SPA Seminar:
Award Acceptance for
Sponsored Agreements &
Establishment of
Advance Accounts

Presented by
Emily Trantum
Team Lead
Award Acceptance, Set-up and
Outgoing Subaward,
Signing Official
## SPA EDU Offerings

<table>
<thead>
<tr>
<th>Topic</th>
<th>Course</th>
<th>Date</th>
<th>Time</th>
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<tr>
<td>Introduction to Sponsored Project Administration</td>
<td>POL012</td>
<td>8/28/2019</td>
<td>10:30AM-12:00PM</td>
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<tr>
<td>Essential Regulatory Compliance Topics in SPA</td>
<td>POL018</td>
<td>9/12/2019</td>
<td>1:30PM-3:00PM</td>
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<tr>
<td>Finding Funding: Tools and Tips</td>
<td>POL030</td>
<td>9/18/2019</td>
<td>9:00AM-10:30AM</td>
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<td>POL031</td>
<td>10/7/2019</td>
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<td>CPT075</td>
<td>11/6/2019</td>
<td>10:00AM-11:30AM</td>
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<td>Sponsored Project Financial Reporting and Closeout</td>
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<td>11/12/2019</td>
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Agenda

• Welcome and introductions
• Key components of an award
• Award Acceptance at UVM
• Advance Accounts at UVM
• New award considerations
UVM Sponsored Project Life Cycle

UVM Research Community

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

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

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

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

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

Sonya Stern
Director
Sponsored Project Administration

Julie Macy
Team Lead
Proposal Submissions
Award Administration
- Josh Tyack
  Research Administrator Sr.
- Gretchen Agraves
  Research Administrator
- Deb Cannon
  Research Administrator
- Kerry Lavelette
  Research Administrator
- Sally Roberts
  Outgoing Subaward Specialist

Emily Trantum
Team Lead
Award Acceptance
Set up and Subawards
- Jeri Anderson
  Award Acceptance Officer
- Travis Morrison
  Award Acceptance Officer
- Molly Epstein
  Award Acceptance Officer
- Bernie Cuffrey
  Set Up Specialist

Linda Serrantonio
Team Lead
Research Finance
Reporting
- Kim Dutton
  Financial Analyst Sr.
- Tam Tran
  Financial Analyst
- Jenifer Purvce
  Financial Analyst

Lana Metayer
Team Lead
Sponsored Revenue
Cash Management
- Sue Lalumiere
  Financial Analyst Sr.
- Tiffany Stewart
  Financial Analyst
- Kathy McConnell
  Financial Analyst

Marcy Whittle
Compliance Analyst Senior

Schuyler Dunn
Operations & Office Support

Updated 6/21/19
Purpose of the Presentation

• Understanding key components of sponsored award documents, and what award acceptance and advance account meant at UVM

• Learning Objectives:
  - Learn key components of award review
  - Understand what happens during Award Acceptance process
  - Know how and when to request an Advance Account
  - Learn roles and responsibilities for these processes
Sponsored Activities Fundamentals at UVM

• Sponsored Project Administration is the only UVM office authorized to accept awards made in support sponsored activities, such as grants, contracts, cooperative agreements, on behalf of the University of Vermont.

• Any document or agreement related to sponsored activities requiring an authorized official signature, including “no money” collaboration agreements, must be submitted to Sponsored Project Administration for review, approval, and signature.

• Signing officials for the purpose of award acceptance at UVM are:
  • Emily Trantum, Julie Macy, Sonya Stern, and Brian Prindle
Key Components of an Award
Awards/Agreements

• Sponsored Project agreements, at a minimum outline:
  ➢ Detailed Scope of Work
  ➢ Defined period of performance
  ➢ Required deliverables
  ➢ Payment provisions, reporting, and management
Unilateral vs. Bilateral

- Unilateral agreements
  - One party signs – the sponsor
  - Critical review still needs to occur - may be negotiated
  - Once spending occurs, the terms are “accepted”
Unilateral vs. Bilateral

