

CEMS PROPOSAL PREPARATION PROCEDURES

Sylvie Butel is the CEMS Research Administrator, responsible for the coordination of all proposal submissions and non-financial post-award actions. Sara Baciak also supports research submissions. At the current time, all proposal preparation and submission should be coordinated with Sylvie before the final review by Sponsored Projects Administration (SPA)

All extra-mural proposal submissions, with federal, state, industry, or foundation funding sources, are now processed through SPA. These include subaward proposals and gift proposals. Letters of Intent, White Papers, and/or Pre-proposals are routed through Click when institutional signature and/or detailed budgets or cost-share commitments are required at that stage. Full criteria table here: <https://www.uvm.edu/spa/pre-proposals-letters-intent-white-papers>

- 1. A minimum of four weeks ahead of the Sponsor's deadline (and preferably 6 weeks):**
The PI creates a proposal in Click and completes the questionnaire, a series of 11 questions available which will lead to the creation of the proposal record in Click. **It is important to add Sylvie Butel and Sara Baciak as Administrative PoCs with Editing access during this first step.**

Instructions can be accessed in **Chapter 5 – Section 1** of the Grants Manual, with each step explained in detail on pages 12 – 16:

<https://www.uvm.edu/sites/default/files/Office-of-the-Vice-President-for-Research-OVPR/Proposal-Preparation-and-Submission-Manual.pdf>

At the same time that the PI sends the first budget draft to Sylvie:

Preliminary information needed for the budget draft includes: (1) a list of all personnel and associated effort and (2) any match information if applicable and available at that stage. (The PI does not complete the budget in Click.)

Budget draft and final version deadline set for budget is based on the complexity of the proposal needs (required match, unusual breakdowns required by DoD, DARPA, DOE, etc). The more complex a budget, the longer it takes the administrator.

- 2. A minimum of two weeks ahead of the Sponsor's deadline:** Budget is finalized and the F&A allocations have been approved and associated form uploaded in Click.

Sylvie inputs the budget in Click, the Sponsor's portal and/or other mandatory submission forms, and reviews/edits the budget justification and all other mandatory documents.

Proposals are considered late if they arrive in SPA with less than two business days before the sponsor's published deadline. SPA's responsibility with regard to late proposals is to make every attempt to meet the submission deadline but cannot be held responsible for any technical issues preventing submission during that late window.

- 3. A minimum of one week ahead of the Sponsor's deadline:** The PI and Sylvie have secured all necessary signatures from non-submitting units (match forms, F&A allocations, third-party letters of match commitment, etc. as applicable). The PI then uploads or provides Sylvie with a routable proposal (edits can still be made). At this time, all administrative, non-technical parts of the proposal are final along with a good draft of the technical parts. Sylvie uploads the proposal in CLICK. A proposal is ready for the route when the full sponsor's application is complete.
- 4. A minimum of three days ahead of the Sponsor's deadline:** The PI submits the proposal for the internal reviewers before SPA (PI Chairperson and Dean) to review and approve in Click.

5. **A minimum of two days ahead of the Sponsor's deadline:** The assigned RA in SPA completes the review, provides signatures and/or submits the application once the PI confirms it is ready for submission. The PI must be reachable at that time for any technical problem SPA might encounter during the submission.

Addendum 1 – Tab 2 Guidance

UVM Cost Share Commitments Box. Sylvie enters the cost-share items, sources and amounts based on final budget version.

Allocation of F&A Recovery section: the standard calculation is based on PIs' effort. The College strongly encourages PIs to use the deviation option and propose a reallocation based on Key Personnel contribution to the project.

As well, when a CEMS Faculty is included as Key Personnel in a non-CEMS proposal, the College strongly encourages the Faculty to negotiate return of F&A to the Faculty's department. Please note that this guidance is different from what SPA is providing on their site.

IRGs: PIs need to identify the proposal when under a specific IRG. Sylvie then will know to select the department number, distinct from their own department, and also identify the specific IRG program.

Addendum 2 – Summary of Major Changes in CLICK Implementation

- 1) There is no longer a distinction in procedure between gift and sponsored project proposals. All extra-mural proposals follow the procedures described in this document.
- 2) The proposal questionnaire is now electronic and can be created in Click as a first stage of proposal initiation by the PI. Link here: <http://www.uvm.edu/ovpr/uvconnect>
- 3) The SPA excel routing budget is no longer part of the SPA tools. The CEMS Administrator is still using it as internal document, however. All budget information is entered by the CEMS Administrator.
- 4) IBB F&A Allocation is completed at an early stage of proposal preparation and approved by all concerned parties ahead of submission to SPA. The CEMS Administrator completes the form based on submitting PI's input.
- 5) The match form is completed separately and uploaded in the Click application for all reviewers to review/approve prior to submission to SPA.
- 6) Only the Chairperson and Dean of the submitting PI review/approve the proposal in Click. Chairpersons and Deans from non-submitting units receive an automatic notification/alert of inclusion of their personnel in other proposals once the submitting unit adds these personnel in the proposal record created in Click.
- 7) All uploads/attachments destined to be submitted to the Sponsor need to be in pdf form. The internal attachments can be in various formats (excel, word.)
- 8) Processes will be refined as users become familiar with the system. Best practices will be developed and shared.
- 9) It is key to adhere to internal deadlines.

Appendix - Guidance for Gift Proposals

Expenditures on gift accounts generate significant expenses to the College. For instance, under IBB 3.0, the College pays a percentage (currently 22.7%) of every dollar spent from a gift fund to Central Administration. For sponsored research, expenses of this type are met with F&A funds, but no such mechanism exists to meet such expenses for gift funds. In order to ensure the decanal approval of proposed gifts, the College requires both timely consultations with the Dean's Office as well as evidence that all avenues to mitigate the financial impact of the gift to the College have been explored. Outlined below is guidance about opportunities to offset the expenses incurred by the College.

- a. Academic year (AY) salary for faculty members - The AY salary cannot be used for course buyout for such cases, but would support part of the faculty member's regular research workload.
- b. Facility use fees - In cases where research associated with a gift makes extensive use of research staff or facilities within the College, a facility use fee may be appropriate to cover the costs of operating this facility. This might include IT staff, technicians, computing facilities, etc, which would otherwise be supported by the College.
- c. Graduate tuition - All gifts supporting graduate students are expected to pay for in-state graduate tuition, as is also the case with grant-funded graduate students. Money in excess of the in-state graduate tuition spent for out-of-state students can be used to offset College expenses.

It is understood that different types of gifts can differ significantly from each other. For instance, endowed faculty positions may often be expected to support a much larger share of faculty salary than other gifts. Other types of gifts are just for student support and allow no faculty salary. For this reason, the above is presented as a guideline establishing a normative operation within the College, with the expectation that adjustments may be made to deal with specific gift requirements.

There is no longer a distinction between gift and sponsored project proposals in terms of proposal development and routing procedures. All extra-mural proposals follow the procedures described in the main document. However, for gift proposals the PI should also keep the UVM Foundation informed throughout the proposal development and submittal process.