

SPONSORED PROGRAMS: GIFTS AND SPONSORED AGREEMENTS

Introduction

Awards to the University of Delaware (UD) may be “general in nature” or “research-related” and may be received either in the form of Gifts or in the form of Sponsored Agreements. Gifts may be administered through the Research Office or through the Development & Alumni Relations Office (Development Office). Sponsored Agreements may be administered through the Research Office or through the Financial Services Office.

This document focuses on the five forms of “research-related” awards: (1) Gifts, (2) Sponsored Research Agreements, (3) Sponsored Service Agreements, (4) Sponsored Testing Agreements, and (5) Sponsored Training Agreements. These awards are administered through the Research Office.

The correct selection of a form into which a “research-related” award should be categorized is not always immediately apparent. This document serves as a *GUIDE* that a researcher can use to help identify the proper form. Factors indicative of the different forms follow.

All subsequent references to Gifts and Sponsored Agreements in this document are “research-related” in nature.

At the time of proposal generation (or award notification if a proposal is not required by the sponsor), researchers are encouraged to seek assistance from the Research Office (udrsch@udel.edu) to determine how to correctly select administrative oversight for a “research-related” award.

Gifts

Gifts do not necessarily have terms that specify how funds must be expended or administered. As a Gift, funds received may be utilized at the discretion of the recipient or may be directed to a general program area by the donor. A Gift is given by a donor without expectation of a *quid pro quo* exchange. Possible donor expectations include gift recognition and disposition of the gift in accordance with general-donor wishes. Gifts may be solicited and formally acknowledged by the Development Office.

Sponsored Agreements

There are four types of Sponsored Agreements: Research, Service, Testing, and Training. Sponsored Agreements are based upon *quid pro quo* exchanges – test results and other outcomes are exchanged for financial support. Indicators that can be used to distinguish different types of agreements are provided in the tables that follow. No single indicator should be used alone to characterize an award. Rather, all of the indicators should be considered when making a determination.

General Principles

The following principles are generally true and may provide guidance in characterizing “research-related” awards:

- Government money should always be treated as a Sponsored Agreement.
- Sponsored Agreements are typically reciprocal in nature. That is, the sponsor and recipient are giving and receiving something of relatively equal, quantifiable value.
- Indirect costs (IDC) are typically included in Sponsored Agreements, but not in Gifts.

Procedures

Awards, whether in the form of Gifts or Sponsored Agreements, are processed through the Research Office and monitored by the investigator’s department and college, as well as by UD administration. In particular, the following are true for each of the forms an award may take:

- *Gifts* should be submitted with the approval of the associated college Dean’s Office and the associated Departmental Office.
- *Sponsored Research Agreements* must be submitted with the approval of the associated college Dean’s Office and the associated Departmental Office.
- *Sponsored Service Agreements* require the approval of the associated college Dean’s Office and the associated Departmental Office. The proposed effort must demonstrate capabilities, qualifications, and community outreach that are unique to UD* and promise future research potential (e.g., *Sponsored Research Agreements*).
- *Sponsored Testing Agreements* require the approval of the associated college Dean’s Office and the associated Departmental Office. The proposed effort must demonstrate testing capabilities, qualifications, and community outreach that are unique to UD* and offer the potential of future research (e.g., *Sponsored Research Agreements*).
- *Sponsored Training Agreements* require the approval of the associated college Dean’s Office and the associated Departmental Office. The proposed effort must be based on established instructional capabilities and qualifications, and promote community outreach.

* “Unique” UD capabilities (e.g, facilities, databases, software, community outreach, expertise, instructional knowledge) ensure that UD (given its subsidized cost structures) does not compete with private business.

Please note, final approval of “research-related” gifts and sponsored agreements rests with the Research Office.

