Proposal Development Appendix II: Certification & Questionnaires

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IC: Investigator and Senior/Key Personnel Certification

Question	Explanation	Prompt	Description	Related Validation
IC 01: Select the appropriate lobbying attestation for this project.		Yes No	Y: I have conducted lobbying efforts related to this proposal. N: I have not conducted lobbying efforts related to this proposal.	If Y, validation warning
IC 02: Select the appropriate capital equipment attestation for this project.		Yes No	Y: I affirm there is capital equipment required to be purchased for this project and no comparable equipment is available. N: I affirm there is no capital equipment included in the budget for this project	
IC 03: I have a real or potential conflict of interest related to this work or sponsor, as defined by the University System of Maryland Policy (III-1.11).	University System of Maryland Policy (III-1.11)	Yes No	Y: I have a real or potential conflict of interest. N: I do not have a real or potential conflict of interest.	If Y, add COI compliance item on compliance tab and answer Yes on questionnaire
IC 04 CP 1: Complete the check box to agree to the university disclosure statement.	Investigators that have not already done so must submit a disclosure prior to proposal submission. Investigators that have submitted a disclosure do not need to submit a new disclosure, but they must confirm that their existing disclosure is up to date prior to proposal submission. Disclosures must be updated whenever there is a change and no less than annually. Link to inTERP	IC 04 I confirm I have submitted an up to date disclosure in inTERP.	Disclosures must be updated whenever there is a change and no less than annually.	
IC 04.CP.2: Complete the check box to agree to the training statement.	This includes, but is not limited to RCR, Research Security, NIH, COI. Additional details. memo	IC 04.CP.2 I affirm that all training required by the sponsor has been completed for all senior/key personnel named in the proposal and proof of training will be provided upon request.		

Question	Explanation	Prompt	Description	Related Validation
IC 05: Complete the check box to agree to the conflict of interest statement.	Conflict of Interest University System Reference: University System of Maryland Policy (III-1.11) UM College Park Reference: Policy & Disclosure Office	IC 05 I understand that I am required to disclose any COI as required by USM and campus policies and procedures.		
IC 06: Complete the check box to agree to the sponsor disclosure statement. .	Professional activities includes those performed within and outside of the University of Maryland (paid and unpaid), including foreign affiliations and/or support from other companies, universities, and government entities (eg. Talent programs; consulting activities). If you are unsure whether all disclosure requirements have been met please contact your ORA/SPA Contract Administrator.	IC 06 I have followed proposal/sponsor requirements in disclosing all professional activities.	Professional Activities defined in Explanation text.	
IC 07: Complete the check box to agree to the intellectual property statement.	Intellectual Property (IP) Policies outline the ownership, licensing, and protection of IP created by personnel and students at UM institutions. Occasionally, sponsors, particularly Foundations or other non-Federal sponsors, include terms or conditions in their award notices that do not conform to these IP Policies. In these cases where it is not possible to negotiate language in accordance with the ownership and licensing terms in these IP Policies, a UM institution may agree to waive certain requirements of the IP Policy. In these cases, the Principal Investigator (PI) and research team will need to decide whether to request a waiver to the IP Policy in order to permit the institution to accept the award. For UMCP: additional details	IC 07 I agree to follow the University's Intellectual Property (IP) policies in reference to data and IP developed under sponsored projects; and will take necessary actions based on sponsor and project requirements.	I agree to follow processes for IP Waivers (blanket or individual), which may be necessary to accept any resulting award.	

