

# SPA Seminar: Overview of the Award Acceptance Process in UVMClick

Presented by  
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Award Acceptance, Set-up and  
Outgoing Subaward,  
Signing Official



The University of Vermont

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# Agenda

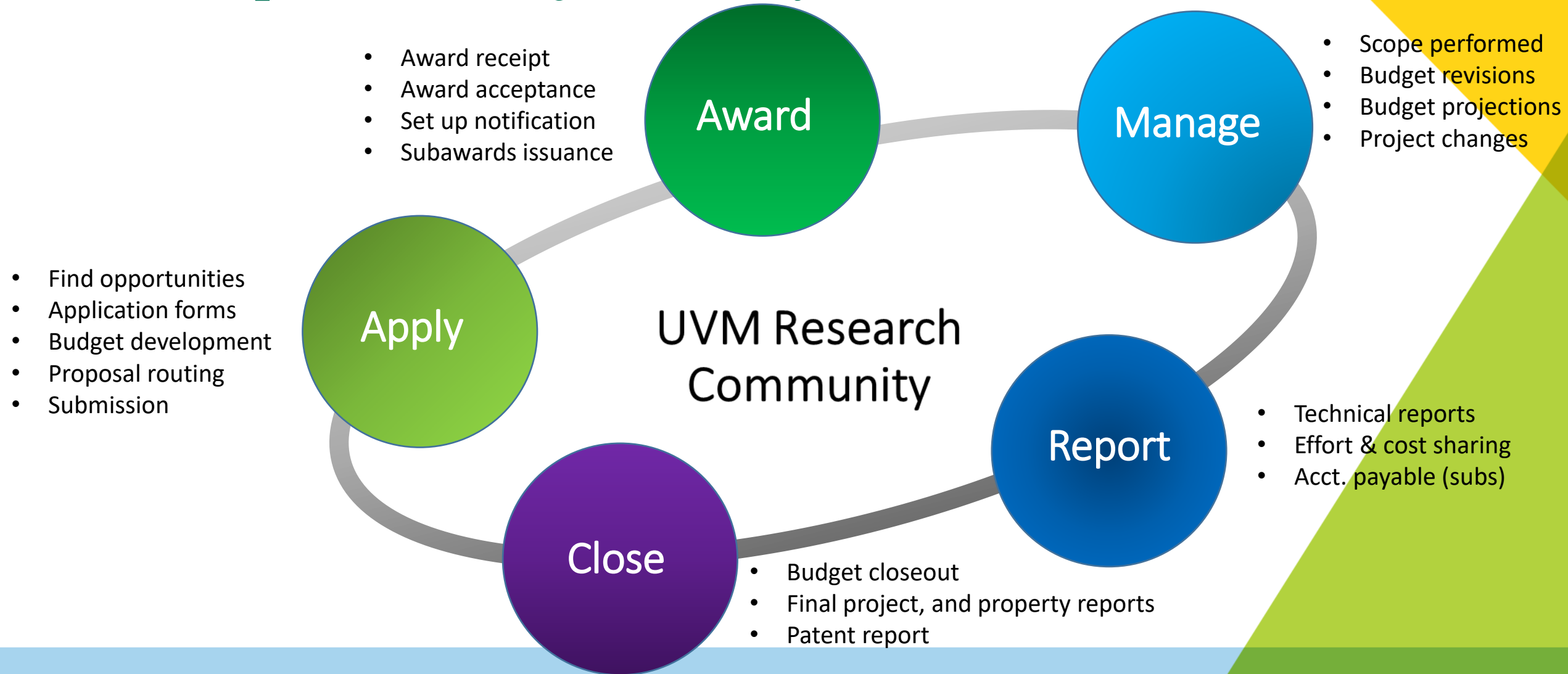
- Welcome and introductions
- Award Acceptance Process
- Roles and Responsibility
- UVMClick Demonstrations

