

**SPA Seminar:
Award Acceptance for
Sponsored Agreements &
Establishment of
Advance Accounts**

Presented by
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The University of Vermont

SPA EDU Offerings

Course Name	PS Course	Facilitators	Scheduled Dates
SPA Seminar: Introduction to Sponsored Project Administration	POL012	Sonya Stern, Julie Macy, Emily Trantum, Linda Serrantonio and Lana Metayer	09/19/18 and 01/10/19
SPA Seminar: Essential Regulatory Compliance in Sponsored Project Administration	POL018	Marcy Whittle and Sonya Stern	09/27/18
SPA Seminar: PeopleSoft Tools and Best Practices for Financial Management of Sponsored Projects	CPT075	Linda Serrantonio and Lana Metayer	10/10/2018 and 04/17/2019
SPA Seminar: Preparation, Review and Submission of Sponsored Project Proposals	POL019	Julie Macy	10/23/2018
SPA Seminar: Award Acceptance for Sponsored Agreements. Establishment of Advance Accounts.	POL020	Emily Trantum	11/13/2018
SPA Seminar: Outgoing Subawards	POL010	Molly Epstein and Linda Serrantonio	12/11/2018
SPA Seminar: Cost Transfers on Sponsored Projects	POL021	Linda Serrantonio and Dawn Caffrey	02/13/2019
SPA Seminar: Cost Sharing on Sponsored Projects	POL022	Julie Macy and Linda Serrantonio	03/19/2019
SPA Seminar: Carrying Forward of Funds From One Year to Another and No Cost Extensions on Sponsored Projects	POL023	Linda Serrantonio and Julie Macy	04/10/2019
SPA Seminar: Sponsored Project Financial Reporting and Closeout	POL024	Linda Serrantonio	05/09/2019
The History of IRB, IACUC and IBC Intuitional Review Boards	POL025	Melanie Rocher	02/14/2019
Export Control Regulation in the Context of Sponsored Research	POL029	Victoria Jones	04/25/2019
Financial Conflict of Interest on Sponsored Research	POL028	Victoria Jones	02/28/2019



