



**AUBURN**  
UNIVERSITY

# **Auburn's Extramural Funding: A Team Approach**

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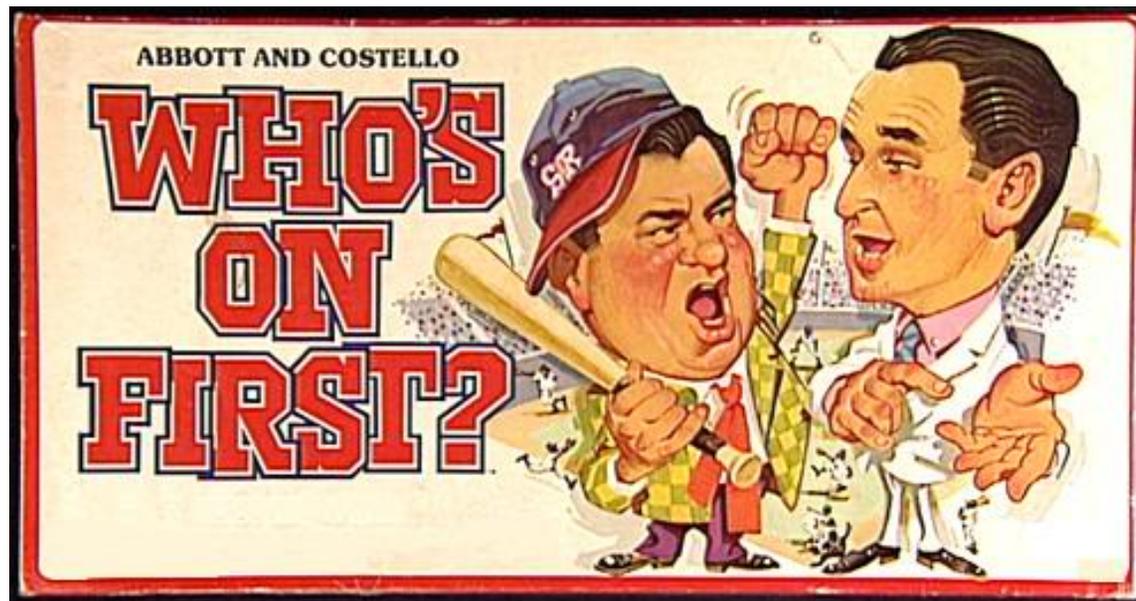
**Advisory Network**

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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*  
*Discussed – June 2012 SPAN Meeting*
- ▶ Respective roles and responsibilities of each office
- ▶ Exchange transaction decision process
- ▶ *Updated policy and checklist*  
*Discussed – 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

# Is it a gift, grant or exchange transaction?

## ▶ 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**.

# Is it a gift, grant or exchange transaction?

## ► 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.

# Is it a gift, grant or 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.

# Is it a gift, grant or exchange transaction?

## ▶ 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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## University Policies

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	Type	Title	Administrative Functional Field	Responsible Office
<b>Administrative Functional Field : Financial - Budget Services (3)</b>				
		Requests for State Funds Policy	Financial - Budget Services	Business Office
		Restricted Funds Transfer Policy	Financial - Budget Services	Business Office
		Service Centers and Other Income Accounting Policy	Financial - Budget Services	Business Office
<b>Administrative Functional Field : Financial - Business Office (4)</b>				
		Collections Contributions and Accounts Receivable Policies	Financial - Business Office	Business Office
		Credit Card Policies	Financial - Business Office	Business Office
		Permanent Base Salary Increase Policy	Financial - Business Office	Business Office
<b>Financial</b>		Gifts and Sponsored Projects Policy	Financial - Business Office	Business Office
<b>Administrative Functional Field : Financial - Contracts &amp; Grants (1)</b>				
		Contracts and Grants Accounting Policies and Procedures	Financial - Contracts & Grants	Business Office
<b>Administrative Functional Field : Financial - Controller/Financial Reporting (9)</b>				
		Department Error Correction Policy	Financial - Controller/Financial Reporting	Business Office
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# Questions?

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