

W.M. KECK FOUNDATION

Research Program Grant Process

FY17

PRIVATE FOUNDATIONS WITH GRANT PROGRAMS

- Require a different approach relative to federal funding agencies
- Your interests must align with the interests and priorities of the foundation
- National private foundations vs. local or regional family foundations: likely require different approaches
- Some private foundations require a very specific approach – the Keck Foundation is just that sort of foundation

W.M. KECK FOUNDATION

- The W.M. Keck Foundation strives to fund endeavors that are distinctive and novel in their approach.
- It encourages projects that are high-risk with the potential for transformative impact. "High-risk" comprises a number of factors, including:
 - questions that push the edge of the field,
 - present unconventional approaches to intractable problems, or
 - challenge the prevailing paradigm
- The Keck Foundation relies on a single point of contact with each institution eligible for funding. At the University of Oklahoma, the point of contact is Dr. Alicia J. Knoedler, Executive Associate Vice President for Research

KECK FOUNDATION RESEARCH PROGRAM

- The Keck Foundation provides funding through several programs: Research, Undergraduate Education, and Southern California.
- Within the Research Program, the Foundation supports pioneering discoveries in fundamental science, engineering and medical research (not applied work)
- The Foundation funds the high-risk/high-impact work of leading researchers
- Both Senior and Early Career investigators are encouraged to apply
- The grant application is specifically defined at: <http://www.wmkeck.org/grant-programs/research/application-process-14030>
- There are 3 phases involved in applying for funding through the Research Program:
 - Concept Paper and Pre-Application Counseling
 - Phase I Application
 - Phase II Proposal

RESEARCH PROGRAM PRIORITIES

- Funding is awarded to universities and institutions nationwide for projects in **science, engineering, and medical** research that:
 - Focus on **important and emerging areas** of fundamental research
 - Have the potential to develop **breakthrough** technologies, instrumentation or methodologies
 - Are **innovative, distinctive and interdisciplinary**
 - Demonstrate a **high level of risk** due to unconventional approaches, or by challenging the prevailing paradigm
 - Have the potential for **transformative impact**, such as the founding of a new field of research, the enabling of observations not previously possible, or the altered perception of a previously intractable problem
 - **Fall outside the mission** of public (e.g., federal) funding agencies
 - Demonstrate that **private philanthropy** generally, and the W. M. Keck Foundation in particular, **is essential** to the project's success

RESEARCH PROGRAM PRIORITIES

The Research Program does NOT support:

- *Clinical or translational research, treatment trials or research for the sole purpose of drug development*
- General operating expenses, endowments or deficit reduction
- General and federated campaigns, including fundraising events, dinners or mass mailings
- Grants to individuals (as opposed to institutions)
- *Conference or seminar sponsorship*
- *Book publication and film or theater productions*
- *Public policy research*
- Institutions that are located outside the United States
- Institutions that do not have a tax-exempt ruling from the federal government and (if located in California) the State of California, or if a government unit, do not have a signed Declaration of Status
- Institutions that do not have at least three consecutive full, certified, audited financial statements
- “Conduit” organizations, unified funds or organizations that use grant funds from donors to support other organizations or individuals
- Institutions that are subsidiaries or affiliates of larger entities that do not have a separate board of directors and independent audited financial statements

RESEARCH PROGRAM GRANT CYCLE TIMELINE

For awards to be determined in December:

University of Oklahoma Draft Concept Papers Due	Pre-Application Counseling *	Phase I Application Deadline	Notification of Invitation to Submit Full Proposal	Full Proposal Deadline
November 15	January 1 to February 15	May 1	July 15	August 15

For awards to be determined in June:

University of Oklahoma Draft Concept Papers Due	Pre-Application Counseling *	Phase I Application Deadline	Notification of Invitation to Submit Full Proposal	Full Proposal Deadline
May 15	July 1 to August 15	November 1	January 15	February 15

* Concept papers need to be submitted to the Keck Foundation prior to the Pre-Application Counseling session

APPLICATIONS TO THE KECK FOUNDATION FROM THE UNIVERSITY OF OKLAHOMA

- Submitting to the Keck Foundation is considered to be a “Limited Submission” and is therefore coordinated by OU as opposed to individuals applying to the Keck Foundation directly
- Individual investigators/teams of investigators should determine if their work is a good fit for the Keck Foundation’s priorities
- Investigators should determine which grant cycle is optimal for their research timeline
- Interested investigators should develop a draft concept paper and submit it to CRPDE (see: https://crpde.ou.edu/limited_submissions) by the concept paper deadline, either November 15 or May 15, depending on the grant cycle
- The Keck Foundation will only consider 4 concept papers within each grant cycle. If more than 4 investigators/teams of investigators are interested in applying to the Keck Foundation within a single grant cycle, CRPDE will determine a process for a limited submission competition if needed