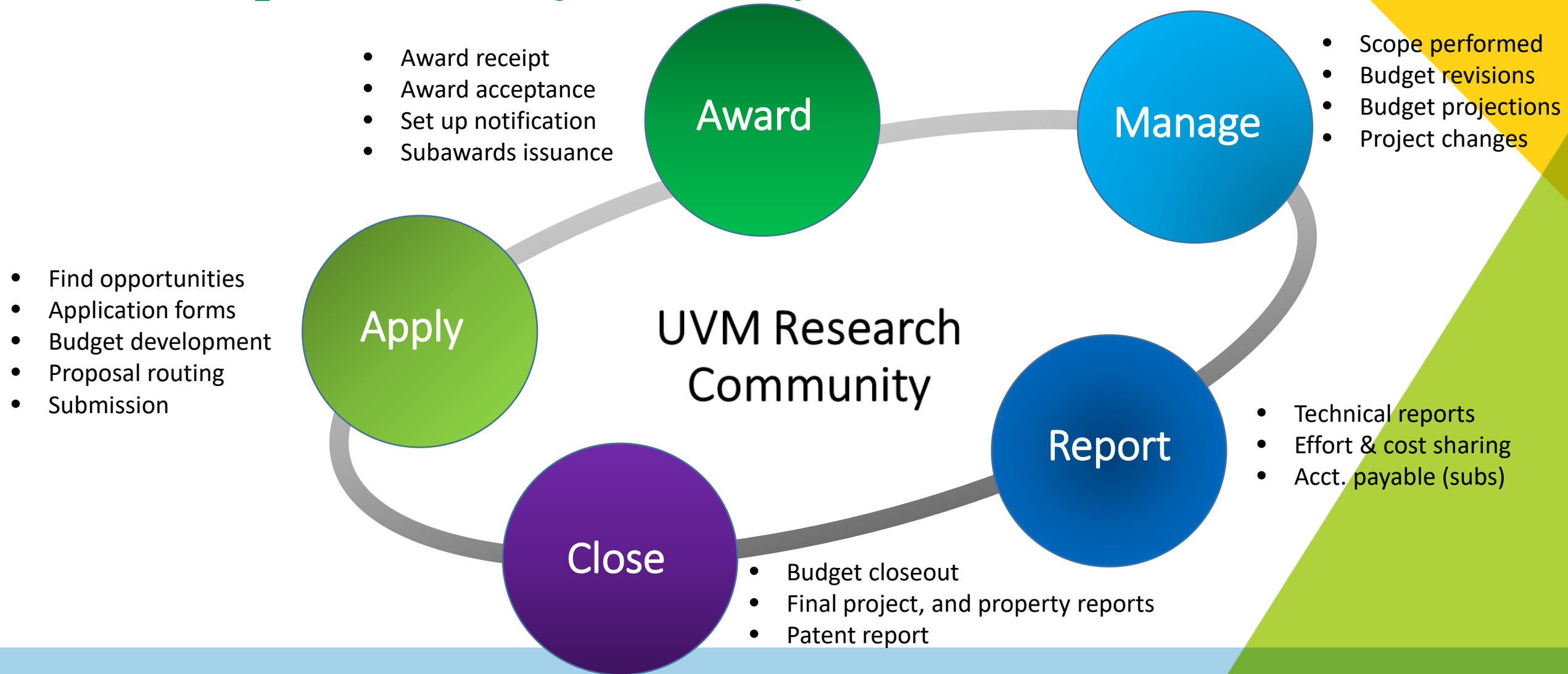
Agenda

- Welcome and introductions
- Purpose of the presentation
- Key components of an award
- Award Acceptance at UVM
- Advance Accounts at UVM
- New award considerations

Purpose of the Presentation

- Understanding Sponsored Project Award Acceptance and Advance Accounts at UVM
 - Learn key components of award review
 - Understand what happens during Award Acceptance process
 - Know how and when to request an Advance Account
 - Learn roles and responsibilities for these processes