• Bilateral agreements
  ➢ Two parties sign
  ➢ Often negotiated at least one round
• Master Agreements and Task Orders
Funding Source

• Needs to be clearly identified and referenced
  ➢ Sponsor
  ➢ Federal Award Number
  ➢ Total amount by Award Number (if multiple)
  ➢ CFDA

• Dictates how the funding is managed and reporting requirements
  ➢ Comingling of funds (if multiple sources)
  ➢ Reporting requirement
  ➢ SEFA
  ➢ Audit
Scope of Work

• Scope should be clearly written and distinguish the project from others

• Scope should address:

  ➢ Nature of the work
  ➢ Who will perform the work
  ➢ When and where the work will be performed
  ➢ How the work will be performed
  ➢ Specific aims, milestones, and deliverables
Scope of Work and Award Administration

• Reasonableness – the cost is appropriate for completion of the proposed work to an objective individual

• Allocability – the cost has been incurred solely to support the work outlined in award

• Necessity – the cost is needed to complete the work

• Payments may be based on milestones and deliverables or reimburse costs incurred
Effective Date vs. Performance Period

• Effective Date – date in which the award is to take effect
  - may be past, present, or future
  - can be before the project start date

• Examples:
  - Effective Date: 08/14/2018
  - Project Start Date: 10/01/2018
  - Current/signature Date: 12/1/2018
Effective Date vs. Performance Period

• Term – the date in which the contract is no longer valid

• Period of Performance/Project Periods – defined period of time in which the grantee or contractor is expected to complete the Scope of Work, incur costs, and record them in financial system
Effective Date and Award Administration

• Has work already occurred on the project?
• Were supplies or other start up charges incurred?
• Is there an Advanced Account with charges?
Critical Review of the Budget

• Was the budget awarded as proposed?
• Is there a reasonable explanation of why it changed?
  ➢ Changes in Effort
  ➢ Key (or other) Personnel Changes
  ➢ Changes in Scope of Work
  ➢ Sponsor reduced or increased the funded amount
Budget

• Final negotiated/awarded budget should be incorporated into agreement*

• Total funded amount should be stated in agreement

• Revised budget worksheet has to tie in total to the final award

*may not include a detailed budget in fixed price agreements
Budget and Payment Terms

• Agreement should *clearly state* whether payment terms are cost-reimbursable or fixed price

• Cost-Reimbursable
  - Detailed budget by cost category is typically incorporated in agreement
  - Payment is based on costs incurred not completion of deliverables/milestones
Budget and Payment Terms

• Fixed Price

  ➢ Payment schedule based on completion of deliverable/milestone or by date (could also be in the form of advance fixed payment)
  ➢ Detailed budget generally should not be incorporated into agreement
  ➢ Language in agreement should explicitly address residual funds for clarification
  ➢ Can be risky to the institution
Cost Share

• Committed/Voluntary vs. Mandatory
  ➢ Fixed dollar amount
  ➢ Match of funds (1:1)
  ➢ Percentage of funded amount
  ➢ Effort (Ex: 20% of PI effort)
  ➢ Third Party

• Identify the funding source - cost share chartstring
Payment Terms/Invoices

• Are the payment terms appropriate for the funding source?

• Can the payment terms be accommodated by Unit Administrator? SPA?
  
  ➢ Back-up documentation?
  
  ➢ Detailed labor information?
  
  ➢ When are invoices due?
  
  ➢ Where are invoices submitted?
  
  ➢ When must they be paid?
  
  ➢ Are there formatting requirements included?
Reporting Requirements

• How often?

• How much detail?

• Are they reasonable?

• Is there a schedule of deliverables or based on milestones?