Question	Explanation	Prompt	Description	Related Validation
IC 08: Complete the check box to agree to the malign foreign talent statement.	The CHIPS and Science Act requires Federal research funding agencies to establish a policy which requires Covered Individuals listed in the proposal to certify at the time of proposal submission, and annually for the duration of the award, that they are not a party to a Malign Foreign Talent Recruitment Program (MFTRP) as defined in the Act. CHIPS and Science Act UMD resource	IC 08 I certify that I am not participating in a Malign Foreign Talent Recruitment Program.	Malign Foreign Talent Recruitment Program as defined in Sections 10632 and 10638 of PUBLIC LAW 117-167 (CHIPS and Science Act).	
IC 09: Complete the check box to agree to the modifications statement.		IC 09 I agree to not make changes to the ORA/SPA-approved proposal without first notifying ORA/SPA.		
IC 10: Complete the check box to agree to this statement.		IC 10 I am aware that any false, fictitious, fraudulent, and/or plagiarized statements may subject me to criminal, civil, and/or administrative penalties.		
IC 11: Complete the check box to agree to the conduct statement.		IC 11 If I am the PI, I accept responsibility for the financial and scientific conduct of this project and will provide all required reports if the proposal results in a project/award.	If I am a Co-I or Senior/Key Person on this proposal I will support the PI(s) in the financial/scientific conduct of the project and contribute to reports as outlined in the proposal/award.	
IC 12: Complete the check box to agree to the authorized official statement.		IC 12 I understand that ORA/SPA is the authorized University negotiator and signatory on behalf of the University. Investigators are not authorized to negotiate or sign on behalf of the University.		

Question	Explanation	Prompt	Description	Related Validation
IC 13: Complete the check box to agree to the signature statement.		IC 13 I agree, to the best of my knowledge, the information submitted within the proposal is true, complete, and accurate and this certification constitutes my electronic signature for this application.		

<end of Investigator Certification>

L: Funded Questionnaire, Location Details

Question	Explanation	Prompt	Description	Related Validation
L: Select any **Location Details** which apply to this project.	L1 Subcontracts Reference: ORA Subawards & Subrecipient vs Contractor (Vendor) vs Consultant document. Part of this project will be subcontracted to another organization. Add Other Organization under Organization and Location tab.	L1 Subcontracts	Add Other Organization to Organization and Location tab.	Add Other Organization
	L2 Off-campus Reference: Indirect Costs Information. In order to use an off-campus indirect cost rate, the UM portion of the project must take place in an adjacent or remote location for 3 or more consecutive months. Add Performance Site Location under Organization and Location tab.	L2 UM Portion Off-campus	Add Performance Site Location to Organization and Location tab	Add Performance Site
	L3 Research Education Center Formerly UM Research Farms, Reference: ESSR Location Assurance. Research Education Center Projects with activities conducted at UM Research Education Center may require additional review by ESSR. Add the Research Safety item in the Compliance tab.	L3 UM Research Education Center	Add the Research Safety Compliance item.	Add the Research Safety item in the Compliance tab
	L4 Field Work UM Research Farms, Reference: ESSR Location Assurance. Any fieldwork may require additional review by ESSR; if yes, add UMD research safety plan compliance. In addition, some sponsors, particularly NSF, require a safety & inclusion plan for all off-campus/off-site research activities. PIs are responsible for preparing the plan and completing the certification form before the proposal is submitted.	L4 Field Work	Add the Research Safety Compliance item and attach Safety Plan as required.	Add the Research Safety item in Compliance tab, and attach Safety Plan as required
		L0 None of these LOCATION details apply to this project	None of these LOCATION details apply to this project	

C1: Funded Questionnaire, Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C1: Select any **Compliance Details** which apply to this project**.**	C1.1 Admin Costs Reference: Administrative Cost Designations. Project includes administrative support costs such as administrative/clerical salary and/or office supplies/communication costs. Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A). Complete Supplemental Information tab.	C1.1 Administrative Support Costs	Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A).	Provide support documentation
	C1.2 is retained for future use and intentionally skipped in the list of prompts.			
	C1.3 Conflict of Interest Reference: Disclosure Office. If there are potential conflicts of interest, add the Conflict of Interest item in the Compliance tab.	C1.3 Real or Potential COI	Add the Conflict of Interest Compliance item.	Add COI item in Compliance tab and PI Certification Conflict of Interest - at least one investigator answer Yes
	C1.4 Human Subjects Reference: IRB. Research involving human subjects is reviewed by IRB. Add the Human Subjects item in the Compliance tab.	C1.4 Human Subjects	Add the Human Subjects Compliance item.	Add IRB (Human Subjects) item in Compliance tab
	C1.5 Animal Subjects Reference: IACUC. Research involving animal subjects is reviewed by IACUC. Add the Animal Subjects item in the Compliance tab.	C1.5 Vertebrate Animals	Add the Animal Subjects Compliance item.	Add IACUC (Animals) item in Compliance tab
		C1.0 None of the Above COMPLIANCE Details apply to this project.	None of these COMPLIANCE details apply to this project	

