



## University of Maryland, Baltimore (UMB) Corporate & Foundation Relations: Step-by-Step Campus Fundraising Development Procedures

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### Introduction:

All proposals must be routed through Sponsored Programs Administration (SPA) so the University can conduct proper due diligence, review legal agreements, and ensure awards are managed by the appropriate University entity. Routing creates a record of the proposal in the UMB systems, which ensures each and every award receives the appropriate review and management and keeps the UMB and UMBF in good legal standing.

**This includes proposals for philanthropic donations and sponsorships from corporations, foundations, and organizations.** Proposals may be for research, programs, surveys, events, and services. Note that direct services performed by the university or its employees and paid for by a funder are not philanthropic. See Appendix C for additional information.

Exception: Proposals for gifts-in-kind – contributions of goods used in program service activities; examples include equipment, supplies, and materials.

*For clarification or assistance with a determination, email [CFRDirector@umaryland.edu](mailto:CFRDirector@umaryland.edu) with the subject line, "SPA ROUTING REVIEW." Additional information is provided in Appendix A.*

### Definitions:

- **UMB:** University of Maryland, Baltimore
- **UMBF:** University of Maryland Baltimore Foundation Inc.
- **UMBOP:** UMB Office of Philanthropy
- **SPA:** Sponsored Program Administration
- **SPAC:** Sponsored Projects Accounting and Compliance
- **CFR:** Corporate and Foundation Relations (a division of the Office of Philanthropy)
- **KR:** Quali Research, UMB's enterprise system for electronic research administration
- **Advance:** UMB's philanthropic giving database, [Ellucian Advance](#)
- **PI:** Principal Investigator
- **Proposal Lead:** The development officer (school or central-based) working with the PI to complete the proposal
- **Grant Administrator:** An individual who monitors and records the spending of the grant so as to ensure proper compliance with the stipulations in the grant agreement.
- **Account Administrator:** Individuals identified to manage the activity for UMBF accounts.
- **UMBF Operations:** The team of gift processors who manage incoming funds and direct them to the appropriate account.
- **Event Sponsor:** a donor (corporate, foundation, and organizations) whose sponsorship is directed to a dedicated event. Typically, their name will be recognized as a sponsor of the event. Additional sponsorship benefits may require consultation with the UMBF Operations team, especially for any benefit that have value and could be considered a quid-pro-quo.

- **Grant:** A grant is an award of funds to support a project, usually over a specified period of time; grants typically come from corporations, foundations, or other organization, not an individual. The grantor, as a condition of the grant, requires an accounting and narrative report of the use of funds and results of the programs/projects undertaken. A written agreement establishing the terms and conditions is signed by the interested parties.
- **Stakeholders:** Individuals who have been involved in the proposal process and should be kept aware of the proposal's progress through routing and submission.

Following are procedures outlining shared responsibilities for proposal submission, award notification, negotiation, acceptance, and management when UMBOP or school development staff have supported proposal development or a 501(c)3 tax status is required.

### **Proposal Development – at least 15 days before deadline**

1. Development and/or program representatives identify a corporate or foundation funding opportunity and assign a proposal lead.
2. Proposal lead checks [Advance](#) and [KR](#) to determine if there is a previously established UMB relationship with the potential funder. If a previous or current funding relationship is identified, proposal lead contacts the relevant UMB stakeholders before proceeding.
  - Previous contracts may include restrictions on accepting funding from specific entities; this information is managed by SPA.
  - *For assistance, email [CFRDirector@umaryland.edu](mailto:CFRDirector@umaryland.edu).*
3. Proposal lead investigates if:
  - A 501(c)3 IRS tax status is **required** for submission.
  - A funder only accepts single submission from an institution, which must be coordinated by the Dean's office at the University of Maryland School of Medicine.
    - *contact [som-ora@som.umaryland.edu](mailto:som-ora@som.umaryland.edu) for guidance.*
4. Award acceptance and management considerations, including reporting requirements and any terms and conditions, should be reviewed in the development phase with the CFR office, and in coordination with UMBF.
5. Proposal lead works with stakeholders to develop the application and gather required documents.

