



**UNIVERSITY OF NEW MEXICO
COLLEGE OF FINE ARTS**

GRANTS HANDBOOK
Research Resources

This handbook is continuously updated and revised as needed. For the most complete and up-to-date information, please see the *CFA Grants Handbook* online at:

<http://finearts.unm.edu/cfa-research/>

Contents

HOW WE CAN HELP YOU.....	2
GETTING STARTED.....	3
RESEARCHING PROSPECTIVE FUNDERS.....	4
ELIGIBILITY: WHO CAN APPLY FOR GRANTS?	4
PI ELIGIBILITY	5
WHO <u>CAN</u> SERVE AS A PI?.....	5
WHO <u>CANNOT</u> SERVE AS A PI?	5
LIMITED COMPETITIONS AT UNM	5
MULTIPLE APPLICATIONS TO THE SAME COMPETITION.....	6
GRANTS TO INDIVIDUALS.....	6
GRANT WRITING DISTINCTIONS AND DEFINITIONS	6
STEPS TO DEVELOPING A SUCCESSFUL GRANT APPLICATION.....	7
TIMELINES & DEADLINES.....	7
STREAMLYNE.....	Error! Bookmark not defined.
BUDGETS	8
BUDGET ELEMENTS TO KEEP IN MIND	8
DIRECT COSTS	8
INDIRECT COSTS (F&A).....	9
COST SHARE.....	10
INDEX CODES.....	10
IMPORTANT REMINDERS REGARDING FINANCES/BUDGETS.....	10
HOW FACULTY CAN PAY THEMSELVES FROM GRANTS.....	11
NOT AN HONORARIUM.....	11
SUPPLEMENTAL DOCUMENTS & MATERIALS FOR PROPOSALS	11
OTHER PROCEDURES REQUIRED BY UNM	11
EXPORT CONTROL	12
CONFLICT OF INTEREST	12
WHEN YOUR GRANT IS AWARDED	13
POST AWARD ACTIONS	13
GRANTS MANAGEMENT	13
GRANT WRITING RESOURCES.....	13
APPENDIX ONE - Budget Example.....	14

HOW WE CAN HELP YOU

The CFA Grants Office supports faculty efforts to find and apply for funds for projects and research. We work closely with the CFA Development Office, the UNM Foundation, and the Office of the Vice President for Research (OVPR) to interpret UNM policies and funders' guidelines, and provide assistance with all aspects of preparing and submitting grant proposals.

What the CFA Grants Office CAN do for you:

- Find funding sources for projects that match CFA programs and mission
- Find funding sources that support faculty and staff creativity, scholarship, and research
- Provide guidance regarding UNM resources (space, equipment, staff)
- Assist in editing proposal narratives
- Assist in preparing budgets
- Provide assistance with the UNM Office of Sponsored Projects (OSP) proposal approval process
- Interpret UNM policies regarding fiscal, legal, and administrative procedures
- Interpret funders' guidelines regarding proposals, timelines, requirements, compliance, and reporting
- Connect and network CFA faculty with appropriate UNM resources and program offices
- Provide assistance in using the Streamlyne grant submission system

What the CFA Grants Office CANNOT do for you:

- Compose your proposal narrative
- Determine your project's specific budgetary needs
- Solicit or acquire letters of support or Memoranda of Understanding on your behalf
- Complete your reporting requirements

Important Points to Remember:

- As a UNM professor, conducting research is included in your duties and as part of your existing compensation, with limited exceptions.
- Faculty are legally responsible for all aspects of their awarded grants, particularly for meeting all required reporting deadlines.
- Faculty as Principal Investigators (PIs) are responsible for all fiscal matters regarding their grants.
- All grant applications, project revisions, and requests for extensions must be routed through Streamlyne and be approved by the Office of Sponsored Projects before submission.
- Each grant opportunity and funding agency has specific requirements and guidelines; read them carefully, follow them exactly, and don't hesitate to ask questions.
- Grants Management orientation is provided through the Office of Sponsored Projects, and can answer many of your questions about grants. It is REQUIRED training if your grant is awarded. Register through Learning Central.
- Avoid the last minute rush! Plan ahead to allow adequate time to meet timelines and deadlines.

