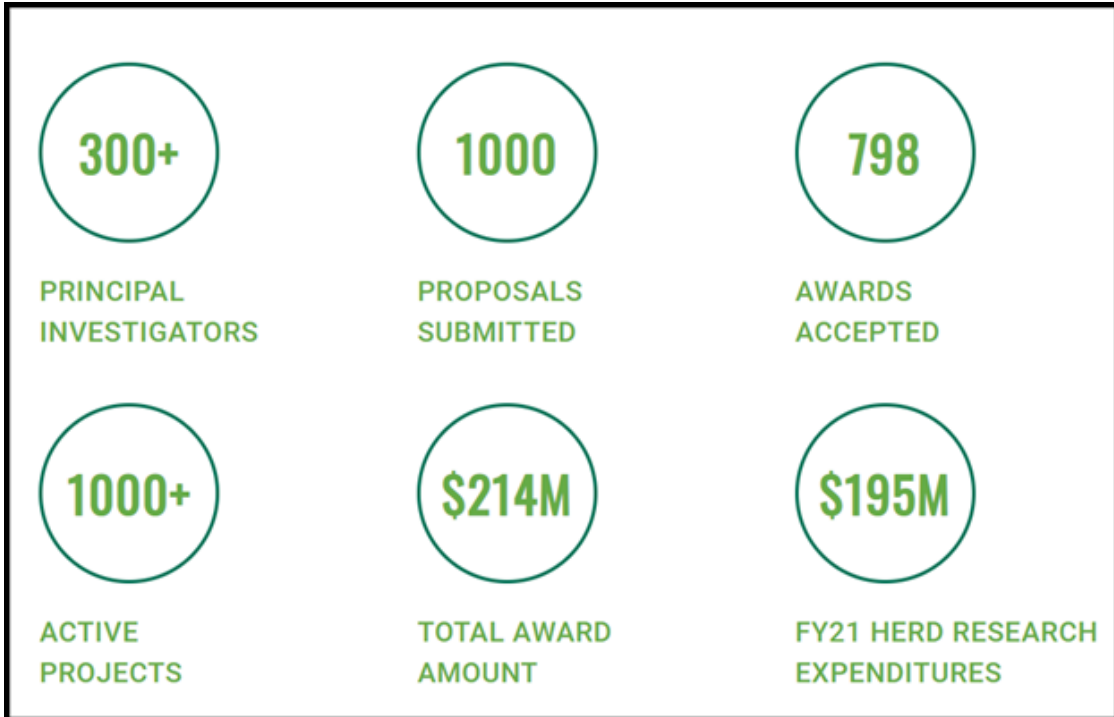


**Office of the Vice President for Research**

**Research Administration**

Our research administration business follows industry standards used by research institutions nationwide to ensure that proper stewardship of sponsored awards and regulatory compliance is maintained.

**FY22 Research by the Numbers**



**Research Compliance**

**Research triggers oversight, good stewardship and compliance.**

Human Subjects | Animal Research | Biosafety

Financial Conflict of Interest | Responsible Conduct of Research | Export Control Regulations

Research Misconduct | Data Management



Sponsored Project Administration | Allowable Costs | Effort Reporting

Lab Safety | Chemical Safety | Field & Travel Safety

Pathogens | Lasers | Radiation

## Research Administration

Research Administration is comprised of the following offices.

1. <a href="#">OFFICE OF THE EXECUTIVE DIRECTOR</a>
2. <a href="#">SPONSORED PROJECT ADMINISTRATION</a>
3. <a href="#">RESEARCH PROTECTIONS OFFICE</a>
4. <a href="#">RESEARCH COMPLIANCE &amp; INTEGRITY</a>
5. <a href="#">ELECTRONIC RESEARCH SYSTEMS</a>
 <a href="#">UVMCLICK</a>
 <a href="#">PI PORTAL</a>

### 1. Office of the Executive Director (ED)

Contact: [Brian.Prindle@uvm.edu](mailto:Brian.Prindle@uvm.edu) Executive Director

The Office of the Executive Director is committed to optimizing UVM's research administration business. The focus is on improving processes, electronic research systems, and delivery of outstanding support to our investigators, staff, students and sponsors.