*When 501(c)3 is NOT required*

### **Proposal Submitted to SPA for Routing – at least 5 days before deadline**

6. Proposal lead ensures the grant administrator has all stakeholder names and roles for Question #1 of the KR Proposal Development UMB Required Questionnaire tab, "Have school development officers, UMB Corporate and Foundation relations team, or Office of Philanthropy staff been involved in the development of this proposal?"  
Select **NO** for Question #2, "Does the sponsor program announcement require proposal submissions come from an organization with a 501(c)3 tax-exempt status?"
7. Grant administrator routes proposal for submission.
8. SPA reviews the proposal submission and notes stakeholders to include in future communications and any other special instructions. SPA and grant administrators coordinate formal proposal submission to funder.
9. After submission, SPA will email stakeholders with subject line containing funder name, proposal KR #, PI name, and due date.
10. Stakeholders and SPA must use this email chain to continue communication about the application after submission to the sponsor.

*When a 501(c)3 is required***Proposal Submitted to SPA for Routing – at least 5 days before deadline**

11. Proposal lead ensures the grant administrator has all contact names and roles for Question #1 of the KR Proposal Development UMB Required Questionnaire tab, “Have school development officers, UMB CFR team, or Office of Philanthropy staff been involved in the development of this proposal?”  
Select YES for Question #2, “Does the sponsor program announcement require proposal submissions come from an organization with a 501(c)3 tax-exempt status?”
12. Grant administrator routes proposal for submission.
  - NOTE: A deadline date must be added, even if it is changed later. Without a date, the proposal will not appear in KR reports.
13. SPA reviews proposals submitted to KR under its normal procedures and notes:
  - Funder’s requirement or strong preference of 501(c)3 tax status
  - Contacts to include in future communications
  - Any special instructions in attached documentation
14. SPA reviews proposal application terms and conditions. If present, triage the agreement/terms and conditions to the SPA contract team for review and comment before releasing the proposal to UMBF.
15. SPA reviews *Special Review* tab within the KR proposal to determine if there are any compliance-related requirements within the proposal. These include, but are not limited to, proposals dealing with subawards, human subjects, animals, biohazardous materials, rRNA, rDNA, etc.
16. Once it is verified the proposal meets eligibility for submission from a 501(c)3 organization, SPA releases the proposal to UMBF via the CFR office.
  - For proposals with compliance-related items, use wording for Releasing Proposals to UMBF with Compliance Management Requirements in Appendix B.
  - For proposals without compliance-related items, use wording for Releasing Proposals to UMBF without Compliance Management Requirements in Appendix B.
17. SPA combines proposal documents (grant narrative, budget, etc.) into one PDF document.
18. SPA approves proposal in KR and updates the IP record status to “Released to UMBF” from the drop-down menu. Updates custom data tab.
19. SPA prepares an email to the PI and CFR office at [CFRDirector@umaryland.edu](mailto:CFRDirector@umaryland.edu) with the wording from Appendix B and attaches the proposal PDF document.
  - Include the following in the subject line: Sponsor, PI last name, shortened proposal title, and due date. If sending on the proposal deadline day, mark email “URGENT”.
  - In the email include: Sponsor Name; Principal Investigator; Office/School; Title of Project; Due Date; Quali Research Proposal Record Number.
20. Stakeholders and SPA must use this email chain to continue consolidated communication about the submission.
21. CFR works with the PI to ensure the proposal is submitted on time and notifies all stakeholder upon submission.
22. CFR or school development staff uploads a copy of the proposal in Advance and updates status.

**Award Notification**

23. When a proposal is awarded or declined, whoever receives the notification and any accompanying instructions – SPA, CFR, school development staff, PI, or grant administrator – forwards the

notification with copies of any attachments or instructions to [CFRDirector@umaryland.edu](mailto:CFRDirector@umaryland.edu) and Kathi Paradiso, associate director of philanthropy operations ([kparadiso1@umaryland.edu](mailto:kparadiso1@umaryland.edu))

*If awarded to University of Maryland, Baltimore*

### **Agreement Negotiation**

24. SPA reviews agreement, proposes edits, and corresponds with funder unless otherwise outlined in special instructions, keeping stakeholders engaged as requested in Question #1 of KR.
25. After fully negotiating an agreement, SPA sends a copy to all stakeholders and verifies the funder has UMB payment information.
26. CFR updates proposal status in Advance with “Proposal Funded MD State Side” and uploads a copy of the agreement.
27. SPA uploads a final copy of agreement into KR.