PLEASE NOTE: this handbook is provided as a simplified guide for College of Fine Arts faculty and staff. For complete and exhaustive detail on every aspect of the grants process at UNM, please refer to the Proposal Support tab, found on the Faculty Research Development Office website at:

https://frdo.unm.edu/?q=proposal_support.

GETTING STARTED

I. All programs begin with an idea: As soon as you have an idea, submit a [Request for Proposal Support](https://app.smartsheet.com/b/form/e2f68855217141aca20c74220031f287) to connect you with the CFA Research Team. A link to this form can be found on the CFA Research page as well as the Faculty Research Development Office page (link: <https://app.smartsheet.com/b/form/e2f68855217141aca20c74220031f287>). **After you've submitted your request, the research team can support you as you develop an idea** for a project, or build on an idea already in place. If you see a *grant opportunity* that you might be able to build a program around, use it as a springboard. It is also important to discuss your idea with your colleagues, your department chair, and other CFA administrators during the development phase for feedback.

II. Develop a Plan: Develop a one-page concept paper/outline/diagram to help organize your idea. Consider your idea in terms of **who, what, where, when, why, how?**

Who? Define who is involved:

- What do you (individually or as an organization) have to offer?
- Who else should you involve? Partners? Collaborations in and outside the University?
- Industry? Community?
- Who benefits? Who are the stakeholders?

What? Define your idea:

- Is your idea a program? Project? Performance? Research proposal? Exhibition?
- What are the components of the idea? What are your goals and objectives?

When? Develop a timeline or lifespan for the project:

- Are there time limits or specific project dates? How long will the project last?

Where? Give your idea some geographic parameters:

- Will the bulk of your project take place on campus or off campus?
- Will it take place in specific communities or venues?

Why? Identify the need for your idea:

- Why here? Why now? How does the need relate to UNM/CFA's mission? Why your organization?
- Why this community/target group? Is there a special need? What do the demographics, statistics, and research show?

How? Give your idea some strategic thought:

- What resources will it take? Preliminary Budget – how much will it cost?
- Will you need to sustain your idea for the long term? How will you do it?
- What In-kind support is available? Are Matching Funds Needed?
- How will you evaluate your results to know if your project has been successful?
- How will you disseminate your results?

III. Find Resources: Determine possible sources of funding for your project through the Faculty Research Development Office website. Sources can include government grants (federal, state, local), public and private foundations, University funds, corporate sponsorships, individual gifts, and fundraising events. Use your PIVOT account and work with the CFA Research Office to identify a portfolio of opportunities through other available resources.

IV. Apply for Funding: Find the funding sources whose goals, mission and objectives line up most closely with your project's goals and objectives.

RESEARCHING PROSPECTIVE FUNDERS

Finding a **good match** between your project's goals and a funder's giving priorities is critical. Your fund-seeking efforts will be much more successful if you apply for a well-suited grant rather than trying to twist your project to fit the funder's expectations. Below are a few resources for finding funds. Many funding resources and the most up-to-date links are found at the Faculty Research Development website:

https://frdo.unm.edu/?q=funding_opportunities.