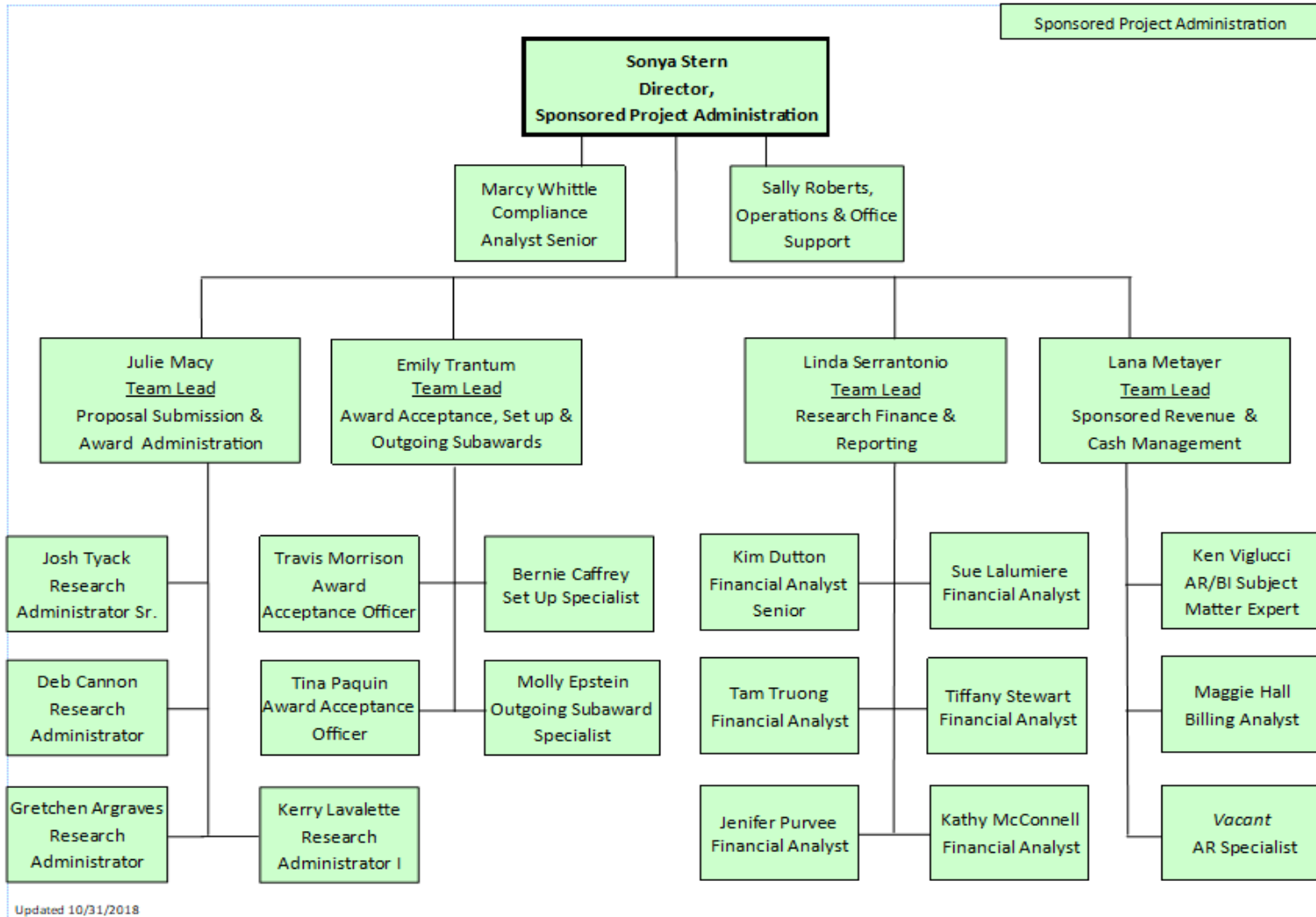
UVM Sponsored Project Life Cycle



UVM Research Community

- **300+** Active Principal Investigators (PIs)
- **100+** Departments with Sponsored Projects from **300+** Sponsors
- **\$130M+** annual volume of awards on **700+/-** award actions
- **300+** subawards issued annually
- Office of Vice President for Research
- Many supporting departments

UVM Sponsored Project Administration Organization



Updated 10/31/2018



Sponsored Activities Fundamentals at UVM

- Sponsored Project Administration under the Office of the Vice President for Research is the only UVM office authorized to accept awards, typically grants, contracts, cooperative agreements, made in support sponsored activities on behalf of the University of Vermont.
- In addition, any document or agreement related to sponsored activities requiring an authorized official signature, including no money collaboration agreements, must be submitted to Sponsored Project Administration for review, approval, and signature.
- Signing officials for the purpose of award acceptance and issuance of outgoing subawards at UVM are:
 - Emily Trantum
 - Sonya Stern
 - Brian Prindle

Key Components of an Award

Awards/Agreements

- Sponsored Project agreements, at a minimum outline:
 - Detailed Scope of Work
 - Defined period of performance
 - Required deliverables
 - Payment provisions, reporting, and management

Unilateral vs. Bilateral

- Unilateral agreements
 - One party signs – the sponsor
 - Critical review still needs to occur - may be negotiated
 - Once spending occurs, the terms are “accepted”

Unilateral vs. Bilateral

- Bilateral agreements
 - Two parties sign
 - Often negotiated at least one round
- Master Agreements and Task Orders

Funding Source

- Needs to be clearly identified and referenced
 - Sponsor
 - Federal Award Number
 - Total amount by Award Number (if multiple)
 - CFDA
- Dictates how the funding is managed and reporting requirements
 - Comingling of funds (if multiple sources)
 - Reporting requirement
 - SEFA
 - Audit

Scope of Work

- Scope should be clearly written and distinguish the project from others
- Scope should address:
 - Nature of the work
 - **Who** will perform the work
 - **When** and **where** the work will be performed
 - **How** the work will be performed
 - Specific aims, milestones, and deliverables

Scope of Work and Award Administration

- Reasonableness – the cost is appropriate for completion of the proposed work to an objective individual
- Allocability– the cost has been incurred solely to support the work outlined in award
- Necessity – the cost is needed to complete the work
- Payments may be based on milestones and deliverables or reimburse costs incurred

