To differentiate between gifts and sponsored awards and to establish the proper routing for all grant and contract proposals submitted by faculty and/or staff members requesting external support for teaching, service, or research activities.

Proposals to external sponsors must route through the UNO office of Research unless an approved Grant vs Gift Checklist is on file authoring a proposal to be submitted via a UNO Foundation.

The form is available in the Office of Research Resource Library webpage.

**AUTHORITY**

*University of Louisiana System Policy and Procedure Memorandum FB-IV.III.-1 (Private Grants and Federal Funds Authority); FB-IV.-6a (Guidelines for Approving an Affiliated Organization’s Payments to or on Behalf of Employees); M-10 (Grant Applications/Contract Documents); M-15 (Authorizing Contracts Between the University and a Member of the Faculty, Research Staff, or Coaching Staff or a Company in which the Employee has an Interest Under Specified Circumstances).*

**DEFINITIONS**

1. **External Support** is any form of aid to or through the university provided by an individual, group, or organization, either private or public, not affiliated with the UNO campus.
2. A **gift** is the voluntary transfer of funds or property to the university as a charitable donation with no expectation or receipt of economic benefit or other tangible compensation other than recognition and disposition of the donation according to the expressed wishes of the donor.
3. **Individual Authorized to Sign** proposals for the University is the Provost and Senior Vice President for Academic Affairs & Executive Director of Research unless the funding source or System regulations require the signature of the President.
4. **Principal Investigator (PI)** is the project manager who created the proposal and will manage any resulting award.
5. **Sponsored Awards** are grants or contracts from an external entity such as a foundation, corporation or governmental agency for some activity with a negotiated scope and purpose undertaken by the university in expectation of a benefit to the sponsor or its mission.

**GENERAL POLICY**

The correct classification, processing and monitoring of external funds (gifts, contracts and grants) is an essential part of the fiduciary management by the university. All university employees seeking or receiving external funding are required to use these policies and procedures.

Gifts and sponsored awards reflect the diversity of sponsors and their purposes, which can make the proper classification a complex endeavor that requires informed judgment in cases where the nature of an award is not immediately clear. There is no single defining characteristic for all externally funded awards.

**HOW TO DISTINGUISH A GIFT/DONATION FROM A GRANT/CONTRACT**

Sponsored award instruments may include some or all of the requirements and conditions listed below. Gifts may be unrestricted or may include some of the requirements listed below. The language used by a donor or sponsor and the benefit it expects is generally the source for making a distinction between a sponsored award and a gift.

Sponsored awards bind the university to a set of terms such as budgetary restrictions, have programmatic objectives to achieve, define responsible parties, have a period of performance and detail ownership rights of intellectual property and data. Generally, grants are to carry out a public purpose of support and do not provide a direct benefit to the sponsor; they usually allow the recipient a greater degree of flexibility than other award mechanisms. In general, contracts are for the procurement of something for the direct benefit of the sponsor and often have more restrictions. Either type of award can be on a fixed price or cost reimbursable basis.

Facility and administrative costs are assessed on sponsored awards at the university’s federally-negotiated rates. Any written policies from the Sponsor precluding such recovery must be attached to the Proposal Routing form.

The Office of Research at the University of New Orleans administers sponsored awards. Proposals and required supporting documentation should be submitted to the Office of Research in a timely manner for review and approval prior to submitting a proposal to a sponsor. Only the UNO designated individual Authorized to Sign, or their designee, should sign a proposal for external support.

Gifts may be for specific or general purposes. Gifts are usually donated to a UNO-affiliated Foundation or can be made to the university through Business Affairs. There are no contractual requirements but funds can be restricted to a particular purpose such as scholarship or research in a set area. Donations are usually irrevocable. No period of performance is generally specified. Invoices, financial statement, progress reports, and technical reports are generally not required, but this requirement does not preclude the classification as a gift. No use of university property is expected in exchange for the donation. Government support (federal, state, local or foreign) is not typically a gift. Funds from an individual or corporation as a charitable donation will typically qualify as a gift; cash, checks, and stock...
certificates presented to the university with no legal agreement or service requirement would generally be processed as a gift.

