GRANT PLANNING

RACHEL BRUBAKER, DRESHER CENTER FOR THE HUMANITIES LYNN CAZABON, CENTER FOR INNOVATION, RESEARCH & CREATIVITY IN THE ARTS (CIRCA)

IS THIS THE TIME* TO SEEK EXTERNAL PROJECT SUPPORT?

Considerations

- What stage is your project? (early, middle, late)
- Do you have collaborators?
- Have you had previous funding support for the project and what type?
 (internal, other previous or pending)
- Will you need to request <u>leave</u> in order to accomplish the project?
- Do you have a project <u>timeline</u>? (pending book contract, timeframe for completion with partners) *COVID CONSIDERATIONS

FINDING EXTRAMURAL FUNDING

- Who funds projects in your field? (ask colleagues, check professional association websites, check credits in published projects)
- What do you need to accomplish with the funding? (research travel, purchase supplies and materials, connect with partners or colleagues, uninterrupted time for your writing or creative work)
- Looking for sponsors: Government sponsors like NEH, NEA; non-profit organizations like ACLS; private foundations; research centers and university humanities centers; non-traditional funders for interdisciplinary projects (NSF); local funders like MD Humanities and MD State Arts Council
- Contact me: Rachel Brubaker, <u>rbrubal@umbc.edu</u>

ARTS GRANTS WITH YEARLY OR REGULAR CALLS

John Simon Guggenheim Foundation Fellowship: Sept 17

Guggenheim Fellowships are intended for individuals who have already demonstrated exceptional capacity for productive scholarship or exceptional creative ability in the arts.

(Eric Dyer, Cathy Cook, Lia Purpura)

 The Rome Prize (Visual Art, Design, Musical Composition, Art History): Nov 1 (late deadline Nov 15)

The American Academy in Rome supports innovative artists, writers, and scholars living and working together in a dynamic international community.

Creative Capital: March I

Creative Capital supports forward-thinking and adventurous artists across the country by providing up to \$50,000 in project funding, counsel, and career development services.

(Eric Dyer, Jules Rosskam)

Maryland State Arts Council Independent Artist Award: July 24

Maryland State Arts Council's Independent Artist Awards recognizes achievement by Maryland artists making work independent of an institution or organization.

- Sondheim Artscape Prize visual arts December
- Baker Prize visual and performing arts January
- Trawick Prize visual arts April
- Contact me: Lynn Cazabon, <u>cazabon@umbc.edu</u>

IS THIS THE RIGHT SPONSOR?

Homework!

- What kinds of projects has the sponsor funded?
- Are you right for them? (record of publication, previous support, meet U.S. residency or citizenship requirements)
- Do they provide sample proposals?
- Do they provide information on their evaluation process and criteria?
- Will they answer questions and/or review draft proposals?
- What is their <u>award rate</u>? (How difficult is it to get funding from this sponsor? Are you in for the long haul?)

PROPOSAL DEVELOPMENT TAKES TIME!

Pre-Award Process

- What kinds of activities are allowed, required, or specifically prohibited by the sponsor?
 (Is the award portable or must you be residence?)
- How will the project be funded? (sponsor funds, UMBC or third-party cost-share, or a mix of both)
- Who will receive and administer the award? (university, individual)
- What's required for the <u>proposal?</u> (narrative/scope of work, budget, additional materials, recommendation letters). Are you PI Eligible?
- Prepare Kuali proposal (I assist A&H faculty and on applications to A&H sponsors)
 - Department, College, and University (OSP) multiple approvals if there are co-PIs or collaborators (plan 5-7 days for routing)



Kuali Proposal Routing and Compliance

Rebecca O'Brien

Grants and Contracts Manager

Office of Sponsored Programs



Principal Investigator (PI) Eligbility Requirements

- Process should be completed before proposal submission but must be completed before award setup
- Completing Principal Investigator Research Administration Training and Education (PIRATE) on Blackboard
- PI Eligibility Request Form submitted via DocuSign