• Are they tied to payment? Do the dates/milestones align?
Notices Section

• Is there a clear contact for:
  - Scientific/Technical Matters
  - Administrative/Contractual Matters
  - Financial/Post-Award Matters

• FDP awards typically address this on Attachment 3B
Inventions and Publications

• If there is possibility for an invention or proprietary information/product, include:
  ➢ Language for Institution Acknowledgment
  ➢ Key Personnel or others on Project
  ➢ Who will receive payments?
  ➢ Who will pay for patent applications?
Prime Agreement and Exhibits

• If flow through award, prime agreement needs to be included
  ➢ Additional obligations from prime sponsor
• Exhibits
  ➢ Budget
  ➢ Payments Schedule
  ➢ Scope of Work
  ➢ Invoicing Template
Award Acceptance at UVM
Individual Roles & Responsibilities in Award Acceptance

Principal Investigator and Unit Administrator

- Participate in the negotiation and acceptance process, as needed
- Review agreements and other documents as requested by SPA, to ensure acceptance and communicate any need for changes
- Provide and prepare information as needed and requested by sponsor or SPA

Sponsored Project Administration

- Negotiate a mutually acceptable award for all sponsored projects on behalf of UVM and Principal Investigators.
- Coordinate and communicate award acceptance process to identified stakeholders.
Award Acceptance Process Flow

A Preview of UVMClick-Grants Award Module process flow

Roles and responsibilities for award acceptance will remain the same, the process flow and forms will change slightly
A Preview of UVMClick-Grants Award Module process flow

Roles and responsibilities for award acceptance will remain the same, the process flow and forms will change slightly
Advance Accounts at UVM
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
- Provides all supporting documentation, including written confirmation from a sponsor of the forthcoming award

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
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.
Establishing an Advance Account

- The Principal Investigator or Unit Administrator can initiate an Advance Account by completing and emailing the Advance Account Request Form to spa@uvm.edu.

- 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.

- When we switch to UVMClick, the roles and responsibilities for advance accounts will remain the same, the process flow and the form will change slightly.
Principal Investigator / Unit Administrator Steps

Submit the Advance Account request to SPA by emailing spa@uvm.edu, along with all required documentation:

- 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) and SPA budget worksheet with the requested budget
- Provide written confirmation from the sponsor that the award is forthcoming (e.g., an award document, or an email from the sponsor confirming the award and the anticipated start date)
- Submit all materials by emailing to spa@uvm.edu with the subject line “Advance Account Request”
Sponsored Project Administration Steps

- SPA intake person monitors spa@uvm.edu
- Completed Advance Account Request Forms and documentation are added to the Award Log and forwarded to the Award Team Lead for assignments
- The assigned AAO emails the department acknowledging receipt of the request
- AAO reviews the form and clarifies any questions they may have
- In cases where advance account will not be established, the assigned AAO notifies the department
Sponsored Project Administration Steps, Continued

• AAO processes the request, prepares the checklist for set up and passes it to SPA Setup

• Using the checklist, the Setup Specialist enters the award into PeopleSoft

• When the setup is complete, the Setup Specialist notifies the PI and critical department personnel that they can begin spending

• While in process the advance account appears on the weekly Awards in Process Report
Advance Account Form Tips

- Complete all fields in form
- Include sponsor documentation that indicates an award is forthcoming
- Attach SPA budget worksheet with your requested Advance Account budget.

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**Sponsored Project Administration Advance Account Request Form**

Please complete all fields of this form then email the completed form to spa@uvm.edu with “Advance Account Request” in the subject line. Please also include documentation from the sponsor (if any) that indicates an award is forthcoming.

<table>
<thead>
<tr>
<th>Project Information</th>
<th>InfoEd Number:</th>
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<tbody>
<tr>
<td>Principal Investigator:</td>
<td>Department:</td>
</tr>
<tr>
<td>Department:</td>
<td>Department Contact:</td>
</tr>
<tr>
<td>Anticipated Award Start Date:</td>
<td>Anticipated Award End Date:</td>
</tr>
<tr>
<td>Sponsor:</td>
<td>Prime Sponsor:</td>
</tr>
<tr>
<td>Project Title:</td>
<td></td>
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</table>
Select duration that matches start and end dates

Include a SPA budget worksheet that matches your request

If you have human subjects, animals, or biohazards: either provide the approved protocol that is linked to the record in InfoEd—or—check the certification box

Do you have cost share? Make sure to include cost share chartstring to ensure the cost share chartstring is setup
Advance Account Form Tips Continued

By signing below, the parties understand and accept the risk with establishing Advance Accounts and incurring pre-award costs. If for any reason an award is not received or accepted, or if expenses are otherwise found to be unallowable, the costs incurred must be removed. In that event, the PI and department contact will receive a notification from SPA, and the Advance Account must be extended or expenses removed within 30 days of receipt of the notification. If expenses remain after 30 days, SPA will transfer all costs incurred to the chartstring identified below.