*If awarded to University of Maryland, Baltimore Foundation (UMBF)*

### **Agreement Negotiation**

28. Assigned CFR Lead reviews award notification, accompanying instructions, and sends legal agreements for review to: Associate Vice President, SPA and copying UMBF Treasurer, and CFR Director.
29. SPA reviews legal agreements and flags any concerns while UMBF Treasurer reviews for compliance and suitability.
30. CFR lead communicates with funder if any changes are needed and continues to facilitate negotiations until UMBF Treasurer approves agreement.
31. CFR lead sends final agreement to UMBF for signatures, copying UMBF Treasurer and CFR Director. UMBF Treasurer is authorized to sign if UMBF President is unavailable.
32. CFR or proposal lead sends final agreement copies to funder or contacts the funder to request a final copy of the agreement. CFR Director must be copied on these email communications. Follow up with funder if agreement not signed and returned within 5 business days.
33. Verify the funder has UMBF payment instructions, indicating that an ACH/Wire transfer is preferred. Proposal lead can complete the ACH/Wire Transfer Instructions and send it to the Funder. If payment is by check,

checks must be made payable to UMBF:

Attn: Philanthropy Operations

220 Arch St. 13th Floor

Baltimore, MD 21201

Vendor registration forms required by the Corporation/Foundation to issue payment to UMBF should be forwarded to UMBF Operations at [UMBF-Operations@umaryland.edu](mailto:UMBF-Operations@umaryland.edu).

34. CFR lead replies to the SPA release email with the fully executed agreement. SPA uploads a final copy of agreement into KR.
35. CFR lead circulates fully executed agreements to the proposal lead, PI, and other designated stakeholders (including Philanthropy Operations via Kathi Paradiso -- [kparadiso1@umaryland.edu](mailto:kparadiso1@umaryland.edu)) and provides instructions on next steps for award management. Ensure the PI and team who will manage the award are aware of the reporting requirements **as this is now their responsibility**.
36. CFR updates proposal status in Advance with “Proposal Funded” and uploads a copy of the agreement.
37. Proposal Lead emails the CFR and UMBF Operations team to inform when and how funding will be sent, copying proposal stakeholders. Provides Advance proposal ID, copies of SPA release email, proposal and budget.

38. If declined, CFR lead replies to the SPA release email with notification that the award has been declined. SPA uploads documentation to KR IP module. Proposal status may be changed to “Rejected” at this time. CFR or school development staff change proposal status in Advance to “Declined.”

*If awarded to University of Maryland, Baltimore*

### **Award Acceptance**

39. SPA requests Award/Project Number accounts from SPAC to be set up within Quantum and informs proposal stakeholders in accordance with SPA policies.

*If awarded to University of Maryland, Baltimore Foundation (UMBF)*

### **Award Acceptance**

40. When funding is received, a notification is sent to UMBF Operations, Philanthropy Operations, and CFR, and PI with relevant documentation: Advance proposal ID, SPA release email, submitted proposal, budget, and award agreement.
- In the body of this email, please identify the PI and administrator (person who will be the account administrator and receive the project activity reports) and provide instructions on how to open a new account.
  - If the proposal was not routed and it should have been, the CFR lead is responsible for following up with the proposal lead and school-based program staff to route the proposal.
41. Assigned account administrator at the School/program requests a new UMBF account number through DocuSign.
- *All Grants are required to have separate accounts.*
  - The UMBF New Account Request form is located on the [UMBF website](#).
  - Include the proposal, award agreement, SPA release letter, and budget with the Docusign attachments.
  - After completing the Docusign form UMBF Sr. Accountant forwards the new account paperwork to the finance department at the School so they are aware of the new account creation. This includes the primary account administrator, individuals designated to receive copies of the monthly Project Activity Reports, and the individuals authorized to approve disbursements.
42. Proposal lead and CFR staff update Advance status and corresponding date funds were received, attaching corresponding documentation.