CONCEPT PAPER

- The same format is used for concept paper submission within OU as it would be to the Keck Foundation
- Single-paged concepts for the Research Program should be in 12 point font with 1-inch margins and should include:
 - an overview of the proposed project emphasizing any unique aspects and pilot studies (for Research Program concepts, indicate area of emphasis for project - medical research or science and engineering research);
 - a description of the methodologies and key personnel;
 - a brief justification of the need for Keck Foundation support; and
 - an estimated budget broken down, if possible, by major areas, e.g., personnel, equipment, consumable supplies, etc. (budgets can be rough approximations at this stage)
- More information is available at: <http://www.wmkeck.org/grant-programs/faq/214-grantprograms/shared/1482-concept-papers>

CONCEPT PAPER

- If an investigator/team of investigators is interested in developing a concept paper, they are encouraged to contact the Center for Research Program Development and Enrichment (CRPDE; crpde@ou.edu) to let them know of their interest
- Investigators/teams of investigators should develop draft concept papers for an internal deadline (to CRPDE) of November 15 or May 15 (depending on the grant cycle)
- Following the internal submissions of concept papers within OU, a discussion of the draft concept papers will occur with the goal of submitting concept papers (no more than 4 per grant cycle) to the Keck Foundation prior to scheduling a Pre-Application Counseling session
- Scheduling the pre-application counseling session is the responsibility of the institutional point of contact, not the individual investigators/teams of investigators

PHASE I APPLICATION

- If the concept paper is well received and the pre-application counseling session goes well, an investigator/team of investigators may develop a Phase I Application to the Keck Foundation
- Phase I Applications are due May 1 or November 1 (depending on the grant cycle)
- Phase I Applications are developed in coordination with the institutional point of contact, who will arrange for the submission to the Keck Foundation
- Phase I Applications from the University of Oklahoma MAY NOT be submitted to the Keck Foundation without first going through the Concept Paper phase of the process
- OU's Office of Research Services is not involved in this process; therefore, submission of an OU Infosheet is not required

PHASE I APPLICATION

- Technical portion - Required length – 3 pages:
 - Project Summary (1 page)
 - Project Description (3 pages)
- Required Forms:
 - Cover page*
 - Institutional Priority of Request Form*
 - Project Budget Form
 - Fundraising History Form*
- Other Requirements
 - List of 5 knowledgeable experts
 - Organizational requirements (501(c)3, 509(a)1 documentation, list of Board of Regents members, institutional factsheet, etc.)*

*Rationale for why this process is done in coordination with the institutional point of contact

PHASE II PROPOSAL

- Phase II Proposals may only be submitted if invited by the Keck Foundation
- The technical portion of the proposal is limited to 12 pages
- Other documentation is also required: <http://www.wmkeck.org/grant-programs/research/application-process-14030/phase-ii-proposal-54809>
- The Keck Foundation may also request a site visit after receiving a Phase II Proposal. The site visit is organized in coordination with the institutional point of contact

GENERAL GRANT ELEMENTS FOR KECK FOUNDATION RESEARCH PROJECTS

- No graduate student tuition may be included
- No indirect costs may be included
- Institutions may only submit one Phase I Application per grant cycle
- The Foundation advises that project budget amounts stay under \$2M (total costs) but most awards are around \$1M (total costs)
- Grants may range in duration from 1 to 5 years
- The Foundation will not fund work it has previously supported
- Requests for new funding must be unique

SUMMARY

- The Keck Foundation is interested in supporting cutting-edge, high-risk, innovative fundamental scientific, engineering and medical research
- The Keck Foundation is not interested in supporting research that other funding entities are likely to support
- The Keck Foundation considers an “applicant” to be an institution/university, not an individual faculty member/investigator
- Questions regarding Keck Foundation programs can be asked of OU’s institutional point of contact, Dr. Alicia Knoedler (aknoedler@ou.edu)
- Approaching the Keck Foundation for funding involves a 3-stage process, beginning with a concept paper and pre-application counseling session

CONTACTS

- The University of Oklahoma's Institutional Point of Contact:
 - Alicia Knoedler
 - Executive Associate Vice President for Research
 - Executive Director, Center for Research Program Development and Enrichment (CRPDE)
 - aknoedler@ou.edu
 - 405-325-9433

- CRPDE phone: 405-325-0268
- CRPDE email: crpde@ou.edu
- CRPDE website for Limited Submissions: https://crpde.ou.edu/limited_submissions