The ED deploys its resources to ensure central office systems, procedures, and programs are in place to allow high-level stewardship of extramural support received through grants and contracts.

[Research Administration Organizational Chart](#)

### 2. Sponsored Project Administration (SPA)

Contact: [Lana.Metayer@uvm.edu](mailto:Lana.Metayer@uvm.edu) Director

SPA is a full-service research administration and compliance office committed to assisting faculty, staff, and sponsors navigate the lifecycle of a sponsored project. SPA is organized by functional area, which is consistent with a sponsored projects lifecycle.

- Proposal Preparation and Submission
- Award Acceptance and Set-up
- Outgoing Subaward Management
- Research Finance and Reporting
- Sponsored Revenue and Cash Management

## Proposal Preparation and Submission

Contact: [Julie.Macy@uvm.edu](mailto:Julie.Macy@uvm.edu) Assistant Director, Team Lead

Contact: [SPA Staff](#)

All new sponsored project proposals, resubmissions, competing renewals, supplemental proposals, and pre-proposals (hereafter referred to as, Proposal) must be submitted to SPA prior to submission to the sponsor, using our **UVMClick electronic workflow system**.

### **A typical proposal requires 4 levels of approval:**

1. Principal Investigator (certification)
2. Department (Chair or designee)
3. College (Dean or designee)
4. Sponsored Project Administration (Authorized Official)

### **Roles and Responsibilities**

#### **a) Principal Investigator (PI) and Department Research Administrator (DRA):**

- Responsible for all aspects of a proposal, including provision of a submission-ready proposal to SPA no later than 2-business days prior to sponsor's published deadline.

#### **b) Department Chair or Designee:**

- Reviews and approves proposals for consistency with departmental policies and procedures.

#### **c) College Dean or Designee:**

- Reviews and approves proposals for consistency with college policies and procedures.

#### **d) Sponsored Project Administration:**

- SPA Research Administrators are aligned by department and are available for consultation and guidance.
- Upon receipt of the **UVMClick - Funding Proposal**, SPA will review and coordinate needed adjustments, edits, corrections with the PI or DRA.
- Is the University Signing Official and submits proposals directly to sponsor using electronic submission systems where required.

## Award Acceptance

Contact: [Emily.Trantum@uvm.edu](mailto:Emily.Trantum@uvm.edu) Assistant Director, Team Lead

Contact: [SPA Staff](#)

SPA is the ONLY office authorized to accept grants, contracts, cooperative agreements, and other related agreements, made in support of research or other sponsored projects.

- Money Agreements (Sponsored Project Agreements, Grants, Contracts). Deliver to [spa@uvm.edu](mailto:spa@uvm.edu)

- No Money Agreements (Data Use Agreements, Non –Disclosure Agreements, Master Agreements). Deliver using **UVMClick – Agreements**.

## **Roles and Responsibilities**

### **a) Principal Investigator and Department Research Administrator**

- Participate in the negotiation and acceptance process, as needed.
- Review agreements and other documents as requested by SPA.
- PI must confirm acceptance of the award terms and conditions, prior to SPA acceptance.

### **b) Sponsored Project Administration**

- Negotiate a mutually acceptable award for all sponsored projects on behalf of UVM and PIs.
- Coordinate and communicate award acceptance process to all concerned parties.

#### **Award Negotiation:**

- SPA follows national organizations (NCURA, FDP, COGR, AUTM) recognized university standards when reviewing and accepting awards in support of sponsored projects.
- SPA will engage other UVM offices (e.g., General Counsel, UVM Innovations, College) on topics of concern and request support in the negotiation process.

