

# **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 leave in order to accomplish the project?
- Do you have a project timeline? (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, [rbrubal@umbc.edu](mailto:rbrubal@umbc.edu)**

# 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 1**

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 Roskam)

- **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, [cazabon@umbc.edu](mailto:cazabon@umbc.edu)**

# 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 award rate? (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 proposal? (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) Eligibility 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 

I'm submitting this request on behalf of someone.

Submitted-by	*Name Rebecca O'Brien	*Email obrienr@umbc.edu
Chair	*Name Stan Jackson	*Email jacksons@umbc.edu
Dean	*Name Karl Steiner	*Email steiner@umbc.edu
	*Request Type Requesting automatic PI Approval	*Department Specific Required Signatures 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

OSP Manager	*Name Rebecca O'Brien	*Email obrienr@umbc.edu
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Pressing the Next button will directly transfer you into the Electronic Signature process

\* = Required field.

# UMBC

AN HONORS UNIVERSITY IN MARYLAND

## 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

- |                                    |                         |  |
|------------------------------------|-------------------------|--|
| <input checked="" type="radio"/> Y | <input type="radio"/> N | PIRATE Completed                                     |
| <input type="radio"/>              | <input type="radio"/>   | Copy of appointment letter                           |
| <input type="radio"/>              | <input type="radio"/>   | Confirm proposed PI has necessary physical resources |

**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

### PI-Status-For

Rebecca O'Brien

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

Sign  
↓

# 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 Kual

Project Status: Update Needed Annual Disclosure Status: Expired Disposition Status: None

- Details
- Organization
- Extended Details
- Degrees
- Unit Details
- Person Training Details
- Proposal Person Certification**

## Proposal Person Certification

[Clear All Answers](#)

Do you approve and concur with UMBC and federal requirements as related to the research described in this proposal? [?](#)

- Yes
- No

Do you certify that 1) the statements within the application are true, complete, and accurate to the best of your knowledge; 2) you are aware that any false, fictitious, or fraudulent statements or claims may subject you to criminal, civil, or administrative penalties; and 3) you agree to accept responsibility for the scientific conduct of the project and to provide the required programmatic deliverables (e.g. progress reports) if a grant is awarded as a result of this application? [?](#)

- Yes
- No

**From:** [kr-notifications@umbc.edu](mailto:kr-notifications@umbc.edu)  
**Sent:** Wednesday, Sept 19, 2017 12:03 PM  
**To:** Dr. Mark Marten  
**Subject:** Proposal 00000118 for PI Blaney, Lee is waiting for approval.

**Please Certify this proposal.**

PI: Blaney, Lee  
 Department 10145: Proposal Number: 00000118  
 Sponsor: National Center for Environmental Health  
 Deadline Date: Jan 13, 2017  
 Title: Important Environmental Analysis or Rural Water Systems in Costa Rica  
 Sponsor Announcement: National Center for Environmental Health NCEH 111 Grants Proposal Guide

You can certify this proposal through Kual Research at the following address:  
[https://UMBC-prd.kuali.co/res/kc-krad/displayProposal.do?proposalNo=00000118/Personnel\\_Certify.do](https://UMBC-prd.kuali.co/res/kc-krad/displayProposal.do?proposalNo=00000118/Personnel_Certify.do)

If you have questions, please contact your department administrator or PI preparing this proposal.

Thank you.

## Action List

Action List | [Outbox](#)

7 items retrieved, displaying all items.

