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

Presented by
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Assistant Director
Award Acceptance, Set-up and Outgoing Subaward, Signing Official
Agenda

• Welcome and introductions
• Award Acceptance Process
• Roles and Responsibility
• UVMClick Demonstrations
## SPA EDU Offerings

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<td>Sept 21, 2022</td>
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<td>Introduction to Sponsored Project Administration (PDF)</td>
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<td>Oct 4, 2022</td>
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UVM Sponsored Project Life Cycle

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

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

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

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

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

UVM Research Community
UVM Research Community

- **300+** Active Principal Investigators (PIs)
- **100+** Departments with Sponsored Projects from 300+ Sponsors
- **$200M+** 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 Sponsored Project Administration Organization
Award Acceptance, Set-up and Outgoing Subawards

• Award Acceptance officers review, negotiate and accept sponsored agreements. 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 award acceptance officers enter the relevant award data into the UVMClick Award record, while also updating the status to reflect where the award is at in the process.

• The set-up function is primarily responsible for finalizing and completing the set-up of all awards made to the University in 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.
Purpose of the Presentation

• Overview of the Award Acceptance process in the UVMClick grants management system.

• Learning Objectives:
  ➢ Learn the process flow of the award acceptance process at UVM
  ➢ Understand roles and responsibilities for the various steps in the award acceptance process
  ➢ Understand basic navigation and tools within the UVMClick Award Workspace
  ➢ Learn how to request an Advance Account
  ➢ Learn how to track the status of your Award, Award Mod, and Advance Account in UVMClick
Award Acceptance Process at UVM
Navigating Award Workspace in UVMClick

- Principal Investigator and Unit Administrator
- State of Award
- Award Dashboard
  - SPA Administrator
  - SPA Financial Analyst
  - Department Administrator
- Award Smart Form
- Award Status Tracker
- Left Hand Menu Tools
- Navigating Tabs
  - History
  - Modifications
Navigating the Award Workspace

1. Award's current state
2. Initial information entered into the Award Smart Form will display on the dashboard
3. SPA Administrator assigned to the award.
4. Award Status Tracker - visible after SPA Administrator begins tracking status
5. View award details in progress by clicking the "Edit Award" button
6. History Tab allows user to view the awards history.
7. Send email can be used to send an email to your SPA Administrator, the email will then become a part of the Award's history.
8. Review all data entered into Award Smart Form through Printer Version

*Demonstration of navigation in UVMClick*
Award Acceptance Process Flow

SPA receives Award at SPA@uvm.edu and uploads into UVMClick Funding Proposal (FP).

PI and Department Administrator (listed on FP) receive Notification of Award email and Proposal state changes to Award Notification Received.

SPA creates Award in UVMClick in Draft state and assigns to a SPA Administrator to begin award acceptance process.

PI and Department Administrator receives email from SPA Administrator indicating the award is under review. SPA will ask the PI to:
- Review and approve the award
- Complete Award Data Collection Form
- Complete any remaining award requirements (i.e., FCOI, IRB, etc.)

SPA will make any final changes to the award and activate the award or approve the award mod, which integrates the award to PeopleSoft for finalization.

Department Administrator receives the Award for review in UVMClick. The Department completes review and sends Award back to SPA utilizing the Send to SPA activity in the left hand menu.

SPA sends Award for Department Review in UVMClick.

SPA completes all of the applicable award acceptance steps (see Award Status Tracker for progress) and completes the Award Setup in UVMClick.

PI, Department Administrator (listed on Award), and named Project Managers receive notification out of PeopleSoft that each project setup is complete.

