**KECK FOUNDATION GRANT-MAKING SUMMARY (April 2017)**

The following information is available at <http://www.wmkeck.org/grant-programs/research>

ELIGIBILITY

Research universities, medical colleges and major private independent scientific and medical research institutes are eligible to apply to the Research Program.

Organizations must be:

* Exempt from federal taxation as defined by Section 501(c)(3) of the Internal Revenue Code and be designated as:
  + a public charity as defined by Section 509(a)(1) or 509(a)(2) or 170(b) of the Internal Revenue Code; or
  + exempt operating foundation as defined by Section 4940(d)(2).

For clarification, no grants will be made to private foundations (other than exempt operating foundations) or 509(a)(3) organizations.

If the institution is located in the State of California, the organization must also be exempt from California State Franchise or Income Tax under Section 23701(d) of the Revenue and Taxation Code.

Organizations must be able to provide current full, certified, audited financial statements prepared on an annual basis in conformity with generally accepted accounting principles. If in existence less than five years, the organization must be able to provide at least three consecutive full, certified, audited financial statements prepared on an annual basis.

Organizations must also be able to provide the most recently filed complete Return of Organization Exempt from Income Tax (Form 990), including Public Charity Status and Public Support (Schedule A). If an exempt operating foundation, the organization also must able to provide the most recently filed complete (Return of Private Foundation (Form 990-PF) rather than Form 990.

If the organization is a government unit as defined by Section 170(b)(1)(A)(v) and (c)(1) and therefore does not receive a determination letter as to such organization’s tax exempt classification from the Internal Revenue Service, such organization must submit a Declaration of Status. Such declaration must specify:

* the federal, state or local laws pursuant to which the organization is created and governed;
* whether the organization also is a (a) school as defined by Section 170(b)(1)(A)(ii), (b) hospital or medical research institute as defined by Section 170(b)(1)(A)(iii) or (c) other organization described in Section 170(b);
* that such organization is legally and financially responsible for its debts; and
* that such organization is not a non-operating private foundation within the meaning of Section 509.

Such declaration must be signed by the organization’s chief executive or president and by its chief legal officer. A template of such declaration is available upon request.

Grant agreements will be deemed to have been entered into in the County of Los Angeles, State of California; and, California law will apply to the interpretation and enforcement of the grant provisions.

If the organization is part of a group that received a determination letter as to such group’s tax exempt classification from the Internal Revenue Service, such organization must provide such determination letter that identifies such organization as part of such group. Such organization also must provide an attestation as to the continued group status of such organization. Such attestation must be signed by the organization’s chief executive or president and by its chief legal officer. The Form 990 required for such organization may be the Form 990 of the group.

All tax-exempt documentation and audited financial statements must be in the same, current and full name of the qualifying organization or corresponding group.

The management and fiscal condition of an institution is taken into account when reviewing an institution for eligibility.

If a collaborative project is being considered, the lead institution must be identified and all members must meet the Foundation’s eligibility requirements.

ACTIVITIES NOT ELIGIBLE FOR FUNDING

* General operating expenses, endowments or deficit reduction
* General and federated campaigns, including fundraising events, dinners or mass mailings
* Grants to individuals
* 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

PROGRAM PRIORITIES

Funding is awarded to universities and institutions nationwide for projects in research that:

* Focus on important and emerging areas of 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
* Does not focus on clinical or translational research, treatment trials or research for the sole purpose of drug development
* Fall outside the mission of public funding agencies
* Demonstrate that private philanthropy generally, and the W. M. Keck Foundation in particular, is essential to the project’s success

INITIAL CONTACT

Applicants are strongly urged to contact Foundation staff during the pre-application counseling period, which takes place between January 1 and February 15 leading up to a May 1 submittal, or between July 1 and August 15 leading up to a November 1 submittal.

Potential applicants are encouraged to submit their ideas for grants in the form of single-page concept papers during the pre-application counseling period. Foundation staff may require additional preliminary information. Consultations are scheduled on a first come, first served basis during the pre-application counseling period. For more information about deadlines, please see our Grant Cycle Timeline.

Initial contact from a multi-unit organization (such as a college, university or agency branch location) must be coordinated through the institution’s central development office. Most colleges and universities have designated an official liaison to the Foundation. Other personnel contacting the Foundation will be referred to the central liaison. If you are a new institution/applicant applying to the Foundation, please do so through your central development office and make sure to submit all the required tax and audit documentation listed under our Phase I Application instructions as well as the Institutional Fundraising History Form, along with the concepts you wish to discuss.

To schedule a conference call, please send us your concept papers, project descriptions or project titles to help us determine the best staff to schedule the call with. If you are not able to submit your concept papers at the time of your request, you should do so at least three days prior to your call. Counseling requests may be sent to [concepts@wmkeck.org](mailto:concepts@wmkeck.org).

GENERAL RULES

Applicants may submit one application per grant cycle to each of the following areas for which they are eligible: Medical Research, Science and Engineering Research, Undergraduate Education and Southern California.

Requests must be received in hard copy form and need to be received in our offices by 4:30pm (PT) in order to be considered on deadline days (see our Grant Cycle Timeline). If a deadline falls on a Saturday or Sunday, the deadline is 4:30pm (PT) on the following Monday. The hard copy constitutes the official submission.

At any phase of the application process, an institution may request a withdrawal of its application without prejudice to future requests.

The Foundation will notify applicants if they are invited to submit a proposal. Please do not contact the Foundation to check on the status of an application or proposal. All applications and proposals take approximately two weeks to process. Unsolicited proposals are not accepted at any time.