Id	Type	Title	Route Status	Action Requested	Delegator	Date Created	Group Request	Actions
10707	KC Notification	Regarding your involvement in Development Proposal DCL NSF INCLUDES PeerCEng: A Cross-Institutional Multi-Dimensional Model of Mentoring for Undergraduate Peer Support in Computing and Engineering	FINAL	FYI		01:10 PM 04/13/2018		NONE
11524	KC Notification	Regarding your involvement in Development Proposal Determination of anthropogenic influences and contaminants of emerging concern in the Chesapeake Bay	FINAL	FYI		03:29 PM 04/26/2018		NONE
11809	KC Notification	Regarding your involvement in Development Proposal Evaluation of PFAS Fate and Transport Processes Related to Remedy Effectiveness Assessment	FINAL	FYI		02:49 PM 05/01/2018		NONE
17898	KC Notification	Regarding your involvement in Development Proposal (NFWWS: U.S.-China: Complete Resource recovery and Pollution prevention through Systems-based Treatment of Animal Manure (CRaP-SySTAM)	FINAL	FYI		02:26 PM 10/08/2018		NONE
18124	KC Notification	Proposal Person Certification Completed	FINAL	FYI		08:23 AM 10/19/2018		NONE
18343	Proposal Development Document	Testing the Action / Proposal No: 597; PI: Lee Blaney; Sponsor: National Science Foundation; Due Date: null	ENROUTE	APPROVE		11:39 AM 01/07/2019		
18344	KC Notification	Regarding your involvement in Development Proposal Testing the Action List Routing	FINAL	FYI		11:41 AM 01/07/2019		NONE

# Approving a Proposal in Kual

Proposal Development

**Proposal: #597**

PI: *Lee Blaney*

✓ Data Validation (off)

## Submit

Saved

Routing

Proposal Summary

Personnel

Credit Allocation

Compliance

Attachments

Questionnaire

## Personnel

Key Person	Role	Unit
Lee Blaney	Principal Investigator	(Lead Unit) 10035 - Physics 10145 - Chem.Biochem & Enviro Eng-CBEE

Approval signifies that the proposed project fits within the academic framework and resources of the unit, requirements for appropriate people, contributions listed will be met by the department/college unless otherwise approved, that Conflict of Interest may process the proposal.

Send Adhoc

Ad Hoc Recipients

Approve

Return

View Route Log More Actions

Close

Summary/Submit

# 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
- PIs 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)
- Quali used to document and store all COI data
- State Ethics Commission and USM Chancellor notification

# COI Disclosures in Kualu

CONFLICT OF INTEREST

kuali

● Sparklin, Timothy A

- ✕ Hide Menu
- 📄 Review Disclosures
- ⚙️ Configuration
- 📁 My Disclosures
- 🚗 My Travel Log

## My Disclosures

**i** CITI-UMBC Conflict of Interest Course 1  
Sep 7, 2017 - Sep 6, 2021

**i** Your disclosure expires in: 184 Days

[+ Update Annual Disclosure](#)

DISCLOSURE TYPE	LAST REVIEW	STATUS
<a href="#">Annual Disclosure</a>	Sep 27, 2018	● Up to Date
<a href="#">Annual Disclosure</a>	Sep 27, 2018	● Archived
<a href="#">Annual Disclosure</a>	Jul 12, 2018	● Archived
<a href="#">Annual Disclosure</a>	Jun 14, 2018	● Archived
<a href="#">Annual Disclosure</a>	Jun 5, 2018	● Archived
<a href="#">Annual Disclosure</a>	Apr 12, 2018	● Archived

1-6 of 6 < >



# Award Administration and Kual

- Kual 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 [obrienr@umbc.edu](mailto:obrienr@umbc.edu)
- Kuali system-wide issues: Chanell L. Rome, eRA Business Analyst: [crome@umbc.edu](mailto:crome@umbc.edu)
- Research Protections and Compliance issues, including COI: Tim Sparklin: [sparklin@umbc.edu](mailto:sparklin@umbc.edu)

# CAHSS College of Arts, Humanities, and Social Sciences

HOME | CALENDAR ▼ | OFFICE OF THE DEAN ▼ | DEPARTMENTS & PROGRAMS ▼ | STORIES ▼ | RESOURCES ▼ | DIVERSITY ▼ | GIVING

Resources

Academic Advising ▶

**Resources for Faculty & Staff** ▶

Resources for Chairs & Directors ▶

Resources for Graduate Students ▶

Resources for Undergraduates ▶

Resources for Family & Friends ▶

## Resources for Faculty & Staff



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 Quali 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 Quali, 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](mailto: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](mailto:geare@umbc.edu)), and also consult [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.
  - Type of award: 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?
- Cost-share: Does the project require administration of UMBC or third-party cost-share?
- Complexity of the project: 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](mailto: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 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.)