SPA Setup Specialist completes Award setup in PeopleSoft.
Award Acceptance Process Flow

1. SPA receives Award at [SPA@uvm.edu](mailto:SPA@uvm.edu) and uploads into UVMClick Funding Proposal (FP).
   - FP State: Pending Sponsor

2. PI and Department Administrator (listed on FP) receive Notification of Award email and Proposal state changes to Award Notification Received.
   - FP State: Award Notification Received

3. SPA creates Award in UVMClick in Draft state and assigns to a SPA Administrator to begin award acceptance process.
   - Award State: Draft

4. PI and Department Administrator receives email from SPA Administrator indicating the award is under review. SPA will ask the PI to:
   - Review and approve the award
   - Complete Award Data Collection Form
   - Complete any remaining award requirements (i.e., FCOI IRB, etc.)
   - Award State: Draft
SPA will make any final changes to the award and activate the award or approve the award mod, which integrates the award to PeopleSoft for finalization.

Department Administrator receives the Award for review in UVMClick. The Department completes review and sends Award back to SPA utilizing the Send to SPA activity in the left hand menu.

SPA sends Award for Department Review in UVMClick. (Step bypassed for most continuation)

SPA completes all of the applicable award acceptance steps (see Award Status Tracker for progress) and completes the Award Setup in UVMClick.
SPA Setup Specialist completes Award setup in PeopleSoft.

PI, Department Administrator (listed on Award), and named Project Managers receive notification out of PeopleSoft that each project setup is complete.
Individual Roles & Responsibilities in Award Acceptance

Principal Investigator and Department Administrator

- Participate in the negotiation and acceptance process, as needed
- Review and approve scope of work, technical reporting requirements, and other terms and conditions and approve any outgoing subawards if applicable
- Communicate need for changes.
- Complete Award Data Collection Form and provide and prepare information as needed and requested by sponsor or SPA
- Perform “Department Review” in UVMClick, prior to the setup of the award to confirm you are in agreement with proposed setup.
Individual Roles & Responsibilities in Award Acceptance

SPA Award Acceptance Team

- Award Received at SPA and entered into UVMClick for assignment
- Award Team member self assigns and generates notification to PI and Business Unit Administrator requesting PI review and approval of the award and completion of Award Data Collection form
- Review of Terms and Conditions; Final negotiations including budget revisions if any – Federal/Private or industry
- Negotiate a mutually acceptable award for all sponsored projects on behalf of UVM and Principal Investigators.
  - 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
- UVMClick Award Status Tracker and UVMClick Award record history include current status of awards in process.
- Complete Award Setup in UVMClick and PeopleSoft
Key Department Responsibilities in UVMClick at Time of Award

- Review award and provide PI Approval
- Send Award Data Collection form to SPA
- Confirm Compliance Requirements are Complete
- Complete Department Review of Smart Form
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 via UVMClick or by submitting to spa@uvm.edu

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 submitting Advance Account Request Form to SPA with an Award Data Collection Form attached when applicable.

• Advance Accounts will be setup for 6 months time with full dollar value of the expected period. The period can be extended at the request of the department after reviewing or checking the status of the award at 6 months.

• 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.
Principal Investigator / Unit Administrator Steps

- 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), as a best practice include a completed **Award Data Collection Form**

- Submit Advance Account form and any supporting documentation through the UVMClick FP “Request Advance Account” tool or if you are unable to access this activity in your FP menu please send to **spa@uvm.edu**. See “How to Request Advance Account” work instructions for detailed steps.
Sponsored Project Administration Steps

• SPA receives Advance Account Request

• Completed Advance Account Request Forms, Award Data Collection form, and any other documentation are added to the UVMClick and assigned to the Award Acceptance Officer (AAO) for processing

• The assigned AAO emails the department acknowledging receipt of the request

• AAO reviews the form and clarifies any questions they may have
Sponsored Project Administration Steps, Continued

- AAO processes the request, completes the Award Smart Form in UVMClick, prepares the setup checklist, and Activates or Approves the Award action integrating the information into the PeopleSoft financial system.
- The Setup Specialist finalizes the award into PeopleSoft.
- When the setup is complete, the Setup Specialist notifies the PI and Department Administrator that they can begin spending.
Tracking your Award Actions in UVMClick
UVMClick Tracking Tools and Resources

- State of Award
- Award Status Tracker
- History Tab
- Contact your SPA Administrator
- Custom Reports
Questions and Answers