Sponsored Project Administration:

You've Got to Move It, Move It: Handling Award Transfers From and To Other Institutions

Presented by

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The University of Vermont

SPA EDU 20/21 School Year Fall Sessions

9/10   SPA: Introduction to Sponsored Project Administration

9/23   SPA: Budget Building for Proposal Development

10/14 SPA: Out-going Subawards

10/26 SPA: Award Transfers From and To Other Institutions
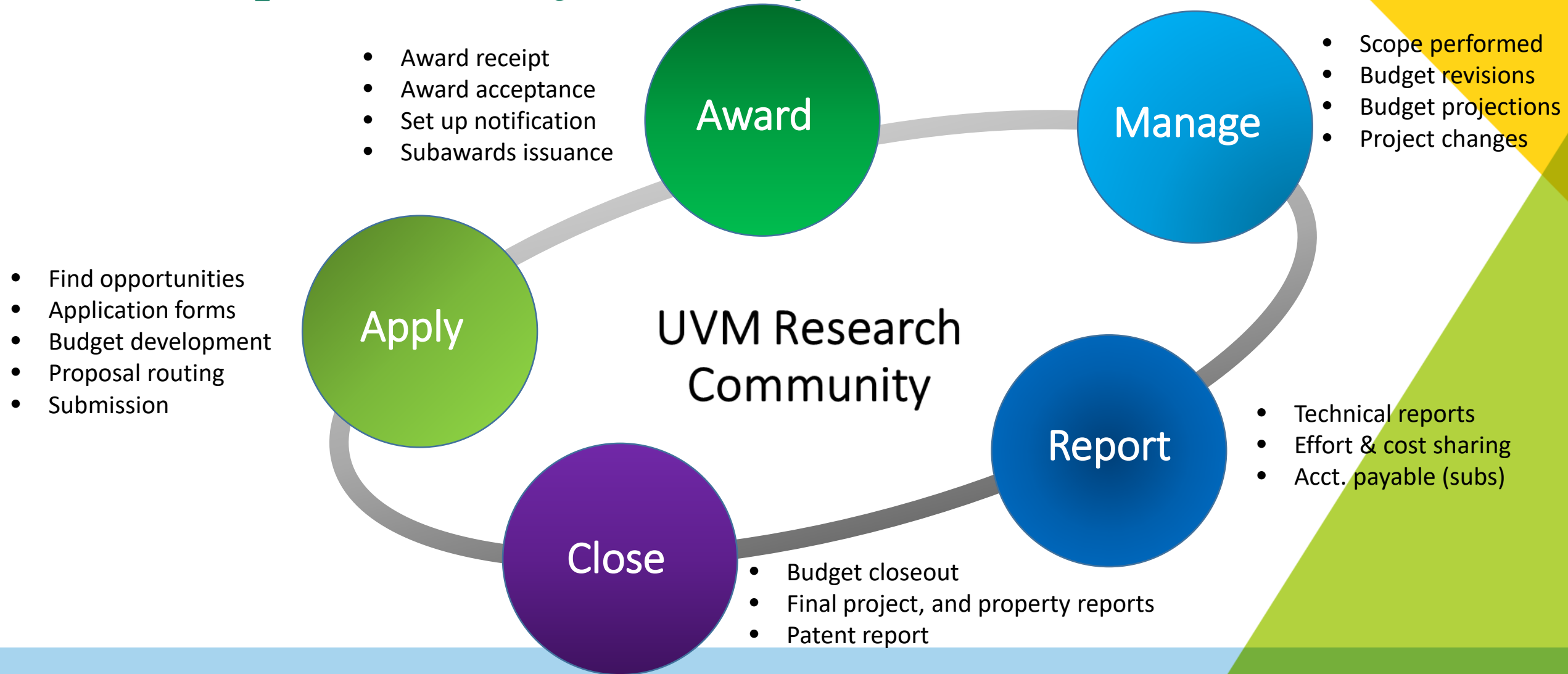
11/4   SPA: PeopleSoft Tools and Best Practices for Financial Management of Sponsored Projects

