Introduction to Sponsored Project Administration

Presented by

Sonya Stern, Director, Sponsored Project Administration

Julie Macy, Team Lead, Proposal Submission & Award Management

Emily Trantum, Team Lead, Award Acceptance, Set-up & Outgoing Subawards

Linda Serrantonio, Team Lead, Research Finance & Reporting

Lana Metayer, Team Lead, Sponsored Revenue & Cash Mgmt

The University of Vermont

SPA EDU Offerings

Course Name	PS Course	Facilitators	Scheduled Dates
SPA Seminar: Introduction to Sponsored Project Administration	POL012	Sonya Stern, Julie Macy, Emily Trantum, Linda Serrantonio and Lana Metayer	09/19/18 and 01/10/19
SPA Seminar: Essential Regulatory Compliance in Sponsored Project Administration	POL018	Marcy Whittle and Sonya Stern	09/27/18
SPA Seminar: PeopleSoft Tools and Best Practices for Financial Management of Sponsored Projects	CPT075	Linda Serrantonio and Lana Metayer	10/10/2018 and 04/17/2019
SPA Seminar: Preparation, Review and Submission of Sponsored Project Proposals	POL019	Julie Macy	10/23/2018
SPA Seminar: Award Acceptance for Sponsored Agreements. Establishment of Advance Accounts.	POL020	Emily Trantum	11/13/2018
SPA Seminar: Outgoing Subawards	POL010	Molly Epstein and Linda Serrantonio	12/11/2018
SPA Seminar: Cost Transfers on Sponsored Projects	POL021	Linda Serrantonio and Dawn Caffrey	02/13/2019
SPA Seminar: Cost Sharing on Sponsored Projects	POL022	Julie Macy and Linda Serrantonio	03/19/2019
SPA Seminar: Carrying Forward of Funds From One Year to Another and No Cost Extensions on Sponsored Projects	POL023	Linda Serrantonio and Julie Macy	04/10/2019
SPA Seminar: Sponsored Project Financial Reporting and Closeout	POL024	Linda Serrantonio	05/09/2019
The History of IRB, IACUC and IBC Intuitional Review Boards	POL025	Melanie Rocher	02/14/2019
Export Control Regulation in the Context of Sponsored Research	POL029	Victoria Jones	04/25/2019
Financial Conflict of Interest on Sponsored Research	POL028	Victoria Jones	02/28/2019

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

Sponsored Projects vs. Gifts

Sponsored projects

- ✓ All federal sponsored projects
- ✓ Have defined scope of work and specific period of performance
- ✓ Require progress and financial reporting

Gifts

- ✓ No scope of work
- ✓ Voluntary contribution, no expectation of return of information
- ✓ No contractual obligations, reporting requirements, or IP rights

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

Fundamentals: What Does the Sponsor Look For?

- Principal Investigator Capability

- Quality and Experience of the Research Team

- Project Alignment with Sponsor's Research

- Ability to Carry Out Project

- Past History of Successful Research

- Contribution to the Discipline or Field

- Novel or Unique Project/Innovation

Fundamentals: What Does the Sponsor Look For?