Principal Investigator (PI) Eligibility (PIE) Request

Waiting to be signed by me 1

I'm submitting this request on behalf of someone. *Name *Email Submitted-by Rebecca O'Brien obrienr@umbc.edu *Name *Email Chair Stan Jackson jacksons@umbc.edu *Name *Email Karl Steiner steiner@umbc.edu *Request Type *Department Specific Required Signatures Requesting automatic PI Approval Chair and Dean *Title of Person needing PI Status Professor of Research Administration College, Center, or Other Name (or any part of them) coll Colleges College of Arts, Humanities and Social Sciences *Email OSP Manager Rebecca O'Brien obrienr@umbc.edu Next Pressing the Next button will directly transfer you into the Electronic Signature process * = Required field.



Office of Sponsored Programs

University of Maryland, Baltimore County

ECS 329 1000 Hilltop Circle Baltimore, MD 21250

PHONE: 410-455-3140 FAX: 410-455-1876 VOICE/TTY: 410-455-3233 WEB: www.umbc.edu/ospa

Principal Investigator (PI) Eligibility (PIE) Request

Request Date: March 27, 2019

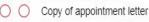
Title of Person needing PI Status: Professor of Research Administration

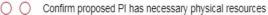
College/Center/Department: College of Arts, Humanities and Social Sciences

Requesting automatic PI Approval

1	N	
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PIRATE Completed





PI-Status-For

Rebecca O'Brien

3/27/2019 | 9:05:47 AM EDT





Grant and Fellowship Proposals and Kuali

- External funding proposals such as grant and fellowship applications are routed through Kuali
- OSP's role in proposal submission and award finalization
- PI Certification and Approval



Certifying a Proposal in Kuali

Project Statu	ıs: Update	Needed Annual Disclosure Stat	tus: Expired Disp	position Status: N	None						
Details	Organ	nization Extended Details	Degrees Unit	t Details Pers	son Tra	ining Deta	iils	Proposa	al Person Cer	tification	
Propos	sal Pe	rson Certification									
Clear All A	Answers										
Do you app	prove and	concur with UMBC and federal requi	uirements as related	to the research d	describe	d in this p	roposal	? ①			
Yes											
⊚ No											
or claims m	nay subject	the statements within the application t you to criminal, civil, or administrat ables (e.g. progress reports) if a gra	tive penalties; and	3) you agree to ac	cept re	sponsibilit					
⊚ Yes											From: kr-notifications@umbc.edu
⊚ No										Sent: Wednesday, Sept 19, 2017 12:03 PM	
											To: Dr. Mark Marten
											Subject: Proposal 00000118 for PI Blaney, Lee is waiting for approval.
											Subject in Special Court 2010 in State (), 200 in State (
											Please Certify this proposal.
											r rease certify this proposal.
	200000										PI: Blaney, Lee
Action L	ist									profit	Department 10145: Proposal Number: 00000118
									NONE		Sponsor: National Center for Environmental Health
Action List Ou	utbax										Deadline Date: Jan 13, 2017
7 items retrieved	d, displaying all	items.			Route	Action		Date	Group		Title: Important Environmental Analysis or Rural Water Systems in Costa Rica
ld Type	•	Title Regarding your involvement in Development Prop	oned DFI - NSE INFI LIDES 6	haceFine: A Froce.	Status	Requested	Delegato	Created	Request		Sponsor Announcement: National Center for Environmental Health NCEH 111 Grants Proposal Guide
10707 KC N	lotification	Institutional Multi-Dimensional Model of Mentorin and Engineering			FINAL	FYI		01:10 PM 04/13/2018	8 NON	E	
11524 KC N		Regarding your involvement in Development Prop and contaminants of emerging concern in the Che		hropogenic influences	FINAL	FYI .		03:26 PM 04/26/2018		E	
		and contaminants of emerging concern in the Che Regarding your involvement in Development Prop	esapeake Bay posal Evaluation of PFAS Fa	te and Transport				02:49 PM	- Lancon	E	You can certify this proposal through Kuali Research at the following address:
11809 KC N		Processes Related to Remedy Effectiveness Assess Regarding your involvement in Development Prop		Complete Berousse	FINAL	FYI		05/01/2018			https://UMBC-prd.kuali.co/res/kc-krad/displayProposal.do?proposalNo=00000118/Personnel Certify do
17898 KC N		recovery and Pollution prevention through System SysTAM)			FINAL	FYI		02:26 PM 10/08/2018		E	
18124 KC N	lotification	Proposal Person Certification Completed			FINAL	FYI		08:23 AM 10/19/2018		ε	If you have questions, please contact your department administrator or PI preparing this proposal.
18343 Deve Docu	slopment	Testing the Action ; Proposal No: 597; PI: Lee Blane Date: null	ney: Sponsor: National Scien	nce Foundation; Due	ENROUT	E APPROVE		11:39 AM 01/07/2019			Thank you.
18344 KC N	iotification	Regarding your involvement in Development Prop	posal Testing the Action List	t Routing	FINAL	FYI		11:41 AM 01/07/2019		E	THE PARTY CONTRACTOR OF THE PA

