## **ELH Early notification for proposals and other projects**

**4/5/25**

**The pdf version of this guidance is** [**here**](https://umainesystem.sharepoint.com/:b:/r/sites/UM-NSFA/Shared%20Documents/ELH_Library-of-Policies-and-Procedures/Research/Proposal%20notification.pdf?csf=1&web=1&e=wc1hZF)**.**

**The Google form to submit your early notification is** [**here**](https://docs.google.com/forms/d/e/1FAIpQLSdSa3mgcPiq-OjpJc3b14Rwfus5D449c89S1M_U8Jj-2Vg4PA/viewform?usp=header)

For legal and policy compliance, and to ensure that external proposals and other funding sources do not make commitments you or the University cannot guarantee fulfilling, the Dean’s office must review every proposal submitted through the Office of Research Administration, as well as every contract under consideration by the Department of Industrial Cooperation and every gift provided to the Foundation that meets the criteria listed below.

ORA has their own timeline requirements for notification of an upcoming proposal submission, which is at least 15 business days for budgets under $2M and longer for larger awards. Because of their workload, they are unlikely to be able to support submissions that come in after their deadlines. We recognize that most of the late submissions are the result of requests from external partners (either as requested non-competitive submissions or subawards), and encourage you to submit a Notice of Intent to ORA as soon as you know a submission is likely even if it isn’t a certainty. More details of their [timeline](https://umaine.edu/ora/proposals/proposal-timeline-2/) is on their [resources](https://umaine.edu/ora/resources/) webpage.

To help avoid delays and last-minute changes to proposals, faculty and staff must communicate with the ELH Dean’s Office before or at the time of beginning work with the Foundation, ORA, ORD, or DIC on proposal development for projects – including grants, corporate agreements, congressionally directed spending (earmarks, appropriations requests), or fundraising – that:

* Plan to develop or significantly modify **courses, degrees, certificates, and similar academic programs**.
  + Why? New budget processes require these activities be justified for the required support of the unit and college. We also must ensure that language in the proposal recognizes that UMaine has an academic program review system in place, and proposals cannot guarantee passage or curriculum proposals without recognizing the formal process.
* Plan to develop **new administrative structures** (such as research centers)
  + Why? As with academic programs, establishing new administrative structures requires review of a different scope related to resource commitment than is possible in advance of a funding proposal.
* Involve **buy-out** of time from your teaching, research, or administrative appointment
  + Why? We need to confirm that plans are in place to cover the duties that will be bought out and that the salary changes remain compliant with the funding sources and existing commitments such as cost-share.
* Include **direct** **cost share**
  + Why? To confirm that account numbers are correct and to ensure that personnel are not overcommitted, which can be a direct violation of compliance requirements and could jeopardize both the project and the PI.
* Are for **>$1M** with a closing account in our college
  + Why? Projects of this size tend to be more complex and raise the level of probability that grants are overspent, leaving the units to cover any cost overruns or unallowable expenditures.
* Use **Experiment Station, the Hunter Farm, or Darling Marine Center facilities**
  + Why? To ensure that adequate resources are available and that facility staff, equipment, and other resources are coordinated for your project.
* Include a **renovation or construction** project
  + Why? We need to confirm that the project is feasible within the resources available, that the plan is consistent with UMaine and college master plans, and that other units are not inadvertently adversely affected.
* Require **University resources upon completion**
  + Why? To ensure that commitments are clear prior to approval, particularly for personnel. In addition, some maintenance expenses associated with equipment or software can be quite costly and we want to ensure all considerations are taken into account as this could have long term effects on limited unit resources.

Your early communication with our office will allow us to determine in advance of PARS and related routing that all compliance, strategic, and policy questions are resolved, which will make for an easier path for you in the final days of proposal or agreement preparation. Thank you for your help, and we look forward to supporting your strong research and scholarship.

[Notification form](https://forms.gle/gqZGxSYeFGfD47MZ8)