Introduction to Sponsored Project Administration

Presented by
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The University of Vermont
### SPA EDU 22/23 Academic Year Sessions

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<td>UVMClick New Proposal Creation and Completion of Funding Proposal Smartforms</td>
<td>POL036</td>
<td>Sept 21, 2022</td>
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<td>Oct 4, 2022</td>
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<td>Budget Building for Proposal Development</td>
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<td>Reviewing and Understanding Sponsored Agreements</td>
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<td>Proposal Submission to NIH in UVMClick</td>
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<td>SPA Post Award Budget Review, Expense Monitoring &amp; Forecasting</td>
<td>POL041</td>
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Agenda

• Welcome and introductions
• Learning objectives
• Introduction to Sponsored Projects
• Educational resources available
Purpose of the Presentation

Participants will

• Become familiar with the concept of “sponsored project”
• Receive an overview of UVM research community
• Get to know Sponsored Project Administration department
• Learn about the grant lifecycle and roles and responsibilities of key stakeholders involved in research administration at UVM
What Is A Sponsored Project?

• Externally-funded activity in which a formal written agreement, i.e., a grant, contract, or cooperative agreement, is entered into by recipient (UVM) and Sponsor (e.g. federal, state, other universities, industry)

• Supports research, public service, or instructional efforts
What Is A Sponsored Project?

• **Grant**
  - Cash or in-kind financial assistance awarded to an organization for the conduct of a project as specified in an approved proposal
  - Cooperative agreements, fellowships, career development

• **Contract**
  - An agreement between two or more entities which creates an obligation to do or not to do a particular thing
  - Procurement, Sponsor acquires goods or services, economic benefits to the Sponsor

• **Subaward**
  - Grant or contract, prime agency receives funding from Sponsor, flow through or pass through the Sponsor
Characteristics of Sponsored Projects

• Statement of work
• Detailed financial accountability
  ➢ Project plan with a line-item budget, including budgetary restrictions at the line item level
  ➢ Specified period of performance
  ➢ Frequent use of cost reimbursable accounting, with the requirement to return any unspent funds at the end of the period of performance
  ➢ Detailed financial reporting
  ➢ Accountability under the terms of the Uniform Guidance
  ➢ Effort reporting requirement
• Regulatory compliance requirements, potentially including:
  ➢ Export controls, financial conflict of interest, human and animal subjects
• Restrictive provisions related to intellectual property rights or publications
Fundamentals

• Whose grant is this?
  ➢ Awards are made to the institution

• Who gets to call the shots?
  ➢ A Principal Investigator (PI) is the lead researcher for the grant project
  ➢ PIs and Central and Department administrators form a partnership
    ✓ PIs direct the science
    ✓ Administrators manage the business processes and compliance functions

• Who answers to whom?
  ➢ Science without administration would not receive grant funding
  ➢ Administrators without science would not receive grant funding
Fundamentals: Who is Funding the Research

• Federal

• Non-federal
  ➢ Scientific, non-scientific and private foundations
  ➢ Associations
  ➢ Corporate
  ➢ Industry
  ➢ State, local and other governmental
  ➢ Other institutions
UVM Sponsored Project Life Cycle

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

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

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

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

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

UVM Research Community
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 Units That Support Sponsored Projects Indirectly

- **Purchasing**
  - Purchase Orders and Requisitions

- **Disbursement Center**
  - Check requests and purcards
  - Travel advances and reimbursements

- **University Financial and Cost Accounting Services**
  - Effort Reporting
  - Space and Equipment Inventory
  - Indirect and Fringe Rate Negotiations

- **Human Resources**
  - Personnel Actions and Position Management

- **Payroll Services**
  - Payroll-related Actions

- **Graduate College**
  - Graduate Research Assistants
  - Tuition on Sponsored Projects

- **Enterprise Application Services**
  - PI Portal
• Concept

- Departmental research administration
- Hired, trained, supervised by SPA
- Funded 50/50 by units and OVPR
- Participating units
  - CALS
  - RSENR
  - CEMS
  - CNHS
Individual Roles and Common Goals of Administrators