C2: Funded Questionnaire, Export Control Details

Question	Explanation	Prompt	Description	Related Validation
C2: Select any **Export Control** details which apply to this project.	C2.1-C2.5 Export Control Details Reference: Export 101. Research involving Export Control is reviewed by the Export Control Office. For more information, visit Export 101.	C2.1 Export in Solicitation	Export controls, physical restrictions on publications, or restrictions on foreign nationals indicated in the solicitation or in discussions with the sponsor. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.2 Technologies Involved	Technologies in this project may have military uses or applications with national security implications. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.3 Shipment	This project involves the shipment of materials outside of the US. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.4 Collaboration	This project requires collaboration with any foreign entity. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.C2.5 Sponsor Approval Examples Information which may not be released to the public without sponsor approval may include, but is not limited to, sensitive research results, data sets, proprietary information, trade secrets, publications, and export-controlled information.	C2.5 Publication Restriction	This project involves any information which may not be released to the public without sponsor approval. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
		C2.0 None of these EXPORT CONTROL details apply to this project	None of these EXPORT CONTROL details apply to this project	

C3: Funded Questionnaire, Research Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C3: Select any **Research Compliance** Details which apply to this project.	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.3 Non-Ionizing Radiation Sources of non-ionizing radiation include lasers, infra-red devices, ultraviolet devices, radio frequency devices, other electromagnetic devices, and/or microwave devices.	C3.3 Source of non-ionizing radiation	See examples in explanation. Add Radioactive Materials - NON-IONIZING compliance item and list details.	Add Radioactive Materials - NON-IONIZING compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.4 Biological Materials Examples of biological materials include (recombinant or synthetic nucleic acids; human pathogens; biological toxins; human blood; unfixed human tissue; human cell culture; unfixed tissue from non-human primates).	C3.4 Biological materials	See examples in explanation. Add Biological Materials compliance item.	Add Biological Materials compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.5 Select Agent Toxins Examples of select agent toxins include Abrin; Botulinum neurotoxins; Short, paralytic alpha conotoxins; Diacetoxyscirpenol (DAS); Ricin; Saxitoxin; Staphylococcal enterotoxins (Subtypes A, B, C, D, and E); T-2 toxin; Tetrodotoxin.	C3.5 Select toxins	See examples in explanation. Add Select Agent Toxins compliance item.	Add Select Agent Toxins compliance item in Compliance tab

Question	Explanation	Prompt	Description	Related Validation
C3: Select any **Research Compliance** Details which apply to this project. (continued)	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.6 SCUBA ESSR reviews projects involving Scientific Diving, snorkeling, or underwater diving techniques and equipment in the support of research data collection.	C3.6 SCUBA	Please add Scientific Diving compliance item.	Add Scientific Diving compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.7 & C3.8 ESSR reviews projects where UMD personnel will be responsible for operating motorized or non-motorized boats in the support of research data collection.	C3.7 Operating non-motorized watercraft or boat(s)	Add Boats in Research compliance item.	Add Boats Used in Research compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.7 & C3.8 ESSR reviews projects where UMD personnel will be responsible for operating motorized or non-motorized boats in the support of research data collection.	C3.8 Operating motorized boats	Add Boats in Research compliance item.	Add Boats Used in Research compliance item in Compliance tab
		C3.0 None of these RESEARCH COMPLIANCE details apply to this project	None of these RESEARCH COMPLIANCE details apply to this project.	