12/2   SPA: Sponsored Project Financial Reporting and Closeout

Agenda

- Welcome and introductions

- Award transfers

  - Definition of what an award transfer is

  - Award transfer process overview

  - Best Practices: Roles and Responsibilities

  - Case Studies

  - Current Trends Survey
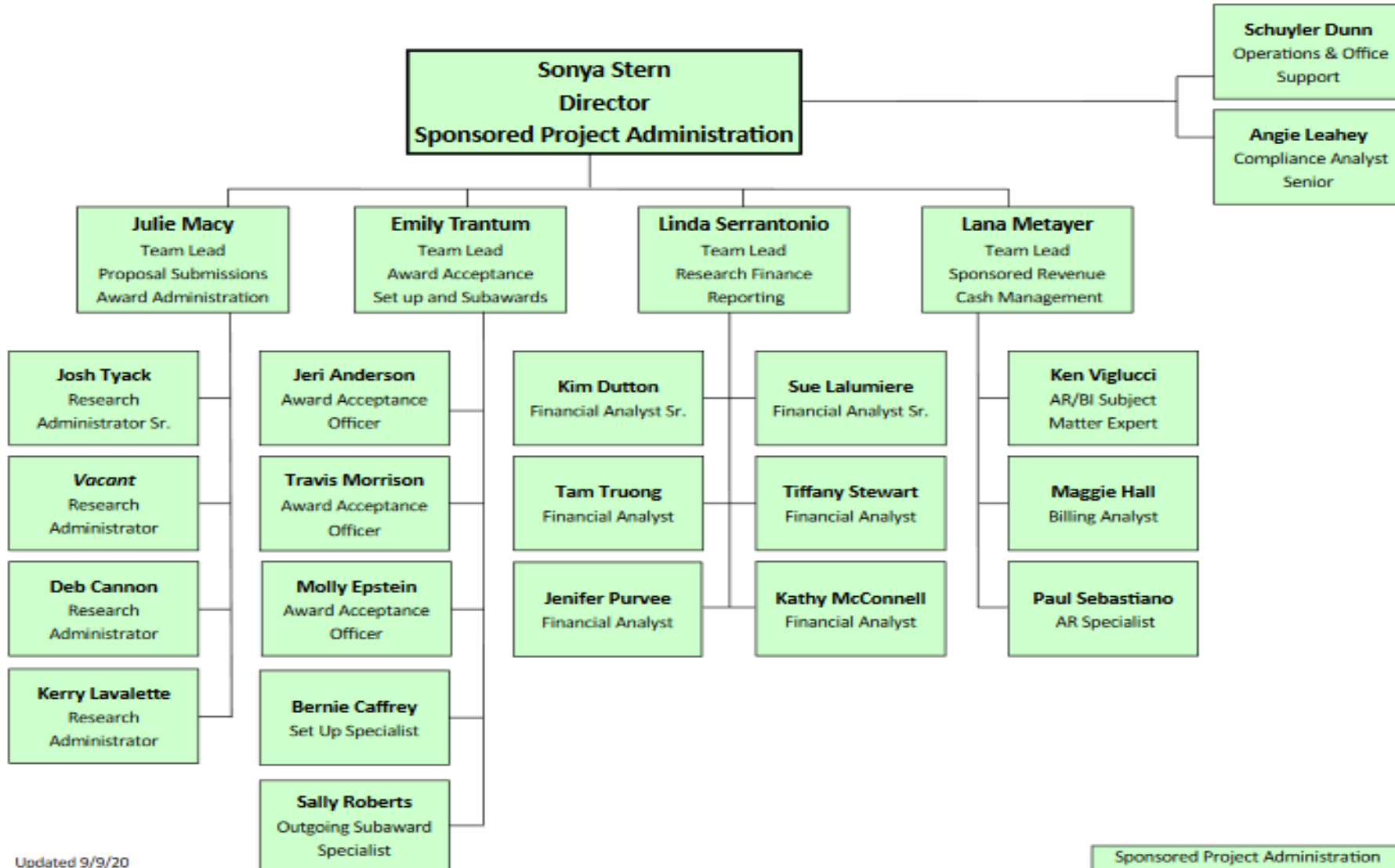
- Educational resources available

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

- **$181M+** annual volume of awards on **700+/-** award actions

- **392** final financial reports processed in FY20

- **300+** subawards issued annually

- Office of Vice President for Research

- Many supporting departments

UVM Sponsored Project Administration Organization

Sonya Stern
Director
Sponsored Project Administration

Schuyler Dunn
Operations & Office Support

Angie Leahey
Compliance Analyst Senior

Julie Macy
Team Lead
Proposal Submissions
Award Administration

Emily Trantum
Team Lead
Award Acceptance
Set up and Subawards

Linda Serrantonio
Team Lead
Research Finance
Reporting

Lana Metayer
Team Lead
Sponsored Revenue
Cash Management

Josh Tyack
Research Administrator Sr.