#### **Accept Award, Release of Budget, PI Portal:**

- Upon completion of a mutually acceptable agreement SPA, on behalf of UVM, accepts the award, collects needed signatures, and completes the **UVMClick – Award** record.
- Budget is released into the PeopleSoft financial system where projects are established and spending on allowable costs occur.
- The **PI Portal** provides immediate access to real time web-based sponsored project expenditure reports.



## **Outgoing Subawards**

Contact: [Emily.Trantum@uvm.edu](mailto:Emily.Trantum@uvm.edu) Assistant Director, Team Lead

Contact: [SPA Staff](#)

This office prepares and generates all outgoing subawards.

### **At Time of Proposal**

- The Principal Investigator selects a subrecipient that will be included in a proposal.

### **At Time of Award**

- If a proposal is awarded and a subaward was included, SPA's outgoing Subaward Team is notified by the SPA Award Team.
- Upon approval of the UVM PI, the subaward is delivered by email to the subrecipient's SPA (or equivalent) for review and signature.

## Subrecipient Monitoring

- PIs do have the primary responsibility for overseeing performance of the work being conducted by the subrecipient.

## Subaward Payments

- With each invoice, SPA will provide the PI and Unit Administrator with the Subaward Invoice Payment Certification Form, which must be completed and returned.



## Research Finance and Reporting

Contact: [Linda.Serrantonio@uvm.edu](mailto:Linda.Serrantonio@uvm.edu) Assistant Director, Team Lead

Contact: [SPA Staff](#)

Our Financial Analyst are aligned by department and are available to assist with post award management of the awards, including preparation and submission of sponsor require fiscal reports.

- Allowable Costs & Charging Costs
- Use of Correct PeopleSoft Account Codes
- Financial Management
- Prior Approvals and Post Award Changes
- Close Out

## PI Portal ([Visual User Guide](#))

PIs and Department Research Administrators should use the **PI Portal** to review Sponsored Project Expenditure Reports on a regular basis.



## Sponsored Revenue and Cash Management

Contact: [Matthew.Beissel@uvm.edu](mailto:Matthew.Beissel@uvm.edu) Assistant Director, Team Lead

Contact: [SPA Staff](#)

This team is responsible for all billing, letter of credit drawdowns, accounts receivable, collections and accounting activities associated with sponsored projects.

- SPA collects over \$130M a year in sponsored payments.

## Other Responsibilities

- Manage the federal Letter of Credit (LOC) draws
- Receive and post payments to appropriate PeopleSoft receivables
- Research and correct payment related errors
- AR collections activities
- Sponsor refunds

### 3. Research Protections Office (RPO)

Contact: [Donna.Silver@uvm.edu](mailto:Donna.Silver@uvm.edu) Managing Director

Contact: [RPO Staff](#)

Contact: [Committee Chairs](#)

RPO facilitates the review and approval process for research activities involving human subjects, vertebrate animals, biohazardous materials, and recombinant DNA.

RPO plays a key role in supporting UVM and UVMCMC researchers in maintaining compliance with the vast and complex regulatory requirements, oversees external reviews and inspections by regulatory agencies, and investigates and manages the remediation requirements of any non-compliance.

RPO is the administrative and operational support team for the following University committees:

- IRB Committee on Human Research in the Medical Sciences
- IRB Committee on Human Research in the Behavioral and Social Sciences
- Institutional Animal Care and Use Committee
- Institutional Biosafety Committee

#### UVMClick

- All IRB, IACUC or Safety Protocols are created and submitted using **UVMClick**.

