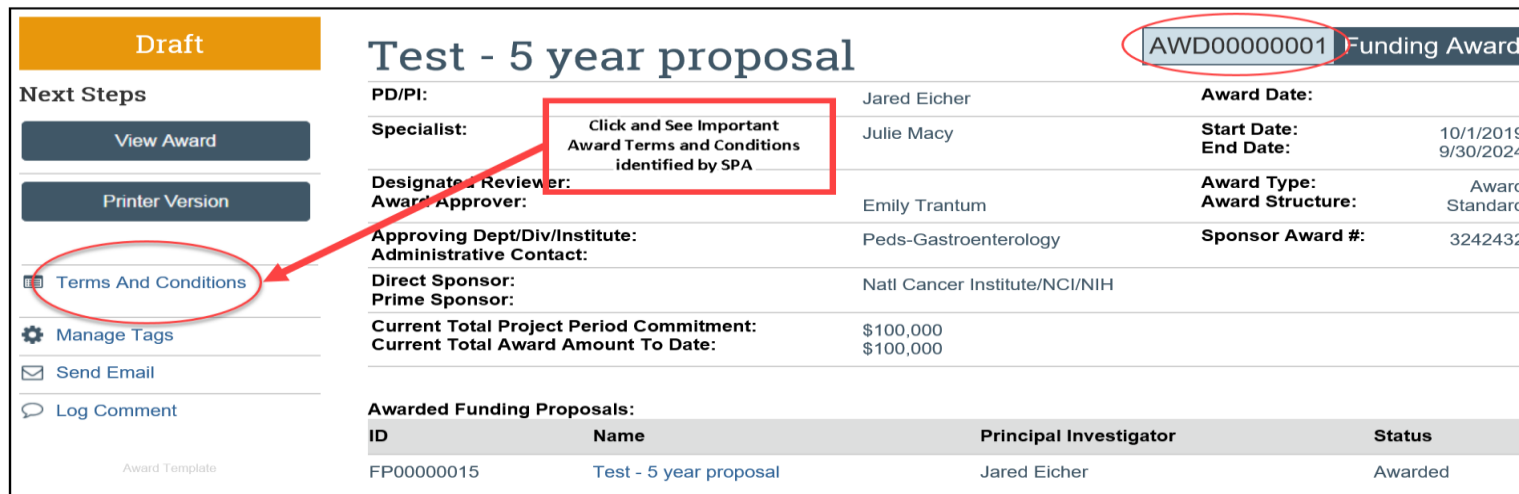


Award Terms and Conditions

To assist with Award management, SPA will identify for each UVMClick - Award many of the sponsor's terms and conditions. The list will not be all inclusive and the award document should always be the primary source for detailed information.

Where to Find UVMClick – Award Terms and Conditions



The screenshot shows the UVMClick interface for a draft award titled "Test - 5 year proposal". The award ID is AWD00000001. The interface includes a "Next Steps" sidebar with options like "View Award", "Printer Version", "Terms And Conditions", "Manage Tags", "Send Email", and "Log Comment". A red box highlights the "Terms And Conditions" link, with a red arrow pointing to a callout box that says "Click and See Important Award Terms and Conditions identified by SPA". The main content area displays award details such as PD/PI (Jared Eicher), Specialist (Julie Macy), and various dates. A table at the bottom lists "Awarded Funding Proposals" with columns for ID, Name, Principal Investigator, and Status.

ID	Name	Principal Investigator	Status
FP00000015	Test - 5 year proposal	Jared Eicher	Awarded

Below are the most common sponsor conditions you may see associated with your award with additional information, as noted.



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
Carryover of Unexpected Balances - Automatic	<p>Carryover allows for unexpended funds to be rolled over from one budget period to another. The Sponsor allows this rollover without prior approval.</p> <p>All funds awarded are accounted for within the same project.</p>	No action required by SPA.	No action needed.
Carryover of Unexpected Balances - Requires Sponsor Prior Approval	<p>Carryover of unexpended funds from one budget period to another requires prior approval from the Sponsor. Some NIH awards (P30, P50, P60, U, T, SBIR and STTR Phase I) are not granted automatic carryforward.</p> <p>Most often each budget year must be separately accounted for by establishing a new project each year.</p>	SPA will work with the PI in requesting sponsor approval.	<p>At the end of each budget period, PI Portal can be used to determine the unobligated balance. When making the request carryover consult your assigned SPA FA to confirm the unobligated balance.</p> <p>The PI or the Unit prepares a formal letter or for NIH use eCommons requesting carryover approval signed by the PI and countersigned by SPA.</p> <p>See Carryover of Unobligated Balances</p>