INDICATOR	FACTORS INDICATIVE of GIFTS
General Characteristics	Sponsor provides resources to be used in general or unspecified area.
UD/Sponsor Expectations	Sponsor receives no or nominal value in exchange for funding provided to UD. Award requires only minimal (or no) reporting of general statement of funds usage. Investigator may or may not provide sponsor with brief summary of any results and how funds were used in accordance with gift intent.
Performance Requirements	Gift may or may not be for specific individual(s) to perform activities in unspecified or general area. Typically, no formal audit.
Publication and Data Review	Sponsor has no expectation to review or approve resulting outcomes.
Budget Considerations	Typically, unrestricted use of award for partial or total activity funding requirement(s). IDC normally not included.

INDICATOR	FACTORS INDICATIVE of SPONSORED RESEARCH AGREEMENTS
General Characteristics	Sponsor specifies activity objectives and deliverables. Sponsor may or may not collaborate with UD with regard to task identification, suggested investigation path, and execution.
UD/Sponsor Expectations	Activities and resulting outcomes are of significant value to sponsor. Funds are exchanged for research outcomes. Sponsor has access to and may or may not share ownership of resulting intellectual property (IP), data, and information with UD.
Performance Requirements	Award is made for performance of specific activity, by specific individual(s), in focused area. Award typically includes audit provisions.
Publication and Data Review	Sponsor expects that temporary delays of dissemination are permissible (with Research Office approval) for publication review and IP considerations.
Budget Considerations	Award amount thought to be consistent with total cost or percentage cost of research effort. Full IDC typically apply. Current IDC rates available at http://www.udel.edu/research/preparing/proposalguide.html .

INDICATOR	FACTORS INDICATIVE of SPONSORED SERVICE AGREEMENTS
General Characteristics	Utilization of UD/Sponsor-agreed upon practices to achieve well-defined objectives and very specific deliverable requirements.
UD/Sponsor Expectations	Activities and resulting outcomes are of significant value to sponsor. Sponsor typically has ownership of data and information resulting from activity. Typically, no IP results from activities.
Performance Requirements	Award is made for performance of narrowly focused activity (including auditable deliverables), with intent being for performance by specific individual(s), in focused area.
Publication and Data Review	Sponsor realizes that activities may or may not result in outcomes for which temporary delays of dissemination are permissible (delays require Research Office approval) for publication review and IP considerations.
Budget Considerations	Award amount thought to be sufficient to achieve activity objective. Formal IDC structure established at less than full IDC rate. Specialized facilities and equipment costs to be billed as direct costs (specialized-cost details to be developed in accord with Research Office or Financial Services Office). Current IDC rates available at http://www.udel.edu/research/preparing/proposalguide.html .

INDICATOR	FACTORS INDICATIVE of SPONSORED TESTING AGREEMENTS
General Characteristics	Sponsor specifies task(s) to be performed and has expectation that UD/Sponsor-agreed upon practices will be utilized to achieve objectives and deliverable requirements.
UD/Sponsor Expectations	Test results are of significant value to sponsor and funds are exchanged for test results.
Performance Requirements	Award is made for performance of specific activity (including auditable deliverables), with intent being for performance by competent investigator or operator.
Publication and Data Review	Parties have no expectation that activity outcomes will be publishable or will generate IP.
Budget Considerations	Award amount set at level sufficient to conduct test(s). Specialized facilities and equipment costs to be billed as direct costs (specialized-cost details to be developed in accord with Research Office or Financial Services Office). Additionally, Dean's Office and Departmental Office may establish an IDC rate.

INDICATOR	FACTORS INDICATIVE of SPONSORED TRAINING AGREEMENTS
General Characteristics	Sponsor identifies generally-to-clearly specified objective(s) and deliverable requirement(s).
UD/Sponsor Expectations	Activities are of significant value to sponsor. Funds are exchanged for instruction.
Performance Requirements	Award is made to obtain specific educational objective(s). Instructor(s) may or may not be identified.
Publication and Data Review	Sponsor has no expectation that activity outcomes will be publishable or will generate IP.
Budget Considerations	Award amount set at level thought to be consistent with typical topic instructional rates. Specialized facilities and equipment costs to be billed as direct costs (specialized-cost details to be developed in accord with Research Office or Financial Services Office). Current IDC rates available at http://www.udel.edu/research/preparing/proposalguide.html .