C4: Funded Questionnaire, Chemical Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C4: Select any **Chemical Compliance** details which apply to this project.	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.1 Chemicals Includes the use of any chemicals, gases, or cryogens. If yes, a Chemical Hygiene Plan and training is required.	C4.1 Use of chemicals	See details in explanation. Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.2 Toxic Gases Toxic gases have NFPA health hazard ratings of 3 or 4, or a rating of 2, if the gas lacks physiological warning properties. A pyrophoric gas is defined as having an autoignition temperature in air at or below 130°F (54.4°C).	C4.2 Use of toxic or pyrophoric gases	See details in explanation. Add Gases compliance item.	Add Gases compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.3 Dichloromethane All work with dichloromethane (methylene chloride) is regulated and reviewed by ESSR.	C4.3 Use of dichloromethane	Also known as methylene chloride and CH_2Cl_2. Add the Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.4 Pesticides Pesticides with EPA registration, including pesticides with restricted use designation requiring certified pesticide applicator involvement.	C4.4 Application of registered pesticides	Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.5 Controlled Substances Controlled substances are identified on the DEA list or the Maryland Department of Health supplemental list.	C4.5 Use of controlled substances	Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab

Question	Explanation	Prompt	Description	Related Validation
C4: Select any **Chemical Compliance** details which apply to this project. (continued)	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.6 Explosives Explosive materials as defined by the Bureau of Alcohol, Tobacco, Firearms and Explosives.	C4.6 Use of explosive materials	Explosive materials as defined by the US Department of Alcohol, Tobacco & Firearms. Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.7 Haz Mat Transport Includes all transport of hazardous materials off-campus, including shipping with an approved carrier and any personal transport.	C4.7 Shipment or transfer of chemical, biological, or radioactive materials off-campus	Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.8 Respirator Required respirator use as defined by OSHA and the University of Maryland Respiratory Protection Program.	C4.8 Use of a respirator by research personnel	Respirator use needed as an airborne hazard cannot be managed by engineering controls (e.g., use of chemical fume hood). Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
		C4.0 None of these CHEMICAL COMPLIANCE details apply to this project.	None of these CHEMICAL COMPLIANCE details apply to this project.	

<end of Funded Agreement Questionnaire>

G: Nonfunded Agreement Questionnaire, General Questions

Question	Explanation	Prompt	Description	Related Validation
What will be the route of the information disclosure for this agreement?		One Way Two Way		If one way, then additional question determines the receiving party
Indicate the receiving party of the one-way information disclosure.		Sponsor University of Maryland		
Is a third party involved in this agreement		Yes No		If yes, then additional question presented for details
Provide the name, full address, and website of the third party.				

C1: Nonfunded Questionnaire, Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C1: Select any **Compliance Details** which apply to this project**.**	C1.1 Admin Costs Reference: Administrative Cost Designations. Project includes administrative support costs such as administrative/clerical salary and/or office supplies/communication costs. Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A). Complete Supplemental Information tab.	C1.1 Administrative Support Costs	Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A).	Provide support documentation
	C1.2 is retained for future use and intentionally skipped in the list of prompts.			
	C1.3 Conflict of Interest Reference: Disclosure Office. If there are potential conflicts of interest, add the Conflict of Interest item in the Compliance tab.	C1.3 Real or Potential COI	Add the Conflict of Interest Compliance item.	Add COI item in Compliance tab and PI Certification Conflict of Interest - at least one investigator answer Yes
	C1.4 Human Subjects Reference: IRB. Research involving human subjects is reviewed by IRB. Add the Human Subjects item in the Compliance tab.	C1.4 Human Subjects	Add the Human Subjects Compliance item.	Add IRB (Human Subjects) item in Compliance tab
	C1.5 Animal Subjects Reference: IACUC. Research involving animal subjects is reviewed by IACUC. Add the Animal Subjects item in the Compliance tab.	C1.5 Vertebrate Animals	Add the Animal Subjects Compliance item.	Add IACUC (Animals) item in Compliance tab
		C1.0 None of the Above COMPLIANCE Details apply to this project.	None of these COMPLIANCE details apply to this project	