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<p>NASA China Entity Restriction</p>	<p>NASA is prohibited from funding any activity to <i>“develop, design, plan, promulgate, implement, or execute a bilateral policy, program, order, or contract of any kind to participate, collaborate, or coordinate, bilaterally in any way with China or any Chinese-owned company unless such activities are specifically authorized [by law.]”</i></p> <p>This applies to Chinese Universities and visiting students associated with a Chinese University.</p> <p>Individuals are subject to the restriction if they are affiliated with institutions of China or Chinese-owned companies incorporated under the laws of China.</p> <p>Thus, a team member who is a Chinese citizen may work on a NASA project, but an individual affiliated with an institution of the Chinese state will be subject to the statutory restriction.</p>	<p>SPA is to obtain the PI’s understanding of this clause and confirmation prior to SPA signing the China compliance certification</p>	<p>PI and Unit should verify the status of all project team members.</p>
<p>Clinicaltrials.gov reporting required</p>	<p>Registration and reporting of results to clinicaltrials.gov is mandatory for all applicable clinical trials which generally include interventional studies</p>	<p>No action required by SPA.</p>	<p>PI and Unit will be responsible for registering and reporting all results to clinicaltrials.gov.</p> <p>See: ClinicalTrials.gov</p>



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
Direct Cost Justification Form Required	All federally funded awards, including flow thru do not allow normally indirect costs items (i.e.: office supplies, postage, memberships) to be charged directly unless circumstances exist and can be justified that the cost item is needed to advance the performance of the project being funded.	SPA FAs currently review all requests for appropriateness. Only on funded projects.	PI and Unit must request approval to allow a normally indirect cost item be charged as a direct cost using the Direct Cost Justification Form if not included as a budget line item.S
Employee Restriction	Awards can carry hiring restrictions. This can include the hiring of foreign nationals.	SPA will relay this term to Research Compliance for an Export Review if needed.	PI and Unit team should ensure that this will not affect the ability of any graduate students to complete their research.
Employee Screening - All employees must undergo restricted party screening	Restricted party screening is conducted to ensure that an individual is not associated with any groups of international concern.	SPA will relay this term to the PI and the SPA Research Compliance Officer who will perform the screening.	PI will work with RCO to identify all individuals working on the project and DRC will conducts the Restricted Party Screening.
Employee Screening - E-verify requirements apply	The contract requires all employees paid to be verified in e-verify.	SPA will notify PI of this requirement.	PI and Unit team will work with their local HR representatives to identify any individual who may need an e-verify conducted. See E-Verify



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Equipment - Title Vests with UVM.	As long as UVM meets the requirements for use, management and disposition in 2 CFR 200.313, equipment purchased using award funds is titled to UVM without further obligations to the sponsor. (This applies to all federal grants and contracts)	No action required by SPA.	Unit will be responsible for working with UVM Asset Management to ensure all Equipment is properly accounted for in UVM's Inventory system.
Equipment - Sponsor or Government Furnished Equipment	UVM receives equipment from the sponsor for the project and it must be returned at the end of the award.	SPA will communicate this term to the PI.	Unit will be responsible for working with UVM Asset Management to ensure all Equipment is properly accounted for in UVM's Inventory system.
Equipment – Title vests with Sponsor	This term indicates that sponsor owns title to all equipment purchased with award funds. The equipment will be disposed of per the Sponsor's wishes at the end of the award.	SPA will communicate this term to the PI.	Unit will be responsible for working with UVM Asset Management to ensure all Equipment is properly accounted for in UVM's Inventory system.
Expenditure Restriction - Equipment unallowable	No Equipment may purchase using award funds.	No action required by SPA.	PI and Unit will be responsible for complying with restrictions.
Expenditure Restriction - Equipment	Sponsor has placed specific restriction on the purchase of equipment.	SPA will ensure that the budgets entered in UVMClick complies with this restriction.	PI and Unit will be responsible for complying with restrictions.
Expenditure Restrictions - Fringe Benefits	Sponsor has specific restrictions on the charging of fringe benefits.	SPA will ensure that the budgets entered in UVMClick complies with this restriction.	PI and Unit will work to identify a funding source for the fringe benefits that are being cost shared.