- **Central Administrators**: facilitate the submission of proposals and financial reports; review and negotiation of sponsored research agreements; signatory officials for sponsored projects

- **Unit (College/SPA 2.0) Administrators**: serve the faculty on a more individual and personal level and act as a liaison between the faculty and the central team

- **Common Goal**: to provide a full range of assistance to faculty in obtaining and administering funding to support creative and scholarly activities
Pre-Award Services, Proposals, Award Administration

Central

• Proposal Review
• System-to-System Proposal Submission
• Prior Approval Requests Approval and Submission
• No Cost Extensions Approval Authority
• Signature Authority

Unit/SPA 2.0

• Proposal Development Assistance
• Budget Development Assistance
• Coordination with SPA Central
• Prior Approval Request Initiation
• Advance Account Requests
• Subaward Documentation Coordination
Award Acceptance, Setup and Outgoing Subawards

• Review and accept sponsored agreements
• Negotiate terms and conditions
• Enter award data into UVM Click
• Setup budgets and chartstrings in PeopleSoft
• Issue and setup outgoing subawards
Post-Award Services, Research Finance

**Central**

- Rebudget Request Processing
- Cost Transfer Review and Approval
- Financial Report Preparation and Submission
- Subrecipient Invoice Review and Approval
- Award Closeout

**Unit/SPA 2.0**

- Meetings with PIs and Project Managers
- Budget Projections
- Coordination with SPA Central
- Expense Monitoring
- Effort Distribution Management
- Rebudget Request Initiation
- Cost Transfers and Transaction Errors
Sponsored Revenue, Cash Management and Audit

• Invoicing and letter of credit drawdowns
• Sponsored collections
• Sponsored accounting
• Sponsored audit management
• PeopleSoft grant suite development
PeopleSoft

- System of record for financial & human resources data
- Source of internal control
  - Award limits
  - Approved budget categories
  - Dates of performance
- Used for
  - Accounting & tracking expenses
  - Reporting of these expenses using various tools
Systems for Managing Sponsored Projects Continued

UVM’s electronic research administration and compliance system where Principal Investigators and staff manage the lifecycle of:

- IRB Protocols
- IACUC Protocols
- IBC Protocols
- Conflict of Interest Disclosures
- Proposal Submission
- Award Management
- Agreements
Systems for Managing Sponsored Projects

**UVMClick**

- Proposal Development is used by Principal Investigators (PIs) to
  - Initiate proposal in UVMClick
  - Prepare budgets
  - Upload proposal documents
  - Route proposals for internal approvals
  - System-to-system proposal submissions

- Proposal Tracking is used by the PI & business unit administrators to
  - Track & report – current & pending support data
  - Storage of finalized documents relating to proposals, awards and subawards
Proposal Development and Submission

• Collaboration between
  Principal Investigator, Business Unit Administrator, and SPA Research Administrator (RA)
    ➢ SPA/RA Contact: https://www.uvm.edu/spa/departmental-assignments

• Determining Principal Investigator (PI) eligibility
  ➢ Faculty or professionally qualified staff
  ➢ Emeriti faculty, with Department & College approval
  ➢ https://www.uvm.edu/spa/principal-investigator-eligibility
Proposal Development and Submission Continued

• Contact SPA/RA early and often. Communication is key!
  - Intent to apply
  - Sponsor guidelines
  - Funding restrictions
  - Answer question on draft budget & proposal requirements and review and submit final proposal

• Budget development: https://www.uvm.edu/spa/develop-budget

• Subawards: https://www.uvm.edu/spa/outgoing-subawards

• Interpretation of university federal and sponsor regulations

• Completion of agency forms and certifications
Proposal Development and Submission Continued

