

Symposium for Research Administrators



Reengineering Research Administration

Working with Foundations and Non-Profits: a Basic Primer

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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

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Proposals

Notify the Relevant Offices at Duke

ORA/ORS

CFR/Medical Center FR

- Why?
- Who notifies?
 - Faculty
 - Grant Managers

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Proposals

Sponsor Expectations

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

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Proposals

Types of Non-profit Funders

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

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Proposals

Types of Proposals

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

Sponsor Requirements that Conflict with University Policy

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Proposals

Sponsor Submission Process

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

Who Submits?

Being clear about who has final responsibility

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Proposals

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

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Proposals

Budgeting

- 3 types of budgets
 - Programmatic
 - Need Based
 - Anticipated Expenditures (lines up with Duke's accounting system)

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Proposals

Budgeting (continued)

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

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Proposals

Budgeting (continued)

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

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Proposals

Budgeting (continued)

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

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Proposals

Budgeting (continued)

- Tuition Remission
 - Will sponsor allow?
- F&A
 - Written verification of rates
 - Historical knowledge of what rates to use

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Proposals

Institutional Data

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

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Proposals

What to do if you are rejected?

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

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Award Acceptance

Types of Awards

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

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Award Acceptance

What to do with your award letter?

- Pre-Award Office
- Development Office

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Award Acceptance

Award isn't what you were expecting?

Negotiations

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

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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

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Award Acceptance

Process of Negotiation

- Multiple Offices
- Managing PI Expectations
- Managing Sponsor Expectations

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Award Acceptance

Who signs for Duke University?

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

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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

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Award Management

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

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Award Management

Administrative Changes (continued)

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

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Award Management

Administrative Changes (continued)

- No-Cost Extensions
- Carry-Forward Requests
- Other Administrative Changes

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Award Management

Reporting

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

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Award Management

Reporting (continued)

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

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Award Management

Reporting (continued)

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

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Award Management

Revenue

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

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Award Management

Investment Income

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

Monitoring

- Has the Money Been Spent?

Asset Disposition

- Export Controls
- Allowableness

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Contact Information

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