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
Expenditure Restrictions – Salary Caps	Sponsor has specific restrictions on the charging of PI salary.	SPA will ensure that the budgets entered in UVMClick complies with this restriction.	PI and Unit will work to identify a funding source for the PI effort.
Expenditure Restrictions – Domestic Travel	Sponsor has specific restrictions on the charging of domestic travel expenses.	SPA will ensure that the budgets entered in UVMClick complies with this restriction.	PI and Unit will be responsible for complying with restrictions.
Expenditure Restrictions - Foreign Travel	Sponsor has specific restrictions on the charging of foreign travel expenses.	SPA will ensure that the budgets entered in UVMClick complies with this restriction.	PI and Unit will be responsible for complying with restrictions.
Expenditure Restrictions - Tuition unallowable	Sponsor does not allow awarded funds to be used to pay for tuition remission.	SPA will ensure that the budgets entered in UVMClick complies with this restriction.	PI and Unit will work to identify a funding source for any applicable tuition for the graduate student.
Expenditure Restriction – Business Meals	Sponsor does not allow awarded funds to be used to pay for business meals, this is different than allowable sponsored provisions and travel meals.	SPA will ensure that the budgets entered in UVMClick complies with this restriction.	PI and Unit will be responsible for complying with restrictions. See Food Charged to Sponsored Projects
Export Controlled Project – Technology Control Plan	Either the technology being researched during this award or that a piece of technology being used during the course of the research has been deemed to be export controlled by Research Compliance.	SPA will ensure a TCP Plan is in Place Prior releasing funds into PeopleSoft.	PI and Unit will ensure that the TPC is followed. PI and Unit will follow up with DRC as needed. See DRC Export Control webpage .



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
Significant Financial Conflict of Interest	One or more key persons on the project has a financial conflict of interest and the Division of Research Compliance has implemented an approved Conflict Management Plan.	SPA will ensure a FCOI Management Plan is in Place Prior releasing funds into PeopleSoft.	The impacted Key Personnel will follow the Monitoring Plan.
Intellectual Property-Standard (UVM Owns)	Follows Bayh-Dole act, codified at 37 CFR Part 401 and allows UVM to retain ownership of any inventions developed under the agreement. If federal, the government retains a non-exclusive right to use such inventions for government purpose.	No action required by SPA.	PI's must disclose any discoveries to UVM Innovations for management decisions on whether to pursue a patent or not.
Intellectual Property-non-Standard Terms	The UVM/PI has accepted lesser rights than the standard.	SPA coordinates acceptance with UVM Innovations as needed.	Prior to acceptance of term as part of the agreement, PI and Project Team ensure that this term will not affect the thesis or dissertation of any graduate student.
Interest must be tracked and/or reported	Interest earned on any advance payment from sponsor must be accounted for and reported back to the sponsor or added to the project budget. There is no interest earned on cost reimbursement awards.	SPA FAs will work the PI and Units to ensure that the activity is taking place.	PI and Unit will work with SPA FA to ensure that the activity is taking place.



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
IT Security Required	Sponsor has identified specific IT security controls for the project.	SPA will consult with PI to obtain concurrence with a plan.	PI and Project team will need to work with SPA, ETS and other IT offices to ensure a security plan is in place and is followed.
Master Agreement in Place	A master agreement exists for this award and should be reviewed for a complete review of terms and conditions applicable to the project.	SPA will ensure that the current award applies to the indicated Master Agreement and link the Award in UVMClick to the related Master Agreement.	No significant action required.
Materials must be returned at end of Award	Sponsor has provided materials for the completion of the project that must be returned to the Sponsor at the end of the award.	No significant action for SPA.	PI and Project team will return applicable materials at end of award.
No Cost Extension - First time extension may be approved by UVM	UVM may authorize a one time no cost extension for up to 12-months without sponsor approval.	Upon approving the NCE, SPA must provide written notification to the Sponsor. This notification must be received by the agency at least (10) ten days prior to the original expiration date of the award.	PIs should submit to SPA no later than 30-days prior to the grant's current expiration date the request for a NCE. See NCE Procedures
No Cost Extension - Requires Sponsor Prior Approval	UVM may not authorize any no cost extension without sponsor approval.	SPA will review NCE requests going to the sponsor to ensure accuracy and reasonableness.	PIs should submit to SPA no later than 30-days prior to the grant's current expiration date. The NCE request should be addressed to the sponsor for AOR signature and forwarding to the sponsor.



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
			See NCE Procedures
Pre-award Costs – Requires Sponsor Prior Approval	UVM may not authorize any expenses to be charged to the award before the award start date without sponsor prior approval.	Any request to spend prior to the award date should be submitted to SPA who will review for accuracy and reasonableness.	PI should submit a request for pre-award costs to SPA for signature and forwarding to the sponsor.
Pre-award costs up to 90 days may be approved by UVM	Sponsor has authorized UVM to place charges up to 90 days prior to the award start date without seeking any prior approval. Is allowable under Research Terms and Conditions (RTCs).	SPA will communicate any need for pre-award costs to the Award set-up team.	PI will communicate to SPA if they wish to invoke their pre-award spending abilities
Program Income – Additive Method	Program Income is gross income earned by UVM that is directly generated by a supported activity or earned as a result of the award during the period of performance. Additive method allows UVM to retain the program income and add it to the existing budget (the budget increases.)	SPA FAs will work with the PI and Unit Administrators.	PI and Project team will work with Unit and SPA FA to report any program income and increase the project spending authority.
Program Income – Deductive Method	Program Income is gross income earned by UVM that is directly generated by a supported activity or earned as a result of the award during the period of performance. Deductive method means that the sponsor funding will be substituted	SPA FAs will work with the PI and Unit Administrators.	PI and Project team will work with Unit and the SPA FAs to report any program income and communicate any budget reductions back to SPA.