Effective Date vs. Performance Period

- Effective Date – date in which the award is to take effect
 - may be past, present, or future
 - can be before the project start date
- Example:
 - Effective Date: 08/14/2018
 - Project Start Date: 10/01/2018
 - Current/signature Date: 12/1/2018

Effective Date vs. Performance Period

- Term – the date in which the contract is no longer valid
- Period of Performance/Project Periods – defined period of time in which the grantee or contractor is expected to complete the Scope of Work, incur costs, and record them in financial system

Effective Date and Award Administration

- Has work already occurred on the project?
- Were supplies or other start up charges incurred?
- Is there an Advanced Account with charges?

Critical Review of the Budget

- Was the budget awarded as proposed?
- Is there a reasonable explanation of why it changed?
 - Changes in Effort
 - Key (or other) Personnel Changes
 - Changes in Scope of Work
 - Sponsor reduced or increased the funded amount

Budget

- Final negotiated/awarded budget should be incorporated into agreement*
- Total funded amount should be stated in agreement
- Revised budget worksheet has to tie in total to the final award

*may not include a detailed budget in fixed price agreements

Budget and Payment Terms

- Agreement should *clearly state* whether payment terms are cost-reimbursable or fixed price
- Cost-Reimbursable
 - Detailed budget by cost category is typically incorporated in agreement
 - Payment is based on costs incurred not completion of deliverables/milestones

Budget and Payment Terms

- Fixed Price
 - Payment schedule based on completion of deliverable/milestone or by date (could also be in the form of advance fixed payment)
 - Detailed budget generally should not be incorporated into agreement
 - Language in agreement should explicitly address residual funds for clarification
 - Can be risky to the institution

Cost Share

- Committed/Voluntary vs. Mandatory
 - Fixed dollar amount
 - Match of funds (1:1)
 - Percentage of funded amount
 - Effort (Ex: 20% of PI effort)
 - Third Party
- Identify the funding source - cost share char tstring

Payment Terms/Invoices

- Are the payment terms appropriate for the funding source?
- Can the payment terms be accommodated by Unit Administrator and SPA
 - Back-up documentation?
 - Detailed labor information?
 - When are invoices due?
 - Where are invoices submitted?
 - When must they be paid?
 - Are there formatting requirements included?

Reporting Requirements

- How often?
- How much detail?
- Are they reasonable?
- Is there a schedule of deliverables or based on milestones?
- Are they tied to payment? Do the dates/milestones align?

Notices Section

- Is there a clear contact for:
 - Scientific/Technical Matters
 - Administrative/Contractual Matters
 - Financial/Post-Award Matters

- FDP awards typically address this on Attachment 3B

Inventions and Publications

- If there is possibility for an invention or proprietary information/product, include:
 - Language for Institution Acknowledgment
 - Key Personnel or others on Project
 - Who will receive payments?
 - Who will pay for patent applications?

Prime Agreement and Exhibits

- If flow through award, prime agreement needs to be included
 - Additional obligations from prime sponsor

- Exhibits
 - Budget
 - Payments Schedule
 - Scope of Work
 - Invoicing Template

Award Acceptance at UVM Process Overview

Individual Roles & Responsibilities in Award Acceptance

Principal Investigator and Unit Administrator

- Participate in the negotiation and acceptance process, as needed
- Review agreements and other documents as requested by SPA, to ensure acceptance and communicate any need for changes
- Provide and prepare information as needed and requested by sponsor or SPA

Sponsored Project Administration

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

Award Acceptance Process Overview

- After proposal is funded by sponsor, Award document must be received by SPA
 - spa@uvm.edu
- SPA enters award into Award Log and assigns award for review
- All awards must have an approved InfoEd proposal on file to begin award acceptance process

Award Acceptance Process Overview Continued

- Assigned Award Acceptance Officer sends initial notification to PI and Unit Administrator
- PI is asked to review and confirm agreement with the following:
 - Scope of Work (if different than proposed)
 - Award amount
 - Period of Performance
 - Technical Reporting Requirements

