# Guide for New Faculty: Sponsored Research at UMD

Office for Research Administration

Welcome to the University of Maryland! We hope this guide will be of use to you as you navigate the sponsored research protocols and procedures at the University of Maryland. Please note that all of the information contained in this guide is available online in greatly expanded form at ORA's web site and the Sponsored Research Handbook.

The Office of Research Administration (ORA) is here to help you obtain and manage your sponsored research funding. Please don't hesitate to contact us. Again, WELCOME!

## Table of Contents

**CHECKLIST:**
Once you get settled at UMD

- Find your department's Contract Administrator and make contact
- Sign up for SPIN Plus to receive funding alerts
- Find eRA Submission information for the agencies to which you plan to submit

We appreciate your feedback: please let us know how we can improve this guide for you.

# What is ORA and how can we help you?

## What is ORA?

The Office of Research Administration (ORA) provides support to faculty for all aspects of extramural funding from pre-award through closeout activities. We provide the following services to the UMD faculty community:

- Proposal review and administrative signoff;
- Assistance with completing electronic proposals;
- Submitting electronic proposals;
- Negotiation and acceptance of awards; and
- Management of all aspects of an award throughout its life cycle.

## How can ORA help you?

As a new faculty member, be sure to rely on the expertise of your ORA Contract Administrator and the electronic Research Administration (eRA) team. ORA's website has a wealth of reference information that will help you in preparing your proposal and managing your award. In addition, sign up for the appropriate training sessions to help you prepare, submit, and manage your proposals successfully.
Finally, familiarize yourself with the related departments such as the Sponsored Programs Accounting & Compliance (SPAC) and the innovation office, UM Ventures.

- *Contract Administrators (CA)*
  Every department at the University has an assigned CA within ORA.  CAs responsibilities include:
  - Proposal review and UMD approval
  - Award negotiation and acceptance
  - Oversee award management and close-out (with SPAC Compliance). To find your CA, go to the
    ORA Staff Directory.

- *Electronic Research Administration Team (eRA Team)* The eRA team provides assistance to the UMD research community in the following areas:
  - Using electronic submission portals
  - Assist with questions regarding preparing proposals for electronic submissions
  - Communicating Kuali Research system updates
  - Using Kuali Research for proposal, award, and subaward management

- *Training*
  ORA provides various workshops and seminars for the campus community. Training sessions include:
  - Sponsored Research Administration Certificate Program
  - Kuali Research
  - Accessing Research Administration Data from reports.umd.edu

- *Related Departments*

    ORA works closely with other departments within the Division of Research and the Comptroller's Office. Each department has a specific role to play in Sponsored Research Administration. Familiarize yourself with their functions and policies:

    - SPAC– Sponsored Programs Accounting & Compliance

    - UM Ventures

    - Research Compliance:

        o IACUC – Institutional Animal Care & Use Committee

        o IRB – Institutional Review Board

        o Disclosure Office (Conflicts of Interest)

        o RSO – Research Security Office

        o RTO – Office of Research Transparency and Outreach

        o RCR – Responsible Conduct of Research

        o ESSR – Department of Environmental Safety, Sustainability, and Risk

- *ORA's Web Site:* To learn more about ORA and the resources it provides for faculty, staff and students, be sure to bookmark the ORA website.

    ORA's web site provides information on:

    - Linking to agency sites » Access sample agency forms  –  Viewing federal & state policies and regulations

    - Contact information for USM institutional research related entities

    - Links to the Division of Research website for information on current research taking place at UMD

# Finding Funding

An excellent way to identify potential funding opportunities is to network with other faculty and researchers, industry representatives, and government agency personnel. In addition, the Division of Research has made SPINPlus available to faculty and staff to locate potential funding sources. Links to these resources and more can be found on Locating Funding page.

## SPINPlus

Register for SPINPlus to receive funding alerts. SPINPlus is the funding search database available to UMD faculty, staff and students. This search system provides a modern full-text search that is run against the entire funding record and includes many of the non-Federal sponsors of research. Results are returned to the user in relevancy ranked format, and can be further sorted, grouped, or filtered by the results grid column headers. An individual funding profile can be setup to receive regular funding alerts. The "SPIN Instruction Manual" provides details on how to create an account, set up standard filters, and maximize searches.