- Priorities/Funding Objectives

- Budget Amount

- Adherence to Guidelines

- New or Young Investigator Status

- Niche Projects

- Need for Pilot Funding

- Sustainability of Project
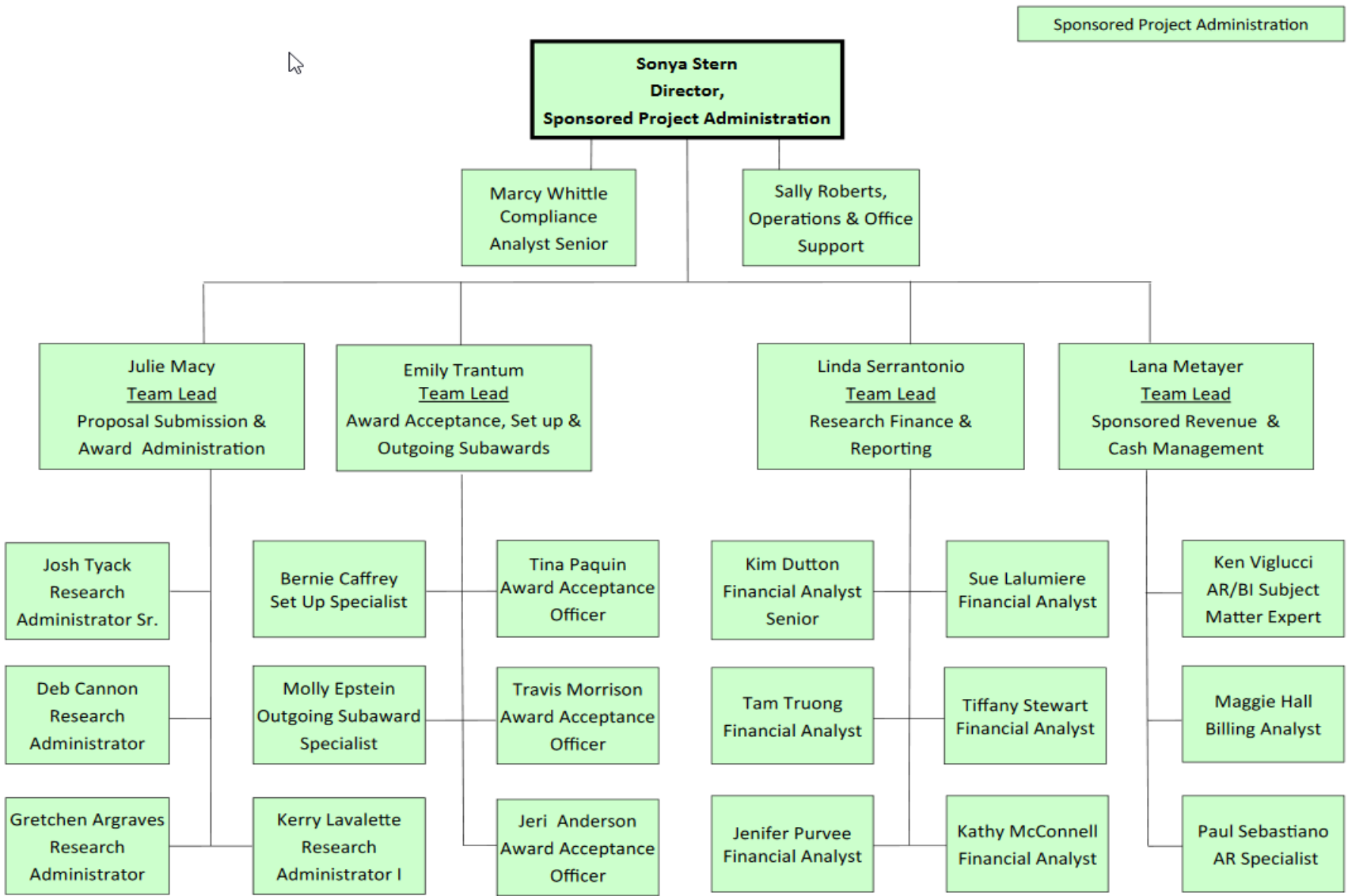
Typical Sponsored Project Life Cycle

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 (see next slides)

UVM Units That Support Sponsored Projects Indirectly

- Purchasing
  - ✓ Purchase orders
- Disbursement centers
  - ✓ Check requests & purcards
  - ✓ Travel advances & reimbursements
- University Financial Services
  - ✓ Account set up
  - ✓ Audits
- Cost Accounting Services
  - ✓ Effort reporting
  - ✓ Space & Equipment Inventory; Indirect Rates negotiations
- Human Resources
  - ✓ Pay and personnel actions
- Payroll Services
  - ✓ Payroll-related actions
- Graduate College
  - ✓ Graduate Research Assistants; Tuition on Sponsored Projects