PIVOT – International database accessed through your net i.d. and searched by keyword. Access directly or through links on the FRDO page: https://pivot.proquest.com/dashboard
Foundation Directory Online – database of most foundations located in the U.S. UNM Library maintains a subscription to their full online database, accessible to UNM students and employees through the FRDO site or link directly here: https://fconline.foundationcenter.org/search/?referer=
UNM Foundation: https://www.unmfund.org/s/1959/22/home.aspx?sid=1959&gid=2 or contact Kristine Purrington, Executive Director of Academic Development, at Kristine.Purrington@unmfund.org or Shelly Smith, Director of Development, at shelly.smith@unmfund.org .
Guidestar.org – information about all foundations and non-profit organizations in U.S.: https://www2.guidestar.org/ .
Grants.gov – electronic portal for submitting most federal grants (NEA, NEH, NSF, etc.) Search here: https://www.grants.gov/ .
City of Albuquerque -- Urban Enhancement Trust Fund): https://www.cabq.gov/urban-enhancement-trust-fund
New Mexico Arts Commission – division of the State Department of Cultural Affairs: https://nmarts.org/
Corporate websites – Foundations or community service divisions: Google their corporate name, then look for “philanthropy,” “about us,” “community giving,” etc., on their websites
FRDO and OVPR websites – many of the websites above are listed here, plus information on University Research Allocation (RAC) grants, TAG grants, and other UNM sources of funding: https://frdo.unm.edu/ and https://research.unm.edu/support-offices/ovpr.html

ELIGIBILITY: WHO CAN APPLY FOR GRANTS?

As a general rule, grant funding can only be awarded to *not-for-profit entities*. These can be non-profit organizations designated as 501(c)(3) tax-exempt organizations by the IRS, or other not-for-profit entities. UNM, as a public university, is legally designated a “Non-profit State Educational Institution - Tax Exempt under Section 170 as a political subdivision.”

If a funder will ONLY accept applications from a 501(c)(3), you should discuss this first with the CFA Research Team and apply through the UNM Foundation, with their approval. Some sponsors have a consolidated relationship with the UNM Foundation, meaning that the PI must have permission from and work with the Foundation to submit. With very few exceptions, some of which are listed below, **individuals CANNOT apply for grants.**

NOTE: All grants processed through the University MUST list UNM as the sponsoring organization.

PI ELIGIBILITY

Functioning as a Principal Investigator (PI) at UNM means that you are responsible for adhering to the University of New Mexico policies and procedures for completing the technical requirements and handling the day-to-day administration of the project as proposed to the funding agency.

WHO CAN SERVE AS A PI?

Faculty members automatically eligible to serve as PI/PD (Project Director) or Co-PI/Co-PD include:

- All full-time faculty regardless of academic rank
- Research Faculty
- Visiting professors during the time they are on the University payroll (with full-time UNM faculty member as co-PI)
- Members of the emeritus faculty
- Those possessing a Letter of Academic Title, if the role has been approved by the EVP of Academic Affairs in the original Request for Insurance of Letter of Academic Title

Professional staff holding titles typically associated with independent activity and whose appointment is subject to a rigorous review of credentials, including:

- Full-time, academic non-administrative professionals in positions at or above Grade 15
- Others (including Post Doctoral Fellows) as designated by the approval of the appropriate academic chair, category III center director or vice president (must use the [PI Eligibility exception form available at: https://osp.unm.edu/forms/index.html](https://osp.unm.edu/forms/index.html)).

WHO CANNOT SERVE AS A PI?

- Research Assistants and Fellows
- Students, with the following exceptions:
 - Graduate Students who earn a “PI Eligibility Certificate” from the Graduate Student Funding Initiative (GSFI), who must complete a PI Exemption form at least ten days prior to deadline for submittal and list their mentoring faculty member in the proposal summary on Streamlyne
 - Direct submissions by students for competitions that are not routed through the Office of Sponsored Projects, such as NSF and Ford Foundation Diversity Fellowships, MAP Fund and NEH grants to individuals

LIMITED COMPETITIONS AT UNM

Since some funders allow only a limited number of requests from the same organization for the same grant opportunity, certain grants are subject to an initial competition within UNM to determine which proposal moves forward to the funder. An internal competition is held before the funder’s deadline by submitting a Pre-Proposal to OVPR according to OVPR guidelines and deadlines. Announcement of limited competitions is made through the PI listserv. The submission is generally a 3-page synopsis, the PI’s CV, and a simple budget. The current list of Limited Competitions at UNM with deadlines can be found here: https://frdo.unm.edu/?q=limited_competition.