• PI responsibilities
  ➢ Writing the proposal, scope of work
  ➢ Budget development and justification
  ➢ Responsible for the successful routing and approval of the proposal
  ➢ Ultimately responsible for proposal submission
  ➢ Coordinating with sub awardees
  ➢ Get the approval of Dean/Chair on
    ✓ Levels of effort
    ✓ Staff on the project
    ✓ Cost share
    ✓ Space
    ✓ Multi PI plans
    ✓ IBB allocation
Proposal Development and Submission Continued

• Department Chair reviews and approves proposal prior to submission
  ➢ Quality, Consistency with unit mission, Effort, Cost share commitments, Space, IBB allocations

• Business Unit Administrator Responsibilities:
  ➢ Assist PI with budget & other administrative tasks
  ➢ Confirm chartstrings for cost share commitments
  ➢ Assist, if applicable, with decisions on budget & space availability

• Sponsored Project Administration Responsibilities:
  ➢ Provide Institutional guidance, interpretation and implementation of sponsor and university guidelines as they relate to the proposal preparation and submissions
  ➢ Assist with elements of proposal and budget preparation
  ➢ Proposal review for on-time submission*
  ➢ Proposal submission, if applicable
  ➢ Develop procedures and offer training

*2 days in advance of sponsor-published deadline
Proposal Development and Submission Continued

• SPA Fact Sheet - https://www.uvm.edu/spa/spa-fact-sheet

• Regulatory research requirements (use of human subjects, animals, recombinant DNA, etc.)
  ➢ Research Protections Office – https://www.uvm.edu/rpo

• Financial conflicts of interest
  ➢ https://www.uvm.edu/ovpr/research-integrity-financial-conflict-interest-sponsored-research

• University policies & operating procedures
  ➢ http://www.uvm.edu/policies/
Award Acceptance

- Award Receipt & Acceptance at SPA
  - Received in 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
  - 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.

- PI responsibilities (with Business Unit Administrators’ support):
  - Review and approve scope of work, technical reporting requirements, and other terms and conditions and approve any outgoing subawards if applicable
  - Complete Award Data Collection form
  - Work with SPA to negotiate contract as needed
  - Review UVMClick Award Record prior to setup in PeopleSoft
Award Set-up

• Set up in PeopleSoft
  ➢ Budget information and chartstrings – including cost share
  ➢ Reporting and Invoicing terms & conditions
  ➢ Additional terms & conditions

• Issues delaying the set-up
  ➢ Research protection approvals
  ➢ Conflict of interest disclosures
  ➢ Institutional procedures, such as cost policy justification forms
Award Set-up Continued

• Notification is sent from the PeopleSoft system to the designated Project Manager for each project & Department Administrator once award is Active in UVMClick and set up in PeopleSoft.

• Notification includes relevant project data and links to PeopleSoft PI Portal and the UVMClick record
Issuance of Outgoing Subawards

Outgoing Subawards

Subawards are agreements between UVM and other organizations under UVM sponsored projects where:

- UVM PI is the lead and a portion of the work is being done by the PI in the other organization
- The subrecipient organization must follow the terms and conditions of UVM’s prime award
- UVM is responsible for ensuring the subrecipient’s work is completed as planned, all reports are submitted, and all compliance requirements are met

Resources include:
- Sally Roberts, Outgoing Subaward Specialist, uvmsubaward@uvm.edu
- Subrecipient Form: https://www.uvm.edu/spa/forms-library
Award Management

• Critical component of the award life cycle
• Continuous monitoring during this phase of
  ➢ Effort
  ➢ Expenses
  ➢ Cost Sharing
  ➢ Rebudgeting
  ➢ Cost transfers
  ➢ Actions requiring prior approval from sponsor
Award Management Continued

• PI responsibilities (with Business Unit Administrators’ support):
  ➢ Manage project personnel, including subrecipients
  ➢ Ensure cost share commitments are being met, including third party commitments
  ➢ Reconcile budgets on a monthly basis to provide reasonable assurance that transactions are necessary, reasonable, allocable and allowable
  ➢ Contact their Research Administrator and/or Financial Analyst to request prior approvals from sponsor when necessary
  ➢ Approve sub recipient invoices in PeopleSoft
  ➢ Ensure timely & accurate effort reporting of personnel
Award Management Continued

