



## Sponsored Project Administration

<b>Procedure:</b>	<b>Award Acceptance Procedure</b>
<b>Owner:</b>	<b>Sponsored Project Administration</b>
<b>Effective date:</b>	<b>03/01/2018</b>
<b>Last Updated:</b>	<b>04/26/2021</b>

## Background

Sponsored Project Administration under the Office of the Vice President for Research is the only UVM office authorized to accept awards, typically grants, contracts, cooperative agreements, made in support of research, extension, or other sponsored activities on behalf of the University of Vermont.

In addition, 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.

## Purpose

This document sets forth procedures for reviewing, negotiating and accepting awards and other related agreements made in support of research, extension, or other sponsored activities.

## Roles and Responsibilities

### 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 all concerned parties.

## Definitions

**AA:** Award Acceptance Specialist

**FCOI:** Financial Conflict of Interest

**IACUC:** Institutional Animal Care and Use Committee

**IRB:** Institutional Review Board

**PI:** Principal Investigator

---



**RA:** Research Administrator

**SPA:** Sponsored Project Administration

**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.)

## Procedures

### Award Document

When a sponsor decides to fund a proposal, an Award Notice is delivered to Sponsored Project Administration.

This award document is called many different things, Grant, Contract, Cooperative Agreement, Purchase Order, Subaward, but no matter the award type, it represents a binding agreement upon acceptance.

Until the award document is received by SPA, reviewed and accepted, the project is not officially awarded and performance of the work should not begin until awarded.

### Deliver Awards to SPA

To begin the review, negotiation and acceptance process, all awards, grants, contracts, agreements or otherwise must be received in SPA.

Award notifications can be received in various ways from our sponsors. Typically SPA receives the award notification directly from the sponsor; however, if the award is received by the PI or Unit Administrator, the award must be forwarded to [spa@uvm.edu](mailto:spa@uvm.edu).

SPA logs all awards received and each award is assigned to a [SPA Award Acceptance Specialist](#) who will coordinate and complete the acceptance process.

### InfoEd Proposal On File

Every award must have an approved InfoEd proposal on file that has completed the InfoEd review process. Completion of this process provides SPA, the department, and college level approval to move forward with the award acceptance process.

If a proposal is not on file, SPA will notify the PI and/or Unit Administrator and request a proposal be submitted to SPA using InfoEd. Your [assigned SPA Research Administrator](#) can assist you with this process.

The award acceptance process cannot begin until the proposal has been submitted and approved by SPA.

### Award Review

Upon assignment the [SPA Award Acceptance Specialist](#) will alert the PI and Unit Administrator of the award and request certain elements be confirmed (i.e.: statement of work, budget, the period of performance, reporting requirements).

For an example of the alert see [SPA to notify PIs of Award Notification](#).

After obtaining PI approval, SPA begins negotiation with the sponsor.

### Award Negotiation

---



SPA follows national organizations (NCURA, FDP, COGR, AUTM) recognized university standards when reviewing and accepting awards in support of sponsored projects.

Areas of negotiation typically include the following:

Publication Rights	Arbitration
Intellectual Property	Termination Conditions
Data Ownership and Use	Reporting Requirements
Confidentiality	Billing Frequency
Warranty and Guarantee	Pricing Conditions
Indemnification	Governing Law

If any of the terms and conditions of an award are considered unacceptable as determined by the PI or SPA or would place UVM in a non-compliance situation with federal, state, sponsor or UVM rules or regulations, SPA will commence negotiations with the sponsor and inform PI and Unit Administrator.

SPA will engage other UVM offices on topics of concern and request support in the negotiation process.

SPA leadership is available at any time to assist in the acceptance process.

## **Industry Sponsored Research Agreements: UVM Innovation Reviews Intellectual Property**

- At time award, SPA will request UVM Innovations review Intellectual Property terms of industry sponsored research agreements.
- Within 2-business days from the SPA request, UVM Innovations will provide a reply indicating the IP language is 1) acceptable as written or 2) requires negotiation.
- Where IP terms require negotiation, UVM Innovation will take the lead and work directly with the sponsor in coordination with the PI.
- UVM Innovations will provide SPA with the final IP language.
- SPA will incorporate and finalize the agreement.

## **Award Acceptance**

Upon completion of a mutually acceptable agreement with the sponsor and with PI concurrence, SPA on behalf of UVM accepts the awards, collects needed signatures, and completes the InfoEd record.

To expedite acceptance, UVM accepts electronic signatures for awards contract/subcontract documents.

Funds are not released into PeopleSoft until all pending compliance concerns are completed and green light is given to move forward from the respective compliance office (i.e.: IRB, IACUC, FCOI, Export Control).

## **Award Set-up and Budget Release**

Detailed information is compiled and organized by SPA in a checklist to facilitate entry into UVM's financial system.

When this set-up process is complete, funds are available for use and the project budget is released to the department. The date funds are available to the department for spending is considered the Award Start Date.

SPA will notify Principal Investigators and Unit Administrator with system generated emails when the award set up process is complete in both InfoEd and PeopleSoft and all chartstrings have been created.

There will be three types of notifications - New Award, Advance Account and Award Modification. The major difference between them is the list of attachments that will be included with each notification type. For example,

---



there will be no Award Document attached to the Advance Account setup notification. Instead, we will attach the relevant Advance Account Request.

**FAQs**

N/A

**Helpful Links**

- [Association of University Technology Managers \(AUTM\)](#)
- [Council on Governmental Relations \(COGR\)](#)
- [Federal Demonstration Partnership \(FDP\)](#)
- [National Council of University Research Administrators \(NCURA\)](#)
- [University Industry Demonstration Partnership \(UIDP\)](#)

**Document Change Record**

Date	Version	Author	Change Details
03/01/2018	1	SPA	Initial release
4/26/2021	1.2	SPA	Links Updated