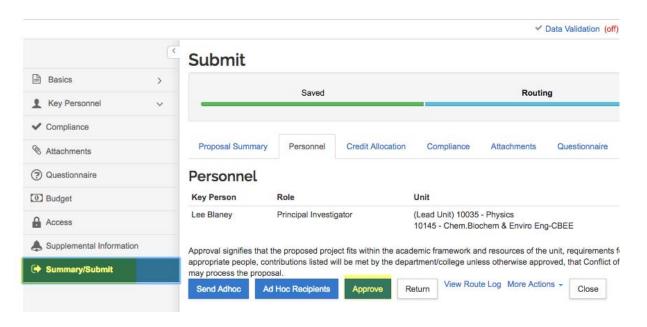


Approving a Proposal in Kuali

Proposal Development

Proposal: #597

PI: Lee Blaney





UMBC Proposal Deadline Policy

- 3 days prior to proposal deadline: proposal must be in a ready to submit format (OSP will send a reminder email at this point)
- 9am the day of proposal deadline: if the proposal is not fully routed and in a ready to submit format, OSP will not submit the proposal

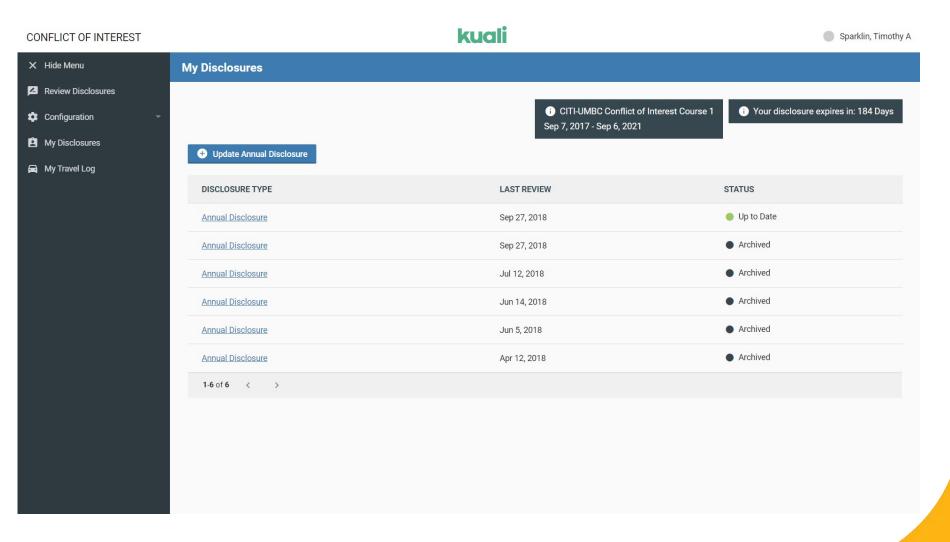


Conflict of Interest (COI) Disclosures

- Now active
- "Real" or "potential" Significant Financial Interests that must be annually disclosed (per policy) that has any impact on "university responsibilities"
- Key Persons
- Related to UMBC proposals and awards
- Pls notified in Project Role to create or update disclosures
- Answer 5 questions related to compensation, ownership interest, stocks, roles in public and private entities and travel (PHS awards). Captures CITI training
- "Yes" responses require specific info to help create COI management plans for PI and chair/supervisor review (final legal and UMBC president approval)
- Kuali used to document and store all COI data
- State Ethics Commission and USM Chancellor notification