## Grants.gov

Faculty and staff can also search Grants.gov for Federal funding opportunities only, and to sign up for funding alerts.

## UMD Funding Quick Facts by Fiscal Year

For Funding Quick Facts and Top Funders by fiscal year, go to Historic Data page.
For Data Requests, go to Data Requests page.

# Preparing Your Proposal

## Moving Through University Channels - From Faculty to the Sponsor

The information on this page is available in more detail in the Sponsored Research Handbook.

*Faculty must submit ALL proposals through ORA.*

Proposals MUST be routed through the Kuali Research (KR) system to ensure all the appropriate electronic signatures and certifications for the PI(s), Chair, and Dean for lead department are obtained. Department personnel prepare and complete proposal information in the Proposal Development module of KR with the assistance of the PI(s), including completing all required sections and uploading all appropriate documents. The proposal is then electronically routed.

After the Principal Investigator(s) (PI) and any co-investigators have answered the required questions regarding the proposal and certified their agreement in KR, the proposal must also be certified in KR by the Department/Unit Head for the lead department, and next higher authority within the School, College, or Institute. The proposal is then routed to ORA for final review, adding institutional signature if required, and formal submission to the sponsor.

ORA review can be done quickly for proposals which are complete, compliant, and accurate, but ORA asks for 6 business days prior to the deadline to allow for sufficient review and to allow ORA the opportunity to work with the PI(s) and department on any issues that need to be resolved before submission. Complete and final KR proposals including S2S (system to system) proposals should be routed completely to ORA no later than 48 hours before the deadline, but earlier is better. If the proposal is being prepared in another online system (ex. Research.gov or NSPIRES), provide submit access to proposal at least 24 hours before the deadline in that system. Upon review and approval an ORA Contract Administrator will either sign a hard copy of the proposal or electronically submit the proposal to the sponsor. Complex proposals, such as those which involve interdisciplinary collaborations, sub-awards, Requests for Quotes (RFQ's) external electronic system submissions, or cost sharing, require additional time for review and should be submitted to ORA well before the deadline.

## Paper Hard Copy Submissions

If a paper proposal is to be submitted, route the final proposal document in KR to ORA. ORA will review for accuracy, completeness, and compliance with University and sponsor policies and procedures and sign the proposal. Minimum components of a proposal include a cover page, the abstract and technical narrative, the budget, budget justification, and any sponsor forms which require the signature of an authorized institutional representative. Upon signature, ORA will then notify the department for pickup. The department is responsible for making any additional copies that are required and mailing or delivering the proposal to the sponsor.

## Electronic Submissions

Most sponsors, including all Federal agencies, require proposals to be electronically prepared and submitted. All Federal agencies use the find and apply system Grants.gov as well as other submission systems. Principal Investigators should refer to the individual sponsor's guidelines for information about the required method of submission. The sponsor's guidelines will also include information about the necessary file format for documents submitted with the proposal. PI's should work closely with their Contract Administrator so that if necessary there is plenty of time to properly register the University in the sponsor's system.

ORA can provide information to the PI for electronic proposal preparation and reporting to agencies and foundations. Some electronic systems, such as NSF's Research.gov and NIH's eRA Commons require the PI to create accounts before using the system. You can request an account for these systems by using the links on ORA's home page. Questions about using these and other electronic systems can be directed to ORA's eRA Team, at [oraera@umd.edu](mailto:oraera@umd.edu) or 301.405.6263. Information about electronic submission systems can be found on [eSystems](#) page.

## Kuali Research

Kuali Research (KR) is the University of Maryland's electronic research administration system of record for proposal and award data. KR allows for the preparation and electronic routing of proposals. KR maintains all award data and includes historical data for award actions processed since fiscal year 2001. KR training is available for all faculty and staff, for proposal routing, viewing and searching KR and reporting on KR data. To register for KR and report training, please go to the [Kuali Research](#) page.