Award Acceptance Process Overview Continued

- Award Review occurs concurrently at SPA, while the PI and Unit Administrator review agreement
- Compliance concerns are reviewed and outstanding items are communicated to PI (IRB, IACUC, FCOI, Export Control)

Award Acceptance Process Continued

- **Common areas of negotiation:**

- Publication Rights
- Arbitration
- Intellectual Property
- Termination Conditions
- Data Ownership and Use
- Reporting Requirements
- Confidentiality
- Billing Frequency
- Warranty and Guarantee
- Pricing Conditions
- Indemnification
- Governing Law

Award Acceptance Process Continued

- SPA engages other UVM offices as necessary in the negotiation process
 - UVM Innovations – Negotiation of industry sponsored agreements
 - Risk Management
- Upon completion of a mutually acceptable agreement with the sponsor and with PI concurrence, SPA collects signatures and accepts award

Award Acceptance Process Continued

- Detailed information is collected, organized, and entered into a checklist by Award Acceptance Officer to facilitate entry into UVM's financial system, PeopleSoft
- Checklist is passed to Setup Specialist for entry into PeopleSoft and InfoEd
- When this set-up process is complete, funds are available for use and the project budget is released to the department

Award Acceptance Process Continued

- SPA will notify Principal Investigators and Unit Administrator with system generated emails when the award set up process is complete in both InfoEd and PeopleSoft and all chartstrings have been created
- There will be three types of notifications - New Award, Advance Account and Award Modification

Where is my award?

- Check weekly Awards in Process report – sent every Friday to designated recipients (typically Assistant Dean) of each college with awards in process
 - Acceptance Status:
 - Received
 - Under Review
 - PI Action Needed
 - In Negotiation
 - Partially Executed
 - Fully Executed
 - Award Acceptance Complete
 - Proposal Development
 - IP Negotiation w/UVM Innovations
- Looking for a status update? Contact Award Acceptance Officer listed in initial award notification.

Advance Accounts at UVM



Individual Roles & Responsibilities for Advance Account Establishment

Principal Investigator and Unit Administrator

- Ensure proposal or award has completed the approval internal route prior to submitting an AA request
- Initiate request by submitting Advance Account Request Form
- Provides all supporting documentation, including written confirmation from a sponsor of the forthcoming award

Sponsored Project Administration

- Confirms request is complete
- Approves and establishes the Advance Account in PeopleSoft
- Notifies department upon completion of the process
- Notifies Department in cases where advance account will not be established

Why Establish Advance Accounts?

In cases where the award has not been received, but the PI has received notice that an award is forthcoming, establishing an advance account can accomplish the following:

- Principal Investigators can begin work
- Project chart string can be established prior to award acceptance and will remain the same after the award arrives
- Expenses are charged to the appropriate chart string initially, resulting in fewer cost transfers and less use of departmental suspense.
- Facilitates timely fiscal oversight for the Principal Investigator and Unit Administrator.

Establishing an Advance Account

- The Principal Investigator or Unit Administrator can initiate an Advance Account by completing and emailing the Advance Account Request Form to spa@uvm.edu.
- It is important to note that the college, school, or administrative unit where the project resides assumes the financial risk if UVM does not receive or accept the award, or if the terms and conditions of the award subsequently deem certain expenditures unallowable.

Principal Investigator / Unit Administrator Steps

Submit the Advance Account request to SPA by emailing spa@uvm.edu, along with all required documentation:

- Ensure internal route is completed prior to submission of AA request
- Complete the Advance Account Request Form with all required chart strings, signatures (PI, Department Chair, and Dean, if needed) and SPA budget worksheet with the requested budget
- Provide written confirmation from the sponsor that the award is forthcoming (e.g., an award document, or an email from the sponsor confirming the award and the anticipated start date)
- Submit all materials by emailing to spa@uvm.edu with the subject line “Advance Account Request”

Sponsored Project Administration Steps

When SPA receives a completed Advance Account Request Form and documentation, it will be added to the Award Log and given to the Award Team Lead for distribution and processing

- The assigned AAO will send an email acknowledging receipt of the request
- The AAO will review the completed form and clarify any questions they may have
- AAO will process to SPA Setup Team
- Following the checklist, the Setup Specialist enters the award into PeopleSoft
- When the setup is complete, the Setup Specialist notifies the PI and critical department personnel that they can begin spending
- While in process the advance account appears on the weekly Awards in Process Report
- In cases where advance account will not be established, AAO will notify the department

Advance Account Form Tips

- Complete all fields in form
- Include sponsor documentation that indicates an award is forthcoming
- Attach SPA budget worksheet with your requested Advance Account budget.

