

PROPOSAL PREPARATION PROCEDURES – CEMS

Effective July 1, 2021, Sylvie Butel is the SPA Unit Pre-Award Research Administrator responsible for the coordination of all proposal submissions in CEMS.

All proposal preparations and submissions should be coordinated with Sylvie before the final review and submission by Sponsored Projects Administration (SPA.)

All extra-mural proposal submissions (new, renewals continuations, supplements) with federal, non-federal, state, industry, or foundation funding must be entered into UVMClick and electronically routed to collect UVM’s 4-levels of approvals (PI, Dept, College SPA) prior to submission to a sponsor. Proposal submissions include:

- Subaward proposals
- Research gift proposals of \$25,000 or more. See [Gifts in Support of Research Instruction Guide](#).
- Letters of intent, white papers, and/or pre-proposals when institutional signature and/or detailed budgets or cost-share commitments are required at that stage. See [LOI/White Papers/Pre-Proposal Instruction Guide](#).

UVMClick is UVM’s electronic research administration (eRA) portal where UVM researchers and administrators manage the lifecycle of IRB Protocols, IACUC Protocols, IBC Registrations, Conflict of Interest Disclosures, Funding Proposal Submissions, Agreements and Awards.

Proposal Preparation Steps

1. **A minimum of four weeks ahead of the Sponsor’s deadline (and preferably 6 weeks):**
The PI creates a proposal in UVMClick and completes the questionnaire, a series of 11 questions available which will lead to the creation of the proposal record in UVMClick. **It is important to add Sylvie Butel as Administrative PoC 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 UVMClick.)

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 UVMClick.

Sylvie inputs the budget in UVMClick, 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 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 UVMCLICK and tells the PI to submit to the route. The PI should wait for Sylvie’s ok.
- 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 UVMClick.
- 5. A minimum of two days ahead of the Sponsor’s deadline:** The assigned RA in SPA completes the final 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 currently based on PI and co-PI effort. The PI may request to use the F&A deviation option in which other Key Personnel (e.g., co-Is) receive a portion of the F&A recovery. In cases where the F&A is shared with other colleges, the CEMS Associate Dean for Research (ADR) will compute the proportion of F&A recovery for each investigator. In all cases, the ADR reviews and approves the deviation before the IBB form is uploaded.

When a CEMS faculty member 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 UVMCLICK Implementation

- 1) The proposal questionnaire is now electronic and can be created in UVMClick as first stage of proposal initiation by the PI. Link to the UVMClick Login here:
<http://www.uvm.edu/ovpr/uvconnect>
- 2) All budget information is entered by Sylvie.
- 3) IBB F&A Allocation is completed at early stage of proposal preparation. Submitting PI may request standard distribution or deviation to include other Key Personnel. ADR computes the

F&A percentages for proposals in which F&A is shared outside of the college. Sylvie completes the IBB F&A Allocation form based on submitting PI's and Associate Dean for Research's input.

- 4) Match form is completed separately and uploaded in the UVMClick application for all reviewers to review/approve prior to submission to SPA.
- 5) Only Chairperson and Dean of submitting PI review/approve the proposal in UVMClick. 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 UVMClick.
- 6) All uploads/attachments destined to Sponsor need to be in pdf. The internal attachments can be in various formats (excel, word.)
- 7) Processes will continue being refined as users become familiar with the system.
- 8) It is key to adhere to internal deadlines.

Appendix - Guidance for Research Gift Proposals

Expenditures on gift accounts generate significant expenses to the College. For instance, under IBB 3.0, the College pays a percentage (currently 11.6%) 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 (such as those from the Barrett Foundation) 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.

Effective January 1, 2021, all Research Gifts in amounts of \$25,000 and more are routed in UVMUVMClick. The process for gift proposals is similar to that for grant preparation described in

the main part of this document. Faculty should work with Sylvie for support when developing budgets. Completed proposals will be routed through the Dean's office for approval before being submitted. In most cases, the college will process gift proposals for research through SPA via the UVMClick system, in a similar manner to that done for grant proposals.

Link to OVPR announcement: https://www.uvm.edu/sites/default/files/Sponsored-Project-Administration/OVPR_FDN_Memo_To_Campus_-_Gift_question_in_UVMUVMClick.pdf

Link to Instruction Guide for Research Gifts in addition to CEMS' specific guidance above:

https://www.uvm.edu/sites/default/files/Sponsored-Project-Administration/User%20Guides/Gifts_in_Support_of_Research.pdf