## Agency Guidelines/Forms

In a Request for Quotes (RFQ), Request for Proposal (RFP), or Funding Opportunity Announcement, guidelines can be very detailed with specific forms accompanying proposal text. Often there are

limitations for page length, type size, title length, and supporting documents. More information on preparing your proposal can also be found in the [Sponsored Research Handbook](#).

## Deadlines

Some sponsoring agencies have specific deadlines for proposal submission. This information is available directly from the sponsor, but departmental administrators or ORA can provide assistance in locating this information. Note that all Requests for Proposals (RFP) and most other competitive assistance mechanisms have strict deadlines that cannot be modified; this information is always in the application package obtainable from the issuing organization.

## Classified Research and Restrictions of Publication

The University of Maryland does not enter into agreements to carry out research if the grant, contract, or other award instrument restrains the freedom of the University and its faculty to disclose the existence of the grant or contract, the general nature of the inquiry to be conducted, or the identity of the sponsor.

The University reserves, for its faculty, the right to publish the results of the research without the prior approval of the sponsor. Please reference the [UMCP Policy on Classified and Proprietary Work](#) for further clarification.

## General Rules of Thumb When No Guidelines are Provided

A *COVER PAGE* should always accompany your proposal. It should include PI and University Authorized Official signatures and contain items such as proposal title, PI name, technical and administrative contact information submitting department(s) or center, total funds requested, and period of performance.
*A TABLE OF CONTENTS* which includes *PAGE NUMBERS* is essential and helps the reviewers.
An *ABSTRACT* detailing the purpose, important features, and significance of the project should be both concise and complete. Agencies often use abstracts in their annual reports.
The *PROPOSAL CONTENTS* should include:

- Project Description (include the rationale, needs assessment, proposed goals and objectives, procedures, evaluation, and management of the project)
- References
- Biographical Sketches of all Key Personnel
- Budget
- Subaward Information
- Budget Justification (consists of supporting information for all budget categories, including an explanation of the need for unusual or large expenses such as equipment, travel, or facilities).
- Current & Pending Support for all Key Personnel

For guidance concerning the application of direct costs, fringe benefits, graduate student salaries and indirect rates consult the web pages below:

- [Employee Benefits](#)
- [Graduate Student Stipends](#)
- [Indirect Rates](#)
- [Direct Charging of Costs to Federal Grants](#)
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*Estimating your Budget-Frequent Rates and Expenses*

**SALARIES** are established by the University. Multiple year budgets should include estimated salary increases. A 5.5% increase should be projected unless the sponsor specifies salary inflation rates. *GRADUATE ASSISTANT STIPENDS* are set by the departments, with the minimum stipends set by the Provost's Office.

**FRINGE BENEFITS** are applicable to all University salaries and wages. The University does not have a "fringe benefit rate" and Grant/Contract accounts are charged actual amounts. When preparing a sponsored project proposal budget, calculations for the sponsor's contribution to employee fringe benefits can be found at [Employee Benefits](#).

*INDIRECT COSTS (IDC)* (formerly known as Facilities and Administrative [F&A] Costs) represent the University's expenses associated with running the research enterprise. IDC rates are expressed as a percentage of total direct costs but exclude permanent equipment over 5,000 dollars; tuition; stipend for trainees on training programs; participant support costs and rental of off-campus facilities. The Campus calculates its IDC rates and negotiates these with the U.S. Health and Human Services Audit Agency acting on behalf of all federal agencies. For the current rate agreement, go to Indirect Costs Information page.

IDC are calculated based on the project's Modified Total Direct Cost (MTDC).

The MTDC is an adjusted figure and not always equal to the direct costs requested.

*Calculating Modified Total Direct Costs*
MTDC = Total Direct Costs minus the following:
- Individual items of equipment in excess of $5,000
- Capital expenditures (includes alterations and renovations)
- Tuition remission
- Participant support costs
- Rental costs of off-campus facilities
- The portion of individual subgrants and subcontracts over $25,000
- Scholarships and fellowships

For more help with budgets, including a checklist of key budget categories, see Budget Guidance.