COI Disclosures in Kuali





Award Administration and Kuali

- Kuali is the system of record for proposals and awards
- Post award requests submitted through OSP
- Have questions? Ask OSP



Resources

- Kuali resources, including training guides and quick cards
- PI Eligibility
- OVPR Proposal Deadline Policy
- External Funding Opportunities



Contacts

- OSP related issues: Rebecca O'Brien, Grants & Contracts Manager: 5-3928 or <u>obrienr@umbc.edu</u>
- Kuali system-wide issues: Chanell L. Rome,
 eRA Business Analyst: crome@umbc.edu
- Research Protections and Compliance issues, including COI: Tim Sparklin: sparklin@umbc.edu



College of Arts, Humanities, and Social Sciences



Photo by Marlayna Demond '11 for UMBC

Awards for Faculty and Staff

- Lipitz Professorship in the Arts, Humanities, and Social Sciences
- CAHSS Faculty Awards (Deadline February 26)
 - Awards and Submission Information
- CAHSS Staff Achievement Award (Deadline March 12)

Research

UMBC Research Centers and Institutes

Protocols & Forms

- CAHSS Guidelines for Proposal Development and Grant Administration
- CAHSS Guidelines for Proposal Routing
- CAHSS Proposal Routing form (this is an internal CAHSS form and should be used only when a full institutional routing in Kuali is not required)
- Pre-Award Request Form
- F&A Waiver Application form
- Cost Sharing Statement and Approval form
- **Deadlines for Grants Submissions and Routing**
- Grants and Contracts Forms (Office of Sponsored Programs)
- Institutional Review Board

CAHSS Guidelines for Proposal Development and Grant Administration

The College of Arts, Humanities, and Social Sciences (CAHSS) provides proposal development (pre-award) and grant administration (post-award) support to faculty Principal Investigators (PIs) seeking or receiving funding for arts, humanities, and social science research and creative achievement projects. The following guidelines are intended to be useful to both PIs and their department chairs.

Proposal Development (Pre-Award)

Arts and Humanities

- CAHSS faculty who are seeking funding or preparing a proposal for arts and humanities research projects may contact the **Dresher Center for the Humanities**, which offers assistance with sponsor research and proposal development (narratives, budget preparation, subaward development, timelines and work plans, and application assembly). The Dresher Center serves as a liaison with sponsors, departments, the CAHSS Dean's Office, the Office of Sponsored Programs, and other offices, and assists faculty with PI Eligibility procedures and proposal routing in Kuali, UMBC's grants platform. The Dresher Center also provides some assistance to faculty in developing proposals for internal research support.
- The Dresher Center has expertise in preparing grant and fellowship proposals directed to arts and humanities sponsors, including the American Council of Learned Societies, the National Endowment for the Arts, the National Endowment for the Humanities, the Institute of International Education (IIE)/Fulbright, the Whiting Foundation, Woodrow Wilson National Fellowship Foundation, Maryland Humanities, Maryland State Arts Council, as well as other non-profit foundations and organizations.
- Visit https://dreshercenter.umbc.edu/grant-and-research-funding-assistance/ or contact Rachel Brubaker (rbruba1@umbc.edu), Assistant Director for Grants and Program Development, and also consult Routing Proposals: An Overview from the CAHSS Dean's Office.

