

Introduction to Sponsored Project Administration

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The University of Vermont

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



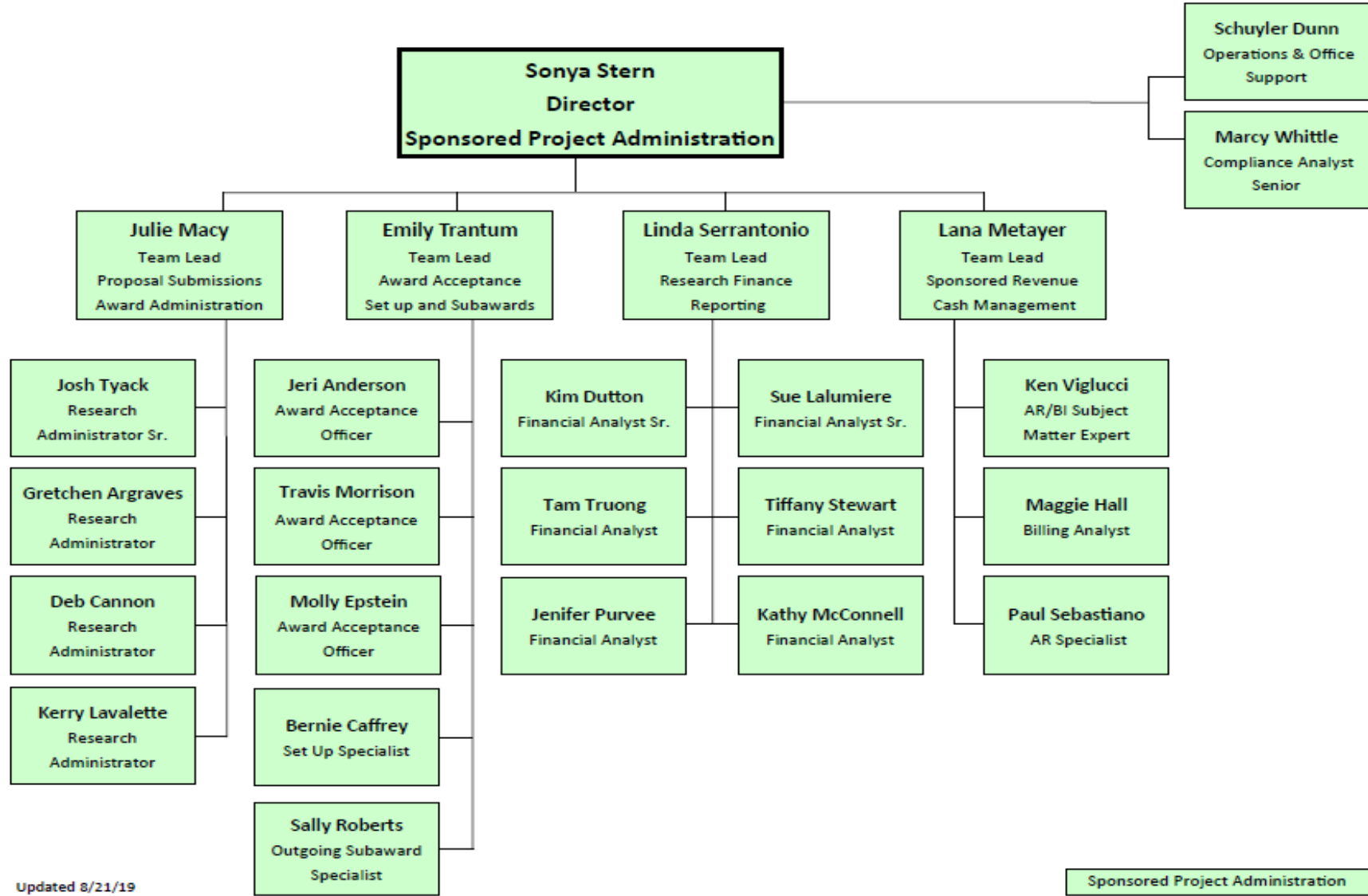
UVM Research Community

- **300+** Active Principal Investigators (PIs)
- **100+** Departments with Sponsored Projects from **300+** Sponsors
- **\$140M+** 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



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 FY19 **1,163** proposals requesting sponsored funding were submitted.
- At any given point in time, there are approximately **1,000** active projects administered by departments and SPA RAs

Award Acceptance, Set-up and Outgoing Subawards

- Award Acceptance specialists review, negotiate and accept sponsored agreements. **631** award actions were completed in in FY19. The review and negotiation processes ensure that the interests of the Principal Investigator (PI), the University, and the State are adequately protected and that the legal obligations of the agreement do not conflict with the University's mission or 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. **319** new subawards were issued in FY19.

