Navigating Internal and External Grants at SUNY Oneonta

SUNY ONEONTA

The Players

The Grants Development Office (GDO) – Division of Academic Affairs, Office of Academic Programs

○ **Kathy Meeker,** *Director* ○ **Christine Barberio,** *Sr. Grantswriter*
  ○ **Keith Schillo,** *Faculty Associate for Grants Development*

Foundation & Corporate Programs – Division of College Advancement

○ **Audrey Porsche,** *Manager*

Sponsored Programs (SP) – Division of Finance & Administration

○ **Denise Straut,** *Director* ○ Additional staff (4)

Business Services – Division of Finance & Administration

○ **Betty Tirado,** *Director* ○ Additional support from Accounting Office (Rebecca Porter-O'Donnell) for some NYS-funded grant programs
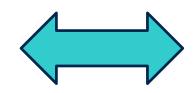
And YOU!

Pre- and Post-Award Services

Pre-Award
Grants Development, Foundation/Corp Programs
(funding source-dependent)

Helps you identify external funding sources, develop proposals, and submit applications

Post-Award
Sponsored Programs, Business Services, Accounting

Helps you accept award monies, manage the funding, and comply with various internal and external policies

Who you work with to prepare funding requests and to monitor awards is dependent on funding source, type of funding (grant vs. contract vs. gift/donation) and/or where the funding "lives"

Get in touch early so this can be appropriately determined

Sources of Funding

- External
  - Government: federal, state, local
  - SUNY programs (e.g. Innovative Instruction Technology Grants [IITG], Explorations in Diversity and Academic Excellence, Conversations in the Disciplines, others as released)
  - Private: foundations, corporations [usually requires 501(c)(3) status, i.e. designated nonprofit status by the IRS]
- Internal: institutional programs

Request For Proposals (RFP): Formal announcement issued by a grantmaker that includes details on the services or programs the grantmaker will consider; what the proposal needs to contain; deadline information; proposal review and evaluation information; and other guidelines to help respondents submit a technically qualified, highly competitive proposal

SEEKING AND ADMINISTERING EXTERNAL FUNDING / AWARDS

Types of External Funding

- **Contract or Memorandum of Understanding (MOU)**
  - Includes deliverables for scope of work
  - Usually includes a strict timeline for work and deliverables
  - Budget is tied to specific deliverables

- **Grant**
  - More flexible as to scope of work
  - Easier to amend than contracts; but, can be more competitive

  Depending on RFP specifics, awards are made to:
  - the institution (including subawards) OR
    - individuals (e.g., fellowships, prizes)

Administration of External Funding

Depending on the funding source and stipulations of the award, monies are fiscally administered through various entities

- **The College at Oneonta Foundation** – raises, receives and manages charitable gifts and grants to SUNY Oneonta (non-profit organization)

- **New York State IFR (Income Fund-Reimbursable)** – self-supporting accounts that operate on revenue generated from its operations

- **The Research Foundation for SUNY (RF)** – private, nonprofit educational corporation with primary responsibility for administering externally funded contracts and grants for and on behalf of SUNY (for FY2016/17 SUNY Oneonta RF committed funds = ~$6.8M)

For any and all external funding/resources, you can check with the 'gate-keeper' GDO to ascertain appropriate fiscal agent and process

Research Foundation for SUNY

- Maintains a separate business system for all accounting, grant tracking and reporting, including HR and payroll systems, property control, check writing for all payables, invoicing sponsors, maintaining accounts receivable

- Is a separate employer, distinct from SUNY and NYS

- Ensures compliance with grant sponsor and government requirements

- Protects SUNY's intellectual property (SUNY ranks among the nation's top patent-producing universities) and assists SUNY faculty with connections to business and industry to commercialize their inventions for the public good

- Assists campuses with legal advice and assistance

- Provides miscellaneous business needs such as property and liability insurance, tax exemption, and foreign tax issues

- Administers (local) the campus' Responsible Conduct in Research (RCR) policy, requirements and training (e.g. IRB, IACUC, Scientific Misconduct)

Identifying External Funding Sources

infoEd GLOBAL

Sponsored Programs Information Network (SPIN)

FOUNDATION DIRECTORY ONLINE

GRANTS.GOV℠

FIND. APPLY. SUCCEED.℠

National Science Foundation

WHERE DISCOVERIES BEGIN

NSF

NATIONAL ENDOWMENT FOR THE Humanities

Discipline-specific professional organizations

Google

Seeking External Funding

If RFP / Program Solicitation / Call for Applications is from the following entities, the GDO will work with you, coordinating with other offices and partners as needed, and facilitating required institutional routing

- Federal agencies (NSF, NIH, NEH, NEA, US Dept of Education, NASA, USFWS, USDA, EPA, etc.)

