

Detailed Step-by-Step Description of the New Sub-Agreement Process

*Step 1. PI / Department prepares the proposal for submission*

1. PI and staff prepare a project proposal and route it using WISPER to the appropriate offices for approval. The project proposal includes one or more sub-agreements to outside institutions (sub-recipients).
2. The final project proposal includes the following information and approvals for each sub-agreement. All included information is uploaded to WISPER:
  - a. Institutional approval from sub-recipient (via fax, e-mail, or signed letter);
  - b. Contact information for the institutional official; alternatively, a face page, including, at a minimum, (a) the sub-recipient organization's name and address, (b) the name and contact information of sub-recipient's institutional official.  
An alternative would be to use:
    - i. SF 424 (<http://grants.nih.gov/grants/funding/424/index.htm>); or
    - ii. PHS 398 (<http://grants1.nih.gov/grants/funding/phs398/phs398.html>);
  - c. Contact information for the sub-recipient PI(s);
  - d. Sub-agreement budget(s);
  - e. Sub-agreement scope(s) of work; and
  - f. Bio-sketch(es) of sub-recipient PI(s) (only if required by sponsor).
3. After all necessary approvals are received (e.g., Department Chair, the Dean's Office, and/or the Director), the proposal is sent to DHHS via RSP.
4. DHHS contacts RSP and/or the PI and asks for JIT (Just-In-Time)<sup>1</sup> information.
5. PI provides JIT information to RSP, and RSP sends JIT information to DHHS.

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<sup>1</sup> NIH uses just-in-time procedures for certain programs and award mechanisms. These procedures call for limited information (e.g., a budget justification and a biographical sketch) to be submitted with investigator-initiated applications and allow for a possible NIH request for additional information, including information concerning other support, when the application is under consideration for funding. Just-in-time procedures also allow an applicant to defer certification of IRB approval of the project's proposed use of human subjects, verification of IACUC approval of the project's proposed use of live vertebrate animals, and evidence of compliance with the education in the protection of human research participants requirement until after completion of the peer review and just prior to funding. For more information, please see: [http://grants.nih.gov/grants/policy/nihgps\\_2003/NIHGPs\\_Part4.htm](http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPs_Part4.htm)

***Step 2. RSP receives the Notice of Award (NOA)***

6. The proposal is successful and a notice of grant award is received via e-mail by RSP.
7. RSP Pre-award sets up the award and sends the Award Summary to the PI and contact person(s). This document identifies the Project Number.
8. RSP Pre-award checks to see if the proposal fits the following criteria:
  - a. Sponsor is the federal Department of Health and Human Services.
  - b. Grant types are either New (type1) or Renewal (type 2).
  - c. It is the first year of the project period.
  - d. Award is for one of the six participating Colleges/Schools:
    - i. Engineering (19)
    - ii. Human Ecology (27)
    - iii. Medicine and Public Health (53)
    - iv. Nelson Institute (40)
    - v. Pharmacy (56)
    - vi. Veterinary Medicine (87)
9. If all of the above criteria are met, the award is finalized and placed in large expandable folder. It is then forwarded to Sub-Agreement Processing (currently Wendy Jensen in RSP) for the following sub-agreement processing:
  - a. Duplicate the relevant pages of the award file required to process the sub-agreement. Forward the original award file to the appropriate Post-Award Supervisor.
  - b. Check to make certain that this is not a duplicate record.
  - c. Check WISDM to verify that adequate funding is available in the project
  - d. Check for appropriate spending edits.
  - e. Verify that each sub is approved by checking that Consortium/Contractual costs are in the RSP proposal budget and in the DHHS notice of grant award.
  - f. Fill out the UW section of the Sub-Agreement Information Table (left column) based on information available in the WISPER record and the proposal.

***Step 3. RSP confirms the accuracy of sub-agreement information with PI / Department AND PI / Department approves the sub-agreement information***

10. Send an e-mail notification and the Sub-Agreement Information Table to the PI and contact person to ask them to provide all information for the Sub-Recipient section of the

Table (right column) and to send the latest version of the budget and Scope of Work (SOW).

11. If the PI/contact person has not responded within 1 week, Sub-agreement Processing will contact the PI / contact person for an update, with a cc: to the designated sub-agreement contact person for that School or College.
12. The PI/contact person will do the following:
  - a. Provide the most current budget and SOW of the sub-agreement.
  - b. Verify all information in the Sub-Agreement Information Table and provide any missing information.
  - c. Send the finalized SOW, budget, and Sub-Agreement Information Table to Sub-agreement Processing in RSP.