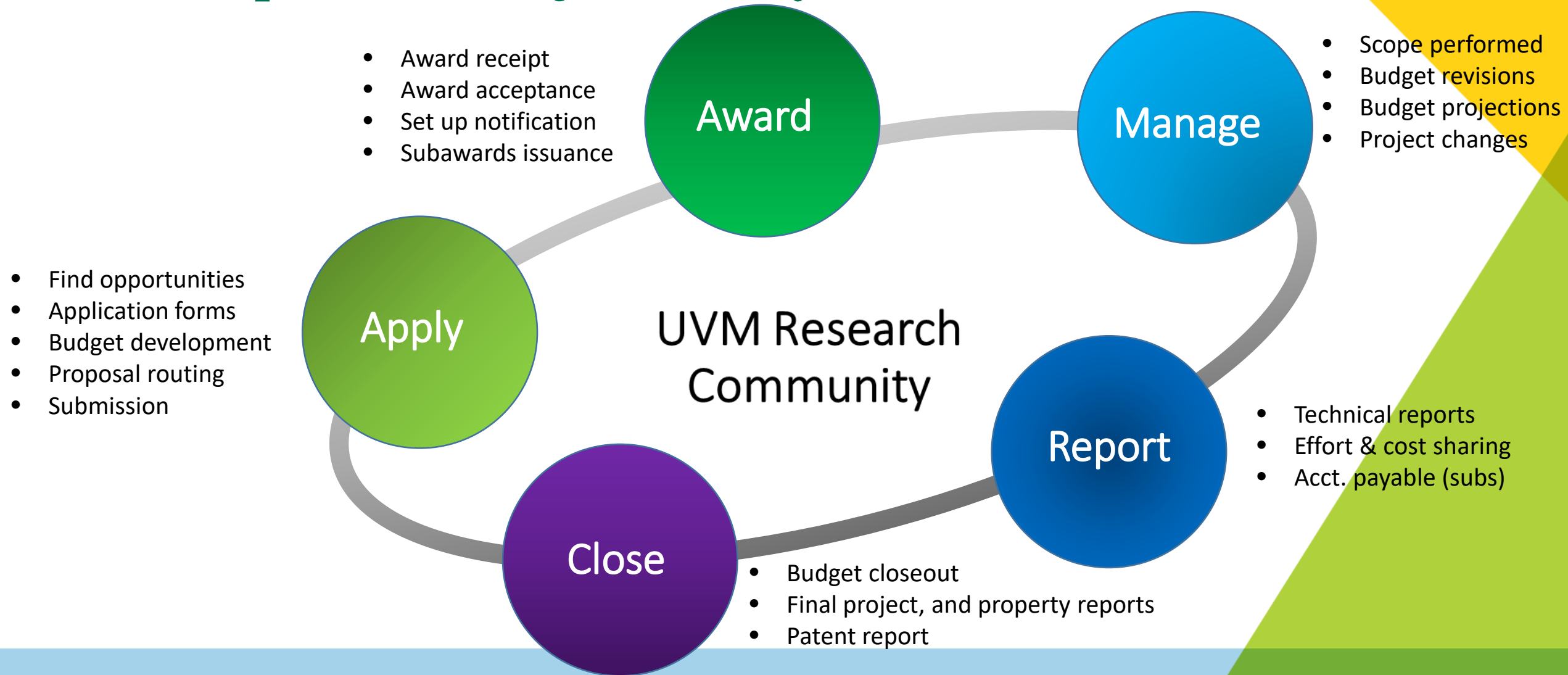
Research Finance and Reporting

- 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 FY19, the team submitted **631** financial reports to sponsors, prepared **362** internal reports, and performed **489** hard closes.
- At any given point in time, there are approximately **1,000** active projects supported by departments and SPA financial analysts

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 FY19, expenses on sponsored projects reached **\$136 million**.
- SPA collected **\$133 million** in sponsored payments.

UVM Sponsored Project Life Cycle



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



- UVM's future 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:
 - ✓ Sally Roberts, 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 (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 forward to the PI for approval
 - 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

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 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 (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 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 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

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

- 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 for billing, payments, sponsored AR and revenue.

Educational Resources Available – SPA Website and SPA News

Visit www.uvm.edu/spa and Subscribe to SPA News!



The University of Vermont

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MENU

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.](#)

RESEARCH
ADMINISTRATION →

UVMCLICK →

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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>