➡ IMPORTANT!! Should your Pre-Proposal be selected as UNM’s sponsored submission in a Limited Competition, it is important to follow through and submit your grant proposal to the funder. Failure to do this will preclude you from applying the next time!

Some of the Limited Competition grants to which CFA faculty frequently apply include:

- New Mexico Arts
- NEA Grants to Art Projects

- Albuquerque Community Foundation
- McCune Foundation

Be alert to Limited Competition deadlines, and when in doubt about a specific grant, check with the CFA Faculty Research Support Officer!

MULTIPLE APPLICATIONS TO THE SAME COMPETITION

Often, there is no limit on the number of applications that can be submitted for the same grant program. Unless UNM announces an internal competition, requests to apply to a given funding source will be reviewed in the order received, and multiple applications will be authorized in cases in which there is no overlap in focus.

GRANTS TO INDIVIDUALS

The College of Fine Arts encourages all faculty research efforts. A limited number of grants are available to *individual artists and scholars*. Please work with the CFA Office of Research to explore funding and fellowship opportunities available to you.

GRANT WRITING NUTS AND BOLTS

GRANT WRITING DISTINCTIONS AND DEFINITIONS

Writing a grant is different from writing a dissertation, a journal article, or any other academic presentation that you may be used to. It requires a different perspective and a different set of skills, which can be learned and which will improve with each grant that you prepare.

Some grant writing terms:

PI = Principal Investigator (the faculty person in full charge of the grant)

PD = Project Director

RFP = Request For Proposal or NIA = Notice of Intent to Award

LOI = Letter of Inquiry or Intent

F&A = Facilities & Administration (the internal costs required at UNM to support your project)

Cost Share or Match = additional funds the grantee is required to provide

Distinctions Between “Grants” and “Gifts”

	GOVERNMENT GRANT (local, state, federal)	FOUNDATION GRANT	GIFT
Competitiveness	Competitive	Competitive	Non-competitive
Proposal type	Formal application through grants.gov	Foundation-specific application, often Formal proposal	More personal relationship/ Donor stewardship
Funding restrictions	Project-specific	Project-specific	Not usually restricted
Reporting	Always Required	Usually required	Not usually required

STEPS TO DEVELOPING A SUCCESSFUL GRANT APPLICATION

The single most important step in grant writing is this:

➔ READ THE GUIDELINES! ⬅

Read ALL the guidelines carefully and note such elements as:

- What is the Deadline? (*Date and Time and Time Zone*)
- Does UNM, as an institution, meet the Eligibility requirements?
- Are you eligible and qualified to be the Principal Investigator?
- Is a Letter of Inquiry or a Letter of Intent required before a full application can be sent?
- How long is the Project Period? What is the Start Date?
- Does your idea match the Grantor's priorities?
- How many pages are allowed for the Narrative? (Note line spacing, specific fonts, type sizes, etc.)
- What specific Forms are required?
- What other Supporting Documents are required?
- Is Cost Share or Match required? What percentage?
- Is F&A allowed? Is it limited? Is it specifically excluded?
- How is the application submitted? Electronically? Hard copy to be mailed?

The second most important step in grant writing is this:

➔ FOLLOW THE GUIDELINES! ⬅

Give the funding agency the information that they want, in the order that they ask for it. Most RFPs provide an outline for writing the application and are very specific in the information they request. You can use this outline as your guide to cover each point in the proposal. Be brief but thorough. Do not use jargon. Do not give them information they have not asked for. Remember that your reader is not as knowledgeable about your subject as you are, so explain terms and concepts in plain language. If you need specific information about UNM, you can generally find it on the OSP website under “UNM Institutional Facts” on the “PI Resources” tab: <https://osp.unm.edu/pi-resources/institutional-facts.html>.

