

University of South Florida System

Guidelines for Gifts and Sponsored Research Funding July 17, 2012

The University of South Florida System (USF) is committed to the responsible conduct of research and to the protection of the rights and welfare of its faculty, staff and students as well as the communities it serves. This document is intended to offer guidelines for defining and identifying the organizations responsible for the acceptance of gifts and sponsored project funding to further USF's research and educational mission and operations.

University Organizations involved with Gift or Sponsored Project Funding Acceptance

The following organizational units of USF may be involved in the solicitation, receipt, and/or administration of external support for research conducted at USF.

USF Foundation, Inc. – The private, not-for-profit Florida corporation and Direct Support Organization chartered under Florida Statutes Section 1004.28 for the acceptance, investment and distribution of charitable gifts related directly to the mission, role and scope of USF.

USF Division of Sponsored Research – Established under Florida Statutes Section 1004.22 to administer and promote USF research programs and sponsored training programs.

USF Research Financial Management – Responsible for post-award management of all research contracts and grants other than those managed by the USF Research Foundation.

USF Division of Research Integrity & Compliance – Responsible for ensuring research performed within the University system is safe and ethical and complies with applicable regulations, laws, and institutional policies.

Office of the Controller – Responsible for the receipt of all funding from external organizations awarded to USF and administered by Sponsored Research and Research Financial Management.

USF Research Foundation, Inc. – The private, not-for-profit Florida corporation and Direct Support Organization established under Florida Statutes Section 1004.28 for receiving and administering all royalties related to intellectual property and is responsible for the financial management of all research contracts and grants not managed by Research Financial Management.

Defining Major Types of External Support

Developed through a cooperative effort involving the Division of Sponsored Research and the USF Foundation, these guidelines are intended to define and distinguish the two major types of external support for research conducted at USF, gifts accepted through the USF Foundation and sponsored project funding accepted through the Division of Sponsored Research. While closely related, for purposes of determining the appropriate entity of acceptance, the following definitions should be utilized to distinguish between gifts and sponsored project funding.

Gifts are made for a restricted or unrestricted use, as specified by the donor at the time of the gifting. Provided the funds are used in the way specified by the donor, the support is irrevocable and requires no deliverables or substantial benefits in return.

Sponsored Project Funding is also awarded for a restricted or unrestricted use, as specified by the sponsor at the time of awards. This type of funding, though, may carry a variety of contingencies, requiring detailed reporting to ensure the funds are spent as specified; scientific reporting to confirm adequate progress has been made; documentation to ensure compliance with federal guidelines for protecting human and animals subjects; environmental safety, and ethical standards; agreements for addressing intellectual property concerns; and/or other types of institutional monitoring and administrative oversight.

In some cases, it may be difficult to distinguish between a gift and sponsored project funding based on definitions alone. After reviewing the definitions above and considering the intent of the source of funding, as well as, the nature of the agreement in question, if there remains a question in regards to the type of external funding, the following chart of indicators may be used in consultation with the Division of Sponsored Research and the USF Foundation.

Indicators of Gifts or Sponsored Project Funding for Research

Gifts		Sponsored Projects Funding
Funding is not received from a governmental agency (with exception of State Matching Gift Program).		Funding may be received from governmental agencies but also may be received from non-governmental sponsors.
The gift or grant is given for basic research studies or activities that are intended to give a direct benefit primarily to the general public or to that part of the public served by the grantee organization, rather than for benefits that accrue primarily to the grantor.		The gift or grant is for a specified statement of work, e.g., specified protocol, experiments, testing of hypotheses, particular line of inquiry or for a specified research project, specific instruction or other sponsored activities.
Few, if any, deliverables (other than reports as noted below, and use of funds as requested and awarded).		Deliverables defined by agreement, e.g., reports, research results, intellectual property rights, equipment, etc., and funds may be withheld pending delivery.
No significant restrictions on publication rights. Permission to use logo may be required or agreement may be silent on attribution. The Organization may require something similar to "Research made possible by a grant from..." language.		The Sponsor places restrictions on the publication of data from studies supported by the grant including restriction of publication or requirement for prior review or approval by the grantor.
Often require only general stewardship and communication as a courtesy to donor, e.g., progress reports, reports of expended funds and balance.		May require detailed financial and other reports, e.g., scientific reports, invention reports, financial reports on sponsor-specific format.

No requirement for return of unexpended funds except in cases of funds not used for the intended purpose.		Budgets and project period may lead to unexpended funds that must be returned if there is no approval to carry forward or extend project.
No requirement for approval of changes to proposed budgets unless a change of circumstances arises that may cause the University and/or the Foundation to revisit the purpose of the gift with the donor.		Certain changes may require prior written approval by sponsor: <ul style="list-style-type: none"> • Significant changes to budget • Changes to individual responsible for completing work
Donor relinquishes intellectual property and data rights to University. Donor may request progress reports as noted above.		Sponsor may require access to, or ownership of, data or primary records.

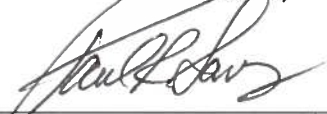
Gifts for research support will be deposited at the USF Foundation for administration. Support for Sponsored Projects will be accepted by the Division of Sponsored Research.

Procedures for Review of Gifts and Sponsored Project Funding for Research

1. Staff in the USF Foundation, Inc., the USF Division of Sponsored Research, and the USF Research Foundation will direct gifts and sponsored project funding to the appropriate entity based on the review criterion in this MOU. Based on reports shared, either party may request to review documentation.
2. The USF Division of Sponsored Research, the USF Research Foundation, Inc., and the USF Foundation, Inc., will, on a monthly basis, exchange a report of all gifts or sponsored project funding received for research purposes.
3. The Director of the Division of Sponsored Research and the Chief Financial Officer of the USF Foundation, Inc., have the authority to direct that gifts and gift-equivalents, after receipt by the USF Foundation, Inc., be transferred to the Division of Sponsored Research if the interests of the University are best served by providing more structured oversight of the activities funded.

If staff are unable to determine the appropriate receiving entity, then the issue may be referred to the Vice President for Research & Innovation and the Sr. Vice President for University Advancement, or their designees, for determination.


Approved:
 USF Office of Research & Innovation
 USF Research Foundation, Inc.



 Paul R. Sanberg, Ph.D., D.SC
 Vice President for Research & Innovation
 President, USF Research Foundation


Date: 7/24/2012

Approved:
 USF Foundation, Inc.



 Joel Momberg
 Sr. Vice President of Advancement
 CEO, USF Foundation, Inc.

Date: 7/23/12

Approved As To
 Form and Legality


 Attorney - USF Foundation, Inc.