Introduction to Sponsored Project Administration

Presented by

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The University of Vermont

SPA EDU 23/24 Academic Year Sessions

SPA EDU

Check availability and register by logging in to PeopleSoft HR.

Topic	Course	Date	Time
UVMClick New Proposals		Sept 27, 2023	9 AM - 10:30 AM
Introduction into Sponsored Projects	POL012	Sept 29, 2023	2:30 PM - 4 PM
Budget Building for Proposal Development	POL034	Oct 31, 2023	9 AM - 10:30 AM
Reviewing and Understanding Sponsored Agreements	POL039	Nov 15, 2023	1:30 PM - 3 PM
Cost Transfers on Sponsored Projects	POL021	Nov 28, 2023	1 PM - 2:30 PM
Proposal Submission to National Science Foundation	POL043	Nov 30, 2023	9 AM - 10:30 AM
Cost Sharing on Sponsored Projects	POL022	Dec 13, 2023	1:30 PM - 3 PM
Sponsored Billing	POL040	Feb 21, 2024	10 AM - 1130 AM
Personnel Effort on Sponsored Projects	POL042	Feb 28, 2024	10 AM - 11:30 PM
PeopleSoft Tools & Best Practices for Financial Management of Sponsored Projects	CPT075	March 6, 2024	9:30 AM - 11 AM
Accepting and Managing International Agreements	POL045	March 27, 2024	9:30 AM - 11 AM
Award Acceptance for Sponsored Agreements & Establishment of Advance Accounts	POL020	April 10, 2024	9:30 AM - 11 AM
Sponsored Project Financial Reporting and Closeout	POL024	April 25, 2024	9 AM - 10:30 AM
Outgoing Subawards	POL010	May 22, 2024	1:30 PM - 3 PM
Proposal Submission to NIH in UVMClick	POL038	May 29, 2024	9 AM - 10:30 AM
Trainee and Participant Support Costs		TBD	

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
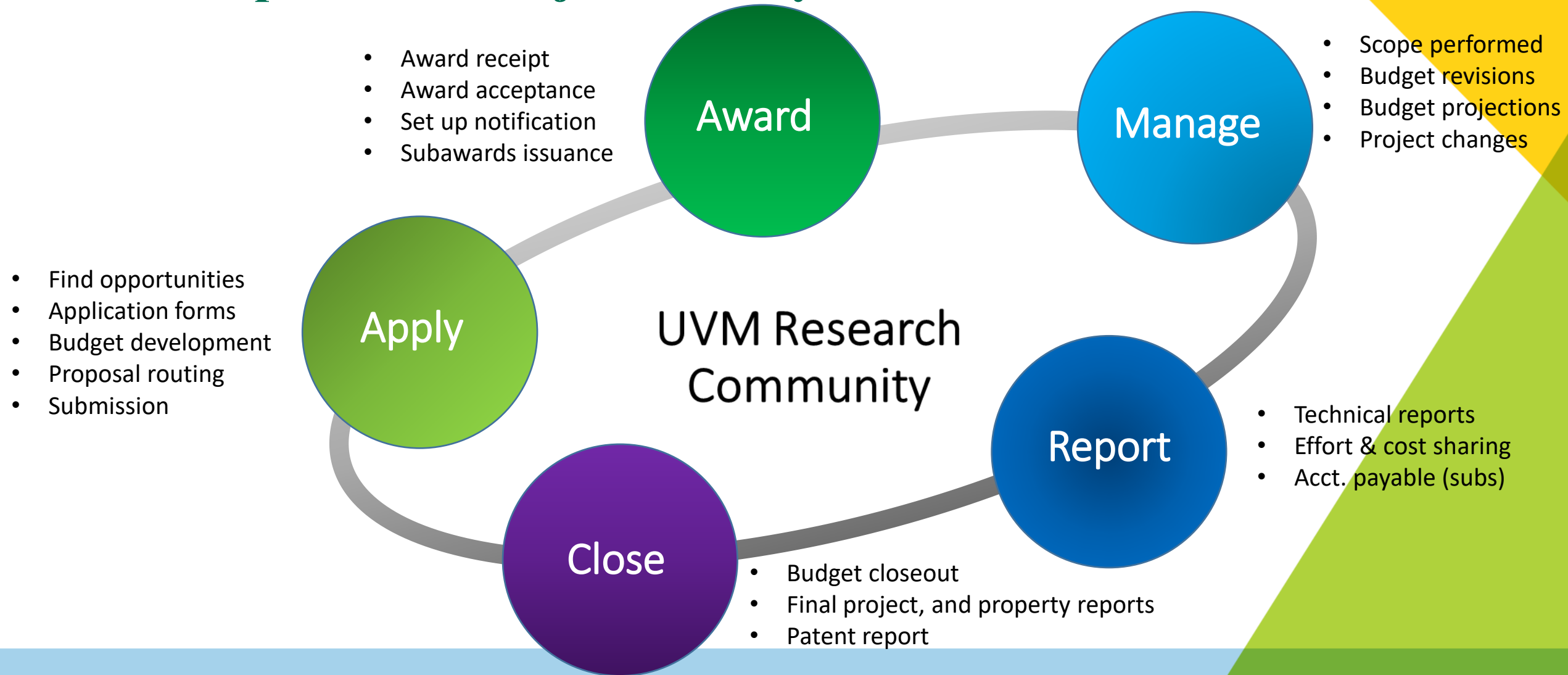
UVM Research Community