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<th>RESPONSIBLE UNIT - Approvals and Signatures</th>
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<th>Fund</th>
<th>Source Code</th>
<th>Function</th>
<th>Program</th>
<th>Purpose</th>
<th>Property</th>
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<tbody>
<tr>
<td>Name (please print)</td>
<td>Signature</td>
<td>Date</td>
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<tr>
<td>Principal Investigator - required</td>
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<tr>
<td>Department Chair - required</td>
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<td>Dean - optional - if unit requires</td>
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Provide chartstring for unit assuming the risk

After form is completed, attain required approvals
New Award Considerations:

Department New Award Checklist

Award Kickoff Meetings with SPA?
Department New Award Checklist

Know the Requirements for The Award

- Read the award documents thoroughly. Make sure you understand which rules, regulations, and requirements apply to this award.

- Note important dates for reports, deliverables, and performance period and who is responsible for which reports. (Coordinate with your assigned SPA FA for reports that include financial information.)

- Note any special terms and conditions for the award. (For example: extended record retention requirements, travel and purchase limitations, billing, equipment disposition instructions, etc.)
Department New Award Checklist Continued

Human Resource Planning

- Review personnel included in the grant proposal, including both direct and cost shared expenses.

- Review the total effort commitments for key personnel to ensure the proposed level for this new project is possible, keeping in mind other commitments.

- Allocate personnel to new project.

- Contact your assigned SPA RA if a reduction in effort needs to be requested from the sponsor.
Department New Award Checklist Continued

Purchase Planning

- Verify procurement process for budgeted equipment with Purchasing and initiate purchases.

- Finalize the scope of work and other details for independent consultants and initiate the contracting process with Purchasing.

- Comply with all UVM and sponsor requirements for all expenditures. For federal awards (directly awarded or via a subaward from another institution) this includes Uniform Guidance.
Subawards

- Confirm the budget and scope of work documents with the subaward recipient.
  Include a schedule of reports you will need from the subawardee.

- Confirm the details of the proposed subawards and work with SPA Outgoing Subaward Specialist to issue subawards.
Department New Award Checklist Continued

Cost Share

- Proposed cost share becomes an obligation of the award. Review the cost share requirements and make a plan.

- Confirm chart strings for cost share commitments and begin recording cost share as it occurs and through the life of the grant.

- Monitor cost share commitments and expenses in project ledger and operating ledger.

- Third Party cost share must be documented by the provider and submitted by PI to the assigned SPA FA.
Department New Award Checklist Continued

Reminders

- All award expenses must be reasonable, allowable, allocable, and consistently applied.
- Cost-shared expenses must meet the same allowability rules as direct expenses, unless directed by sponsor.
- Visit https://www.uvm.edu/uvmweb/sponsored_programs/spa-procedures for SPA procedures.
- Visit https://www.uvm.edu/spa/education-and-learning for educational opportunities offered by SPA.
- Contact your assigned SPA RA and FA with questions or concerns.
New Award Kickoff Meetings

• SPA hosts “Award Kickoff” Meetings for
  ➢ Any department wishing to have a discussion of award’s terms and conditions and award management questions
  ➢ Any award where SPA believes there exist circumstances that warrant a discussion with all stakeholders to ensure effective and efficient management (e.g. multi-year, multi-department, complex subawards, complex cost sharing, unusual billing terms)

• Format
  ➢ Assigned SPA Staff (RA, FA), Department Administrator(s), and PI
  ➢ Discuss compliance, grant details, specific guidelines and responsibilities
  ➢ Departments request kickoff meetings by contacting spa@uvm.edu