C2: Nonfunded Questionnaire, Export Control Details

Question	Explanation	Prompt	Description	Related Validation
C2: Select any **Export Control** details which apply to this project.	C2.1-C2.5 Export Control Details Reference: Export 101. Research involving Export Control is reviewed by the Export Control Office. For more information, visit Export 101.	C2.1 Export in Solicitation	Export controls, physical restrictions on publications, or restrictions on foreign nationals indicated in the solicitation or in discussions with the sponsor. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.2 Technologies Involved	Technologies in this project may have military uses or applications with national security implications. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.3 Shipment	This project involves the shipment of materials outside of the US. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.4 Collaboration	This project requires collaboration with any foreign entity. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.C2.5 Sponsor Approval Examples Information which may not be released to the public without sponsor approval may include, but is not limited to, sensitive research results, data sets, proprietary information, trade secrets, publications, and export-controlled information.	C2.5 Publication Restriction	This project involves any information which may not be released to the public without sponsor approval. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
		C2.0 None of these EXPORT CONTROL details apply to this project	None of these EXPORT CONTROL details apply to this project	

<end of Funded Agreement Questionnaire>

MG: Material Transfer Agreement Questionnaire, General Questions

Question	Explanation	Prompt	Description	Related Validation
What is the material?				
Will sponsored account funds pay for the obtaining/collection of these material(s)/data?		Yes No		If Y, then follow-up question provided.
Provide KR award number or KR institute proposal number				
How long will the investigators use the material(s)/data e.g., 2 years? Note, this must not be greater than the period of performance.		Yes No		
Will the material(s)/data be used in conjunction with other materials received from a third party?		Yes No		If Y, then follow-up question provided.
List other material(s)/data and their providers.				
Are the material(s)/data relevant to any previous, pending, or future disclosures of intellectual property to UM-Ventures?		Yes No		If Y, then follow-up question provided.
List all material(s)/data which are relevant to the UM-Ventures.				
Has any confidentiality or nondisclosure agreement from the provider been signed in connection with the material(s)?		Yes No		If Y, then follow-up question provided.
Provide NDA proposal or account details including KR number and title.				

M: Material Transfer Agreement Questionnaire, MTA Details Questions

Question	Explanation	Prompt	Description	Related Validation
MTA: Select any MTA Details which apply to this project.		MTA.1 Investigator(s) intend to commercialize the results of research stemming from use of materials.		
		MTA.2 Investigator is in possession of materials at time of proposal submission.		
		MTA.3 Material available through other sources.	Select if material is available in Research Reagent Bank or Depository, e.g. ATCC or Hybridoma Bank	
		MTA.4 Material provided for product testing or evaluation for organization.	e.g. testing an expression system	
		MTA.5 Material is a tool, kit, or instrument that will be used in the conduct of research.		
		MTA.6 Progeny, unmodified derivatives, or descendant copies will be made from the material(s).		
		MTA.7 Material(s) will be modified or used to produce modified derivatives.		
		MTA.8 Material(s) will be used in another manner.	Provide details below	
		MTA.0 None of these MTA Details apply.	None of these MTA Details apply.	
Explain how the material(s) will be used in another manner.				

C1: Material Transfer Agreement Questionnaire, Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C1: Select any **Compliance Details** which apply to this project**.**	C1.1 Admin Costs Reference: Administrative Cost Designations. Project includes administrative support costs such as administrative/clerical salary and/or office supplies/communication costs. Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A). Complete Supplemental Information tab.	C1.1 Administrative Support Costs	Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A).	Provide support documentation
	C1.2 is retained for future use and intentionally skipped in the list of prompts.			
	C1.3 Conflict of Interest Reference: Disclosure Office. If there are potential conflicts of interest, add the Conflict of Interest item in the Compliance tab.	C1.3 Real or Potential COI	Add the Conflict of Interest Compliance item.	Add COI item in Compliance tab and PI Certification Conflict of Interest - at least one investigator answer Yes
	C1.4 Human Subjects Reference: IRB. Research involving human subjects is reviewed by IRB. Add the Human Subjects item in the Compliance tab.	C1.4 Human Subjects	Add the Human Subjects Compliance item.	Add IRB (Human Subjects) item in Compliance tab
	C1.5 Animal Subjects Reference: IACUC. Research involving animal subjects is reviewed by IACUC. Add the Animal Subjects item in the Compliance tab.	C1.5 Vertebrate Animals	Add the Animal Subjects Compliance item.	Add IACUC (Animals) item in Compliance tab
		C1.0 None of the Above COMPLIANCE Details apply to this project.	None of these COMPLIANCE details apply to this project	