UVM Sponsored Project Administration Organization

Sponsored Project Administration

Sonya Stern
Director,
Sponsored Project Administration

Marcy Whittle
Compliance
Analyst Senior

Sally Roberts,
Operations & Office
Support

Julie Macy
<u>Team Lead</u>
Proposal Submission &
Award Administration

Emily Trantum
<u>Team Lead</u>
Award Acceptance, Set up &
Outgoing Subawards

Linda Serrantonio
<u>Team Lead</u>
Research Finance &
Reporting

Lana Metayer
<u>Team Lead</u>
Sponsored Revenue &
Cash Management

Josh Tyack
Research
Administrator Sr.

Bernie Caffrey
Set Up Specialist

Tina Paquin
Award Acceptance
Officer

Kim Dutton
Financial Analyst
Senior

Sue Lalumiere
Financial Analyst

Ken Viglucci
AR/BI Subject
Matter Expert

Deb Cannon
Research
Administrator

Molly Epstein
Outgoing Subaward
Specialist

Travis Morrison
Award Acceptance
Officer

Tam Truong
Financial Analyst

Tiffany Stewart
Financial Analyst

Maggie Hall
Billing Analyst

Gretchen Argraves
Research
Administrator

Kerry Lavalette
Research
Administrator I

Jeri Anderson
Award Acceptance
Officer

Jenifer Purvee
Financial Analyst

Kathy McConnell
Financial Analyst

Paul Sebastiano
AR Specialist

Updated 01/07/2019

Proposal Submission and Award Administration

This team works closely to support the review, audit, and submission of research proposals. This team also serves as the liaison between the University (school and college administrators, faculty and professional staff) and our outside customers, such as Federal, State, and Non-Federal agencies and sponsors.

In FY18 approximately **1,200** proposals requesting sponsored funding were submitted.

Award Acceptance, Set-up and Outgoing Subawards

- Award Acceptance specialists review and negotiated **700** agreements in FY18. The review and negotiation processes ensure that the interests of the Principal Investigator (PI), the University, and the State are all adequately protected and that the legal obligations of the agreement do not conflict with the University's research mission or its policies.

- The set-up function is primarily responsible for the review and set-up of all awards made to the University in InfoEd (award SW) and PeopleSoft (financial SW)