# SPA EDU Offerings

Topic	Course	Date	Time
<a href="#">Introduction to Sponsored Project Administration (PDF)</a>	POL012	Sept 10, 2020	10:30AM-12:00PM
<a href="#">Budget Building for Proposal Development (PDF)</a>	POL034	Sept 23, 2020	10:30AM-12:00PM
<a href="#">Out-going Subawards (PDF)</a>	POL010	Oct 14, 2020	10:30AM-12:00PM
<a href="#">Award Transfers From and To Other Institutions (PDF)</a>	POL032	Oct 26, 2020	10:30AM-12:00PM
<a href="#">PeopleSoft Tools and Best Practices for Financial Management (PDF)</a>	CPT075	Nov 4, 2020	10:30AM-12:00PM
<a href="#">Sponsored Project Financial Reporting and Closeout (PDF)</a>	POL024	Dec 2, 2020	10:30AM-12:00PM
<a href="#">UVMClick New Proposal Creation and Completion of Funding Proposal Smartforms (PDF)</a>	POL036	Feb 9, 2021	2:00PM-3:30PM
<a href="#">The History of IRB, IACUC, and iBC Institutional Review Boards (PDF)</a>	POL025	Feb 19, 2021	9:00AM-10:00AM
<a href="#">Cost Transfer on Sponsored Projects</a>	POL021	March 4, 2021	1:30PM-3:00PM
<a href="#">Cost Sharing on Sponsored Projects</a>	POL022	March 25, 2021	1:30PM-3:00PM
<a href="#">Overview of Sponsored Award Acceptance</a>	POL035	April 8, 2021	1:30PM-3:00PM
<a href="#">Essential Compliance in Sponsored Project Administration</a>	POL018	May 4, 2021	10:30AM-12:00PM



# UVM Sponsored Project Life Cycle



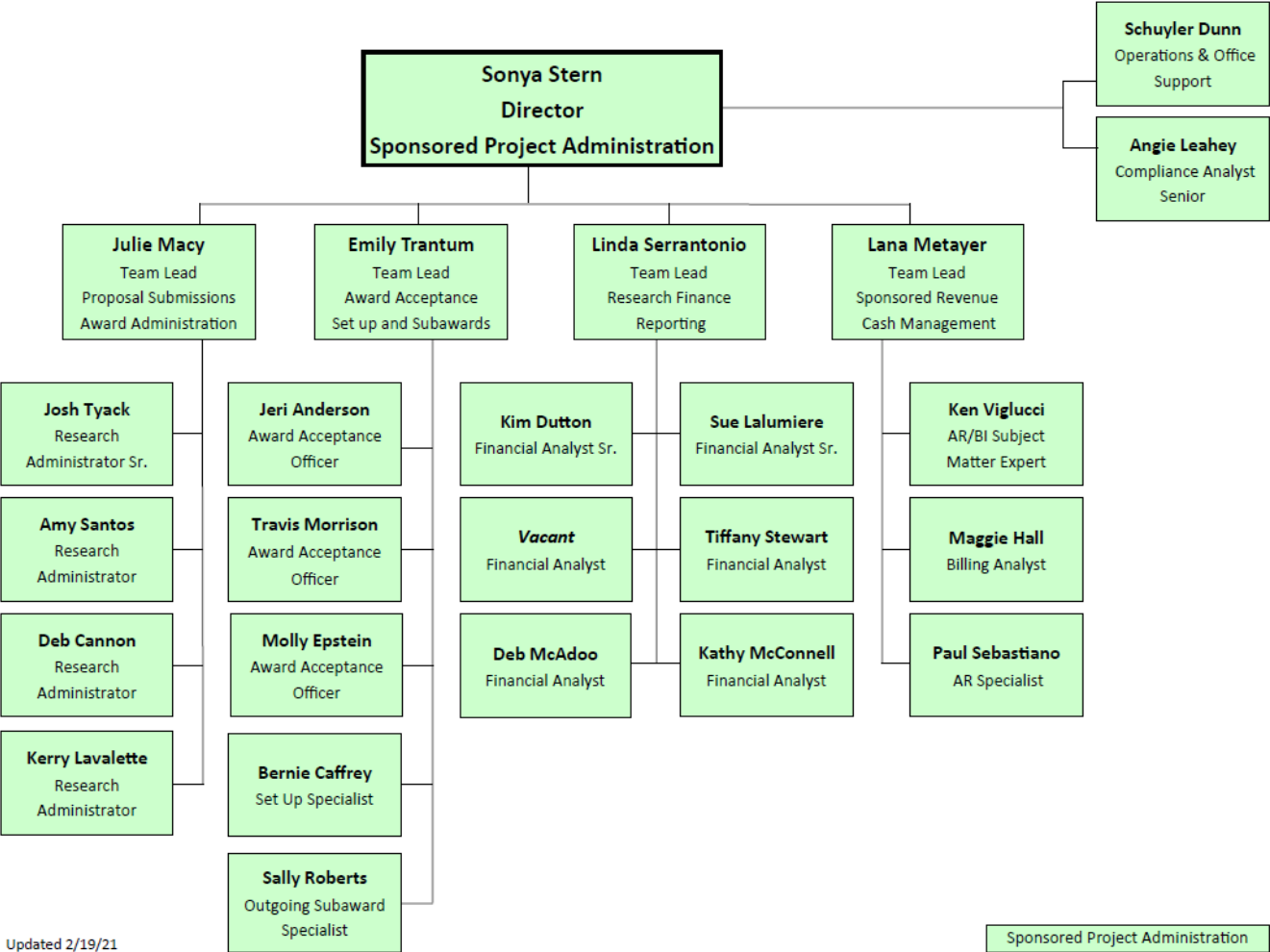
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# UVM Research Community

