Princeton Research

Faculty Research Forum

External and Internal Funding
Funding for research at Princeton: an overview
The Big Picture

University research is funded by a range of extramural parties:
- Federal government
- State and local government
- Foreign governments
- Corporations/Industry (domestic/foreign)
- Foundations/Nonprofit organizations (domestic/foreign)
- Individual Donors – handled by University Advancement Office

The university research enterprise is driven by both external and internal funding.
The Big Picture

University research is driven by a range of agreements with extramural parties

Funded (in order of restrictiveness)
- Gifts
- Grants
- Cooperative agreements
- Contracts

Non-funded
- Provide valuable opportunities rather than funding
- Confidentiality agreements
- Data use agreements
- Material transfer agreements
Office of the Dean for Research

Internal Funding

- Available opportunities/competitions across a broad range of disciplines, encourages interdisciplinarity
- Invests in key areas and activities
  Innovation/Travel/Transformative technologies
- Competing for internal funding in a particular area can be a good precursor for competing for external funding
- May support preliminary or exploratory research and results critical to obtaining external funding

External Funding

- Each sponsor has a different mission and set of priorities
- Eligibility variations
  Young Investigator/Multi-disciplinary/Travel/Equipment, etc.
- Federal funding driven by budget/appropriations
- Non-federal funding driven by sponsor priorities/focus
Sponsored Awards vs Gifts

**Sponsored Awards**
- Strings attached
- Specified statement of work
- Reporting requirements
- Performance period
- Subject to University policy
- Must be submitted through ORPA

**Gifts**
- No strings attached
- No specified statement of work or deliverables
- Minimal reporting requirements
- Irrevocable
- Subject to University policy
- Managed by CEFR
Funding Lifecycle

- Develop Idea
- Find Funding
- Submit Proposal
- Award Negotiation and Acceptance
- Award Management
- Dissemination and Closeout
Proposal Development Tips

- Read the solicitation carefully
  - Deadline dates
  - Cost sharing requirements
  - Restrictions (publication, non U.S. persons, IP ownership)
- Alert your departmental Grants Manager as soon as possible
  - He/she is your resource for proposal development and submission
- Reach out to ORPA/CEFR and/or the Program Officer with questions
Award Management Advice

- Read and understand the award notice from the Sponsor
- Direct questions to your ORPA administrator (GCA) and/or your departmental Grants Manager
- Be aware of the reporting requirements to ensure due dates and/or deliverable requirements are met
- Work with your departmental grants manager to programmatically and financially manage the award
- Be a good steward of the funding
Investing in Relationships

➢ Program Officer
➢ Collaborators
➢ Department Grant Manager

I ideas to Action
Grant Review Process –
An NIH Social Science Perspective

- Second stage – team of 20 scientists has access to 30 to 40 grants that have passed the first stage review
  - Each reviewer assigned as first, second or third reader on five grants
  - First reviewer presents; second and third weigh in
  - Each application scored on six criteria: Specific aims; Significance; Investigators; Innovation; Approach; Environment

- Problems
  - PI did not consult with survey expert or solicit bids from survey firms
  - Insufficient experience in survey operations
  - Potential problems with IRB review
Internal funding resources through the Office of the Dean of the Faculty
General Information

The bulk of funding offered through the Dean of the Faculty is administered by the University Committee on Research in the Humanities and Social Sciences (UCRHSS)

The UCRHSS is a faculty committee appointed by the Dean of the Faculty. They meet two times a year to consider eligible faculty grant requests of more than $700 in support of their research and scholarship.

Grant requests of up to $700 are not subject to the committee’s review. They can be approved any time during the year by the Executive Committee Secretary.
Eligibility

› UCRHSS funding is solely reserved for faculty in the Humanities and Social Sciences

› Eligibility is limited to Full time, non-visiting, Professors, Associate Professors, Assistant Professors, Emeritus faculty, Instructors, Senior Lecturers, Lecturers and members of the Society of Fellows

› To be eligible to apply for the Spring meeting, the applicant must continue to serve in an eligible full-time rank the following academic year
Funds Administered by UCRHSS

Unrestricted Funds

- **University Research Fund**: may provide limited assistance for scholarship and research
- **Graham Fund**: may provide limited assistance for scholarship and research

Restricted Funds

- **Anonymous Fund**: restricted to funding undergraduate research assistance only
- **Tuck Fund**: restricted to work abroad that will “enhance their knowledge of their particular fields and to strengthen their teaching capabilities”
Funds Administered by UCRHSS

Important note regarding the Anonymous Fund:
This fund currently has a very substantial balance built over the years due to its restriction and the committee is particularly looking for any opportunity to spend it down. They strongly encourage eligible faculty to consider utilizing undergraduate research assistance for their research project proposals by requesting assistance from this fund.
Deadlines and Award Notifications

<table>
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<tr>
<th>Deadline date</th>
<th>Meeting</th>
<th>Anticipated Award Notification date</th>
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<tbody>
<tr>
<td>October 15th</td>
<td>Fall</td>
<td>December 1st</td>
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<tr>
<td>March 15th</td>
<td>Spring</td>
<td>May 1st</td>
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If the deadline falls on a weekend, the due date will be the next business day. For this academic year, the deadline dates for the fall and spring are respectively Tuesday, October 15, 2019 and Monday, March 16, 2020.

Reminder memos are sent to eligible faculty as well as their home department administrators in early fall and spring.
Application General Guidelines

- Completed application form available on the Office of the Dean of the Faculty website
- Department Chair’s endorsement
- Research Proposal including description of the project, duration, use of own discretionary research fund, other sources of support and proposed budget among other things
- Application should be submitted through the DOF dropbox by department administrators on behalf of their eligible faculty. This would apply to final grant reports as well.
Extensions and Reporting Requirements

- Extension requests should be submitted to the Secretary of the Committee for consideration preferably before the grant is due to terminate.

- Grant reports should include:
  - a completed grant accounting form
  - a brief summary of the used and product of the grant

- Future requests will not be considered by the committee unless all reporting requirements on previously completed grants are met.

- Application should be submitted through the DOF dropbox by department administrators on behalf of their eligible faculty. This would apply to final grant reports as well.
Learned Society Travel Fund

Unlike UCRHSS funds, the Learned Society Travel Fund is offered to faculty in all divisions including Full Time, non-visiting, Professors, Associate Professors, Assistant Professors, Emeritus faculty, Instructors, Lecturers, members of the Society of Fellows, Senior Research Scholars, Research Scholars and Senior Professional Specialists.

The intent of the Learned Society Fund is to support travel to attend conferences in which the participant is presenting a peer reviewed scholarly work to an open audience of members of the discipline.
Learned Society Travel Fund

Eligible expenses
- The fund will reimburse eligible faculty for up to three night’s hotel expenses in addition to transportation to meetings of learned societies, held within or outside the United States
- The reimbursement level is capped to $2,000

Eligibility period
- Eligible expenses will be reimbursed for at most one trip during the fiscal year
- Grant amounts cannot be carried over from one year to the next if not used
- Eligibility is determined by the date the talk is given
Learned Society Travel Fund

Reimbursement Requests

➤ Eligible faculty wishing to draw on the fund should submit an expense report through Concur and attach to the request all required supporting documentation including a copy of the conference program listing the name of the Society or conference, the meeting dates, and title of the paper.

➤ These request are approved in Concur by the appropriate administrator at the departmental level but periodically reviewed by the Office of the Dean of the Faculty for compliance and appropriateness.