



Sponsored Project Administration

Procedure: Award Transfer Into UVM

Owner: Sponsored Project Administration

Effective date: 3/1/2024

Last Updated: 3/1/2024

Purpose

Awards are made by and between Organizations/Institutions and Sponsors. When a Principal Investigator (PI) plans to transfer into UVM, any awards to be transferred into UVM must first be relinquished by the PI's previous institution. The sponsor will then work with UVM resulting in an award to UVM at amounts equal to the remaining unspent balance of the award. The transfer in the process is considered a new sponsored project, meaning a new UVMClick funding proposal will need to be generated following our Proposal Preparation, Review, and Submission Procedure with a few additional questions for consideration. Once the UVMClick Funding Proposal is in place the award can be accepted and set up following our Award Acceptance and Set-up Procedure.

Roles and Responsibilities

Principal Investigator (PI):

PIs have the responsibility for all aspects of a proposal and are expected to submit a submission-ready proposal, meeting the sponsor's transfer process documentation.

A submission-ready proposal means a complete, accurate proposal that meets all sponsor programmatic and administrative guidelines and UVM requirements. This may differ on what is needed based on Sponsor's transfer policy.

PIs may coordinate and delegate certain components of the proposal preparation to designated department or college support staff, where available.

Unit Administrator (UA):

Department, Center, College, or School Unit Administrators who are delegated responsibility for various aspects of the proposal process and assist in coordinating the review and submission to SPA.

Department Chair or Designee:

In coordination with the College, assign department staff to assist Principal Investigators with preparing a submission ready proposal meaning a complete, accurate proposal that meets all sponsor programmatic and administrative guidelines, and UVM requirements. This includes completing all required proposal forms.

Reviews and approves proposals for consistency with department policies and procedures and University requirements.

Department reviews typically include an assessment and approval of the following:

Budget is accurate; costs are allowable, reasonable, and allocable to the project; personnel listed are available and qualified to participate in the project; Institutional Base Salary (IBS) is accurate; any proposed cost-share is accurate and documented; F&A is accurate, facilities are available; PI meets UVM's PI Eligibility requirements and all compliance requirements (examples: human subjects, vertebrate animals, financial conflict of interest) are met.



College Dean or Designee:

Provide direction, resources, and oversight to ensure that the college and department administrators provide PIs support towards preparing, reviewing, routing and approving proposals for submission.

Reviews and approves proposals for consistency with college policies and procedures as well as various institutional requirements.

College reviews typically include an assessment and approval of the following:

Personnel listed are available and qualified to participate in the project; Institutional Base Salary (IBS) is accurate; any proposed cost-share is accurate, and approvals documented; F&A is accurate, facilities are available; PI meets UVM's PI Eligibility requirements.

SPA Research Administrator (RA):

Performs a final review of the proposal prior to submission to the sponsor. As time allows and in keeping with the best practices timeline in Appendix B of this document, the RA will review the proposal according to the roles and responsibilities outlined in Appendix A.

Acts as university signing official to provide institutional endorsement and certifications on all proposals. Submits proposals directly to sponsor using electronic submission systems where required.

Provides ongoing consultation and assistance in interpreting sponsor and university guidelines as related to proposal submissions.

Sponsored Project Administration (SPA):

SPA is responsible for developing institutional policies, procedures, and systems to ensure efficient and effective proposal preparation and submission practices; developing and maintaining training materials on proposal preparation and submission to assist department administrators and PIs; provide and maintain a UVM electronic research administration system used for creating, routing and submitting proposals and provide guidance for using these systems.

Definitions

SPA: Sponsored Project Administration

RA: Research Administrator

PI: Principal Investigator

UA : Unit Administrator (For the purpose of all procedures, Business Unit Administrator, Business

Manager, Grant Administrator and Department Administrator are all used interchangeably and refer to the person assisting the PI in the Department.)

Procedure

The process begins when the PI accepts a position at UVM and is confirmed UVM PI eligible. The PI at this point should have worked with their Program Officers and their former employer, securing a formal statement that allows for the relinquishment of selected awards that will transfer in to UVM Once UVM is notified by the PI or sponsor that an award will be transferring in the next steps are to determine sponsor requirements, prepare, submit a UVM funding proposal using UVMClick our electronic research administration system, and submit the funding proposal to the sponsor for approval.



Proposal Development Team

1. PI coordinates and may delegate certain components of the proposal preparation to designated department or college support staff where such resources are available.

Initiates Proposal in UVMClick

1. PI/UA initiates UVMClick record for new proposal and upload required sponsor documentation for transfer as a proposal.
2. PI/UA contacts the assigned SPA RA as early as possible once the proposal has been initiated in UVMClick.
3. PI/UA coordinates communication and escalates proposal development questions, concerns, and issues well in advance of the deadline to allow sufficient time for appropriate University offices to respond.