• SPA’s role:

  ➢ All communications with the sponsor’s grant management office
  ➢ Research Administrators (RA) and/or Financial Analysts (FA) assist in preparation and submission of all prior approval requests, some examples include:
    ✓ No Cost Extensions, Carryforward approval, Effort reduction, Rebudgets, Pre-award spending, PI Changes, Changes in scope
  ➢ FAs act as the first point of contact for requests related to PeopleSoft
    ✓ Rebudgeting, Journal Entry approval, Budget checking errors
  ➢ FAs receive the subrecipient invoices, analyze them for expense allowability and other terms & conditions and forwards to the PI for approval
  ➢ FAs do interim financial reports as required by the sponsor
Award Closeout

• SPA prepares and circulates monthly reports of awards:
  - Ending within the next 90 days, or
  - Financial reports due within the next 90 days

• PI receives automatic notification from PeopleSoft before award end date (90, 45, 0 days)

• An email from the Financial Analyst (30 days after end date):
  - Confirming final expenses
  - Requesting clarification on expenses that are miscoded, unusual based on the scope of work of the project, posted after the end date, or potentially unallowable
  - Listing any pending transactions that need to be processed before final report can be submitted
Award Closeout Continued

• PI responsibilities:
  ➢ Ensure that all expenses have been accounted for or have been forwarded to SPA, including the sub recipient invoices
  ➢ Ensure that all cost share commitments have been met
  ➢ Submit Final Technical/Progress reports
  ➢ Submit invention statement, if applicable

• Business Unit Admin responsibilities:
  ➢ Assist the PI with meeting their responsibilities
  ➢ Confirm all expenses meet sponsor and UVM guidelines including allowability, allocability, and reasonableness
  ➢ Ensure that cost share is correctly and fully accounted for against the department chartstring(s)
  ➢ Ensure all transactions are posted within 30 days after the award end date (adjustment period)
  ➢ Ensure there are no pending transactions at the time of the final report
  ➢ Emails SPA FA that all expenses have posted, and award is ready to close

• SPA responsibilities:
  ➢ Responsible for preparing & submitting financial reports
  ➢ Perform Closeout in PeopleSoft & UVMClick
  ➢ Work with Business Unit Admins to ensure all expenses meet sponsor and UVM guidelines
Sponsored Revenue and Cash Management

• PeopleSoft contract activation
  ➢ Final set up step
  ➢ Revenue recognition and billing may begin

• Contract types
  ➢ Cost reimbursable
    ✓ Billing is based on expenses incurred or
    ✓ Billing is based on a predetermined set of milestones with final reconciliation of expenses against payments received
  ➢ Fixed-price agreements
    ✓ Billing is based on a predetermined set of milestones
    ✓ Final financial report to sponsor is not required
    ✓ Any unspent cash balance is subject to Residual Balance Transfer Procedure
  ➢ Fixed-rate agreements
    ✓ Budget bumps
    ✓ Billing is done by the Business Unit Administrator
Sponsored Revenue and Cash Management Continued

• Billing
  ➢ Determined by award’s terms and conditions
  ➢ Billing types
    ✓ Letter of Credit (LOC) draws
    ✓ Invoice billing using UVM or sponsor templates
  ➢ Billing frequency
    ✓ Monthly
    ✓ Quarterly
    ✓ Based on pre-determined milestones
  ➢ Supporting documentation
    ✓ GL breakdown of expenses
    ✓ Personnel data
    ✓ Purchase receipts
    ✓ Progress reports
    ✓ Re-classification of expenses
    ✓ Cost share reports
Sponsored Revenue and Cash Management Continued

• SPA responsibilities
  ➢ Contract setup and activation
  ➢ Compliance with billing terms and conditions
  ➢ Invoice preparation, review and submission
  ➢ Account setup and management in sponsors’ payment request systems
  ➢ Coordination of back-up documentation collection
  ➢ Audit coordination and support

