

ESSIC Proposals- Roles and Responsibilities

Please Note: This information can be found on ORA's website (<https://ora.umd.edu/about/roles>) however some of the items below have been edited a bit for ESSIC's faculty reference.

Identification of Funding Opportunities

Roles and Responsibilities	PI	Dept (EBO)	College	ORA	SPAC
Search for Opportunities	X				
Provide guidance on funding opportunities		X	X		

»Proposal Preparation

Roles and Responsibilities	PI	Dept (EBO)	College	ORA	SPAC
Write technical narrative	X				
Identify external collaborators (subcontractors, vendors, consultants) and request budget and work scope materials	X	X			
Develop budget	X	X			
Identify need for cost sharing funds and obtain documentation for cost share support	X	X	X		
Evaluate requests for F&A waivers or reductions		X	X	X	
Coordinate space arrangements		X	X		
Provide guidance on proposal preparation		X	X	X	
Complete and ensure accuracy of the Kual Research information for routing	X	X	X		

»Regulatory Requirements

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Complete compliance forms and discloses compliance issues in Kual Research and in relevant sections of proposal (Current/Pending, Other Support, etc.): Institutional Review Board, Animal Care and Use, Institutional Biosafety, Dept. of Environmental Safety, Sustainability & Risk, Financial Conflict of Interest Disclosures, Conflict of Interest forms, Disclosures of Other Support in accordance with specific sponsor's requirements (including Foreign Talent Programs, etc.) <i>questions regarding this requirement should be directed to oraacompliance@umd.edu</i>	X				
Reviews and endorses compliance forms as needed		X	X		

Institutional oversight and facilitation of compliance issues					
Ensure that protocols and approvals for regulatory compliance requirements are kept current throughout the life of the project as required	X	X			

❖ Proposal Review and Approval

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Confirm that proposal meets sponsor requirements (text, margins, font, page limits, current & pending, other support disclosures, etc.)	X	X			
Review proposal before sending proposal to ORA	X	X	X		
Verify that cost sharing in proposal is listed and that all commitments have been secured	X	X	X		
Review proposed cost sharing for appropriateness	X	X	X		
Programmatic review of proposal electronically certify, sign and process proposal in Quali Research	X	X	X		
Provide institutional review and approval of proposal				X	

❖ Proposal Submission

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Electronic Submission				X – unless deviation is agreed to by ORA	
Paper Submission	X – pick up after ORA signoff	X – pick up after ORA signoff			

❖ Pre-Award

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Request pre-award or advance account	X	X			
Establish pre-award or advance account				X	X
Monitor pre-award or advance account	X	X	X		

❖ Award Acceptance

Roles and Responsibilities	PI	Dept (EBO)	College (CMNS)	ORA	SPAC
Accept sponsor notification of grant or contract award				X	
Review and negotiate terms and conditions for Grants, Contracts, Cooperative Agreements, incoming MTA's, Equipment Loan Agreements, and other types of sponsored funded and non-funded agreements				X	
Provide feedback on nonstandard terms and conditions when applicable	X	X		X	X
Accept award terms and conditions & execute award on behalf of UM				X	

❖ Award Set-up

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Confirm that protocols and approvals for regulatory compliance requirements are current at the time of initial account set-up	X	X		X	
Review award budget	X	X		X	
Establish account number in Quali Research and KFS				X	X

❖ Conducting the Project Financial

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Prepare financial transactions		X			
Initiate re-budgeting requests	X	X			
Obtain sponsor approval of re-budgeting requests, where required		X		X	
Initiate no cost extensions	X	X			
Submit no cost extension notifications or requests to sponsor as required	X	X		X	
Ensure that cost sharing is documented	X	X			X
Initiate purchases via PCard or with Procurement as appropriate	X	X			
Review and approve financial transactions	X	X			X
Use financial reports to monitor and oversee expenditures	X	X	X		X
Review and reconcile accounts on a monthly basis	X	X			

Coordinate resolution of issues on oversight reports					X
Audit expenditures					X