Social Sciences

 CAHSS faculty who are seeking funding or preparing a proposal for social science research projects may contact the Maryland Institute for Policy Analysis and Research (MIPAR), the grants administration unit housed in the Center for Social Science Scholarship (CS3). For social science faculty (other than those in the Department of Psychology), MIPAR offers assistance with proposal development, budget preparation, subaward development, timelines, work plans, and application assembly. MIPAR also serves as a liaison with sponsors, departments, the CAHSS Dean's Office, the Office of Sponsored Programs, and other offices, and assists faculty with PI Eligibility procedures and proposal routing in Kuali, UMBC's grants platform. (MIPAR does not support internal proposals or awards; some internal awards are offered by CS3, which also provides some assistance to social science faculty with seeking funding for internal and external research.)

- MIPAR has expertise in preparing grant and fellowship proposals directed to social science-related sponsors, including federal, state, and local agencies and foundations, such as: National Science Foundation, National Institutes of Health, and the National Institute on Aging, Baltimore City Health Department, Maryland Department of Health, and the Alfred P. Sloan Foundation, among others
- Visit https://mipar.umbc.edu/support/ or contact Deb Geare, Associate Director of MIPAR (geare@umbc.edu), and also consult <a href="mailto:Routing Proposals: An Overview from the CAHSS Dean's Office.

Grant Administration (Post-Award)

Arts and Humanities

• At this time, the Dresher Center's role does not include grants management after an award has been made. Please be sure to discuss award management with your chair and your department's administrative staff prior to submitting an application.

Social Sciences

Once a grant that was submitted with MIPAR's support has been received, MIPAR
assists faculty with grant administration services that include payroll, human resources,
procurement, subaward processing and monitoring, and travel arrangements. MIPAR
also provides financial support for awards including budgetary accounting and budget
management, projections, no cost extensions, award set-up and close-out, and assisting
PIs with Research Performance Progress Reports (RPPR).

Other Considerations for Grant Administration Support:

- There are a number of considerations to take into account when determining whether MIPAR's grant administration support is appropriate. PIs and Chairs are asked to be aware of these considerations for general planning purposes.
 - <u>Type of award</u>: Is this a grant or a fellowship? Smaller grants and individual fellowships, as well as any internal awards, are generally managed by the PI's department. Larger, multi-year and/or more complex grants, can require additional grants expertise and therefore are appropriate for post-award support.

- Size and longevity of the award: Will the budget and length of the award strain departmental administrative resources?
- <u>Cost-share</u>: Does the project require administration of UMBC or third-party costshare?
- <u>Complexity of the project</u>: Does the project involve multiple investigators and/or institutions, extensive or large-scale procurements, subawards, travel, additional and/or atypical hiring, international partners, compliance considerations (i.e., human subjects, data management, export control, etc.), or waiver of F&A costs?
- Reporting and other compliance requirements: Does the sponsor require regular financial and other types of reports?

Document date: January 22, 2021

ROUTING PROPOSALS: AN OVERVIEW FROM THE CAHSS DEAN'S OFFICE

The Dean's Office is here to help. We all want you to produce the best possible proposals. Route early. The approval process takes time.

CAHSS Dean's Office Grant Routing Contact: Jamie Jung, Business Manager jjung@umbc.edu

1. The purpose of routing:

From the PI Handbook, distributed by the Office of Sponsored Programs (OSP):

"Funding agencies make awards to organizations and not to individuals. UMBC requires any proposal prepared by a faculty, staff member, or student to be submitted in the name of UMBC. Thus, there is a need for institutional review, approval, and official authorization of proposals and awards by someone legally empowered to make commitments on behalf of the university. The PI does not have the authority to commit university resources, permit the use of the UMBC name or logo, or enter into contractual arrangements that commit UMBC, etc."