***Step 4. RSP prepares the sub-agreement***

13. Sub-agreement Processing will then take the following steps:
  - a. Create a record in the External Requisition Generator, which generates the sub-agreement number (otherwise known as the requisition number).
    - i. Account codes:
      1. 3840 for the 1<sup>st</sup> \$25,000 dollars.
      2. 3845 for dollars above \$25,000.
      3. The \$25,000 threshold covers the entire project period of a grant. Competitive renewal grants will reinstate the charge again.
    - ii. Make sure the item descriptions match budget and back-up documentation.
    - iii. Add sponsor name and correct address on first lines of requisition.
    - iv. Add proper edits.
    - v. Add proper time period.
    - vi. Add agency grant number.
    - vii. Add GR as the funding type.
  - b. Create a record in the Sub award Tracking System, found at:  
[http://www.rsp.wisc.edu/services/admin/sub\\_search.cfm](http://www.rsp.wisc.edu/services/admin/sub_search.cfm)
14. Sub-agreement Processing will decide what type of sub to prepare:
  - a. If foreign or for-profit entity, RSP will use the non- FDP long form sub agreement.
  - b. Check if the prime award is under FDP.
    - i. The FDP model will be used for awards under FDP, including those that have the additional requirement to obtain prior approval for carryover.

- ii. Whenever possible, the FDP model will also be used for non-profit companies and all other non-profits, including other institutions (even if not an FDP school).
  - c. Fill out proper FDP sub-agreement forms:
    - i. stamp and include all needed attachments.
    - ii. Include prime award document with sub.
    - iii. Send an e-mail to the sub recipient requesting:
      - 1. A copy of the sub-recipient institution's most recent indirect cost rate agreement
      - 2. A copy of the sub-recipient institution's fringe benefit rates.
      - 3. A statement that identifies the dates of the sub-recipient institution's fiscal year and whether or not the sub-recipient institution has federal expenditures in excess of \$500,000 during the fiscal year covered by the agreement. Alternatively, a copy of the institution's A-133 Audit Report may be provided instead.
      - 4. Verification of the status (for profit, not for profit, or other).
      - 5. Signature on the sub-agreement cover page and completion of Attachment 3B.
      - 6. For all sub-agreements that use the FDP model, RSP will sign the agreement first and then send it to the sub-recipient for review and signature. NOTE: RSP Sub Processing must still ensure that the sub-recipient provides all required audit information (items #1-4 above). For all sub-agreements that do NOT use the FDP model, RSP will NOT sign the agreement first; rather, RSP will send unsigned agreement to the sub-recipient for review and signature. After receiving the signed sub-agreement from the sub-recipient will RSP sign and execute the sub-agreement.
    - iv. All documents will be sent as a pdf attachment via email.
    - v. Update the Sub award Tracking System.
    - vi. Put a note in the financial file that a sub-agreement(s) are in process.
15. If the sub agreement has not been returned after two weeks, RSP will contact sub recipient for an update.

***Step 5. Sub-recipient signs and returns the sub-agreement and requested information to RSP***

16. Sub-recipient receives the sub-agreement and provides all requested information in Step (14)(c)(iii) above.
17. If the sub-recipient disagrees with the terms of the sub-agreement, then the sub-recipient and RSP Sub-Agreement Processing will negotiate and agree on mutually acceptable agreement terms.

*Step 6. RSP completes the sub-agreement process*

18. When the signed sub agreement and requested information is returned to RSP, Sub-Agreement Processing will do the following:
  - a. For all non-FDP sub-agreements, RSP will sign and return the fully executed copy to the sub-recipient. [since FDP sub-agreements had previously been signed by RSP prior to being sent to the sub-recipient, this step is not necessary with those sub-agreements].
  - b. Scan and upload a copy of the agreement to the Projects Attachment tab in SFS Grants, which will subsequently be accessible via WISDM.
  - c. Update the Sub award Tracking System – (if there is a formal name change give to Stephanie Gray in RSP to make an update to the system).
  - d. Finalize the requisition by having an Authorized RSP Official sign and date.
  - e. Put original requisition in RSP mail bin “Requisition Only Purchasing Outgoing” – no copy of agreement attached. Purchasing’s role will continue to be the same.
  - f. Take copy of agency return cover letter, F&A and FB rates and mark on top - “A-133 Audit Info”. Put in Sarah’s A-133 basket. It is not necessary to keep a copy of this information for the file.
  - g. Create Award modification in SFS, which will send an overnight notification of sub-agreement activity to everyone on the WISPER Department E-mail Contacts list. In order to check and/or change who is on this list for a particular department or division, instructions can be found here:  
[http://www.rsp.wisc.edu/WISPER/WISPER\\_DR\\_DeptEmail.pdf](http://www.rsp.wisc.edu/WISPER/WISPER_DR_DeptEmail.pdf).
  - h. Create a sub-agreement file in a manila folder to be inserted into the financial file.
    - i. Fill out and include the invoicing spreadsheet.
    - ii. Staple together the requisition, agreement and correspondence.
    - iii. File the completed manila folder in the appropriate financial file.