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

Presented by

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Agenda

- Welcome and introductions

- Award Acceptance Process
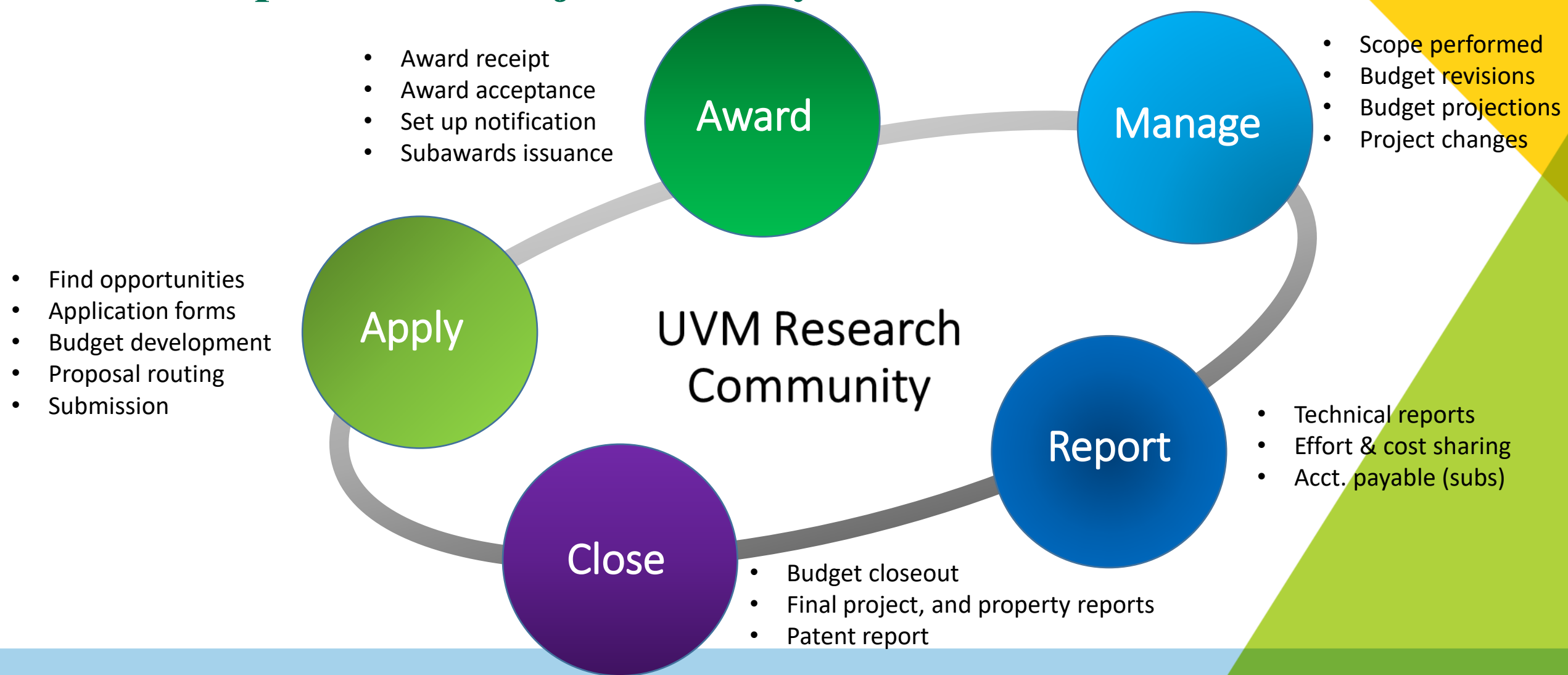
- Roles and Responsibility