*If Awarded to UMBF and If SPA/SPAC assists in managing the award*

### **Award Management**

43. UMBF may request UMB SPA and SPAC to assist the PI and department administrator in managing the post-award activities of the award. For UMB to review and setup the award with SPAC, SPA will need to receive the award document in an email from UMBF requesting UMB to manage this award. The email should also indicate the proposal number from KR. Since UMBF will become UMB’s sponsor, the award document and email need to come from UMBF.
44. SPA will submit to SPAC, who will then set up a Project ID (PID) in the financial system. This will then allow the PI and their department to spend from this grant.
45. SPA ensures the sponsor is listed as UMBF and prime sponsor is the organization awarding funds.
- Go into the KR IP record.

- Change the Prime Sponsor name to Sponsor indicated in the proposal (funder).
  - Change the Sponsor name to UMBF.
  - Complete the Custom Data Tab.
46. SPA inputs reporting requirements and timelines into KR.
  47. Proposal lead updates proposal status in Advance and enters in key management/stewardship activities.
  48. SPAC provides invoices for expense reimbursements due to UMB. The PI/Authorized signer of the UMBF grant account submits a UMBF Disbursement Request Form ([DRF](#)) to the UMBF Disbursement mailbox (umbfdisbursement@umaryland.edu), including the SPAC invoice as backup documentation. UMBF will process the reimbursement request following the normal UMBF disbursement processing schedule.
  49. SPA will use KR to assist and coordinate with CFR and stakeholders, including PIs, to develop reports. The CFR team tracks when reports are due, approves final versions, and submits reports as requested.

*If UMBF manages the award*

### **Award Management**

50. CFR and/or proposal lead input reporting requirements into Advance and tracks deadlines and stewardship requirements.
  - Dates for reports are input in Advance as proposal tasks.
  - A proposal task report will be pulled weekly by CFR.
  - PIs will be notified of upcoming deadlines on a regular basis by CFR.
51. After the first payment is received, the donor relations specialist will draft a stewardship letter. CFR will review in coordination with the PI for approval, as necessary.
52. When a report is due, the PI is responsible for a first draft and collaborates with the CFR/proposal lead to submit reports by the deadline. CFR/proposal lead updates Advance with a contact report and marks the task as complete.
53. Account administrators will submit disbursement requests as needed to UMBF Disbursement mailbox (umbfdisbursement@umaryland.edu) to spend grant funds in accordance with the grant purpose and by the deadlines.
54. Ongoing stewardship requirements continue through the grant period, including, but not limited to, name recognition, event invitations, news, or social media recognition, etc. Fulfilling these requirements is handled by the appropriate UMB School/division stewardship contact, in conjunction with the appropriate stakeholders.
  - If outlined in the grant agreement, the foundation/corporation must approve any media recognition prior to publication. UMB Office of Communications and Public Affairs should be made aware of this recognition requirement through the Office of Philanthropy's director of strategic marketing.
55. UMBF sends a monthly project activity report to account administrators updating them with account balances.
  - CFR Team will alert proposal leads, PI and school development officers if an account balance remains within 90 days of the deadline for spending funds and discuss how funds will be expended. If needed, CFR Team will schedule monthly check-in phone calls with school development officers, proposal leads and PIs for status updates.
56. When the final payment is received, the donor relations specialist will draft a stewardship letter. CFR will coordinate with the PI for approval as necessary.

## **Appendix A – UMBF 501(c)3 vs UMB 170(c)**

The University of Maryland, Baltimore (UMB) is a tax-exempt organization because of its status as a government agency as defined in section 170(c) of the Internal Revenue Code. Some corporate or foundation funders state in applications that they only award to 501(c)3 tax-exempt organizations.

UMBF is subject to scrutiny from auditing agencies and should not accept funding that is more suitably accepted by UMB as a state agency. It is imperative that proper due diligence is conducted to confirm if a funder requires – or the project warrants – a 501(c)3 IRS tax status, in lieu of UMB's 170(c) tax exemption.

Below is an email template that can be used by assigned Advance account primary, or designated CFR or school development officer proposal lead to request clarification from funders. Please coordinate the sponsor outreach with proposal stakeholders including SPA, CFR, and school representatives.