## **Need Proposal Help?** Find Your Contract Administrator:

Staff Directory

For assistance with electronic proposal systems, contact:
ORA's eRA HelpDesk oraera@umd.edu

Quick Reference Guide

# Managing Your Sponsored Research

## Award Negotiations & Acceptance

Awards are issued to the University of Maryland on behalf of the Principal Investigator (PI). While the PI assumes the responsibility for financial oversight and completion of the work, the University remains legally responsible for the award. Therefore, all awards must conform to University policy and procedure.

Acceptance of an award requires a number of steps:
- ORA receives award notification from the sponsor.
- ORA reviews the terms & conditions. (For some Request for Proposals (RFP's), the process may begin before an award is made).
- Sponsor initiated pre-award negotiations require ORA to verify budget details and confirm all rates quoted in the proposal.
- ORA enters into formal negotiations with the sponsor, including reviewing and negotiating the terms and clauses such as copyrights, patents, indemnification, default and termination clauses, deliverable schedule, invoicing, data rights, etc.

- Once all terms are negotiated, and mutually acceptable, signatures are obtained from the sponsor and UMD, and then an account can be created by ORA.
- The Principal Investigator will receive an Award Notice generated by Kuali Research containing pertinent award information and the account number established for this project.

## Start Date

The University is not authorized to spend funds prior to the official start date. This date is predicated upon acceptance of all terms of the award by both parties (see below for possible exceptions). Effective dates for grants and cooperative agreements are usually set by the sponsor in the award. Faculty members have access to the funds as soon as the account number is issued. Contracts are not as predictable; in some cases, the start date is specific and in others it is determined by the final signature date. The final signatory may be the University or the sponsor, depending on the contract.

## Expenditures and Financial Records

Sponsored Programs Accounting & Compliance (SPAC) prepares and submits standard financial reports to the sponsor as required. Financial records are maintained in the Workday System. The Principal Investigator and their departmental administrators are responsible for assuring that all approved expenses in support of a project are properly charged to it. The Principal Investigator is expected to work with departmental administrators to keep sufficient internal records to control expenditures, particularly those budgetary lines which may not be exceeded without special approval. For more information on maintaining financial records and generating reports, go to UMD's Workday System.

Some federal sponsors have granted universities expanded authorities e.g. DOE, EPA, NIH, NASA, NSF, USDA. In these cases, the PI can request pre-award costs, travel costs, and no-cost extensions and ORA can approve these requests. Advanced Account Number Authorization (AANA) for pre-award costs may be granted prior to an award's acceptance when there is a solid commitment from the sponsor. The PI's department assumes all risk in covering expenditures in advance of receipt of the award.

## General Responsibilities

Individual departments manage award funds and initiate and monitor all expenditures. The University assumes legal responsibility for funded projects.

## Faculty Responsibilities

- The PI is responsible for the management and conduct of research activities, including technical reporting activities.
- All technical reports and project deliverables are the full responsibility of the PI.
- The PI may also initiate correspondence with the sponsor's program manager to discuss programmatic issues.
- All requests for programmatic and budgetary changes must be sent through ORA for review, approval, and Authorized Organizational Representative signature before submission to the sponsor.
- The PI must initiate requests to issue subawards for collaborations with external entities using the ORA subaward forms.

### Personnel

Personnel assigned to sponsored projects, like all other personnel, must be appointed and compensated in keeping with State and University personnel rules.  The U.S. Office of Management and Budget (OMB) requires that the University maintain records that will substantiate the effort of each individual charged to a sponsored project. Therefore, time records must be carefully maintained. For faculty, staff, and graduate assistants, effort is recorded on the Effort Report form distributed to each faculty investigator by SPAC's, Cost Accounting office two times a year.

### Subcontracts

In order to issue a subaward, the Principal Investigator/Department must first submit the Subaward Request Form along with the proposed statement of work, detailed budget and budget justification and other relevant supporting documentation.  ORA will prepare, negotiate and issue the subaward. Once the subaward has been signed by both the University and the subrecipient, the subaward amount is encumbered in the project Workday account.  For more information on subcontracting, go to Subawards page.

In order for vendors to be paid, invoices from the subrecipient must be received by the Accounts Payable Office, then reviewed and approved by the PI/Department in Workday, in order to be processed by the Accounts Payable Office for payment.