» **Program Income**

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Identify program income	X	X		X	
Invoice program income		X			
Receive and deposit program income		X			X
Identify use and reportability of program income		X			X
Monitor program income levels	X	X			X

» **Invoicing Financial Reporting**

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Prepare and submit the invoice or financial report		X (occasionally in conjunction w/ SPAC)			X

» **Accounts Receivable Management**

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Receive and deposit payments from sponsors					X
Produce and record a letter of credit draw request (federal awards)					X
Monitor and pursue the collections of overdue payments from sponsors					X

» **Prior Approvals/Notifications**

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Initiate prior approvals for changes to project	X	X			
Approve or forward to sponsor prior approvals for changes to project				X	
Ensure regulatory compliance offices are notified of changes to project	X	X			
Update and maintain current and pending support information and disclose to sponsor as appropriate	X	X	X	X (ORA submits when sponsor requires Authorized Official to submit)	

» Subcontracts and Subawards

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Submit Subaward and Subaward Modification Requests to ORA	X	X			
Oversee programmatic aspects of subaward	X				
Prepare, negotiate, and execute subawards				X	
Review and approve subaward invoices	X				
Subrecipient monitoring	X	X		X	X

» Subcontracting Plan

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Determine if a Small Business Subcontracting Plan is Needed	X	X		X	
Prepare Small Business Subcontracting Plan		X			
Provide Small Business Subcontracting Plan to Sponsor				X	
Prepare and Submit Small Business Subcontracting Plan Reports		Input provided by Dept.			

» Technical Data and Reports

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Ensure integrity of all research data	X	X			
Prepare and submit technical reports to sponsor	X			X (Only when Required by Sponsor)	
Maintain the official copy of the technical report	X	X			

» Personnel and Effort Certification

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Initiate hiring and appointment process (<i>ESSIC related hires please see Andy Negri or Monica D'Rozario</i>)	X	X			
Identify and initiate any screenings required (e-Verify, foreign visitor screening)	X	X			
Complete necessary adjustments to award charges or and/or payroll distribution		X			
Obtain necessary supervisory reviews and approvals		X			

Ensure accuracy of completed effort certification	X	X			
Resolve problems or follow up on certifications not submitted		X	X		X

» **Project End and Close-out**

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Identify early close-out situations	X	X		X	X
Ensure all appropriate expenditures have been posted to accounts		X			
Prepare final financial invoice/report					X
Resolve issues related to unreconciled accounts		X			X
Ensure that all financial reports have been submitted to sponsor				X	X
Monitor submission of Final Technical Reports to sponsor	X			X	
Monitor submission of Final Invention reports to sponsor				X	
Monitor submission of Patent reports to sponsor				X	
Inactivate award account(s) in financial accounting system					X
Maintain official project closeout documents for sponsored projects		X		X	X

» **Audits**

Roles and Responsibilities	PI	Dept	College	ORA	SPAC	Other (UM Ventures, Procurement, VPR)
Coordinate the Single Audit for the University					X	
Provide support and/or source documentation as requested by auditors	X	X	X	X	X	UM Ventures, Procurement, and VPR

❖ Ongoing Training

Roles and Responsibilities	PI	Dept	College	ORA	SPAC	Other (UM Ventures, Procurement, VPR)
Provide training to the research community regarding changes to policies and regulations		X	X	X	X	UM Ventures and VPR

❖ Intellectual Property (IP)

Roles and Responsibilities	PI	Dept	College	ORA	SPAC
Request a waiver from the University's IP Policy for a specific sponsored project	X	X	X		
Review/recommend action on waiver of IP Policy on a specific sponsored project				X	
Review, Negotiate, and Execute Outgoing MTA's					
Evaluate commercial viability of University IP					
Disclose IP to UM Ventures, complete Invention Disclosure Forms	X	X			
Market, negotiate and enter into license agreements for University IP					
Report Federally funded inventions to government (Bayh-Dole)					
Receive Royalty Income and Process Distribution					
Provide oversight of patent prosecution					