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Dear \_\_\_\_\_,

Thank you for your invitation to submit a proposal. The University of Maryland, Baltimore (UMB) is tax-exempt under section [170\(c\)1 of the Internal Revenue Code as a government agency in the State of Maryland](#). Do you accept applications from government agencies, or do you require that award recipients have a 501(c)3 tax exemption status? The UMB Foundation, Inc. has a 501(c)3 status and can accept funding on behalf of the University as needed.

We are open to both, however are required to seek clarification from funders. Thank you in advance for your help.

## **Appendix B: Releasing Grant Proposals to UMBF**

Email [CFRDirector@umaryland.edu](mailto:CFRDirector@umaryland.edu) a document with the following included in the **subject line**: Sponsor, PI last name, proposal title, and due date. **If sending on the proposal deadline day, mark email "URGENT"**.

### ***For proposals that have been identified to include Compliance Management Requirements:***

Sponsor Name: (Fill in)  
Principal Investigator: (Fill in)  
Office/School: (Fill in)  
Title of Project: (Fill in)  
Due Date: (Fill in)  
Kuali Research Proposal Record Number: (Fill in)

*UMB has reviewed the documentation for funding from the [Sponsor Name]. [Sponsor Name] will only allow awards to organizations which are tax-exempt under Section 501(c)3 of the Internal Revenue Code. Since the University of Maryland would be unable to accept the award under this condition, it is appropriate that the proposal to the [Sponsor Name] in support of the above referenced project be submitted through the University of Maryland Baltimore Foundation, Inc.*

*This proposal includes [List the areas of compliance] that will require post-award management including compliance management. If grant is awarded, UMBF will maintain ownership of the award; however, UMB will manage the award on behalf of UMBF for all compliance management. SPA will forward the award document to SPAC for PID setup. UMBF will work with SPAC and PI's grant administrator to expend the funds. Please reply via email and indicate that UMB will be responsible for the compliance management of this award.*

### ***For proposals that have been identified to NOT include Compliance Management Requirements:***

Sponsor Name: (Fill in)  
Principal Investigator: (Fill in)  
Office/School: (Fill in)  
Title of Project: (Fill in)  
Due Date: (Fill in)  
Kuali Research Proposal Record Number: (Fill in)

*UMB has reviewed the documentation for funding from the [Sponsor Name]. [Sponsor Name] will only allow awards to organizations which are tax-exempt under Section 501(c)3 of the Internal Revenue Code. Since the University of Maryland would be unable to accept the award under this condition, it is appropriate that the proposal to the [Sponsor Name] in support of the above referenced project be submitted and administered through the University of Maryland Baltimore Foundation, Inc.*



### Appendix C: When to Route Decision Tree

Use this decision tree as a starting place when you are unsure if your proposal needs to be routed. If you are still unsure, contact: [CFRDirector@umaryland.edu](mailto:CFRDirector@umaryland.edu), and remember, “when in doubt, route!”

1.

I am submitting a funding request to a corporation, foundation, or organization, does it need to route?