## Policies and Specified Guidance

Faculty should be familiar with several key University Policies concerning research, including policies on:

- Policy on Intellectual Property and Classified and Proprietary Work
- Policy on Conflict of Interest
- Research Security
- Roles and Responsibilities

Research related University policies can be found on UMD Policies page.

### Related Departments

ORA works closely with other departments within the Division of Research and on campus. Each has a specific role to play in Sponsored Research Administration. Familiarize yourself with their functions and policies:

– SPAC– Sponsored Programs Accounting & Compliance

– UM Ventures

– Research Compliance:

  o IACUC – Institutional Animal Care & Use Committee

  o IRB – Institutional Review Board

  o Disclosure Office (Conflicts of Interest)

- RTO – Office of Research Transparency and Outreach

- RCR – Responsible Conduct of Research

- ESSR – Department of Environmental Safety, Sustainability, and Risk

- RSO – Research Security Office

# Frequently Asked Questions

*How do I…*

**Learn more about the proposal process?**

[Sponsored Research Handbook](#) provides an overview of the policies and procedures that apply to research at the University of Maryland.

**Transfer my grant?**

Awards are granted to the Institution and not the individual PI. In order for an award to be transferred from one institution to another, the agency, Department Chair, and the sponsored projects office (ORA) must be notified. [Learn more about transferring grants.](#)

**Get my proposal routed through the university?**

A proposal must have the endorsement of campus officials and therefore must be electronically routed through Kuali Research to get the required electronic signatures of the lead department chairperson, college dean, and the authorized University official, whose authority is delegated to the Office of Research Administration.

**Begin my research prior to the award date?**

An [Advance Account Number Authorization (AANA) form](#) must be completed and submitted to ORA. This form must bear the signatures of the PI and the Department Chair/Director.

**Apply Indirect Cost Rates?**

More information about applying IDC rates and the current IDC memo can be found on the [Indirect Costs Information page](#).

**Find out how much money is left on my grant?**

Authorized users can access this information via [UMD's Workday Financial System](#).

**Find my CA?**

Each department is assigned a Contract Administrator in ORA. To determine your Contract Administrator's name and contact information, use the [ORA Staff Directory](#)

## More FAQs..

**Am I an eligible PI?**

All tenured/tenure-track faculty and research scientists can be Principal Investigators. Employees or appointees affiliated with the University of Maryland (i.e. adjunct faculty, graduate assistants, and postdoctoral associates) may be PIs with the endorsement of the department chairperson and dean and must have an appointment in PHR. All UMD PIs, Co-PIs and key personnel must be listed in the KR proposal in order to certify their participation.

**Do I need to IRB approval?**

The Institutional Review Board (IRB) must review research involving human subjects. The purpose of the review is to help assure the protection of the rights and welfare of human subjects. More information about the IRB, including the policies and procedures, can be found on [IRB](#)'s website.

**What is cost sharing and how do I deal with it?**

Cost sharing is the commitment of University of Maryland's resources to a sponsored project. Cost sharing should be included in the proposal only when required. More information, including the Cost Sharing Policy, can be found here.

**My funder has publication restrictions – is this allowable?**

Generally, no. It is the policy of the University of Maryland System that instruction, research, and services will be accomplished openly and without prohibitions on the publication and dissemination of the results of academic and research activities. Under certain conditions a waiver to the policy may requested of the President of UMD. For more information, you can consult the University System of Maryland Policy on Classified and Proprietary Work

If you have questions about your publication rights, please contact your Contract Administrator in ORA.

**What is involved in subcontracting?**

There are a number of procedures to be followed by ORA in the preparation and administration of University-issued sponsored project subcontracts. These subcontracts are issued by ORA when an award from a prime sponsor incorporates work to be performed by a subcontractor. Access the Subcontracting Manual here.

# Award Transfer

Since awards are granted to the Institution and not in an individual capacity to the PI, you will need the support of the institution to affect the transfer. **Note for newly arriving UMD faculty from other institutions who are transferring awards: Steps should be initiated at your originating institution and your originating Sponsored Research Office should contact ORA well in advance of your arrival.** In general, award transfers take on average up to 6 months to complete. Therefore, it's important to start early by notifying the original institution's research administration office.