- UVMClick Demonstrations

SPA EDU Offerings

Topic	Course	Date	Time
UVMClick New Proposal Creation and Completion of Funding Proposal Smartforms	POL036	Sept 21, 2022	9:00AM-10:30AM
Introduction to Sponsored Project Administration (PDF)	POL012	Oct 4, 2022	1:00PM-2:30PM
Budget Building for Proposal Development	POL034	Oct 14, 2022	2:00PM-3:30PM
Reviewing and Understanding Sponsored Agreements	POL039	Nov 9, 2022	10:00AM-11:30AM
Cost Transfers on Sponsored Projects	POL021	Nov 16, 2022	1:00PM-2:30PM
Cost Sharing on Sponsored Projects	POL022	Jan 18, 2023	9:00AM-10:30AM
Part 1: Personnel Effort on Sponsored Project Proposals	POL042	Feb 14, 2023	9:00AM-10:30AM
Part 2: Managing Effort on Sponsored Projects	CPT044	March 23, 2023	9:00AM-11:00AM
Award Acceptance for Sponsored Agreements & Establishment of Advance Accounts	POL020	March 28, 2023	9:30AM-11:00AM
Proposal Submission to National Science Foundation	POL043	April 19, 2023	9:00AM-10:30AM
Sponsored Project Financial Reporting and Closeout	POL024	April 27, 2023	1:30PM-3:00PM
SPA & Outgoing Sub-Awards	POL010	May 10, 2023	9:00AM-10:30AM
Proposal Submission to NIH in UVMClick	POL038	May 24, 2023	9:00AM-10:30AM

UVM Sponsored Project Life Cycle

- Award receipt
- Award acceptance
- Set up notification
- Subawards issuance

Award

- Scope performed
- Budget revisions
- Budget projections
- Project changes

Manage

- Find opportunities
- Application forms
- Budget development
- Proposal routing
- Submission

Apply

UVM Research Community

- Technical reports
- Effort & cost sharing
- Acct. payable (subs)

Report

Close

- Budget closeout
- Final project, and property reports
- Patent report

UVM Research Community

- **300+** Active Principal Investigators (PIs)

- **100+** Departments with Sponsored Projects from 300+ Sponsors

- **$200M+** annual volume of awards on 700+/- award actions

- **300+** subawards issued annually

- Office of Vice President for Research

- Many supporting departments (see next slides)

UVM Sponsored Project Administration Organization
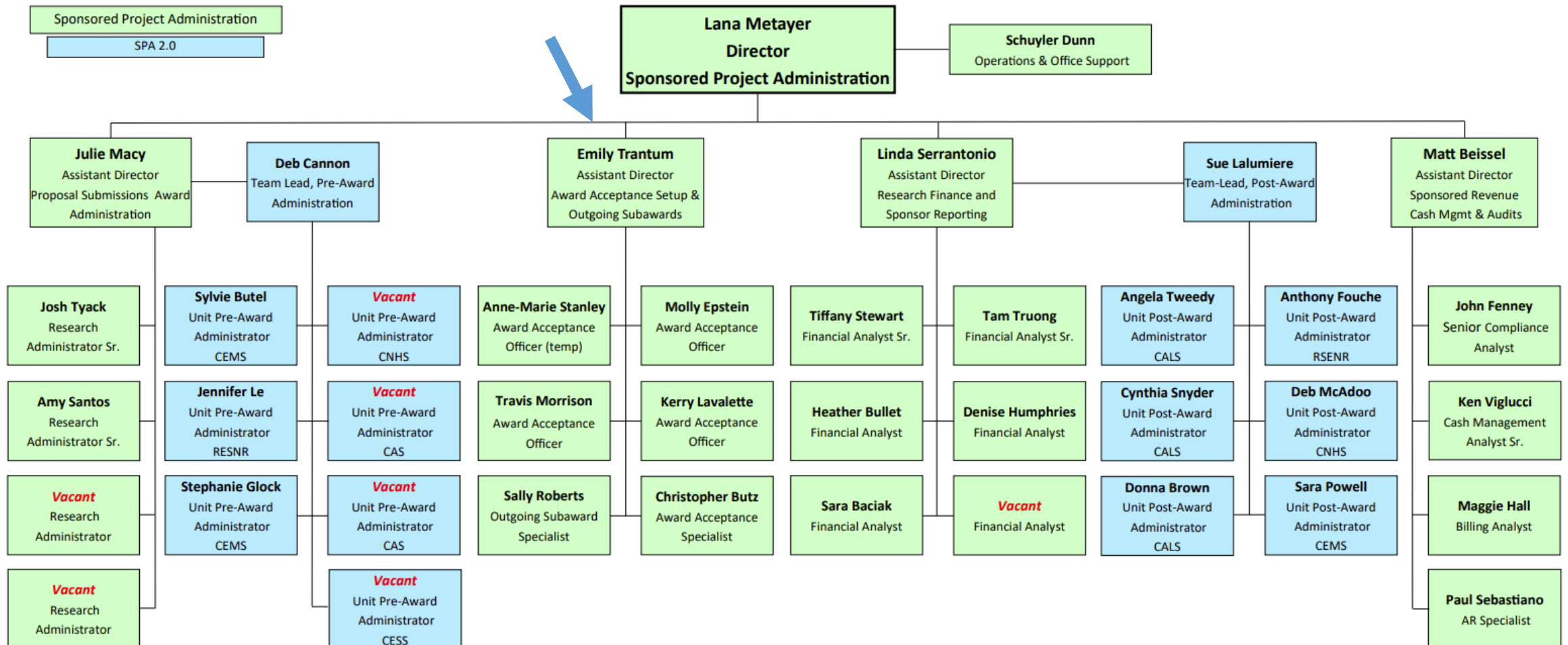
Award Acceptance, Set-up and Outgoing Subawards

