professional Associations / Societies
• Non-Governmental Organizations
• Non-Profit Interest Groups
• Other Non-profits

Types of Proposals

• Letters of Inquiry
• White Papers/Position Papers
• Full Proposals
  o Multi-Phase Proposals

Sponsor Requirements that Conflict with University Policy
Proposals

**Sponsor Submission Process**

- Online Submissions
- Electronic (email)
- Hard-copy

Who Submits?
Being clear about who has final responsibility

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**Submission Process (continued)**

- **Timeline**
  - Pre-Award Deadlines
    - Waiver May Not Guarantee Submission
  - Physical Signatures/Letters of Endorsement
  - Multiple Reviews

- **Prior Approvals**
  - Why?
  - How to get them / Timeliness
Proposals

Budgeting

• 3 types of budgets
  o Programmatic
  o Need Based
  o Anticipated Expenditures (lines up with Duke’s accounting system)

Proposals (continued)

• Sponsor-defined Allowable Costs
• Foreign Currency
  o Specified Rate
  o Revenue Issues
  o Foreign Subcontracts
Proposals

Budgeting (continued)

- Graduate Students and Post-docs
  - Compensatory vs Non-compensatory payroll
- Cost-sharing
- Fringe rates
  - Awareness of Prime Sponsor
  - Fringes on Fellowships

- Subcontracts
  - Foreign Subcontractors
  - Re-granting Programs
  - F&A limits on Subcontracts
Proposals

Budgeting (continued)

• Tuition Remission
  o Will sponsor allow?

• F&A
  o Written verification of rates
  o Historical knowledge of what rates to use

Proposals

Institutional Data

• Where to find it
• Annual Information
• Institutional Data vs. School/Department/Center/Program Data
Proposals

What to do if you are rejected?

• Prepare for next round
• Graciousness
• Make sure you are using all of Duke’s institutional resources

Award Acceptance

Types of Awards

• Letter
• Check/Wire-transfer
• Email
• Grant Agreement (No Signature)
• Grant Agreement (Signature)
• Contract
• Other Awards (Not a Sponsored Program)
Award Acceptance

What to do with your award letter?

- Pre-Award Office
- Development Office

Award Acceptance

Award isn't what you were expecting?

Negotiations

- Duke-required Changes
- PI/Department-Requested Changes
  - Intellectual Property
  - Special Programmatic Provisions
- Reporting Requirements
Award Acceptance

Grant Period vs. Reporting Dates

• Confirm if the distinction isn’t clear
• Ask Pre-Award to negotiate if needed

Ancillary Agreements

• Material Transfer Agreements
• Memorandums of Understanding/Agreement
• Intellectual Property Agreements

Award Acceptance

Process of Negotiation

• Multiple Offices
• Managing PI Expectations
• Managing Sponsor Expectations
Award Acceptance

Who signs for Duke University?

- Not You, the PI, or the Dean/Chair/Director
- Why? Protection of University's Reputation and Relationships

Award Management

- Roles & Responsibilities
- Review Award & Documentation
  - Manage the Award You Received (not the one that you have in your head)
  - Start on the Start Date
  - Make Sure that Sponsored Programs Processes It Correctly
    - Award Dates
    - Budget in Duke’s Financial System
Award Management

• Programmatic Changes
• Administrative Changes
  • Prior Approvals
    o Who Approves for Duke University?
    o Who Approves for the Sponsor?
  • Format
  • Matching Programmatic Changes to the Budget

Award Management

Administrative Changes (continued)

• Rebudgeting
  o Allowable to Sponsor?
  o Reality vs. Plan at time of Proposal
  o Prior Approval vs. Authority (or Limited Authority) to Rebudget
  o Miscellaneous / Other Costs
Award Management

Administrative Changes (continued)
- No-Cost Extensions
- Carry-Forward Requests
- Other Administrative Changes

Award Management

Reporting
- Understanding requirements
- Grant Reporting vs. Gift "Reporting"
- Who Does What?
- Sponsor Required Forms/Systems
  - Specific Forms
  - Online Reporting Systems
Award Management

Reporting (continued)

- Invoicing
  - Grants vs. Gifts
  - Cost-reimbursement
  - By Schedule of Deliverables
  - Payment Schedules
  - Coordinate with Sponsored Programs Office

- Coordination of Technical/Narrative and Financial Reports
- Reporting Dates vs. Program Dates
Award Management

Revenue

• What Goes to Whom? Where does it go and who does what with it?
• Checks
• Wire Transfers
• Holding Accounts
• Monitoring Revenue
  o What to Do if a Payment Doesn't Arrive?
• Receipt of Payment May Be Dependent upon Reporting

Investment Income

• What to do with it? Additive?
• Reportable to Sponsor?

Monitoring

• Has the Money Been Spent?

Asset Disposition

• Export Controls
• Allowableness
Contact Information

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