

Northwestern University Gift vs Grant Determination Tool

PI/Recipient _____ Dept. _____ Date: _____

Sponsor/Donor: _____ Project Title: _____ Amount: _____

Instructions for Completing the Checklist:

This document is meant to provide guidance to determine if a transaction is a gift to be processed and administered by the Office of Alumni Relations and Development (ARD) or the Office of Sponsored Research (OSR).

Answer all questions in the checklist below and include comments whenever necessary. To use this form, review all the documentation associated with the funding for indications that will help you determine whether the funding should be considered support for a sponsored research project or a gift. Documentation may include some or all of the items listed below:

1. Statement of work or project description
2. Proposal or letter of intent, or request for funding including budget
3. Award letter
4. Correspondence (including paper and e-mail correspondence)

Checklist:

- | | YES | NO |
|--|--------------------------|--------------------------|
| 1. Does the project commit the University to a specific research plan or statement of work? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Will OSR need to be involved to further the mission of the sponsor? | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Is the sponsor a charitable entity, organized under section 501(c)(3) of the U.S. tax code? | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Does the funding agreement specify specific start and end dates for the use of the funds? | <input type="checkbox"/> | <input type="checkbox"/> |
| 5. Has a formal or informal proposal been submitted to the sponsor that carries institutional endorsement for one of the following: | <input type="checkbox"/> | <input type="checkbox"/> |
| a. to assure the sponsor that the University will adhere to requirements or guidelines promulgated by the sponsor | | |
| b. to offer or guarantee adherence to University obligations associated with the proposed activity, i.e., a budget, specific period of performance, cost-sharing or matching requirements, specific commitments of personnel effort, agreement to terms under which funding will be accepted, etc. | | |
| 6. Are specific reporting requirements identified such as would require OSR to be involved in post-award administration or for ASRSP to be responsible for post-award financial management? | <input type="checkbox"/> | <input type="checkbox"/> |
| 7. Does the funding agreement require detailed financial reporting beyond periodic progress reports and summary reports of expenditure? | <input type="checkbox"/> | <input type="checkbox"/> |
| 8. Does the funding agreement specify deliverables such as technical, financial, invention, or procurement reports, milestones, or time tables? | <input type="checkbox"/> | <input type="checkbox"/> |
| 9. Does the sponsor outline stipulation related to the return of unspent funds or changes to the scope of work, faculty, etc.? | <input type="checkbox"/> | <input type="checkbox"/> |
| 10. Does the funding agreement allow the university to be penalized for non-performance? | <input type="checkbox"/> | <input type="checkbox"/> |

Check one box below, and process accordingly.

- Sponsored Research:** If you answered "Yes" to any of the questions above, this indicates that the funding is a sponsored research project. _____
- Gift:** If you answered "No" to all of the questions above, this indicates that the funding is a gift. _____
- Uncertain:** If you cannot determine with certainty, review with _____