If you have accepted a position at another institution and desire to transfer any current awards you may have at UMD, you must, as early as possible, discuss the transfer with your Department Chair, the agency and ORA. Transferring an award from UMD to another institution is an action which must be approved by the awarding agency, and all such requests must be routed through ORA. Some agencies, such as the National Science Foundation (NSF) and the National Institutes of Health (NIH) have standardized this procedure and require submission of forms bearing institutional signatures or submitted through the sponsor's electronic systems. Other sponsors prefer that a substitute PI is designated at UMD and the remaining work subcontracted to your new institution.

In all instances, in addition to agency-required forms, ORA requires a letter, signed by the PI and the Department Chair, documenting the request for transfer. Download both sample award transfer letter and a template (zip)

## Transferring a National Institutes of Health (NIH) Grant

Steps:

- Notify your Department Chair

- Notify the Program Officer at the awarding NIH institute or center
- Notify your Contract Administrator at ORA
- Complete the form [PHS 3734](#) , "Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant." This form is available in pdf format on-line, with some of the fields pre-populated for your convenience.
- Generate a memo requesting transfer of the award. The memo should be from the Principal Investigator addressed to ORA, and should include:
  - PI's name
  - Agency name
  - Grant/Award number
  - Amount of unobligated funds remaining
  - Institution to which transfer is requested
  - Contact information for a Grants Manager or Authorized Representative at recipient institution
  - Requested date of award's termination at UMD
  - Signature of Principal Investigator
  - Signature of PI's Department Chair
  - Submit the signed letter and completed form to your Contract Administrator in ORA

  Institutional signature is contingent on delivery of these items, ORA will submit the

  Relinquishing Statement in eRA Commons

## Transferring a National Science Foundation (NSF) Grant Steps:

- Notify your Department Chair
- Notify the Program Officer at NSF
- Notify your Contract Administrator at ORA
- A PI Transfer Request must also be initiated via Research.gov. Detailed instructions on submission of the transfer request are available on the [NSF website](#) in the most current Proposal & Award Policies & Procedures Guide.
- Generate a memo requesting transfer of the award. The memo should be from the Principal Investigator addressed to the Office of Research Administration, and should include:
  - PI's name
  - Agency name
  - Grant/Award number
  - Amount of unobligated funds remaining
  - Institution to which transfer is requested
  - Contact information for a Grants Manager or Authorized Representative at recipient institution
  - Requested date of award's termination at UMD
  - Signature of Principal Investigator
  - Signature of PI's Department Chair
  - Submit the signed letter and completed form to your Contract Administrator at ORA.

Institutional signature is contingent on delivery of these items.

## Transferring a National Aeronautics and Space Administration (NASA) Grant Steps:

- Notify your Department Chair
- Notify NASA of intent to transfer award
- Notify the Sponsored Programs Accounting & Compliance office (SPAC) contact for NASA accounts
- Department records any final adjustments/transfers into Workday
- SPAC prepares the SF-425 Federal Financial Report (Final Expenditures are agreed upon by SPAC and Department)
- SPAC sends the final financial report to NASA
- PI sends all required final reports
- NASA will issue award modification to deobligate funds awarded to UMD
- NASA then obligates funds to the PI's new institution

## Transferring Awards from other Agencies/Corporations/Foundations

Steps:

- Notify your Department Chair
- Notify the Program Officer at the awarding entity
- Notify your Contract Administrator at ORA
- Complete any agency/corporation/foundation form(s) as identified by your Program Officer and/or Contract Administrator
- Generate a memo requesting transfer of the award. The memo should be from the Principal Investigator addressed to ORA, and should include:
    - PI's name
    - Agency name
    - Grant/Award number
    - Amount of unobligated funds remaining
    - Institution to which transfer is requested
    - Contact information for a Grants Manager or Authorized Representative at new recipient institution
    - Requested date of award's termination at UMD
    - Signature of Principal Investigator
    - Signature of PI's Department Chair
    - Submit the signed letter and completed form to your Contract Administrator at ORA

Institutional signature is contingent on delivery of these items.