C2: Material Transfer Agreement Questionnaire, Export Control Details

Question	Explanation	Prompt	Description	Related Validation
C2: Select any **Export Contro**l details which apply to this project.	C2.1-C2.5 Export Control Details Reference: Export 101. Research involving Export Control is reviewed by the Export Control Office. For more information, visit Export 101.	C2.1 Export in Solicitation	Export controls, physical restrictions on publications, or restrictions on foreign nationals indicated in the solicitation or in discussions with the sponsor. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.2 Technologies Involved	Technologies in this project may have military uses or applications with national security implications. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.3 Shipment	This project involves the shipment of materials outside of the US. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.4 Collaboration	This project requires collaboration with any foreign entity. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.C2.5 Sponsor Approval Examples Information which may not be released to the public without sponsor approval may include, but is not limited to, sensitive research results, data sets, proprietary information, trade secrets, publications, and export-controlled information.	C2.5 Publication Restriction	This project involves any information which may not be released to the public without sponsor approval. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
		C2.0 None of these EXPORT CONTROL details apply to this project	None of these EXPORT CONTROL details apply to this project	

C3: Material Transfer Agreement Questionnaire, Research Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C3: Select any **Research Compliance** Details which apply to this project.	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.3 Non-Ionizing Radiation Sources of non-ionizing radiation include lasers, infra-red devices, ultraviolet devices, radio frequency devices, other electromagnetic devices, and/or microwave devices.	C3.3 Source of non-ionizing radiation	See examples in explanation. Add Radioactive Materials - NON-IONIZING compliance item and list details.	Add Radioactive Materials - NON-IONIZING compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.4 Biological Materials Examples of biological materials include (recombinant or synthetic nucleic acids; human pathogens; biological toxins; human blood; unfixed human tissue; human cell culture; unfixed tissue from non-human primates).	C3.4 Biological materials	See examples in explanation. Add Biological Materials compliance item.	Add Biological Materials compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.5 Select Agent Toxins Examples of select agent toxins include Abrin; Botulinum neurotoxins; Short, paralytic alpha conotoxins; Diacetoxyscirpenol (DAS); Ricin; Saxitoxin; Staphylococcal enterotoxins (Subtypes A, B, C, D, and E); T-2 toxin; Tetrodotoxin.	C3.5 Select toxins	See examples in explanation. Add Select Agent Toxins compliance item.	Add Select Agent Toxins compliance item in Compliance tab

Question	Explanation	Prompt	Description	Related Validation
C3: Select any **Research Compliance** Details which apply to this project. (continued)	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.6 SCUBA ESSR reviews projects involving Scientific Diving, snorkeling, or underwater diving techniques and equipment in the support of research data collection.	C3.6 SCUBA	Please add Scientific Diving compliance item.	Add Scientific Diving compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.7 & C3.8 ESSR reviews projects where UMD personnel will be responsible for operating motorized or non-motorized boats in the support of research data collection.	C3.7 Operating non-motorized watercraft or boat(s)	Add Boats in Research compliance item.	Add Boats Used in Research compliance item in Compliance tab
	C3.1-C3.8 Research Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C3.7 & C3.8 ESSR reviews projects where UMD personnel will be responsible for operating motorized or non-motorized boats in the support of research data collection.	C3.8 Operating motorized boats	Add Boats in Research compliance item.	Add Boats Used in Research compliance item in Compliance tab
		C3.0 None of these RESEARCH COMPLIANCE details apply to this project	None of these RESEARCH COMPLIANCE details apply to this project.	