• Unit and PI responsibilities
  ➢ Timely and accurate posting of expenses
  ➢ Back-up documentation collection
    ✓ Purchase receipts
    ✓ Re-classification of expenses
    ✓ Progress reports
  ➢ Progress milestones completion communication
  ➢ Budget bump billing
Sponsored Revenue and Cash Management Continued

• Accounts Receivables
  ➢ SPA responsibilities
    ✓ Receive and post payments to appropriate PS receivables
    ✓ Receive and post budget bump payments
    ✓ Research and correct payment related errors
    ✓ AR collections activities
    ✓ Sponsor refunds
    ✓ AR write-off entries

• Unit and PI responsibilities
  ➢ Assist with collections activities when appropriate and necessary
  ➢ Forward all sponsored project payments to SPA
Sponsored Revenue and Cash Management Continued

• Other responsibilities
  ➢ Sponsored revenue and AR accounting
    ✓ Month-end activities
    ✓ Year-end activities
    ✓ Preparation of year-end sponsored revenue, AR and DFR schedules for inclusion into the University’s financial statements
    ✓ Quarterly revenue recognition processes
  ➢ Payment Management System quarterly cash reporting
  ➢ PeopleSoft improvement initiatives and upgrades
  ➢ Audit support for billing, payments, sponsored AR and revenue.
Audit and Compliance

• Single Audit (formerly known as the A-133 audit)
  ➢ Required due to federal award expenditures exceeding $750,000
  ➢ Federal expenditures reported on the Schedule of Expenditure of Federal Awards (SEFA)
    ✓ The schedule is prepared by Assistance Listing Numbers (ALN, formerly CFDA)
    ✓ Examples include: Federal grants, loans, student assistance, federal flow-through funding, etc.
  ➢ Transactions are tested by auditors to ensure that they are allowable and were recorded/allocated properly. They also are reviewed for compliance with the award agreement, UVM policies and federal/state regulations
  ➢ SPA provides documentation as requested by auditors
  ➢ Meet with auditors to discuss outstanding items and any findings
  ➢ If there are findings, SPA works with appropriate UVM staff to complete Management Response letter.
  ➢ Once complete, upload audit report to the Federal Audit Clearinghouse
Audit and Compliance (continued)

• Subrecipient Monitoring
  ➢ Risk Assessments of UVM Subrecipients
    ✓ Determines the financial risk when working with subrecipients and the need for additional terms and conditions.
    ✓ Risk determined by a matrix that considers multiple factors
    ✓ Low, medium, and high risk rating classifications
  ➢ Desk Review of UVM Subrecipients
    ✓ Perform 2-3 desk reviews per year
    ✓ Select a subrecipient invoice to review
      o Verify fringe and F&A rates
      o Review backup documentation for expenditures
      o Review effort
      o Determine whether invoice amounts are accurate and if the invoice was properly certified
Audit and Compliance (continued)

• Other Audit Management
  ➢ Sponsor Desk Reviews of UVM invoices
  ➢ Sponsor Requested Audits
    ✓ On-Site
    ✓ Remote
  ➢ Sponsor Requests for UVM Single Audit

• Other Compliance Activities
  ➢ State of Vermont annual Subrecipient Report
  ➢ Private Business Use Analysis
  ➢ SAM.gov registration renewal/updates
  ➢ Dissemination of new regulatory and legal topics regarding pre-award and post-award activities
Educational Resources Available – SPA Website and SPA News

Visit [www.uvm.edu/spa](http://www.uvm.edu/spa) and Subscribe to SPA News!

SPONSORED PROJECT ADMINISTRATION

Sponsored Project Administration is a full-service research administration and compliance office committed to assisting faculty, staff, and sponsors navigate the lifecycle of a sponsored project. SPA provides institutional approval for all proposal submissions, accepts awards on behalf of UVM, and facilitates award administration.

For assistance in any one of the following areas please contact us.
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/
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