Jeri Anderson
Award Acceptance Officer

Kim Dutton
Financial Analyst Sr.

Sue Lalumiere
Financial Analyst Sr.

Ken Viglucci
AR/BI Subject Matter Expert

Vacant
Research Administrator

Travis Morrison
Award Acceptance Officer

Tam Truong
Financial Analyst

Tiffany Stewart
Financial Analyst

Maggie Hall
Billing Analyst

Deb Cannon
Research Administrator

Molly Epstein
Award Acceptance Officer

Jenifer Purvee
Financial Analyst

Kathy McConnell
Financial Analyst

Paul Sebastiano
AR Specialist

Kerry Lavalette
Research Administrator

Bernie Caffrey
Set Up Specialist

Sally Roberts
Outgoing Subaward Specialist

Updated 9/9/20

Sponsored Project Administration

Purpose of the Presentation

In depth review to request **prior** approval for **transfer** of an award.

Learning Objectives:

➢ Understand the process for how to leave one institution and join another.

➢ Learn roles and responsibilities.

➢ Understand best-practice timelines and steps for successful transfer.

Published Procedures

- SPA published the initial procedures in FY19 that cover award early termination (relinquishment).
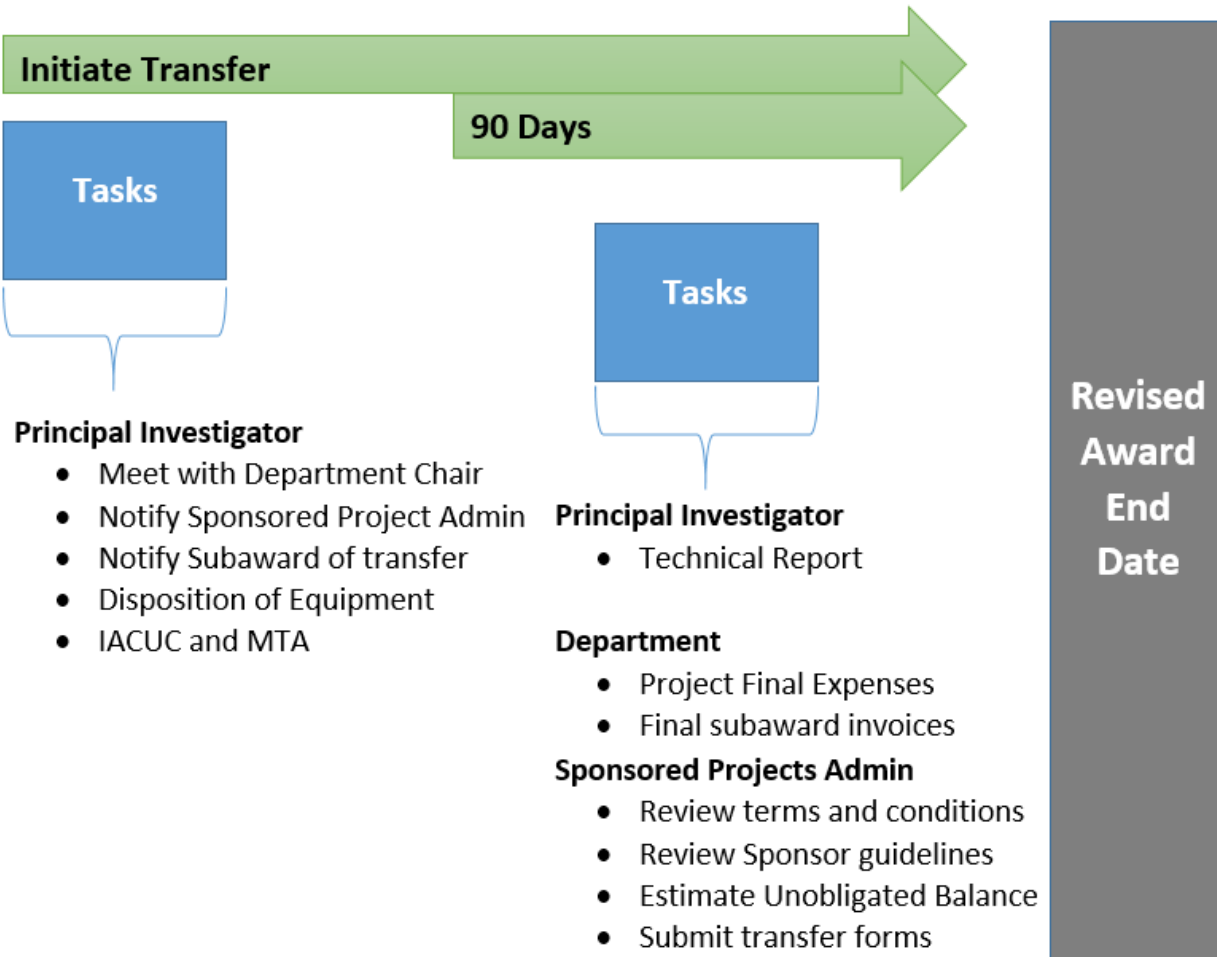
What is Award Transfer?