- This team oversees the preparation of outgoing sub-award agreements (primary responsibility resides with Outgoing Subaward Specialist), and non-monetary agreements related to research. **300** subawards were issued in FY18.
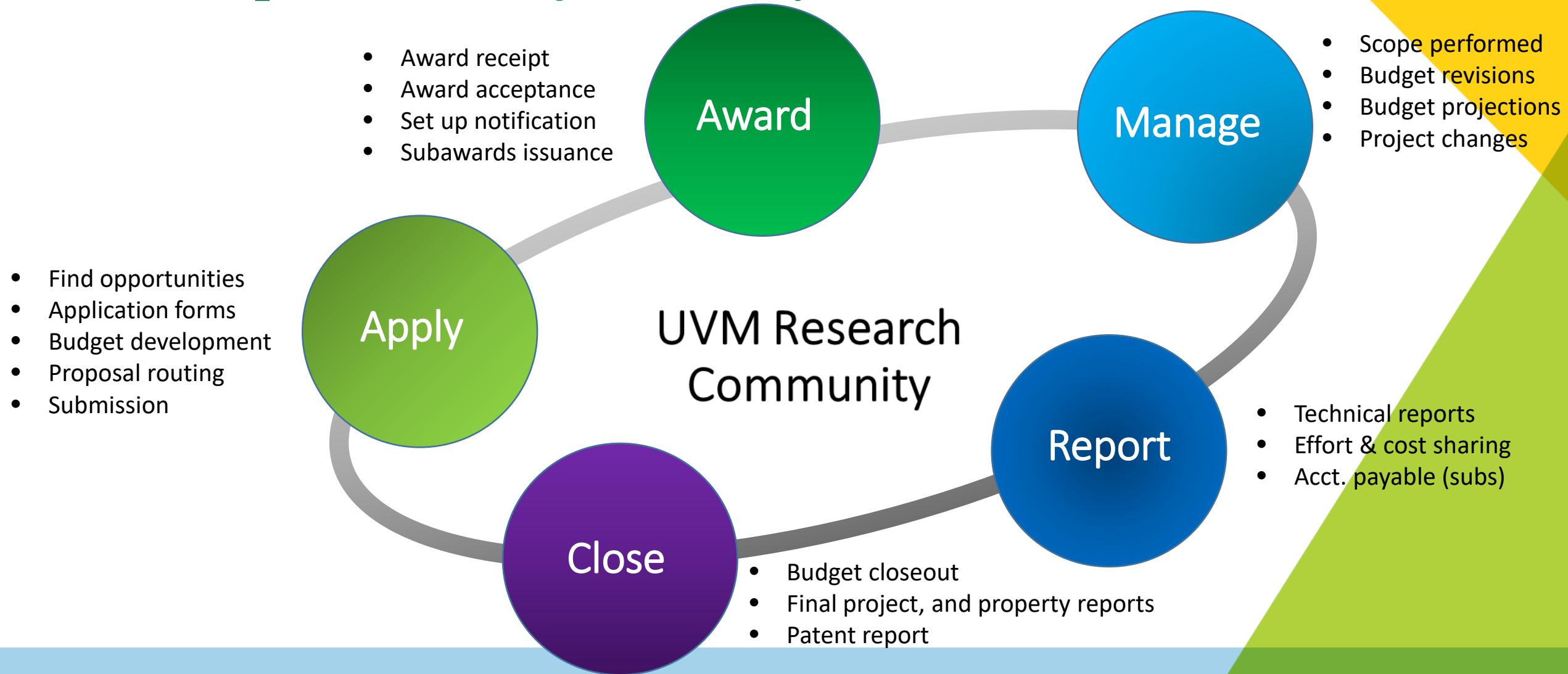
Research Finance and Reporting

- This team provides accounting support for extramural research, including providing direction and advice on grant and contract fiscal administration. Team members analyze projects to determine which policies or procedures apply to any particular situation. They monitor those projects to ensure that compliance with accounting standards is maintained throughout the life of the projects. They prepare and submit financial reports, review cost transfers, re-budgeting and direct cost justification requests.

- In FY18, the team submitted **731** financial reports to sponsors, prepared **468** internal reports, performed **436** soft closes and **213** hard closes.

Sponsored Revenue and Cash Management

- This team is responsible for all billing, letter of credit drawdowns, accounts receivable, collections and accounting activities associated with sponsored projects and PI-initiated clinical trials.

- In FY18, the reported sponsored revenue exceeded **$128 million**. SPA collected **$126 million** in sponsored payments.

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

Systems for Managing Sponsored Projects

InfoEd

- Proposal Development is used by Principle Investigators (PIs) to
  - ➢ Initiate proposal in InfoEd
  - ➢ 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

Systems for Managing Sponsored Projects Continued

PeopleSoft

- System of record for financial & human resources data
- Source of internal control
  - ➢ Budget limited to the awarded amount
  - ➢ Only approved categories set up
  - ➢ Exceptions highlighted
- Used for
  - ➢ Accounting & tracking expenses based on chartstring
  - ➢ Reporting of these expenses using various tools

Systems for Managing Sponsored Projects Continued

UVMClick

- UVM's <u>future</u> electronic research administration and compliance system where Principal Investigators and staff will manage the lifecycle of
  - ➢ IRB Protocols
  - ➢ IACUC Protocols
  - ➢ IBC Protocols
  - ➢ Conflict of Interest Disclosures
  - ➢ Proposal Submission
  - ➢ Award Management
  - ➢ Agreements
- Will replace InfoEd for Grant and Agreement Management.
- https://www.uvm.edu/ovpr/uvmclick has more detail and project timeline