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

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

- **$230M+** annual volume of awards on **700+** award actions

- **1,000+** proposals submitted

- **400+** 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

Sponsored Project Administration Org Chart
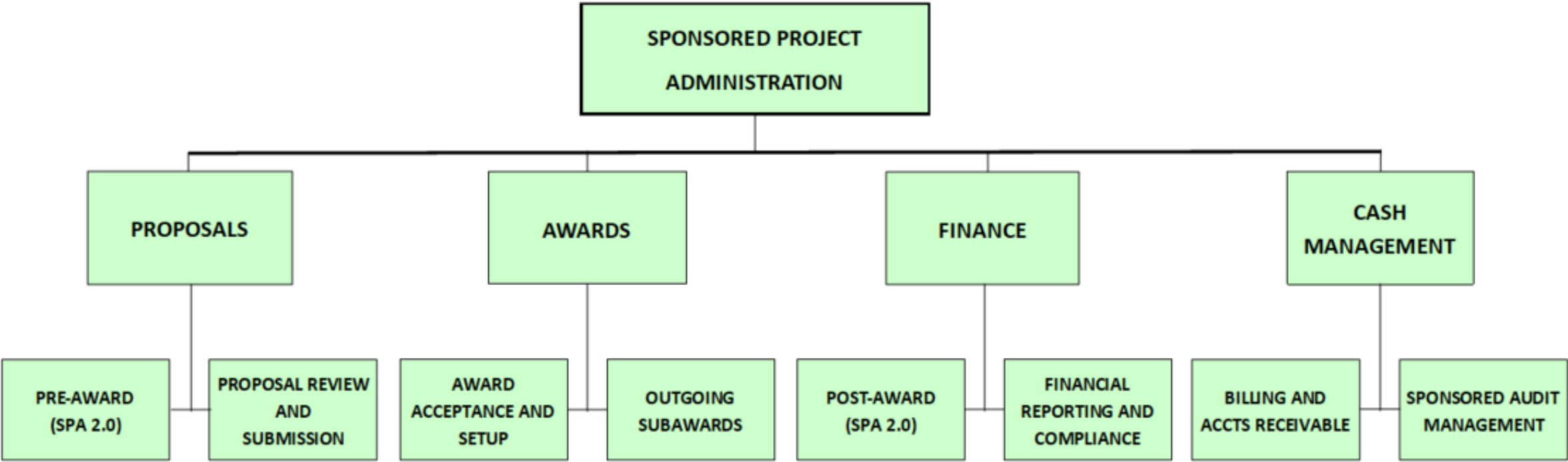
SPA 2.0

- Concept
  - ➢ Departmental research administration
  - ➢ Hired, trained, supervised by SPA
  - ➢ Funded 50/50 by units and OVPR
  - ➢ Participating units
    - ✓ CALS
    - ✓ RSENR
    - ✓ CEMS
    - ✓ CNHS
    - ✓ CAS
    - ✓ CESS

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

- **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

College/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

College/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

Systems for Managing Sponsored Projects Continued

PeopleSoft

- System of record for financial & human resources data
- PI Portal – PeopleSoft grant management tool
- 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

UVMClick

- 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

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 –
    - ➢ reporting & invoicing terms
    - ➢ publication, data ownership & Intellectual Property rights
    - ➢ indemnification and insurance requirements
    - ➢ applicable university policies & procedures

Tracking your Award in UVMClick

➢ UVMClick Award Status Tracker

Complete	Complete	Pending	Complete	Complete	Complete	Pending	Pending	Pending
SPA Administrator Assigned	PI Approval of award confirmed by SPA	Department award data collection form accepted by SPA	Compliance Review accepted by SPA (IRB, IACUC, FCOI, EC)	SPA award review and negotiation completed	Award document fully executed by UVM and sponsor	Department Review of smartform completed	PeopleSoft set-up preparation completed by SPA	Setup Complete in PeopleSoft

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

Totals	Funding Allocations	COI Person Details	Subawards	Related Projects	Reviewers	History	...

	Activity	Author	▼ Activity Date
➜	Sent For Dept Review	Trantum, Emily Joy Wilson	9/28/2023 11:48 AM

Hello,

Please review prior to setup.

Thank you!

-Emily

	Activity	Author	Activity Date
✓	Updated Award Status Tracking	Trantum, Emily Joy Wilson	9/28/2023 11:47 AM
✓	Updated Award Status Tracking	Trantum, Emily Joy Wilson	9/27/2023 5:42 PM
👤+	Assigned Financial Analyst	Trantum, Emily Joy Wilson	9/27/2023 5:22 PM
✉	Email Sent	Trantum, Emily Joy Wilson	9/27/2023 5:21 PM

Hello ▮▮▮▮,

I'm the UVM SPA staff member responsible for UVM's acceptance of the sponsored project referenced above. Please note the short turn around on this award, the sponsor has asked for this to be returned this Friday by noon.

In support of UVM's a... read more ▼

📄 23-JV-11242308-117 Draft_FSga.pdf
📄 Award Data Collection Form.xlsx

	Activity	Author	Activity Date
👤+	Specialist Assigned	Trantum, Emily Joy Wilson	9/27/2023 5:16 PM
👤+	Specialist Assigned	Dunn, Schuyler Graham	9/27/2023 5:11 PM

Please return PE to sponsor by noon on 9/29/23
📄 23-JV-11242308-117 Draft_FSga.pdf

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
  - ➤ SPA receives the subrecipient invoices, the FA analyzes them for expense allowability and other terms & conditions and routes to the PI for approval in PeopleSoft
  - ➤ 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
  - ➢ Work with Business Unit Admins to ensure all expenses meet sponsor and UVM guidelines
  - ➢ Perform Closeout in PeopleSoft & UVMClick

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)

  ➢ 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

  ➢ 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 and Subscribe to SPA News!

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