When a PI plans to leave prior to an award expiring

➢ Outgoing : Transfer from current Institution

- Institution may nominate a new PI or

- Request transfer of the award to the PI's new institution or

- Terminate the award

➢ Incoming: Transfer to new Institution

- Negotiated and accepted as if "new" award

Outgoing Transfer Process Overview

Prior to the Relinquishment Date

Initiate Transfer

90 Days

Tasks

Principal Investigator
- Meet with Department Chair
- Notify Sponsored Project Admin
- Notify Subaward of transfer
- Disposition of Equipment
- IACUC and MTA

Tasks

Principal Investigator
- Technical Report

Department
- Project Final Expenses
- Final subaward invoices

Sponsored Projects Admin
- Review terms and conditions
- Review Sponsor guidelines
- Estimate Unobligated Balance
- Submit transfer forms

Revised Award End Date

After the Relinquishment Date

0-60 Days

61-90 Days

Tasks

Department
- Final subaward invoices
- Finalize Effort and Expenses

Sponsored Projects Admin
- Final Expense Review
- Unobligated Balance
- Submit Final FFR

Principal Investigator
- Final Technical Report

Tasks

Institution Administration
- Disposition of Equipment
- IACUC and MTA
- Final Award Closeout
- Funds Transferred
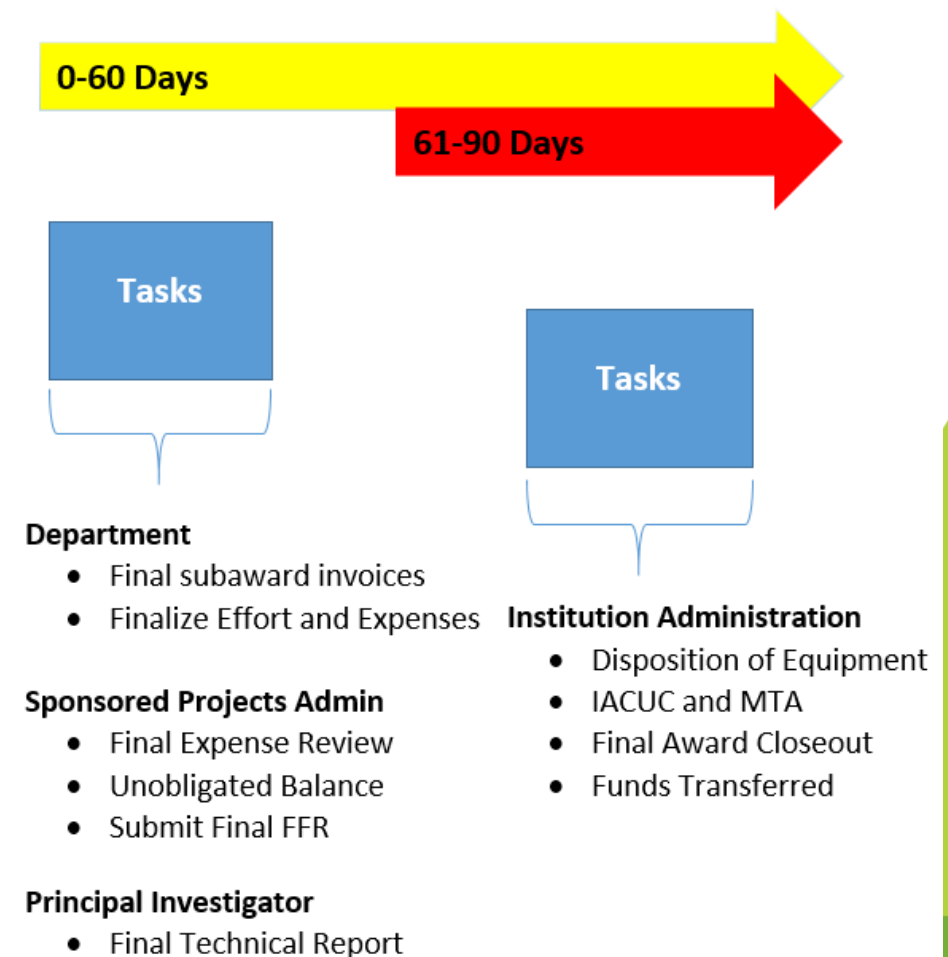
Award Transfer Best Practice

Roles and Responsibilities

➢ **Principal Investigator (PI) and Unit administrators (UA)**

- The award PI or UA have the primary responsible to initiate the award transfer process.

- PI should consult and discuss with sponsor's program officer, Department Chair, Sponsored Projects Administration early and often on all active awards and pending proposals.

- Secure Department Chair written disposition instructions for each award.

- Work with Institution Administrators to properly close out existing awards and complete sponsor relinquishment forms, submit Final Invention Statement and technical reports, as applicable.