- Award Acceptance officers review, negotiate and accept sponsored agreements. The review and negotiation processes ensure that the interests of the Principal Investigator (PI), the University, and the State are adequately protected and that the legal obligations of the agreement do not conflict with the University's mission or policies. The award acceptance officers enter the relevant award data into the UVMClick Award record, while also updating the status to reflect where the award is at in the process.

- The set-up function is primarily responsible for finalizing and completing the set-up of all awards made to the University in PeopleSoft (financial SW)

- This team oversees the preparation of outgoing sub-award agreements (primary responsibility resides with Outgoing Subaward Specialist), and non-monetary agreements related to research.

Purpose of the Presentation

- Overview of the Award Acceptance process in the UVMClick grants management system.

- Learning Objectives:

  ➢ Learn the process flow of the award acceptance process at UVM

  ➢ Understand roles and responsibilities for the various steps in the award acceptance process

  ➢ Understand basic navigation and tools within the UVMClick Award Workspace

  ➢ Learn how to request an Advance Account

  ➢ Learn how to track the status of your Award, Award Mod, and Advance Account in UVMClick

Award Acceptance Process at UVM

Navigating Award Workspace in UVMClick

- ➢ Principal Investigator and Unit Administrator
- ➢ State of Award
- ➢ Award Dashboard
  - • SPA Administrator
  - • SPA Financial Analyst
  - • Department Administrator
- ➢ Award Smart Form
- ➢ Award Status Tracker
- ➢ Left Hand Menu Tools
- ➢ Navigating Tabs
  - • History
  - • Modifications

Navigating the Award Work Space

1. Award's current state
2. Initial information entered into the Award Smart form will display on the dashboard
3. SPA Administrator assigned to the award.
4. Award Status Tracker - visible after SPA Administrator begins tracking status
5. View Award details in progress by clicking the "Edit Award" button
6. History Tab allows user to view the awards history.
7. Send Email can be used to send an email to your SPA Administrator, the email will then become a part of the Award's history.
8. Review ALL DATA entered into Award Smart form through Printer Version

*demonstration of navigation in UVMClick

Award Acceptance Process Flow

SPA receives Award at SPA@uvm.edu and uploads into UVMClick Funding Proposal (FP).

FP State: Pending Sponsor

PI and Department Administrator (listed on FP) receive Notification of Award email and Proposal state changes to Award Notification Received.

FP State: Award Notification Received

SPA creates Award in UVMClick in Draft state and assigns to a SPA Administrator to begin award acceptance process.

Award State: Draft

PI and Department Administrator receives email from SPA Administrator indicating the award is under review. SPA will ask the PI to:

- Review and approve the award
- Complete Award Data Collection Form
- Complete any remaining award requirements (i.e., FCOI IRB, etc.)