C4: Material Transfer Agreement Questionnaire, Chemical Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C4: Select any **Chemical Compliance** details which apply to this project.	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.1 Chemicals Includes the use of any chemicals, gases, or cryogens. If yes, a Chemical Hygiene Plan and training is required.	C4.1 Use of chemicals	See details in explanation. Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.2 Toxic Gases Toxic gases have NFPA health hazard ratings of 3 or 4, or a rating of 2, if the gas lacks physiological warning properties. A pyrophoric gas is defined as having an autoignition temperature in air at or below 130°F (54.4°C).	C4.2 Use of toxic or pyrophoric gases	See details in explanation. Add Gases compliance item.	Add Gases compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.3 Dichloromethane All work with dichloromethane (methylene chloride) is regulated and reviewed by ESSR.	C4.3 Use of dichloromethane	Also known as methylene chloride and CH_2Cl_2. Add the Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.4 Pesticides Pesticides with EPA registration, including pesticides with restricted use designation requiring certified pesticide applicator involvement.	C4.4 Application of registered pesticides	Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.5 Controlled Substances Controlled substances are identified on the DEA list or the Maryland Department of Health supplemental list.	C4.5 Use of controlled substances	Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab

Question	Explanation	Prompt	Description	Related Validation
C4: Select any **Chemical Compliance** details which apply to this project. (continued)	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.6 Explosives Explosive materials as defined by the Bureau of Alcohol, Tobacco, Firearms and Explosives.	C4.6 Use of explosive materials	Explosive materials as defined by the US Department of Alcohol, Tobacco & Firearms. Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.7 Haz Mat Transport Includes all transport of hazardous materials off-campus, including shipping with an approved carrier and any personal transport.	C4.7 Shipment or transfer of chemical, biological, or radioactive materials off-campus	Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
	C4 Chemical Compliance Details Reference: Assurances Review. These compliance areas are reviewed by ESSR. C4.8 Respirator Required respirator use as defined by OSHA and the University of Maryland Respiratory Protection Program.	C4.8 Use of a respirator by research personnel	Respirator use needed as an airborne hazard cannot managed by engineering controls (e.g., use of chemical fume hood). Add Chemicals compliance item.	Add Chemicals compliance item in Compliance tab
		C4.0 None of these CHEMICAL COMPLIANCE details apply to this project.	None of these CHEMICAL COMPLIANCE details apply to this project.	

<end of Funded Agreement Questionnaire>

DG: Data Use Agreement Questionnaire, General Questions

Question	Explanation	Prompt	Description	Related Validation
What is the pathway of data transfer?		Incoming to the University Outgoing form University Both		If incoming or both, follow-up questions provided.
Who will use the data?		UM Investigator UM Graduate Student UM Undergraduate Student		
In addition to the sponsor, are there any other non-UMD entities or individuals with whom you will collaborate or share data?		Yes No		If Y, then follow-up question provided.
List the other non-UMD entities or individuals with whom you will collaborate or share data.				
Are any of these additional parties or individuals non-US?		Yes No		
Will the material(s)/data be used in conjunction with other materials received from a third party?		Yes No		If Y, then follow-up question provided.
List other material(s)/data and their providers.				
How long will the investigators use the material(s)/data e.g., 2 years? Note, this must not be greater than the period of performance.				
Will sponsored account funds pay for the obtaining/collection of these material(s)/data?		Yes No		If Y, then follow-up question provided.
Provide KR award number or KR institute proposal number				
Are there physical storage requirements for these data?		Yes No		If Y, then follow-up question provided.

Question	Explanation	Prompt	Description	Related Validation
Describe where these data will be physically stored. Ex. laptop, tiCRYPT, departmental servers, etc.				
Are there costs associated with this storage?		Yes No		If Y, then follow-up question provided.
Provide KR award number or KR institute proposal number				

Data Use Agreement Questionnaire, GDPR Questions

Question	Explanation	Prompt	Description	Related Validation
Is this agreement, or data set, subject to General Data Protection Regulations (GDPR)?		Yes No		If Y, then follow-up questions provided.
What is the purpose of receiving these data?		Enter text		
What type of data will be received?		Enter text		
List the names and titles of all individuals who will have access to these data.		Enter text		
Will the data include European resident's data?		Enter text		
Will the data be used and stored on UMD campus?		Enter text		
What system will be used to protect data on campus?		Enter text		

