

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.

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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 DocuSign form is available at this link: <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:

IMPORTANT – 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. Kualu training:

Kualu 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?
 - impact on availability of instructors and TAs for courses (course releases?)
 - graduate students used as RAs
 - lab space
 - administrative staff time and effort (what will be the impact on staff time?)
 - 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?
 - Are there opportunities in this proposal for collaboration with other departments, faculty within or outside the department, other institutions?
- Has the PI completed the [PI Eligibility](#) 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.)