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
	by the program income and the project budget does not increase.		
Publication – Sponsor Prior Approval Required	Sponsor requires approval before any research results can be published. This goes against our University’s mission and policy to share and disseminate information generated under awards	SPA will attempt to negotiate out all publication restrictions. However, if negotiations fail, the SPA will communicate with the PI and then escalate to the Director of Sponsored Programs for final approval.	PI and Project team should ensure that graduate students in their labs will not be adversely impacted by accepting this project term and the sponsor denies the requested publication.
Publication – Sponsor Review and Comment Period XXX days	Sponsor would like to provide input before formal publication of any research results and the publication or presentation must be submitted to sponsor prior to public release.	SPA will attempt to negotiate a comment period of no more than 30 days.	PI and Project team should ensure that graduate students in their labs will not be adversely impacted by accepting this project term timeline
Publication – Acknowledgment of Sponsor Support and/or Disclaimer Required	Sponsor requires acknowledgment that they provided the financial support that led to the publication. The disclaimer indicates that any opinions findings or conclusions expressed in the publication do not necessarily reflect the views of the sponsor.	No action required by SPA.	PI will be responsible for complying with condition.
Publicity – Use of Sponsor Name Requires Prior Approval	Sponsor requires they be notified of any potential press release which mentions their involvement with the award	No significant action required.	PI and Project Team will work with the UVM public relations office to obtain sponsor approval before issuing any press releases related to the project.



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Re-budgeting – Allowed up to a certain % (10%, 25%) of the total budget	Expenses may be charged outside of the original awarded budget categories up to the % of the total award. This term is present in the Research Terms and Conditions (RTCs).	When rebudgeting exceeds the threshold, SPA FA will work with the PI in requesting sponsor approval.	A request to rebudget should be sent through UVMClick as a financial modification.
Records Retention Requirement – Over 3 Years	UVM’s record retention for sponsored programs is the same as the standard for federal awards, which is all records, must be retained for a period of three years from the date of submission of the final expenditure report. If this term is selected the sponsor requires records retention beyond our standard.	No action required by SPA.	PI, Project Team, and Unit will comply with retention term.
Research Terms and Conditions (RTC) – Apply	Research Terms and Conditions are a standard core of negotiated award terms that have been worked out between research entities and federal agencies. For example, these terms allow UVM to grant the first NCE.	No action required by SPA.	PI, Project Team should become familiar with the RTCs.
RTC Prior Approval Matrix - View all required and waived prior approvals, see SPA Manage Award website	Research Terms and Conditions allowed several federal agencies to waive many prior approvals. The RTC Matrix is a quick reference guide to all required and waived prior approvals.	No action required by SPA.	PI, Project Team should become familiar with the RTC Prior Approval matrix. See Prior Approval Matrix



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UVMClick - Award Term and Condition	Background	SPA Action when this Term is Present	PI and Unit Action when the Term is Present
Small Business Subcontracting Plan in Place	FAR clause requiring “Any contractor receiving a contract for more than the simplified acquisition threshold must agree in the contract that small business, veteran-owned small business, service-disabled veteran-owned small business, HUBZone small business, small disadvantaged business, and women-owned small business concerns will have the maximum practicable opportunity to participate in contract performance consistent with its efficient performance.”	SPA will refer PI to UVM Purchasing Office to find vendors that can be used to assist in the plan.	PI and Project Team will work with the UVM Purchasing Office to prepare the Small Business Subcontracting Plan. The PI and team are required to follow the plan with purchases throughout the award.
Subaward - Requires Sponsor Prior Approval – Even if Budgeted and Awarded	Even if a subaward is included in the awarded budget, Sponsor requires prior approval before UVM is allowed to execute the subaward.	If subaward identified after issuance of the award, the SPA outgoing Subaward Team will work with the PI to obtain the appropriate approvals prior to issuing the subawards.	PI and Unit Team will provide SPA’s outgoing Subaward Team with all required documentation and information in order to obtain approval for subawards from sponsor. See SPA’s Outgoing Subaward webpage
Subaward – Requires Sponsor approval when not included in awarded budget		The SPA RA will work with the PI to obtain the appropriate approvals from the sponsor prior to issue the subawards.	PI and Unit Team will provide SPA RA and outgoing Subaward Team with all required documentation and information in order to obtain approval for subawards from sponsor.