- State agencies (for direct or flow-through grant funds; Consolidated Funding Application [CFA] process)

- SUNY grant programs – *State budget account, but submitted via the GDO*

- Certain foundations (e.g. those that fund research and/or if funding includes salary/wage payments, formalized reporting, other criteria)

Seeking External Funding

If funding is for a <u>contract</u> or <u>MOU</u>, Sponsored Programs and/or Business Services will work with you, coordinating with other offices and entities as needed

- Includes funding for payment of salary/wages or faculty course release (Sponsored Programs)

- Includes deliverables for a scope of work (Sponsored Programs)

- Includes course credit or SUNY tuition (Business Services)

- Includes revenue generation for use of State property or equipment (Business Services)

- Includes acquisition of equipment not dedicated to RF-administered project/program (Business Services)

Each contract is unique, and will be coordinated through and awarded to appropriate entity depending on specifics

Seeking External Funding

Proposals to corporate foundations or giving programs, or to smaller private foundations (e.g. local and regional 'family' foundations) are coordinated by the Manager of Foundation & Corporate Programs (College Advancement)

- Scholarships
- Internships
- Faculty Development Funds
- Lectureships
- Student Travel Fund
- Equipment (particularly corporate in-kind donations)

Each foundation or corporate program and each funding request is unique, and may instead be facilitated through the GDO, Sponsored Programs, and/or Business Services

External Application Policy

Other than for private gifts and grants made to the College at Oneonta Foundation, it is the policy of the College that all grants and contracts submitted to external sources **must** be cleared through the Grants Development Office (grants and some contracts) and/or Sponsored Programs or Finance & Administration (most contracts), and approved by the College's Authorized Organizational Representative (AOR)

*Link to Policy Library: **policies.oneonta.edu***

External Grant-Seeking: Institutional Requirements

All external grants must be 'routed' for relevant approvals at least 5 working days in advance of the deadline: ● *Department Chair* ● *Dean* ● *Provost* ● *VP Finance & Administration*

➢ Department Chair and Dean must be informed of intention to submit a grant well in advance of the 5 day routing window, <u>particularly if matching funds, course release, equipment acquisition and/or other institutional commitments are anticipated</u>

➢ Final budget included with routing form; GDO/SP help develop and review budgets in advance, and facilitate institutional routing

Remember – the institution, not the employee, is the grant awardee; in order for the College to accept an award, routing procedures must be followed; <u>always contact the GDO first thing if you are even thinking you might be interested in submitting an external grant, regardless of source</u>

External Grant-Seeking Services

- Brainstorm, develop and focus project ideas
- Strategize approaches for seeking funds
- Research funding opportunities
- Work closely to draft proposal narratives
- Develop proposal budgets
- Prepare and assemble all application components
- Facilitate the support of administration
- Identify campus collaborators and external partners
- Ensure compliance with sponsor requirements
- Work with Sponsored Programs to secure campus approvals for submission
- Submit applications, electronically or otherwise

INTERNAL FUNDING OPPORTUNITIES

Internal Funding

Internal grant programs are competitive!

- Administered and reviewed by different entities, e.g.:
  - Faculty/Professional Staff Research/Creative Activity Grant Program (GDO-administered, peer-reviewed)
  - Strategic Allocation of Resources [StAR] (administered by Budget Advisory Committee; reviewed by an Executive Committee)
  - Others: Student Grant Program, Faculty Development Funds, UUP Professional Development Funds, Public Events, etc.