TIMELINES & DEADLINES

Talk to the CFA Grants Office as soon as you have a project in mind that will require funding, in order to start grant prospect research to identify funding possibilities. In order to initiate the conversation, submit a Request for Proposal Support.

Once you have a grant competition identified, work with the Faculty Research Support Officer to develop a plan and timeline for developing and submitting your grant(s).

Grant applications must be submitted through Streamlyne to UNM Office of Sponsored Projects (OSP) at least FIVE BUSINESS DAYS (40 business hours) before the funder's grant deadline for review, approval, and submission. Applications must be submitted to CFA 10 business



days BEFORE the OSP deadline. **These are hard deadlines.** The earlier you start the process, the more chance you have for success!

Streamlyne

Streamlyne is the proposal development, routing, and electronic submission system used by UNM's Main and Branch Campuses. All sponsored projects (grants, contracts, and subawards) are entered, routed, and approved in this system. Streamlyne also handles IRB protocols for Human Subjects Research and Conflict of Interest disclosures.

LEARNING Streamlyne

The UNM landing page for Streamlyne contains tutorials, guides, and quick tips for using Streamlyne: <https://streamlyne.unm.edu/>. Workshops and one-on-one tutorials are available throughout the year through the OVPR office. Individual instruction and help is always available by emailing the Faculty Research Support Officer (Ashley Lazevnick, alazevnick@unm.edu).

BUDGETS

All formal grant applications will require both a *Budget Summary* and a narrative *Budget Justification*.

The *Budget Summary* is generally a one-page form that lists the total amounts requested for each general line item in a budget (Personnel, Travel, Supplies, etc.) The funder will frequently require a specific form that is provided in the grant application package, such as the SF424A for federal agencies.

The *Budget Justification* (or *Budget Narrative*) describes each general budget line item in detail. It is good practice to use the CFA budget example (Appendix 1) unless there is a specific requirement by the funder. This is where you describe the number and cost for each item in the budget summary, and “justify” why this cost is necessary for your program. Be as specific you can be about each line-item – the objective is to make it as easy as possible for the funder and your Contracts & Grants Administrator (CGA) in the Office of Sponsored Projects to understand your request. For example, if you are requesting funds for Staff, describe the position(s), the duties relating to this project, how much time each staff member will spend on it, and what their salary will be; for Travel, list specific amounts for anticipated flights, hotels and per diem for each person traveling (allowable per diem rates can be found here: <https://www.gsa.gov/travel/plan-book/per-diem-rates>).

The Office of Sponsored Projects has developed a *budget worksheet* that automatically calculates fringe benefit rates, F&A, and GA/RA health insurance and tuition costs, with inflation and rate changes factored in for each year. All you need to do is enter your budget amounts and the worksheet will do the calculations for you. Use this form to calculate your budget totals, and enter the amounts on the Budget Summary page. Attach this form in Streamlyne for your CGA to review -- the agency will not receive it, but the Office of Sponsored Projects can get a very detailed idea of your funding request that will aid them in giving their approval. The Budget Worksheet is found here: <https://osp.unm.edu/forms/index.html>

BUDGET ELEMENTS TO KEEP IN MIND

Project budgets are generally comprised of *Direct Costs* and *Indirect Costs*:

DIRECT COSTS

Direct Costs are those funds necessary to pay for the specific costs of conducting the research project or program. These must be allowable, and generally include:

- PI salaries and benefits: you can request funds from the grant for these, *but only if the research/project is conducted over and above your established UNM job description*, or if the project requires course relief. Generally, you CAN request funds to cover your Summer Salary if you are on a 9-month contract.
- Research staff salary and benefits: these are additional personnel, often students, necessary for the performance of the project or program; these funds CANNOT cover regular UNM administrative staff – they are funded through F&A.
- Graduate tuition for any graduate research assistants.
- Supplies, equipment, travel and contractual services needed for the project.

