

## Gift Handling Instructions for PIs, PI Assistants, and Department MSOs in the College of Chemistry

(Last updated 07/25/13)

The College of Chemistry's College Relations and Development unit provides gift administration/donor stewardship for all gifts benefitting the college, and maintains records and paperwork for these gifts. Please note that all gifts to the Regents and UCB Foundation are ultimately accepted, recorded, and tax-receipted by University Relations' Gift Management unit—the College is subject to their policies and requirements.

~ Gift processing and gift fund questions can be directed to Katherine Welsh, [kwelsh@berkeley.edu](mailto:kwelsh@berkeley.edu) ph: 3-1497

~ For questions regarding corporate donor relations and coordinating request of a corporate gift, please contact Nancy Johnsen Horton, [njhorton@berkeley.edu](mailto:njhorton@berkeley.edu) ph: 3-9351.

~ Please contact Mindy Rex regarding major gifts, special solicitations, etc. [rex@berkeley.edu](mailto:rex@berkeley.edu) ph: 3-9506

### Is it actually a gift, or is it a grant or contract? Apply the following criteria:

1. Are there any financial or detailed research reports required by the donor?
2. Are there any time limits placed on the use of the money?
3. Are there any claims made upon the intellectual property or other results of the research being funded?
4. Is the money referred to as a payment for materials or services being provided by the PI?
5. Is the donating organization a recipient of a contract, of which this money could be a sub-contract?

If you answered yes to any of these questions, it may be a contract, grant, or fee. To confirm a definition, please contact UCB's Research Administration and Compliance Office, <http://rac.berkeley.edu/>

**SUBMITTING GIFTS** (PI Research, PI-administered, and Departmental Program gifts. See page 2 for instructions for other types of gifts.)

Please deliver the items listed below to Katherine Welsh in the College Relations office, 430B Latimer:

- 1) **Original check** If gift is sent/going to be sent via wire, see pages 2-3.
- 2) **Envelope** in which gift was received, if available.
- 3) **Gift letter from donor** or other correspondence from donor indicating intent of gift.
- 4) **Cover sheet** indicating who is submitting this gift and to which fund it should be directed. Cover sheet template is on page 4 of this document.

### 5) **Copy of your acknowledgement letter to donor**

Gifts to PI research and PI-administered funds are generally thanked by the PI, gifts to Departmental programs are generally thanked by Dept. chair. If gift has allocations to *both* departments, the thank-you can come from the dean—College Relations will handle the letter. Please note that University Relations has requested that text such as “I am confirming acceptance of your gift” **not** be used in thank-you letters, as technically only

URel has the authority (as granted by the Chancellor) to accept gifts. For suggestions of thank-you letter text, contact Katherine.

**In addition, please include the following two completed forms if gift is to a research fund:** (must be original, inked signature documents)

- 6) **Statement of Economic Interests for Principal Investigators (State of California Form 700-U)** If any questions on the form are marked “yes,” then the addendum 700-UA is needed as well.
- 7) **Compliance Information Form for Research Gifts**

These forms are available at <http://www.spo.berkeley.edu/forms/ucforms.html>. Look for the forms as named above within the “Forms” column. **Some updates occur annually and older forms aren’t accepted, so download from the website for each submission.** Disclosure is required even for pledge payments and gifts from individuals and non-profits.

Gifts from organizations listed at <http://www.ucop.edu/research-policy-analysis-coordination/policies-guidance/conflict-of-interest/list-of-non-governmental-entities-exempt-from-disclosure-requirement.html> are exempt from the requirement for these two forms.

Upon receipt and review of all documents, Katherine deposits check to the Campus Deposit System, and submits gift paperwork to University Relations, and if applicable, SPO. As appropriate, a copy of gift paperwork is also routed to the college’s business office and the benefitting PI or Department. Funds are made available only after University Relations has reviewed and officially accepted the gift—usually 5 to 10 business days from the date they receive the paperwork.