Award Transfer Best Practice

Roles and Responsibilities

➢ **Sponsored Project Administration**

- Once notified will confirm list of the PI's active awards and pending proposals for discussion (RA).

- Provides final approval for any award transfer as determined by Dept. Chair.

- Determine the amount available to transfer. (FA)

- Facilitate the relinquishing process. Review sponsor relinquishing guidelines.

- Work with PI and Unit Administrators discuss any outstanding issues or action items.

- Assist with completing sponsor relinquishing forms and submit to sponsor.

Initiate Transfer Early and Communicate Often

Develop transfer plan and establish revised award end date

➢ Ensure spending allocations are within new end date.

➢ The termination date should be the final date of a pay period to ensure accurate effort accounting.

➢ Identify disposition of equipment and any patents.

➢ Identify subawards to transfer.

Determining the Estimated Unobligated Balance

Projecting final expenses to estimate transfer of remaining funds

➢ Principal Investigator and Unit Administrator project final expenses through revised end date.

➢ Sponsored Projects Administration calculates the estimated unobligated balance available to be relinquished, less any holdback.

➢ A minimum holdback of 10% unobligated funds plus any sub-recipient obligations not yet liquidated, to ensure that there are funds retained to meet obligations that may be pending.

➢ Any unspent funds still remaining will be transferred to the new institution and become available to the PI for spending, upon award final close (usually within 90-days from relinquishment date).

10% Holdback Calculation

➢ Projected Expense amounts are provided by PI and Unit Administrator, confirmed by SPA.

➢ Any vacation payout at separation should be included in salary and fringe projection.