- Prepare applications to internal programs as carefully as an external application – follow specific guidelines, answer all questions and provide all components, copy edit and proofread, and submit on time

Faculty / Professional Staff Research / CA Grant Program

- Competitive, peer-reviewed campus grant program that funds research and creative activity ($3,000 max)
- Currently funded from Research Foundation for SUNY indirect cost recovery and a 3-year StAR award
- Calls for Applications issued in spring and fall semesters for funding projects during the fiscal year (July 1 to June 30)
- Applications to the fall round of funding are due October 11, 2017

    oneonta.edu/grants/on-campus-funding.asp

Student Grant Program for Research and Creative Activity (CA)

o $1,500 maximum request for project-related expenses

o Students and faculty also eligible for $300 fellowships (following required presentation at a SRCA Day event)

o Submitted by student(s) with faculty sponsorship

o Application deadlines in both fall and spring semesters

o Funded by the College at Oneonta Foundation and the Alumni Association ($58,650 for 2017 awards)

o Applications reviewed by Committee on Research; 32 grants totaling $52,275 awarded in 2016/17

o Next application deadline – November 15, 2017

Student Grant Program for Research and CA (continued)

o New grant 'tracks' to be implemented fall 2017 intended to support 'tiered' opportunities to engage students earlier and to attract students traditionally not well represented

   o Research/CA shadowing track (student & faculty stipends)
   o Classroom-based research/CA track (to support activities that would enhance the research/CA aspects of a course)
   o Summer research fellowship track (student housing, faculty stipend, supplies/materials)

o Pilot program funded through a 3-year $75,000 award from the Strategic Allocation of Resources (StAR) program

oneonta.edu/academics/frc

Internal Funding

- GDO staff can answer questions regarding these programs and provide some general guidance, but cannot help write internal proposals

- Consult with your department chair/supervisor, particularly if resources are to be committed

- Collaborate, if possible

- Ask colleagues to review drafts and provide feedback prior to submission

Compliance Issues

- All internal or external research grant recipients (students and faculty) are required to complete Responsible Conduct of Research (RCR) certification (online training)
  - Nice credential for students
  - No cost to become certified
  - Administered by Sponsored Programs

- Other applicable compliance issues must also be addressed
  - Conflict of Interest
  - Human Subjects Research (IRB)
  - Research Involving Animal Care and Use (IACUC)
  - Export Controls

OTHER INITIATIVES, PROGRAMS AND EVENTS

Support & Professional Development

➢ **Grants Development Office "Client" Survey**

- Administered June 2017 to 153 faculty/staff who interacted directly with the GDO in 2016/17
- 62 responses submitted (40+ percent)

"Select any and all factors that have prevented you from pursuing external funding opportunities"

- No time to work on a proposal (60%)
- Need time to gather preliminary results/develop project (31%)
- Lack of information on funding opportunities (29%)
- Need help to develop a proposal (23%)
- No time to implement/carry out a funded project (19%)
- Need to publish prior to grant submission (10%)
- Grant seeking not officially recognized for renewal/tenure/promotion (2%)
- Other (16%): no incentives from administration, limited funds for the arts, required matching funds not available, few grant opportunities in field

Support & Professional Development

Efforts to Enhance Grant-Seeking

- **Increased outreach for funding opportunities**
- **Professional development opportunities ***
  - Council on Undergraduate Research (CUR) Dialogues meeting in DC
  - "Why Grants?" 1½ workshop (stipends for faculty participants)
  - Fulbright Scholar Program information session
- **Faculty Associate for Grants Development ***
  - Identify and support faculty development opportunities
  - Support specific grant submissions
  - Coordinate grant review process
- **Additional funding for Faculty Grant Program ***
- **Pilot Research Incentive Program:** Under specific conditions, faculty receive 50 percent of recovered indirect cost monies paid by sponsoring organizations of funded grants (3 year pilot, 6/30/2019)

* Funded by a Strategic Allocation of Resources (StAR) award

Faculty & Student Showcases

oneonta.edu/academics/lotm

- **Showcase of Faculty Accomplishments**
  - Research / Scholarly Activity
  - Performing Arts / Creative Activity
  - Teaching
  - Student Engagement
  - Service Learning
- **Posters, PowerPoint, book display, and other exhibits**
- **Abstracts due October 16**
- **Poster files due by October 23**

LIFE OF THE MIND
november 8-9, 2017

srca
STUDENT RESEARCH & CREATIVE ACTIVITY DAY
2017

oneonta.edu/grants/srcad

2017 (April 12) SRCA Day featured:

- 115 projects
- 166 student co-authors
- 68 faculty sponsors

Save the date
SUNY SURC 2018
April 20

THANK YOU! QUESTIONS?

**Grants Development Office
www.oneonta.edu/grants**

Kathy Meeker, Director (x2632)

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**Sponsored Programs
www.oneonta.edu/admin/spa**

Denise Straut, Director (x2525)

Both offices are located in Bacon Hall, Morris Conference Center