- **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



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## Award Acceptance, Set-up and Outgoing Subawards

- Award Acceptance officers review, negotiate and accept sponsored agreements. **680** award actions were completed in in FY20. 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 the review of the UVMClick Award record and 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. **335** new subawards were issued in FY20.

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# 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



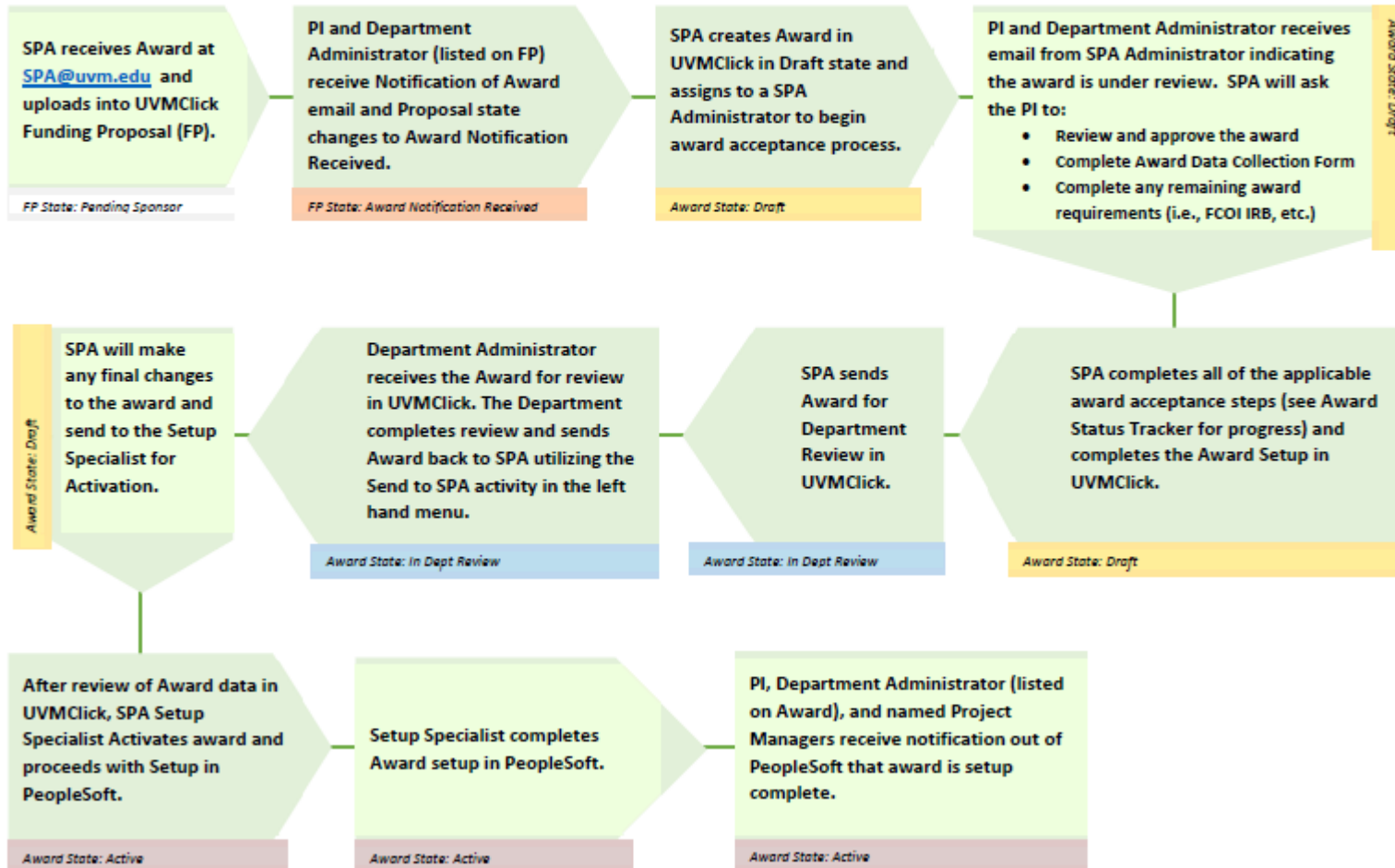
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# **Award Acceptance Process at UVM**