Read your funding opportunity notice carefully to determine what costs are not allowed.

INDIRECT COSTS (F&A)

Determining F&A can be confusing. Don't panic! Contact your FRSO.

Indirect costs at UNM are known as Facilities & Administrative (F&A) Costs. These are the university's overhead expenses and are used to maintain UNM's infrastructure and research mission. This rate is based on UNM's actual operating costs, and is calculated by the federal government every four years based on a complex formula. F&A from your grant award reimburses the University for the "hidden" costs required to administer and run your project. These expenses include, among others:

- Departmental/School/College administrative costs
- Building maintenance and utilities
- Centralized administrative costs of managing grants and contracts

F&A from all grants flows to the OVP. From there, a portion is returned to the College of Fine Arts when a CFA faculty member is the PI. These funds are then allocated at the discretion of the Dean of the College. UNM **REQUIRES** faculty to include an allowance for F&A in their program budget wherever it is allowed by the funder. As a general rule, funders allow F&A and it must be worked into your budget and grant request. Infrequently, funders will prohibit funding F&A; this prohibition must be explicitly stated in the grant guidelines and a copy attached in Streamlyne. These instances are handled on a case-by-case basis and must be approved by OVP.

F&A costs are calculated as a percentage of the Direct Costs in your budget, with a few items excluded:

- Capital equipment that costs over \$5,000 per item
- Space rental for off-site facilities
- Subaward amounts in excess of the first \$25,000 of EACH subaward
- Student support costs such as tuition, scholarships, and fellowships

Excluding these amounts from Total Direct Costs results in Modified Total Direct Costs (MTDC), on which the current appropriate F&A rate is calculated and added to the budget request. *Your total request to the agency – Direct plus Indirect Costs – must still fit below the funding ceiling if there is a limit.* On applications to funders who will not pay any F&A, or allow less than the full federally negotiated F&A rate, calculate the F&A for the project using Total Direct Costs (TDC). If your grant requires matching funds, these will also accrue F&A costs at the same rate. These resulting **Imputed Indirect Costs** can often be used on some grants as part of your match (NEA and NEH both allow this).

UNM's F&A rates vary, depending on the type of project and where the work is done. Federally approved rates are regularly re-negotiated and also change through that process. For most current information, check the OSP website under the "PI Resources" tab, <https://osp.unm.edu/pi-resources/index.html>, or visit the CFA Research Office.

COST SHARE

“Cost share” refers to the portion of project or program costs *not borne by the funding agency*. It includes *all* contributions, both cash and non-cash that are needed to carry out a project. Many agencies will only fund a portion of your total project budget; the balance is the *cost share*.

Cost Share terms:

In-kind – goods or services that have a monetary value and can be tracked, but are not cash; these can be facility use, materials, and services from external sources (“third party”)

Cash – other cash contributions needed to execute the project. *Salaries and fringe benefits* are generally considered to be *cash* contributions.

Matching – a specific amount required to “match” the grant given by the funder; usually expressed as a percentage or ratio (a 100% match is a 1:1 match, or one dollar match required for each dollar awarded)

Mandatory Cost Sharing is when Cost Sharing is required by a funder as a condition of obtaining a grant, such as NEA grants. It must be included or a proposal will receive no consideration by the sponsor.

Voluntary Cost Sharing is when Cost Sharing is not specifically required by the funder’s guidelines. *UNM does not allow Voluntary Cost Sharing*. If the funder will look on the guidelines “strongly suggest” that cost sharing favorably, UNM understands this to be the *same as Mandatory Cost Sharing!*

Cost Share can be tricky, and if any amounts that you specify as cost share in a funded grant fail to come through, UNM is on the hook to cover the difference. Proposals with Cost Sharing must include a cost-sharing budget (which can be found in the tabs of the Office of Sponsored Projects page at:

<https://osp.unm.edu/forms/index.html>).