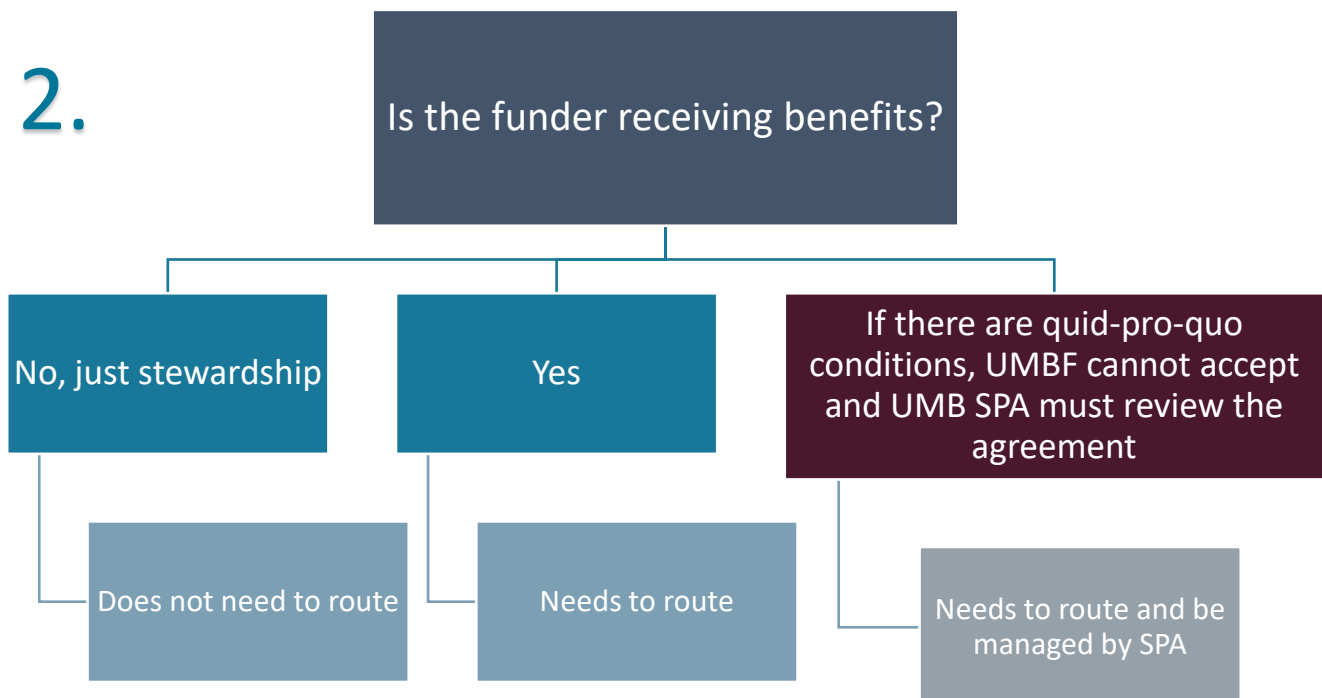
**YES!**

It is important to route so that when the agreement comes in, it can be reviewed by UMBF & UMB SPA as appropriate.

UMB SPA also checks against other current funding agreements for compliance clauses or other terms preventing us from entering into the agreement in question.

Routing the proposal creates a record in UMB SPA and UMBF's systems so proper stewardship and relationship management can be enforced.

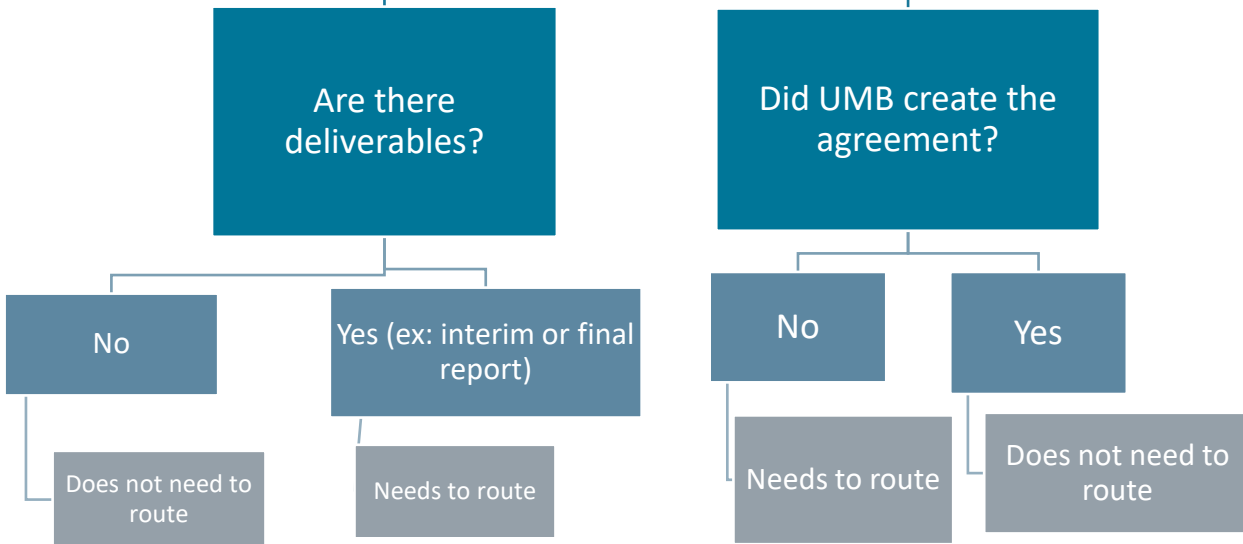
2.