Find Funding

- Search Tools
  - PIVOT
  - Other - InfoEd SPIN (**S**ponsored **P**rograms **I**nformation **N**etwork)
- Alert services
  - PIVOT Alerts
  - InfoEd SMARTS
  - Federal Sites Examples: NIH Guide for Grants and Contracts, National Science Foundation Update, Grants.gov
- Types of Announcements solicited vs. unsolicited proposals
  - Funding opportunity announcements – FOA
  - Program Announcements – PA (funding opportunities particularly used by federal sponsors)
  - Request of Applications RFA
  - Request for Proposals - RFP
  - Request for Information – RFI
  - Request for Quote – RFQ
  - Broad Agency Announcements – BAA

Find Funding Continued

- Oversight of Limited Competitions

- Promotion of Internal Sources of Funding (Campus-wide and Unit specific)

- Grant proposal writing resources

Resources:

- SPA provides individualized services to UVM faculty, staff, and students in their search for funding opportunities

- Contact Hilda Alajajian at 6-1322 to schedule an appointment

- Find Funding Link: https://www.uvm.edu/spa/sponsored-project-lifecycle/find-funding

- Write Proposal Link: https://www.uvm.edu/spa/online-resources-proposal-writing

- Internal Sources: https://www.uvm.edu/spa/sponsored-project-lifecycle/find-funding

Individual Roles and Common Goals in Pre-Award

Central Office (SPA) facilitates the submission of proposals and the review and negotiation of sponsored research agreements and houses the signatory officials for sponsored projects at the University

Department Administrators (a.k.a. Business Unit Administrators) serve the faculty on a more individual and personal level and act as a liaison between the faculty and the central office

Common Goal is to provide a full range of assistance to faculty in obtaining and administering funding to support creative and scholarly activities

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

  - Review draft budget & scope of work and final proposal before submission

- 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 generates notification to PI and Business Unit Administrator(s)
  - 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
  - SPA emails weekly notifications to contacts on awards in pipeline by department/college

- 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
  - Work with SPA to negotiate contract as needed

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:

  ✓ Molly Epstein, Outgoing Subaward Specialist (subdisclos@uvm.edu)

  ✓ Subrecipient Form: http://www.uvm.edu/spa/?Page=formslibrarychart.html

Award Set-up

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

- Set up in InfoEd
  - RPO approvals
  - Conflict of Interest information

- 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 sent to PI & business unit administrator once award is set up in both systems

- The notification includes, if applicable
  - ➢ Award document
  - ➢ Award budget worksheet
  - ➢ A report of the chartstrings set up for the grant; sponsored and cost share
  - ➢ A note about any special terms and conditions

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
  - ➤Ensure timely & accurate effort reporting of personnel

Award Management Continued

- SPA's role:
  - ➢ All communications with the sponsor's grant management office
  - ➢ Research Administrators and/or Financial Analysts (FAs) 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 do an annual review of the various terms & conditions for federal awards and per award terms for private awards
  - ➢ FAs do interim financial reports as required by the sponsor
  - ➢ FAs receive the subrecipient invoices, analyze them for expense allowability and other terms & conditions and forward to the PI for approval

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

- An email from the Financial Analyst:
  - ➢ 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

Award Closeout Continued

- PI responsibilities:
  - ➢ Ensure that all expenses have been accounted for or have been forwarded to SPA, including the sub recipient expenses
  - ➢ 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
  - ➢ Ensure there are no pending transactions at the time of the final report

- SPA responsibilities:
  - ➢ Responsible for preparing & submitting financial reports
  - ➢ Perform Closeout in PS & InfoEd
  - ➢ 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 is not required
    - ✓ Any unspent cash balance is subject to Residual Balance Transfer UOP
  - ➢ 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

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

- 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

- Team's other responsibilities
  - Sponsored revenue and AR accounting
    - ✓ Month-end activities
    - ✓ Year-end activities
    - ✓ Preparation of year-end 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

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