When Cost Share is obtained from non-UNM sources (“third party cost share”), you must obtain written documentation from the source stating the actual amounts and/or values of their in-kind donations and how those amounts were determined. This is required for cash donations AND in-kind donations, and these amounts are subject to auditing for compliance. If you are planning to use funds from another funder, such as a foundation, for your match, you must have written permission from them. Once you commit funds as cost share on a grant, you cannot use those same funds to as a match on another grant.

The very best items to use as cost share in a grant are Salaries and Fringe Benefits for PIs, Co-PIs, and other faculty. Always apply these first when you begin to figure your cost share!

➔ **If your proposal will REQUIRE COST SHARE, contact the CFA Grants Office or make an appointment to discuss your cost share options with FRSO Ashley Lazevnick, alazevnick@unm.edu, early in the grant writing process! This is critical!**

INDEX CODES

Index Codes are required on the Cost Share Commitment form. These indicate the specific Banner account where committed funds will be tracked. For instance, each faculty member’s salary is paid from a specific departmental account, and time spent overseeing a specific project needs to be tracked to that account. Contact your department administrator and/or department accountant for help in determining the specific Banner number required.

IMPORTANT REMINDERS REGARDING FINANCES/BUDGETS

- With very few exceptions, **ALL** funds come into the University through SPO or the Foundation!

- The Post-Award Office will establish a Program Income Account for any funds received in connection with a sponsored project.
- NEVER use an outside (non-UNM) bank account to deposit or expend program income funds.

HOW FACULTY CAN PAY THEMSELVES FROM GRANTS

Faculty cannot normally pay themselves additional compensation during the academic year from a project's grant funds. As noted above, conducting research is included in your duties as part of your existing compensation. However, the additional work often required for a project can justify additional compensation in the following ways:

- **Summer Salary** – if you are on a 9-month faculty contract, you can add up to 3 additional months at your regular monthly salary plus fringe benefits at the summer salary rate.
- **Course buyout** – grant money can be applied to a course buy-out at the going rate with the explicit permission of your Department Chair
- **Extra compensation** – approval for extra compensation is very difficult to receive, and generally involves extra work above and beyond (in addition to) a faculty member's normal workload.

NOT AN HONORARIUM

An honorarium payment is a gratuitous payment as an expression of thanks to a lecturer or a professional person **from outside the University community** (NOT a University faculty or staff member). It is taxable income and is reportable to the Internal Revenue Service if the sum of annual payments exceeds \$600 annually.

A payment is not treated as an honorarium if the payment is for specified services rendered by an independent consultant, University student or employee. Payments to University staff or Faculty members for similar services are NOT honoraria, and must be processed as *additional compensation with fringe benefits*, and be approved by Human Resources, the Department Chair and the Dean.

SUPPLEMENTAL DOCUMENTS & MATERIALS FOR PROPOSALS

Some funders require letters from any committed project partners with a detailed explanation of financial/in-kind contributions or involvement. Be sure to ask your partners for the right kind of letter:

- **Letter of Support** – a general letter that says they think the project is a good idea
- **Letter of Commitment** – specifically states what each party will do: what, when, and for how much. If amounts are specified in your budget, UNM will require that the letters state the partner's agreement and commitment to these explicit amounts.
- **Memorandum of Understanding** - a legal document that only specific administrators at UNM can enter into and sign. These are generally needed only *after* the grant is awarded.

Additional materials that organizations such as the NEA, New Mexico Arts, and the MAP Fund often require with their grant applications include Work Samples, Artists' Statements, performance recordings, and program brochures. These are frequently physical items (CDs, DVDs, brochures, etc.) that must be mailed to them, but many grantors are now accepting electronic items such as MP3s by email. Be sure you know the deadline and format that is required.

OTHER PROCEDURES REQUIRED BY UNM

EXPORT CONTROL

In order to submit your proposal via Streamlyne, all sections of the Streamlyne record must be completed. This includes the export control section. This section of the proposal record is a fillable form that asks questions pertaining to any international travel or participation by non-U.S. citizens on the project.

