

Charitable (Gift) vs. Non-Charitable Support Checklist

PI/Recipient: _____ Dept: _____ Date: _____

Sponsor/Donor: _____ Project Title: _____ Amount _____

Instructions for Completing the Checklist:

This document is meant to provide guidance to determine which NAU unit will submit a particular funding request, either the NAU Foundation (NAUF) or the Office of Sponsored Projects (OSP). Administration of funds will be established in a separate step.

Answer all eight 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 to determine whether the funding should be considered **charitable** or **non-charitable**, including the **NAU Policy on Non-Governmental Funding**.

Please note: Charitable support can be restricted per terms of agreement, purpose of funds, as long as no benefit is derived by funder. Documentation may include some or all 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 email correspondence)

Checklist:

FUNDING SOURCE:

1 Is the funding provided by the U.S. government, at the federal, state, or local level? **If YES, this is a SPONSORED PROJECT.**

Comments:

2 Is the funding provided by an individual (not an organization)? **If YES, this is a GIFT.**

Comments:

IF NEITHER OF THE ABOVE ARE TRUE, CONSIDER THE QUESTIONS BELOW:

YES NO UNCERTAIN

3 Does the funding agreement require detailed financial reporting beyond a summary report of expenditures (e.g. line item detail, percentages of effort) and the return of any unexpended funds at the end of a designated project period per funder guidelines, terms of agreement, use of funds designation, etc.?

Comments:

4 Does the funding agreement allow the university to be penalized for non-performance?

Comments:

5 Does the project *contractually* commit the University to a specific line of scholarly or scientific inquiry, e.g. research directed by funder? (May include a statement of work or use of funds description).

Comments:

6 Is a *contractual* commitment made regarding the level of personnel effort, deliverables, or milestones? (May include guidelines for budget and/or description for statement of work regarding a specific line of scholarly or scientific effort).

Comments:

7 Does the funding agreement include terms and conditions for the disposition of tangible property (i.e. equipment, records, technical reports, theses, dissertations or other deliverables)?

Comments:

8 Does the funding agreement include terms and conditions for the disposition of intangible property (i.e. intellectual property, rights in data, copyrights)?

Comments:

Select one option below, and process accordingly.

Sponsored Project: If you answer "Yes" to Question 1, or if any of the responses from questions 3 – 8 are "Yes", this indicates that the funding is for a sponsored project

Gift: If you answer "Yes" to Question 2, or if all of the responses from questions 3 - 7 are "No", this indicates that the funding is a gift.

Uncertain: If you cannot determine with certainty, review with the Office of Sponsored Projects (nau.osp@nau.edu) and/or NAU Foundation (development@nau.edu).