#### REQUIRED TRAINING THROUGH CITI

- **Humans Subject Training:** All faculty involved in the conduct of research with human subjects, regardless funding source, must complete the Human Subjects Training through CITI.
- **Animal Research:** All faculty involved in the conduct of research with vertebrate animals, regardless of funding source, must complete the following Training thru CITI.
  - IACUC - Lab Animals
  - General Lab Animal Training
  - Animal-Specific Courses
- **Biosafety Training:** Active PIs and key personnel as listed on an IBC registration will be required to complete the CITI Program Training.
  - Depending on the level of containment, you will need to complete either the BSL-1 or BSL-2 Basic Course. The BSL-2 Basic Course meets all requirements.
  - AND other CITI course(s) as applicable:
    - OSHA Bloodborne Pathogens
    - Animal Biosafety
    - Select Agents/DURC
    - Nanotechnology

## LCOM Human Subject Training Requirement

- All principal investigators or key personnel working on a clinical trial involving human subjects and all personnel affiliated with the UVM Larner College of Medicine will need to complete the [Good Clinical Practice Training](#). Every three years, all personnel still listed on an active protocol are required to retake the training.

## 4. Research Compliance & Integrity (RCI)

Contact: [Victoria.Jones.1@uvm.edu](mailto:Victoria.Jones.1@uvm.edu) Research Compliance Officer

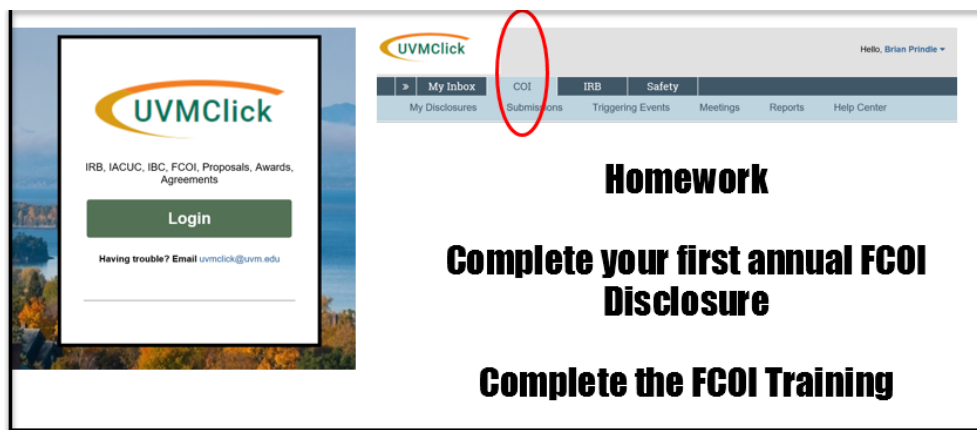
Research Compliance & Integrity provides management and training programs in support of our investigators, students and staff in the following areas:

- Financial Conflicts of Interest (FCOI) in Sponsored Projects
- Export Controls
- Responsible Conduct of Research (RCR)

RCI oversees our electronic RCR Training program, required by the National Science Foundation and by National Institute for Food and Agriculture.

In addition, RCI is responsible for reviewing high-risk sponsored projects for export control concerns and where needed, generating a Technology Control Plan to ensure compliance with these complicated federal laws and regulations.

Homework: Make your first annual UVMClick – FCOI disclosure.



The image shows a screenshot of the UVMClick website. On the left, there is a login box with the UVMClick logo and a 'Login' button. The main content area has a navigation menu with 'COI' highlighted by a red circle. Below the menu, the text reads: 'Homework Complete your first annual FCOI Disclosure Complete the FCOI Training'.

## Research Misconduct

Matters involving allegations of research misconduct will be handled according to the UVM policies outlined in [Misconduct in Research \(PDF\)](#).

View, print, reproduce and post in your lab our [Responsible Conduct of Research poster \(PDF\)](#).

## 5. Electronic Research Systems (eRS)

Contact: [Lynn.Tracy@uvm.edu](mailto:Lynn.Tracy@uvm.edu) Team Lead & UVMClick Project Manager



UVMClick is where UVM researchers and administrators will manage the lifecycle of IRB Protocols, IACUC Protocols, IBC Registrations, Conflict of Interest Disclosures, Proposal Submissions, Awards and Agreements.

- All system questions can be sent to [UVMClick@uvm.edu](mailto:UVMClick@uvm.edu).
- User Guide and Training Sessions for all modules are available at [UVMClick](#).