CONFLICT OF INTEREST

Conflicts of interest (COI) in research may occur when an investigator's private interests (such as outside professional or financial relationships) may compete with his or her professional obligations to UNM. Investigators are required to submit a COI disclosure only once a year. This is an internal UNM form – UNM needs to know (but doesn't forbid) whether you or any member of your immediate family will benefit through outside financial interests if the grant is awarded.

WHEN YOUR GRANT IS AWARDED

POST AWARD ACTIONS

If your grant is awarded, the Office of Sponsored Projects will generally receive the first notice of the award, and will notify you as the PI and your department via email. If you receive notification directly from the sponsor, please let your CGA and the CFA Faculty Research Support Officer know about it! When you receive a grant, carefully note:

- Reporting requirements
- Reporting dates

The Contract & Grant Accounting Office (CGAO) will establish an account specific to the project and grant award, and reference index codes. They will then email the PI a *Signature Authorization Form* that will allow expenditures to be charged to the project. The CGAO performs oversight on the *expenditures*, prepares *financial* reports and monitors the requirements of the award. As noted above, the Principal Investigator is legally responsible for all aspects of their awarded grants, particularly for meeting all required report deadlines.

GRANTS MANAGEMENT

All PIs receiving outside funding through UNM MUST take the Grants Management course (GMT 100) offered through <https://learningcentral.unm.edu/>. All expenditures must be made in accordance with the policies and procedures of the University of New Mexico, as published in the University Administrative Policies and Procedures Manual is found online here: <https://policy.unm.edu/university-policies/index.html>. In addition, all applicable federal and sponsor rules and regulations must be followed. Read your award documents carefully and be sure to comply with all reporting requirements.

GRANT WRITING RESOURCES

There are excellent resources on the Internet that can guide you through the grant writing process. Here are a few of the better ones:

UNM Proposal Support

The Faculty Research Development Office has compiled a PI toolkit with resources for preparing a proposal: https://frdo.unm.edu/?q=proposal_support

The Foundation Center

A simplified guide to proposal writing by the authority on private foundations in the United States. <https://learning.candid.org/training/introduction-to-proposal-writing/>

APPENDIX 1 – BUDGET EXAMPLE

SAMPLE LINE ITEM BUDGET

ITEM/DESCRIPTION	AMOUNT
Supplies/Materials 1 (be specific)	\$240
Supplies/Materials 2 (be specific)	\$350
Supplies/Materials 3 (be specific)	\$160
Round-trip Airfare	\$450
Hotel	\$350
Per Diem	\$200
Project Documentation	\$250
TOTAL PROJECT EXPENSES:	\$2,000

Your actual budget is not limited to these categories. They are listed here as examples for the purposes of formatting.

WRITING A BUDGET JUSTIFICATION - SAMPLE

The CFA Call for Proposals requires a budget justification/narrative in addition to an itemized budget. When constructing a budget justification, follow the same order as that in the itemized budget, so the committee can easily compare the two documents. You may group like items together under a common “header” for the reader’s ease. However, be sure to address each expense included in the line item budget separately, as noted below.

- A. Supplies and Materials - \$750
 - a. Supplies/Materials Item 1 - \$240 - Description, justification, and/or calculations
 - b. Supplies/Materials Item 2 - \$350 - Description, justification, and/or calculations
 - c. Supplies/Materials Item 3 - \$350 - Description, justification, and/or calculations
- B. Travel - \$1,000
 - a. Round-trip Airfare - \$450 - Description, justification, and/or calculations
 - b. Hotel - \$350 - Description, justification, and/or calculations
 - c. Per diem - \$200 - Description, justification, and/or calculations
- C. Project Documentation - \$250 - Description, justification, and/or calculations

TOTAL PROJECT EXPENSES: \$2,000