## Award Acceptance Process Flow





## Award Acceptance Process Flow

SPA receives Award at [SPA@uvm.edu](mailto: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*

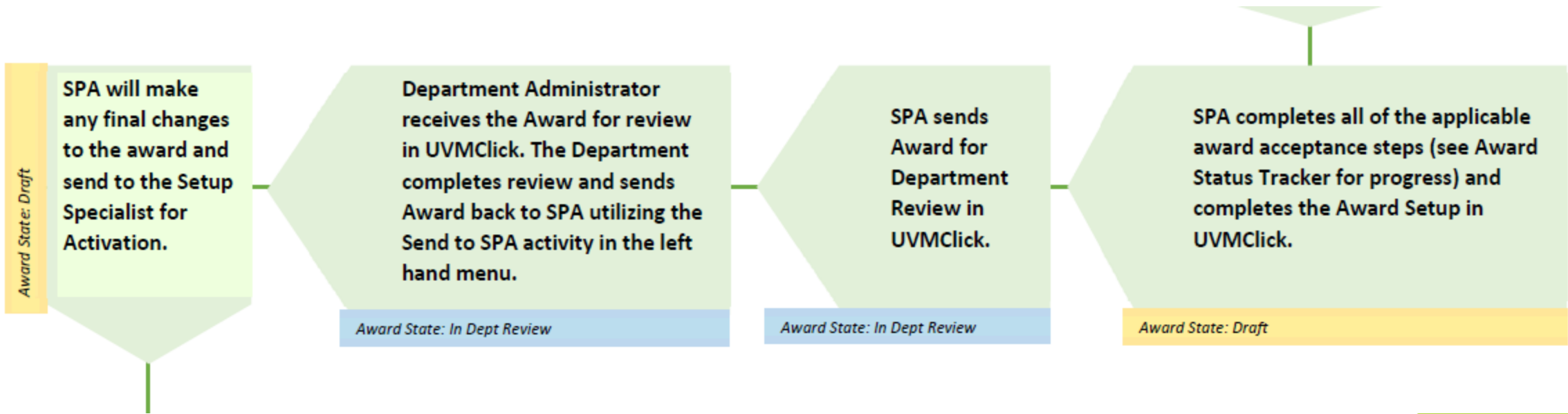
SPA creates Award in UVMClick in Draft state and assigns to a SPA Administrator to begin award acceptance process.

*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*



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After review of Award data in UVMClick, SPA Setup Specialist Activates award and proceeds with Setup in PeopleSoft.

*Award State: Active*

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 award is setup 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.

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# 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

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# 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



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# 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

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# **Advance Accounts at UVM**

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# 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](mailto: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

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# 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.

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# 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.
- 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.

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## 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)
- ✓ Submit Advance Account form and any supporting documentation through the UVMClick FP “Request Advance Account” tool or if the FP was submitted via InfoEd, email the submission to [spa@uvm.edu](mailto:spa@uvm.edu). See “How to Request Advance Account” work instructions for detailed steps.

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# Sponsored Project Administration Steps

- SPA receives Advance Account Request
- Completed Advance Account Request Forms and 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

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## Sponsored Project Administration Steps, Continued

- AAO processes the request, completes the Award Smart Form in UVMClick, prepares the checklist for set up and submits it to SPA Setup Specialist for Final Review and setup in PeopleSoft.
- Using the UVMClick record and checklist, the Setup Specialist enters the award into PeopleSoft (soon to be integrated!)
- When the setup is complete, the Setup Specialist notifies the PI and Department Administrator that they can begin spending



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# Tracking your Award Actions in UVMClick

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# UVMClick Tracking Tools and Resources

- State of Award
- Award Status Tracker
- History Tab
- Contact your SPA Administrator
- Custom Reports

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## **UVMClick Projects Still in Development**

- UVMClick Integration with PeopleSoft
- UVMClick integration with Maximus Effort Reporting System

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# Questions and Answers