Proposal Development

1. PI is responsible for the development of the proposal's statement of work to be accomplished within the project period proposed, for the amount of funding being requested.
2. PI/UA coordinates and assembles programmatic and administrative components of the proposal.
3. PI/UA coordinates with subrecipients to ensure timely availability of all subaward materials, including budget, budget justification, and scope of work for all subrecipients.

Prepare Budget

1. PI/UA uploads sponsor guidelines to UVMClick. PI/UA creates detailed budget information within the UVMClick funding proposal record.
2. PI/UA creates a sponsor proposal budget and budget narrative needed to accomplish the project. This budget must follow sponsor formatting, limitations, and University policies. PI/UA ensures accurate salaries, fringe, and F&A rates are used.
3. The PI/UA reviews the budgets for compliance with sponsor and UVM guidelines, including allowable costs, effort requirements, and F&A.
4. If cost sharing is included, the Department Chair and College Dean will confirm cost sharing meets the UVM cost sharing policy, proposed cost sharing is allowable, and approvals are included with the UVMClick Funding Proposal. In addition, it will verify cost sharing is accurately reflected in the UVMClick Funding Proposal budget and sponsor budget forms.
5. PI/UA will complete the F&A allocation – Calculation Tool and upload it to UVMClick Funding Proposal.

Finalize Budget

1. PI/UA submit a final budget, with the final proposal, to the Department Chair and Dean for approval using UVMClick's electronic workflow. Once approved, the electronic workflow moves to SPA RA for submission.
 - a. For all system-to-system proposals (Grants.gov), the PI/UA will complete the UVMClick funding proposal budget.
 - b. For all non-system-to-system proposals, PI/UA completes the Click budget and uploads completed sponsor budget forms and budget justification into UVMClick.



Finalizing Proposal for Internal Review and Submission

1. To follow are the various methods of finalizing, depending on your submission type:
 - a. For Grants.gov system-to-system submissions (NIH, USDA, e.g.) the PI/UA should enter budget details and upload all required documents into the appropriate SF424 form fields.
 - b. For non-system-to-system proposals, the PI/UA should enter budget details and combine all proposal documents into a single PDF to upload into UVMClick as the proposal.
 - c. For proposals submitted via other electronic submission systems (i.e., AHA, proposal Central, NSF Research.gov) the PI/UA should download a PDF of the completed proposal as it appears in the proposal submission system, and upload this in its entirety to UVMClick.
2. Once the proposal is submission-ready and PI certification has been completed, the PI/UA can start the electronic workflow to collect Department and College approval, which will then flow to SPA for submission to the sponsor.

Internal Deadlines

In general, there will not be a sponsor-specified deadline, however, every attempt should be made to submit the sponsor as soon as possible the grant transfer funding proposal. Transfers typically take months to complete with most of the time being consumed by the formal relinquishment and close-out of awards at the former institution, which must be completed prior to the sponsor requesting any information from UVM. If there is a deadline, please allow SPA 2 business days before the deadline. This allows the department, college, and SPA time to provide a review, fix issues, and ensure a successful submission.

Advance Accounts Requests

If the PI or other UVM representatives are certain an award will be transferred in, consider obtaining an Advanced Account, which allows a chartstring to be established with a budget made available for spending in support of the incoming work. Having an Advance Account established will avoid delays in hiring, and technical progress and allow expenses to be properly recorded, avoiding cost transfers. To request an Advance Account, the PI should work with their UA and submit the Advance Account Request form as an activity within the UVMClick funding proposal.

Equipment Transfers

Equipment may be transferred into the UVM when acquired on an incoming, transferred award. The equipment must be tagged and included in the official UVM asset database for insurance purposes. This ensures compliance with the Uniform Guidance and UVM policies and procedures. Upon arrival of the equipment, send a list of equipment to Financial and Cost Accounting Services including Asset Description, Acquisition Date, Acquisition Cost, Book Value, Model, Manufacturer, and Serial Number. Financial and Cost Accounting Services will coordinate with the PI or designee for the UVM's standard tagging procedures.

Carryover

If there are carryforward balances from the prior institution, please notify SPA at the time of the UVMClick funding Proposal development. In cases of automatic carryforward, SPA will need to follow up with the sponsor to ensure the balance is transferred to UVM. If carryover is not automatic, the PI will need to include a budget and justification with the UVMClick funding proposal to request approval of the restricted prior year carryover.



FAQs

<<Insert FAQs and answers. >>

<<For additional questions, please contact xyz at abc>>

Helpful Links

<<List Applicable Work Instruction >>

<< Location of Procedure >>

<< Helpful job aids/tools >>