

O. GUIDELINES FOR DEFINING, REQUESTING, AND RECEIVING EXTERNAL SUPPORT

I. Purpose

These guidelines define the various types of external support and outline the appropriate administrative procedures for proposal submission, gift/grant acceptance/processing, and stewardship for each type of support. For the purposes of these guidelines, external support is defined as anything of economic value (including but not limited to services, physical property, and financial resources) provided by a third party for use by or at the University.

II. General Definitions and Guidelines for Processing External Support

Below outlines two categories of external support (sponsored agreements and philanthropic gifts) and the office (position) responsible for oversight of activities in each area. Several offices share responsibility for making decisions about the administration of external gifts. These offices include the Office of University Advancement, the Office of Corporate and Foundation Relations, the Office of Sponsored Programs and Research (OSPR), and the Longwood University Foundation (LUF) Office.

Sections III and IV provide an overview of the criteria used to determine which office oversees the administration of each type of external support. These serve only as general guidelines. Classification of external support is an internal University administrative decision based on information conveyed to the University by the support source, and after consideration of relevant legal and accounting principles.

A. Sponsored Agreements

1. The Office of Sponsored Programs and Research (Director) oversees all aspects of sponsored agreements.
2. The Grant and Contract Financial Administration Office is responsible for the accounting and compliance with regard to funds associated with sponsored agreements.

B. Philanthropic Gifts

1. The Office of Corporate and Foundation Relations (Associate Vice President) oversees the process of obtaining gifts from corporations and foundations, and the subsequent stewardship.
2. The Office of University Advancement (Chief Development Officer) oversees the process of obtaining gifts from individuals and the subsequent stewardship.
3. The Longwood Center for the Visual Arts (Director) oversees the process of obtaining, cataloguing, and handling all gifts of art regardless of source and the subsequent stewardship. The gifts of art are authorized by the Longwood Center for the Visual Arts (LCVA) Director, LCVA Advisory Board's Collections Committee, and Longwood Foundation Board of Directors.
4. All gifts from individuals, corporations, and foundations are acknowledged and tracked by the Office of University Advancement. This office along with the Longwood University Foundation Office is responsible for issuing documentation to donors relevant to IRS filing.
5. Longwood University Foundation Board of Directors authorizes the acceptance of non-cash gifts through the gift acceptance committee (in coordination with University senior administration).
6. The Longwood University Foundation Office (Chief Financial Officer) is responsible for the accounting and investment of gifts and insuring compliance with donor intent.

III. Sponsored Agreements

Sponsored agreements are projects and activities that are supported (in whole or in part) with funds, materials, or other resources, provided by sources external to the University and for which a formal written agreement exists, specific outcomes or deliverables are expected, and technical and financial reports are required. The purpose of these guidelines is to ~~minimize the possibility~~ assure that proposals and awards for sponsored activities are ~~im~~properly executed or managed. See Appendix ~~##~~ for GUIDELINES FOR THE SOLICITATION OF SPONSORED AGREEMENTS.

A. Definitions

1. Sponsored agreements: ~~Should a, b, and c be parallel structure? I couldn't figure a way to reword.~~
 - a. are projects and activities that are supported (in whole or in part) with funds, materials, or other resources, provided by sources external to the University.
 - b. establish requirements for accepting funds in support of a specific project or program. The requirements included in these agreements usually specify time periods for expending funds and contain provisions for financial and technical reporting and intellectual property assignments, including patents and copyrights.
 - c. are exchange transactions awarded through a variety of mechanisms, including grants, contracts, cooperative agreements, and/or other legally binding means of transfer.
2. Grant: A type of financial assistance awarded to an organization for the conduct of research or other program as specified in an approved proposal. Please note: The term "grant" is defined differently by various corporate and foundation sponsors and does not determine the classification of an award as a sponsored agreement or gift.

Comment [LU1]: The current wording seems OK to me, since each section begins with a verb. It would be ideal if b. started with "are," but I'm OK here.

B. Criteria

If **any** of the following characteristics applies to a project, including commitments made in the proposal or required in the award agreement, it must be processed through the Office of Sponsored Programs and Research:

1. The sponsor is
 - a. the federal, state, or local government or an agency serving as a flow-through of federal, state or local government funds; or
 - b. a for-profit business, industry or association, or non-profit entity with specified terms and conditions for the proposed project.
2. The ~~Proposal~~ proposal or award document requires a signature from an authorized official binding the University to the terms and conditions of the project.
3. The ~~Sponsor~~ sponsor has written policies requiring Facilities & Administrative cost recoveries. Note: the absence of a policy does not preclude the award from being a sponsored project.
4. The award document

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- a. contains provisions regarding ownership of intellectual properties, i.e., patents and copyrights;
 - b. specifies deliverables such as technical, financial, invention, or procurement reports or milestones, timetables;
 - c. restricts payments contingent upon programmatic or fiscal reporting;
 - d. includes budget restrictions (e.g., prior approval for re-budgeting and restrictions on certain budget categories, equipment or fringe benefits);
 - e. includes a provision for audit;
 - f. restricts or monitors publications or use of results; ~~or~~ ~~And/or??~~
 - g. requires protection of sponsor and/or confidential information.
5. The project involves any of the following: human subjects, vertebrate animals, radioactive materials, recombinant DNA, human body substances, infectious agents, or third-party proprietary materials.

IV. Philanthropic Gifts

For the purposes of these guidelines, a *gift* is the voluntary provision of external support by a donor to Longwood University without requirements for receipt of any economic or other tangible benefit in return. In addition, contributions to endowments and nongovernmental contributions for capital projects would normally be classified as gifts. See Appendix ### GUIDELINES FOR DEVELOPING PROPOSALS FOR PHILANTHROPIC SUPPORT.

A. Gift Criteria (some exceptions may apply)

1. The external support is irrevocable, providing the gift is used in accordance with any valid restrictions accepted by LUF.
2. No goods, services or deliverables are offered or exchanged in consideration of receipt of the support. Donors may require reports to verify the use of the support is in compliance with intent.
3. The donor provides the support without expectation of direct economic benefit or other tangible benefit. Indirect benefits such as tax advantages, business or personal goodwill derived from close association, and the miscellaneous benefits derived from donor status don't negate intent.
4. It shall be acceptable for the donor to request information from LUF about use and/or impact of the external support, including expenditures and fund balances.
5. The use of gifts is subject to LUF spending guidelines and audits by LUF.

V. Special Situations

The standards described in these guidelines are applicable to all external support. In cases where it is difficult to make a determination, the Office of Sponsored Programs and Research and the Office of Corporate and Foundation Relations will work together to review the information to determine if the external support is a gift or sponsored project in order to ensure that proposals are properly submitted and awards properly processed.