D: Data Use Agreement Questionnaire, DUA Details

Question	Explanation	Prompt	Description	Related Validation
D: Select the DUA Details which apply to this agreement or data set.		D1 Controlled Unclassified Information (CUI)	Add Export Control compliance item.	If Y, then follow-up questions provided.
		D2 Classified data	Add Export Control compliance item.	Add Export Control item in compliance tab.
		D3 Criminal Justice data		
		D4 Export/ITAR controlled data	Add Export Control compliance item.	Add Export Control item in compliance tab.
		D5 Human Subject Related data	Add Human Subjects compliance item	Add IRB (Human Subjects) item in Compliance tab
		D6 Public Health Information (PHI)	Add Human Subjects compliance item	Add IRB (Human Subjects) item in Compliance tab
		D7 De-identified, including non-PHI data	Add Human Subjects compliance item	Add IRB (Human Subjects) item in Compliance tab
		D8 Encrypted data	Add Export Control compliance item.	Add Export Control item in compliance tab.
		D9 Limited data set		
		D10 subject to Family Educational Rights and Privacy Act (FERPA)		
		D0 None of these DUA details apply to this agreement	None of these DUA details apply to this agreement	

C1: Data Use Agreement Questionnaire, Compliance Details

Question	Explanation	Prompt	Description	Related Validation
C1: Select any **Compliance Details** which apply to this project**.**	C1.1 Admin Costs Reference: Administrative Cost Designations. Project includes administrative support costs such as administrative/clerical salary and/or office supplies/communication costs. Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A). Complete Supplemental Information tab.	C1.1 Administrative Support Costs	Proposal budget must include explicit justification of these costs in accordance with UMCP Policy VIII-10.40(A).	Provide support documentation
	C1.2 is retained for future use and intentionally skipped in the list of prompts.			
	C1.3 Conflict of Interest Reference: Disclosure Office. If there are potential conflicts of interest, add the Conflict of Interest item in the Compliance tab.	C1.3 Real or Potential COI	Add the Conflict of Interest item.	Add COI item in Compliance tab and PI Certification Conflict of Interest - at least one investigator answer Yes
	C1.4 Human Subjects Reference: IRB. Research involving human subjects is reviewed by IRB. Add the Human Subjects item in the Compliance tab.	C1.4 Human Subjects	Add the Human Subjects item.	Add IRB (Human Subjects) item in Compliance tab
	C1.5 Animal Subjects Reference: IACUC. Research involving animal subjects is reviewed by IACUC. Add the Animal Subjects item in the Compliance tab.	C1.5 Vertebrate Animals	Add the Animal Subjects item.	Add IACUC (Animals) item in Compliance tab
		C1.0 None of the Above COMPLIANCE Details apply to this project.	None of these COMPLIANCE details apply to this project	

C2: Data Use Agreement, Export Control Details

Question	Explanation	Prompt	Description	Related Validation
C2: Select any **Export Control** details which apply to this project.	C2.1-C2.5 Export Control Details Reference: Export 101. Research involving Export Control is reviewed by the Export Control Office. For more information, visit Export 101.	C2.1 Export in Solicitation	Export controls, physical restrictions on publications, or restrictions on foreign nationals indicated in the solicitation or in discussions with the sponsor. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.2 Technologies Involved	Technologies in this project may have military uses or applications with national security implications. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.3 Shipment	This project involves the shipment of materials outside of the US. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.	C2.4 Collaboration	This project requires collaboration with any foreign entity. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
	C2.1-C2.5 Export Control Details Reference: Export 101.C2.5 Sponsor Approval Examples Information which may not be released to the public without sponsor approval may include, but is not limited to, sensitive research results, data sets, proprietary information, trade secrets, publications, and export-controlled information.	C2.5 Publication Restriction	This project involves any information which may not be released to the public without sponsor approval. Add Export Control compliance item.	Add Export Compliance item in Compliance tab
		C2.0 None of these EXPORT CONTROL details apply to this project	None of these EXPORT CONTROL details apply to this project	

<end of Funded Agreement Questionnaire>