Award State: Draft

SPA will make any final changes to the award and activate the award or approve the award mod , which integrates the award to PeopleSoft for finalization.

Award State: Active/Approved

Department Administrator receives the Award for review in UVMClick. The Department completes review and sends Award back to SPA utilizing the Send to SPA activity in the left hand menu.

Award State: In Dept Review

SPA sends Award for Department Review in UVMClick.

(Step bypassed for most continuation)

Award State: In Dept Review

SPA completes all of the applicable award acceptance steps (see Award Status Tracker for progress) and completes the Award Setup in UVMClick.

Award State: Draft

SPA Setup Specialist completes Award setup in PeopleSoft.

Award State: Active

PI, Department Administrator (listed on Award), and named Project Managers receive notification out of PeopleSoft that each project setup is complete.

Award State: Active

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Individual Roles & Responsibilities in Award Acceptance

Principal Investigator and Department Administrator

- ➢ Participate in the negotiation and acceptance process, as needed
- ➢ Review and approve scope of work, technical reporting requirements, and other terms and conditions and approve any outgoing subawards if applicable
- ➢ Communicate need for changes.
- ➢ Complete Award Data Collection Form and provide and prepare information as needed and requested by sponsor or SPA
- ➢ Perform "Department Review" in UVMClick, prior to the setup of the award to confirm you are in agreement with proposed setup.

Individual Roles & Responsibilities in Award Acceptance

SPA Award Acceptance Team

➢ Award Received at SPA and entered into UVMClick for assignment

➢ Award Team member self assigns and generates notification to PI and Business Unit Administrator requesting PI review and approval of the award and completion of Award Data Collection form

➢ Review of Terms and Conditions; Final negotiations including budget revisions if any – Federal/Private or industry

➢ Negotiate a mutually acceptable award for all sponsored projects on behalf of UVM and Principal Investigators.

- Clarification of reporting & invoicing terms
- Clarification of publication, data ownership & Intellectual Property rights
- Clarification of indemnification and insurance requirements
- Adhering to applicable university policies & procedures

➢ UVMClick Award Status Tracker and UVMClick Award record history include current status of awards in process.

➢ Complete Award Setup in UVMClick and PeopleSoft

Key Department Responsibilities in UVMClick at Time of Award

✓ Review award and provide PI Approval

✓ Send Award Data Collection form to SPA

✓ Confirm Compliance Requirements are Complete

✓ Complete Department Review of Smart Form

Advance Accounts at UVM

Individual Roles & Responsibilities for Establishing Advance Accounts

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 via UVMClick or by submitting to spa@uvm.edu

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:

➢ Project work can begin

➢ 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 submitting Advance Account Request Form to SPA with an Award Data Collection Form attached when applicable.

- Advance Accounts will be setup for 6 months time with full dollar value of the expected period. The period can be extended at the request of the department after reviewing or checking the status of the award at 6 months.

- Note: 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

✓ 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), as a best practice include a completed Award Data Collection Form

✓ Submit Advance Account form and any supporting documentation through the UVMClick FP "Request Advance Account" tool or if you are unable to access this activity in your FP menu please send to spa@uvm.edu. See "How to Request Advance Account" work instructions for detailed steps.

Sponsored Project Administration Steps

- SPA receives Advance Account Request

- Completed Advance Account Request Forms, Award Data Collection form, and any other documentation are added to the UVMClick and assigned to the Award Acceptance Officer (AAO) for processing

- The assigned AAO emails the department acknowledging receipt of the request

- AAO reviews the form and clarifies any questions they may have

Sponsored Project Administration Steps, Continued

- AAO processes the request, completes the Award Smart Form in UVMClick, prepares the setup checklist, and Activates or Approves the Award action integrating the information into the PeopleSoft financial system

- The Setup Specialist finalizes the award into PeopleSoft

- When the setup is complete, the Setup Specialist notifies the PI and Department Administrator that they can begin spending

Tracking your Award Actions in UVMClick

UVMClick Tracking Tools and Resources

➢ State of Award

➢ Award Status Tracker

➢ History Tab

➢ Contact your SPA Administrator

➢ Custom Reports

Questions and Answers