Bud Acct Descr	Budget	Expenses as of 11/30/2019	Projected Expenses 12/1/19-1/31/20	UVM 10% Holdback (SPA Calculates)	Total Expenses as of 2/1/19	Balance to Relinquish
Personnel Salary	316,032.00	263,740.61	10,000.00		273,740.61	42,291.39
Fringe Benefits	135,892.00	115,155.17	4,600.00		119,755.17	16,136.83
Services & Other Expenses	75,532.00	-		9,860.00	9,860.00	65,672.00
Animal Costs	1,000.00	5,474.87			5,474.87	(4,474.87)
Lab Research Supplies & Servic	-	17,869.88	5,000.00		22,869.88	(22,869.88)
Publication Costs	1,000.00	749.77			749.77	250.23
Computer Services	-	7,654.30			7,654.30	(7,654.30)
Domestic Travel	3,389.00	3,383.16			3,383.16	5.84
Foreign Travel	-	612.00			612.00	(612.00)
Equipment	22,105.00	22,105.00	-		22,105.00	-
Facilities & Administration	298,393.20	232,198.27	10,976.00	709.00	243,883.27	54,509.93
	853,343.20	668,943.03	30,576.00	10,569.00	710,088.03	143,255.17

ed expenses prior to 10% Chargeback	153,824.17
Unobligated Balance Direct Costs	98,605.24
F&A 56%	55,218.93
10% holdback	9,860.52
F&A 56%	788.84

Unobligated Balance to Relinquish	
Direct Costs	88,745.24
F&A	54,509.93
Total	143,255.17

Notify Subrecipients of Award Transfer

Subawards will transfer to new institution or terminate

➢ Principal Investigator will notify Subrecipient PI(s).

➢ Sponsored Project Admin will issue subaward amendments with revised end date.

➢ Sub-recipients will be encouraged to issue a final invoice as soon as possible.

Complete and Submit Required Forms and Reports

Review award terms and conditions, complete sponsor requirements.

➢ Submit final relinquishing forms to Sponsor with a copy to the new institution (RA).

➢ PI prepares and submits to the sponsor final programmatic or technical report (PI).

➢ Sponsored Project Administration prepares and submits Final Financial Report (FFR) as outlined in award agreement terms and conditions (FA).

Award Closeout and Final Financial Report

➢ Unobligated balances are returned back to the sponsor, and the sponsor is responsible for releasing those funds to the new institution with a revised Notice of Award.

➢ Final accounts receivable reconciliations are preformed and award closeout procedure is completed.

➢ Written notice from the sponsor that clearly identifies the relinquishment amount and date is processed by SPA. Reporting & other requirements are confirmed to have been completed. PeopleSoft award profile is updated to reflect revised end date, financial reporting milestones, and billing limit.

Transferring Equipment

➢ Equipment purchased on a single active award may be transferred to the PI's new institution without reimbursement for the cost of the equipment to ensure the research can continue without interruption.

➢ Equipment purchased using funds from multiple awards, the determination will be made on a case by case basis. Contact Cost Accounting to discuss tagged equipment.

➢ Ancillary costs such as dismantling or shipping and handling costs would be paid for by the new Institution.

Research Protections, Patents and Material Transfer Agreements

The PI in coordination with the Unit Administrator is responsible

➢ Ensure proper close out of all human subject, animal, and biohazard protocols.

➢ Ensure proper closeout of pending or processed patents and material transfer agreements.

CASE STUDY : Surprise!! The PI's last day is in two weeks.

You receive an email notice from the Principal Investigator of an award that his last day of work is in two weeks. The PI has accepted a position at a new institution. The PI is requesting to know the unobligated balance amount, and would like to know how long it will take to transfer the funds to the new institution.

CASE STUDY: Aloha from Hawaii – After the Fact

SPA receive an email notice from the PI of an award that should be transferred as he has moved to Hawaii. The PI accepted a position at a new institution on 1/1/2020 but never relinquished his award. The PI is requesting to move the award to his new institution. He subsequently has booked and paid for travel with a UVM PurCard on the last day of the UVM award, 12/31/2019.

CASE STUDY : What is the end date?

Two married faculty have moved to Idaho, each is a PI on individual sponsored projects within the same department. They decide to take their research projects with them and notify UVM after the fact. Both projects have Subawards and Graduate Students conducting research. Payroll continues to post and subawards submit invoices for payment.

Resources for Answering Questions

- Sponsor Guidelines

- Uniform Guidance: 2 CFR 200.343

- NIH 8.6 Closeout: https://grants.nih.gov/grants/policy/nihgps/html5/section_8/8.6_closeout.htm

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