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<tr>
<th>Criteria</th>
<th>Sponsored Award</th>
<th>Gift</th>
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<tbody>
<tr>
<td>Managing Office</td>
<td>Office of Research</td>
<td>A Foundation, or Business Affairs</td>
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<tr>
<td>Intent</td>
<td>Public good or economic benefit to the sponsor</td>
<td>No expectation or receipt of economic benefit</td>
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<tr>
<td>Source of funding</td>
<td>Any</td>
<td>Individual, Private, Non-Governmental</td>
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<tr>
<td>Reporting &amp; Publication</td>
<td>Required</td>
<td>Generally not required</td>
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<td></td>
<td>Progress/technical reports required, or final/progress technical reports</td>
<td>May request acknowledgement in publications or through other mechanisms</td>
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<tr>
<td></td>
<td>Usually require acknowledgement in publications</td>
<td></td>
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<tr>
<td>Accounting &amp; Financial Reports</td>
<td>Required</td>
<td>Generally not required</td>
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<tr>
<td></td>
<td>Requires separate account, regular financial reports, final financial reports, line item budgets, and prior approval for budget adjustments</td>
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<tr>
<td>Terms</td>
<td>Restrictive</td>
<td>General, non-restrictive, or restrictive Irrevocable Generally no period of performance</td>
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<td></td>
<td>Revocable</td>
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<td></td>
<td>Intellectual Property issues</td>
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<td></td>
<td>Payment contingent based on reports/deliverables</td>
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<td></td>
<td>Specific period of performance</td>
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**ROUTING PROCEDURE**

All grant or contract proposals must be approved by each division of the University that would be involved if the proposal were funded. Typically, this will require the approval of the PI’s Chair and Dean, as well as the Provost and Senior Vice President for Academic Affairs & Executive Director for Research (or designee). Unusual routing situations will be determined on a case-by-case basis. Proposals are reviewed and approved by the responsible parties prior to being submitted to a sponsor given that any award will be made to the university, not to an individual. A new proposal will be routed as follows:

1. The PI initiates UNO’s internal proposal routing form.

2. The Department Chair, or Director of a BoR Center/Institute, and the College Dean each evaluates and approves the fiscal and administrative aspects of the proposal for academic units. The Department Head and relevant Vice President each evaluates and approves the fiscal and
administrative aspects of the proposal for non-academic units. The College Dean or Vice President must approve the proposal before it is forwarded to the Office of Research.

3. The Office of Research evaluates, approves, and authorizes final submission of the proposal (via mail, on-line portal, or other modality required by the funding agency).

4. If the proposal requires new course offerings or a broad institutional commitment, such as new space, then the Office of Research may work with Academic Affairs for approval before the proposal is submitted.

5. If a proposal to any agency or private foundation requires the specific signature of the President and/or the Vice President for Business Affairs, the proposal will be routed appropriately by the Office of Research.

6. Anyone in the UNO internal routing can disapprove a proposal on fiscal, administrative, or compliance grounds. The PI can appeal the disapproval to the Provost and Senior Vice President for Academic Affairs & Executive Director, who will communicate with the relevant parties and make a final decision regarding whether or not the proposal will be submitted.

7. Once a proposal has been submitted by the Office of Research, any resulting award is considered a grant or contract, and will be overseen by the Office of Research in order to ensure that all grant/contract, university, local, state, federal, and other requirements and regulations are followed.

Policies and procedures are available to all faculty and staff from the Office of Research on its website, which describes in detail the preparation of grant proposals and contracts, the review and approval procedures at UNO, the UL System, and representative Federal agencies, and the administration of funds awarded by external sources.

John W. Nicklow  
President  
University of New Orleans

*Policy Updates:  
Revisions: 06/30/2023  
07/10/2019  
04/25/2019