Sponsored Project Administration Advance Account Request Form

Please complete all fields of this form then email the completed form to spa@uvm.edu with "Advance Account Request" in the subject line.
Please also include documentation from the sponsor (if any) that indicates an award is forthcoming.

Project Information			
Principal Investigator:		InfoEd Number:	
Department:		Department Contact:	
Anticipated Award Start Date:		Anticipated Award End Date:	
Sponsor:		Prime Sponsor:	
Project Title:			

Advance Account Form Tips Continued

SETUP REQUEST - Time and Funding *All direct costs incurred are at the risk of the department until the award is accepted.*

What are you requesting? (Check all that apply) (Federal grants only) **Pre-award costs are not to exceed 90 calendar days prior to the award start date and must be necessary for efficient and timely performance of the scope of work.

Advance Time Advance Funding Pre-Award Spending**

Duration of Advance: 3 Months 6 Months Other

Advance Account Start Date: Advance Account End Date:

Total Direct Costs the department is putting at risk:

Please attach the routed (Microsoft Excel) SPA budget worksheet with your requested Advance Account budget.

Select duration that matches start and end dates

Include a SPA budget worksheet that matches your request

COMPLIANCE - Research Protections

Are there Human Subjects? Yes No If yes, please provide the IRB Approval #:

Are there Animals? Yes No If yes, please provide the IACUC Approval #:

Are there Biohazards? Yes No If yes, please provide the IBC Approval #:

Check if human or animal subjects or biohazards are involved in this project but the applicable protocols have not yet been approved. *By signing below, the PI understands that no work involving humans, animals or biohazards will take place under this Advance Account until the applicable protocols are approved. Working without approved protocols will be treated as a serious non-compliance issue.*

If you have human subjects, animals, or biohazards: either provide the approved protocol that is linked to the record in InfoEd –or – check the certification box

CHARTSTRINGS - Cost Share and Salary Cap

Please provide all applicable cost share and/or salary cap chartstrings.	Operating Unit	Dept Code	Fund	Source Code	Function	Program	Purpose	Property

Do you have cost share? Make sure to include cost share chartstring to ensure the cost share chartstring is setup

Advance Account Form Tips Continued

RESPONSIBLE UNIT - Approvals and Signatures								
By signing below, the parties understand and accept the risk with establishing Advance Accounts and incurring pre-award costs. If for any reason an award is not received or accepted, or if expenses are otherwise found to be unallowable, the costs incurred must be removed. In that event, the PI and department contact will receive a notification from SPA, and the Advance Account must be extended or expenses removed within 30 days of receipt of the notification. If expenses remain after 30 days, SPA will transfer all costs incurred to the chartstring identified below.								
Please provide the chartstring for the responsible unit.	Operating Unit	Dept Code	Fund	Source Code	Function	Program	Purpose	Property
	Name (please print)			Signature				Date
Principal Investigator - <i>required</i>								
Department Chair - <i>required</i>								
Dean - <i>optional</i> - if unit requires								

Provide chartstring for unit assuming the risk

After form is completed, attain required approvals



New Award Considerations:

Department New Award Checklist

Award Kickoff Meetings with SPA?



Department New Award Checklist

Know the Requirements for The Award

- Read the award documents thoroughly. Make sure you understand which rules, regulations, and requirements apply to this award.
- Note important dates for reports, deliverables, and performance period and who is responsible for which reports. (Coordinate with your assigned SPA FA for reports that include financial information.)
- Note any special terms and conditions for the award. (For example: extended record retention requirements, travel and purchase limitations, billing, equipment disposition instructions, etc.)