### **GIFTS TO COLLEGE AND DEPARTMENT ANNUAL FUNDS**

Gifts from individuals (alumni, faculty, etc.) made to non-research funds are routinely processed by College Relations. If you are the recipient of a gift of this nature, please send it our way as soon as possible. None of the special paperwork from page 1 is required, and College Relations will produce a thank-you letter from the dean.

**GIFT FEES** (Full policy document available here: <http://campuspol.chance.berkeley.edu/policies/GiftFee.pdf>)

Per campus-wide policy, gifts to **research** are subject to a 10.5% gift fee—7.5% goes to the academic unit, and 3% goes to the university. However, research gifts to **non-tenured** College of Chemistry faculty are not subject to the fee: the College waives its 7.5%, and covers the university’s 3%.

Gifts to **non-research funds** are subject to a 2.5% fee, which goes to the academic unit.

For gifts received by wire: If the bank’s wire fee (usually \$15) isn’t covered on donor’s side, it’s taken off the top by Campus gift accounting. The original amount minus the fee then becomes the actual gift amount.

### **GIFT MADE VIA WIRE TRANSFER**

Katherine ([kwelsh@berkeley.edu](mailto:kwelsh@berkeley.edu)) is the main contact for gifts given via wire. Please notify her of the expected date of transfer, country of origin, the fund your gift should be deposited to, and the amount. After the wire is received, Katherine will ask the PI for the paperwork that is required in order for gift to be submitted to Gift Administration.

#### **Bank Details for Wire Transfer:**

Please ask donors to include the following information in their wire transfer directive:

#### **Bank information**

**UC Bank Name: Bank of America, NA**

**Bank Account Number: 01753-80001**

#### **Routing Identifiers**

**Routing / Transit (ABA) number: 0260-0959-3**

**CHIPS Address: 0959**

**SWIFT Address: B0FA US3N**

**Account Holder Name: Regents of the University of California, Berkeley**

**Bank Address for routing: 100 West 33<sup>rd</sup> St, New York, NY 10001 USA**

**Branch Physical Address: 1655 Grant St, Concord, CA 94520 USA**

#### **Recipient information/memo**

**Department name**

**PI's name**

#### **VISITING INDUSTRIAL SCIENTISTS**

***Requesting a visiting industrial scientist gift:*** Please coordinate with Nancy Johnsen Horton, [njhorton@berkeley.edu](mailto:njhorton@berkeley.edu), Director, Corporate and Annual Programs, to develop correspondence to request the gift.

***Fee policy/gift amount:*** When corporations make agreements with Principal Investigators to support a Visiting Industrial Scientist to conduct research within a group, that research is customarily funded with an unrestricted gift to the PI. The suggested gift amount is \$30,000.

The College of Chemistry's policy regarding gifts supporting Visiting Industrial Scientists is as follows:

- Gifts in support of visiting industrial scientists are to be split 2/3 for the PI is hosting the scientist, and 1/3 for the College of Chemistry to cover overhead associated with the use of College facilities.
- For a typical \$30,000 Visiting Industrial Scientist gift, \$20,000 is designated to the PI's research and \$10,000 to the College of Chemistry.
- The College's policy is to cover the gift fee for the PI's portion of the gift, so the PI receives the full \$20,000 and does not pay a gift fee.
- If the corporation is able to give *more* than \$30,000, the extra funds are treated as a normal research gift.
- When a corporation is unable to support the researcher at \$30,000, smaller amounts can be approved by the PI. These gifts are subject to the 2/3 (PI) 1/3 (College) split.

# COLLEGE OF CHEMISTRY GIFT DOCUMENTATION COVER SHEET

Please complete this form by hand, or provide this information in an email or text document.

DATE:

TO: *Katherine Welsh, College Relations, 430B Latimer*

FROM:

DONOR'S NAME:

GIFT CHECK DATE:

Deposit to **existing** fund(s):

Fund #      Fund Name:      Amount(s):

Fund #	Fund Name:	Amount(s):

If **new** fund is requested:

Proposed fund name/short description of fund use:      Amount:

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