### 3.

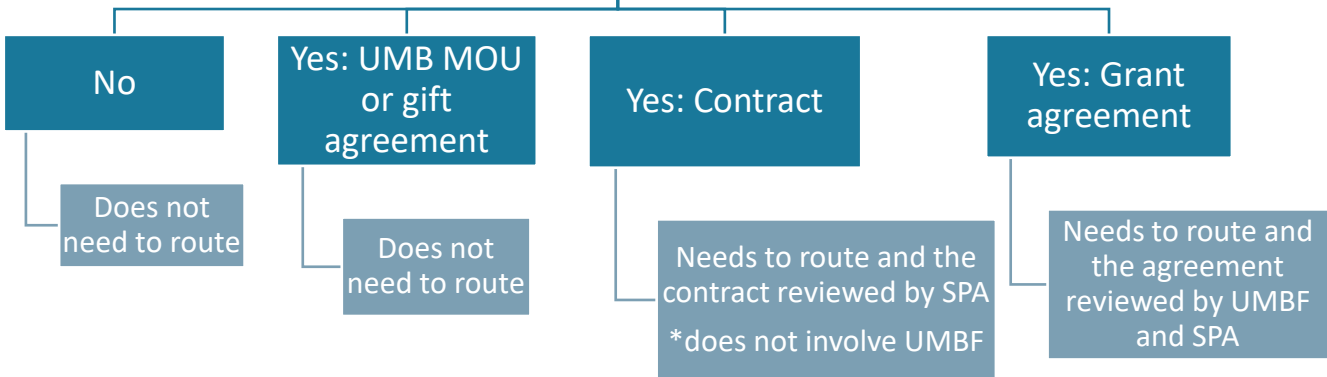
How do I know if this is a grant or gift agreement?

Exception: Gift-in-kind agreements do not need to route through SPA; other routing through the School or UMBF may be required.

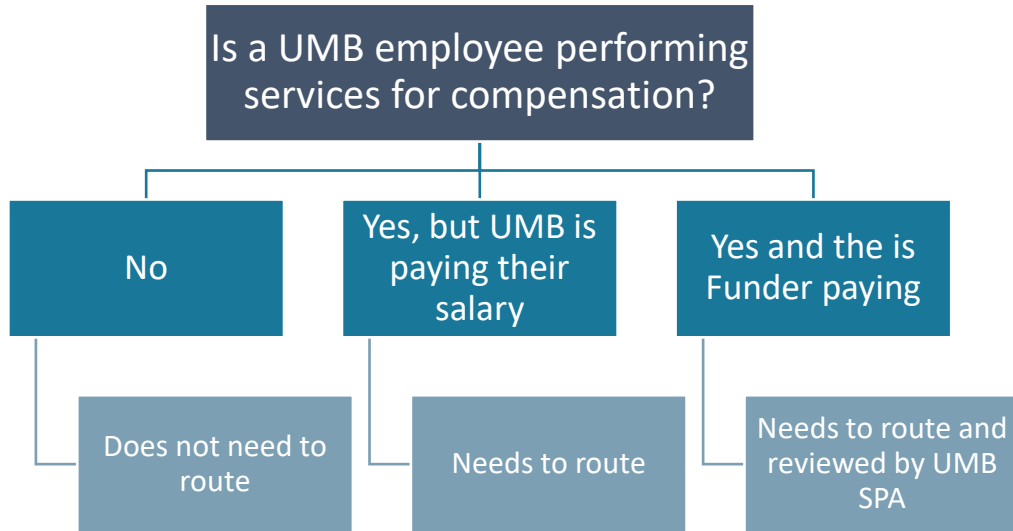


### 4.

Will there be an agreement to sign?



5.



6.

When in doubt...

**ROUTE!**

This creates a record in UMB SPA & UMBF's systems to ensure accurate management!