

External Funding Instructions and Guidelines {A PDF version of this page is also available.}

Research Funding:

Graduate students are encouraged to pursue external funding from a sponsored program to support their education and research efforts. External funding sponsors are sources for which a non-university representative selects the graduate student through a national or international competition. A sponsored program is a research, training, instructional, or related project supported by external funds that are received by the University on behalf of a faculty member, and for which the University is accountable. Sources for sponsored programs include government agencies, corporations, and foundations. The process of searching for external funding encourages students to pursue focused professional development that will enrich their experience in applying for a sponsor and exposure to funding sources.

Before Applying for a Sponsor Program:

1. Graduate students are required to have a faculty member who will be addressed as the Principal Investigator (PI) in the proposal. The PI is expected to oversee the preparation and administration of the project.
2. The PI must sign the Sponsored Program Form and the PI Form.
3. In an application proposal, the graduate student will be addressed as the Collaborative Investigator (CI) for the project. CIs are key personnel who have responsibilities similar to those of the PI on the project. If awarded, while the PI will have the ultimate responsibility for the project, the CIs are

- also obligated to ensure the project is conducted in compliance with the sponsor's terms and conditions.
4. The graduate student will be able to use the title "Collaborative Investigator" on their Curriculum Vitae.
 5. If the student is seeking sponsorship from a corporation or a foundation, the first step is to contact the Development Associate to request "clearance" to approach this institution. *Before* submitting a proposal to the sponsoring organization, the student must receive University clearance. This applies to an open invitation, such as program solicitations, that have been publicly extended.

Acquiring Approval before Applying for a Sponsored Program :

1. Once the P.I. signs the Sponsored Program Form and the P.I. Form, the student should contact the Financial Analyst. The Financial Analyst will then schedule a meeting with the student, the Associate Director for Academic Affairs, the Associate Director for Administration, and the Director. Prior to this meeting, the student must bring the executed forms, a draft proposal, and a draft budget. This meeting is an opportunity for the student to better understand what is expected from them and when. The staff members will discuss important matters such as the timeline of the project, the financial guidelines that apply to the sponsored program, and how the student can make the application process run smoothly.

2. After all parties have signed {the required documentation}, the student meets with the Financial Analyst to create the sponsor application in Cayuse. Cayuse is NYU's system that supports the submission of proposals to external sponsors.

After the student has completed the application approval process and is ready to officially apply to the program, he or she should contact the Financial Analyst.

Sponsored Program Approval Protocol:

- ❖ If an application is approved by the sponsor, the Financial Analyst will save the approval letter and all related documents on the server in the award files.
- ❖ When NYU's Sponsored Programs Administration (S.P.A.), the PI, and the CI receive the award amount from the sponsor, a new chart-field account will be created by S.P.A. and the PI will be given access. The awarded application will now be considered as a grant. The Financial Analyst will then upload the budget for the award and make sure all parties, including the Fiscal Officer and Assistant Director, are notified.
- ❖ Please note that it is imperative that all projects being awarded comply with the sponsor's reporting requirements. The Financial Analyst will work with the PI and Accounts Payable to properly code purchase requisitions and invoices for grant tracking of the project. The Financial Analyst will monitor expenditures against project budgets through NYU's financial systems and will assist with the preparation and provision of the financial data for S.P.A.

and the sponsor's reporting requirements. The PI and the CI are responsible for the timely submission of all narrative reports for their projects, copying the Financial Analyst when they submit the report.

Sponsor Program Declined Protocol:

- ❖ If an application is declined by the sponsor, students are encouraged to treat the grant application as a learning experience. The student is required to contact the Financial Analyst once they receive communication that their application has been declined. There are two options for what a student can do if their application has been declined: if a student wants to look into other options for sponsored funding, they should inform the Financial Analyst, who will review the sponsor's application guidelines, and potentially, proceed with the sponsor's application process. Depending on the sponsored program, the student can potentially re-apply during subsequent rounds.

Required General Guidelines:

- ❖ Attach a detailed description of the proposal with the sponsor guidelines to the executed Sponsored Program Form and PI Form.
- ❖ It is imperative to specify the distribution of responsibilities between the CI and the PI in the draft proposal. The responsibilities should be discussed with the PI before signing the required forms.

Helpful Information for Collaborative Investigators :

Guide to External Funding:

- ❖ The Guide to External Funding includes information on Planning/Timeline, Requesting Clearance, Developing a Proposal, Pre-submission Review, Submitting a Proposal, Award Communication, Receiving Funds, and Post Award: Acknowledgement and Reporting. Any student seeking detailed information regarding ISAW's process for applying to and receiving sponsored program funding should see the Guide to External Funding.

Guide to Sponsor Program (Grant) Administration:

- ❖ Any student seeking additional information about sponsored programs should see the Guide to Sponsored Programs.

Samples of Sponsored Program Proposals:

For your assistance, please see the sponsor awarded proposals provided in the link below. The information provided is not intended to serve as a replication, but to guide you in the process of preparing your own request for funding.

[National Endowment for the Humanities Sample Grant Applications](#)

Narratives-Made available under the Freedom of Information Act. See narratives of successful grants to different programs within the divisions of NEH.

[National Endowment for the Arts Sample Grant Application Narratives](#) - Placed within the NEA's Freedom of Information Act Reading Room web page. See some sample application narratives.

Any student requiring assistance should contact the Financial Analyst.