Department New Award Checklist Continued

Human Resource Planning

- Review personnel included in the grant proposal, including both direct and cost shared expenses.
- Review the total effort commitments for key personnel to ensure the proposed level for this new project is possible, keeping in mind other commitments.
- Allocate personnel to new project.
- Contact your assigned SPA RA if a reduction in effort needs to be requested from the sponsor.



Department New Award Checklist Continued

Purchase Planning

- Verify procurement process for budgeted equipment with Purchasing and initiate purchases.
- Finalize the scope of work and other details for independent consultants and initiate the contracting process with Purchasing.
- Comply with all UVM and sponsor requirements for all expenditures. For federal awards (directly awarded or via a subaward from another institution) this includes Uniform Guidance.



Department New Award Checklist Continued

Subawards

- Confirm the budget and scope of work documents with the subaward recipient.
Include a schedule of reports you will need from the subawardee.
- Confirm the details of the proposed subawards and work with SPA Outgoing Subaward Specialist to issue subawards.



Department New Award Checklist Continued

Cost Share

- Proposed cost share becomes an obligation of the award. Review the cost share requirements and make a plan.
- Confirm chart strings for cost share commitments and begin recording cost share as it occurs and through the life of the grant.
- Monitor cost share commitments and expenses in project ledger and operating ledger.
- Third Party cost share must be documented by the provider and submitted by PI to the assigned SPA FA



Department New Award Checklist Continued

Reminders

- All award expenses must be reasonable, allowable, allocable, and consistently applied.
- Cost-shared expenses must meet the same allowability rules as direct expenses, unless directed by sponsor.
- Visit https://www.uvm.edu/uvmweb/sponsored_programs/spa-procedures for SPA procedures.
- Visit <https://www.uvm.edu/spa/education-and-learning> for educational opportunities offered by SPA.
- Contact your assigned SPA RA and FA with questions or concerns.



New Award Kickoff Meetings

- **Starting November 1st, SPA will host “Award Kickoff” Meetings for**
 - Any department wishing to have a discussion of award’s terms and conditions and award management questions
 - Any award where SPA believes there exist circumstances that warrant a discussion with all stakeholders to ensure effective and efficient management (e.g. multi-year, multi-department, complex subawards, complex cost sharing, unusual billing terms)
- **Format**
 - Assigned SPA Staff (RA, FA), Department Administrator(s), and PI
 - Discuss compliance, grant details, specific guidelines and responsibilities
 - Departments request kickoff meetings by contacting spa@uvm.edu

Audience Participation: Questions?

Educational Resources Available - NCURA

The National Council of University Research Administrators (NCURA) strives to make advances in the field of research administration through professional development, the sharing of knowledge, and by fostering a sense of community via multiple venues:

<https://onlinelearning.ncura.edu/> Tutorials, on-line publications, magazine, industry news are available to NCURA members

<http://www.ncura.edu/travelingworkshops/Home.aspx> These workshops are taught by experienced leaders in the areas of compliance, department research administration, global research management, post-award administration and pre-award administration; the expertise depends on the workshop.

<https://onlinelearning.ncura.edu/free-resources> Education available to the public at no cost, NCURA membership is not required

Educational Resources Available - RACC

Research Administrators Certification Council (RACC) is an independent non-profit organization composed of active certified research administrators whose role is to certify that an individual, through experience and testing, has the fundamental knowledge necessary to be a professional research or sponsored programs administrator.

<http://www.cra-cert.org/>

Educational Resources Available – Federal

Federal Demonstration Partnership (FDP) is a cooperative initiative among 10 federal agencies and 154 institutional recipients of federal funds and is a program convened by the Government-University-Industry Research Roundtable of the National Academies. Its purpose is to reduce the administrative burdens associated with research grants and contracts. Many institutions utilize FDP's templates, including one for outgoing subawards <http://thefdp.org/default/subaward-forms/>

National Institute of Health publishes YouTube videos which cover all sorts of information relevant to NIH grants <https://www.youtube.com/user/nihgrants>

Educational Resources Available - Other

Some universities have developed educational videos on various aspects of sponsored research administration, which they make accessible to the public. **Vanderbilt University** offers a “Getting Started in Sponsored Research” series of webinars at no cost. <http://www.vanderbiltlinkages.org/gssr-1/>