2. What needs to be routed:

Any application for external funding in which ANY of the following applies:

- Funds will be awarded to the University
- Faculty member's responsibilities to the University will be affected
- Faculty member plans to request a formal leave (e.g. fellowship leave) from the University Awarded funds will flow through (i.e. be administered by) the University

3. What does not need to be routed:

Any application or proposal for external funding in which ALL of the following apply:

- Funds are not awarded to UMBC
- Funds are not administered by UMBC
- PI responsibilities to the sponsor, if awarded, will not impinge upon their responsibilities to UMBC

Non-routed applications and proposals should be documented with a **CAHSS Routing Form for External Competitive Fellowships, Grants and Awards**, particularly if the project will be included in the Faculty Annual Report (FAR)/Digital Measures. This form will require the following signatures: PI [or PIs] → Chair → Associate Dean for Research (CAHSS) → Business Manager (CAHSS). The <u>Docusign form is available at this link</u>: http://umbc.edu/go/1058

4. Timing (routed proposals):

Routed proposals should be received by the CAHSS Dean's Office at least one week prior to the application due date. Proposal routing (review and approval) is managed through Kuali, UMBC's web-based, research administration software, and follows a routing log or chain of approval. Routing is initiated by the department's/unit's designated proposal aggregator. Prior to reaching the Dean's Office, the proposal will have been reviewed and approved by the PI and co-PI and their Department Chair/Program Director. Proposals that involve multiple Colleges will be routed similarly in each College. OSP requires three business days to review and approve all complete and final applications, regardless of the entity submitting the proposal. Applications may not be submitted without approval from OSP.

5. A routed Kuali proposal will consist of:

- Proposal Details: Proposal Type, Activity Type, Project Dates, Project Title, Sponsor
- Sponsor and Program Information: Sponsor deadline and type; who submits the proposal (department or OSP); location of work
- Personnel: Principal Investigator (PI), Co-Investigators, Key Persons (each will certify the proposal before it is routed)

- Research Compliance Information (if relevant), such as IRB
- Proposal Attachments: These are the essential parts of the application and must at minimum include a
 narrative/scope of work and budget justification; sponsor program guidelines and application
 instructions; other internal forms that require UMBC approval; all certification forms required by the
 sponsor; and agreements/letters of commitment from external partners, named consultants, contractors.
 Each proposal is customized for the project and sponsor requirements.
- Questionnaire: to ensure all research compliance requirements are met
- Supplemental Information for Research Activity: research types (applied, basic, experimental), etc.
- Budget Information: documentation of all funding and costs for the proposal
- Subcontract Information (if relevant): must include a UMBC Subrecipient Commitment Form

6. Cost Share:

<u>IMPORTANT</u> – Discuss with your Department Chair/Program Director and with Jamie Jung IN ADVANCE if Cost Share is required.

7. Subcontracts:

- Clarify who is subcontractor and who is prime
- If UMBC is subcontractor to another university with Federal funding, the other university is the sponsor for routing purposes
- If another institution will be subcontractor to UMBC, include letter of commitment from and contact information for the sponsored programs office at the other institution

8. Kuali training:

Kuali training for PIs is available online and is REQUIRED for NEW FACULTY and is strongly encouraged for all faculty who submit proposals for external funding. See https://research.umbc.edu/kuali-research-at-umbc/ All faculty who submit external funding proposals must also complete the PI Eligibility process.

9. Questions a Chair should ask when reviewing a routed proposal:

- What department resources am I committing to this project if it is awarded?
 - o impact on availability of instructors and TAs for courses (course releases?)
 - o graduate students used as RAs
 - o lab space
 - o administrative staff time and effort (what will be the impact on staff time?)
 - o Cost Share, etc.
- Has the PI forgotten anything important?
- Are there opportunities to improve the chances of success through editing?
- Will this research enhance the PI's career, promotion and tenure, teaching breadth/depth?
- Are there other opportunities to mentor the PI?
 - O Are there opportunities in this proposal for collaboration with other departments, faculty within or outside the department, other institutions?
- Has the PI completed the <u>PI Eligibility</u> process? If not, when will this be completed?

10. What the Dean's Office looks for when reviewing a routed proposal:

- Completeness
- Internal consistency, miscalculations, typos
- Salaries and effort handled correctly (faculty status, eligibility, etc.)
- Use of GRAs and UGRAs handled correctly (correct pay or stipend rates, GRA tuition and health insurance addressed, etc.)
- Cost Share? Who is responsible? Are financial commitments reasonable?
- Compliance with Federal, state, USM policies (esp. F&A calculated correctly, employment policies being followed, etc.)