APR – Sponsored Programs
Phase I Redesign Project: Outgoing Sub-Agreements
Pilot Phase II

Updated: 11/13/09
Administrative Process Redesign (APR) Project
Background to Outgoing Sub-Agreement Process Redesign

- Background
- Principles
- Goals
Different Types of Agreements

- Sub-Agreements
  vs.
  - Fee-for-Service Agreements (FSAs)
  vs.
  - Academic Support Services Agreements (ASSAs)
  vs.
  - Shared Grants
## Different Types of Agreements

<table>
<thead>
<tr>
<th>Sub-Agreements</th>
<th>Fee-for-Service Agreements (FSAs)</th>
<th>Academic Support Services Agreements (ASSAs)</th>
<th>Shared Grants</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Perform a portion of the scope of work</td>
<td>• No Scope of Work</td>
<td>• Provides a mechanism to procure services of a sole source nature (independent contractors)</td>
<td>• Joint participation in an extramural support project between two UW Institutions.</td>
</tr>
<tr>
<td>• Adds intellectual content to the project</td>
<td>• Does not add intellectual content to the project</td>
<td>• Fills temporary need of unique nature</td>
<td>• Each Institution is a separate school, but both are under the same UW System.</td>
</tr>
<tr>
<td>• Collaboration relationship</td>
<td>• Vendor relationship</td>
<td>• No scope of work or research component</td>
<td>• The primary recipient Institution will reimburse the secondary Institution by processing payment through account code 3910 (Shared Financial System).</td>
</tr>
<tr>
<td>• Performs portion of programmatic activity</td>
<td>• Provides goods/services within normal business operations</td>
<td>• Must be over $5000</td>
<td>• Perform a portion of the scope of work.</td>
</tr>
<tr>
<td>• Responsible for programmatic decision-making</td>
<td>• Operates in a competitive environment</td>
<td>• Provide unique service on temporary basis</td>
<td>• Performs portion of programmatic activity.</td>
</tr>
<tr>
<td>• Terms and conditions attached</td>
<td>• Routine tests or activities requiring little or no discretionary judgment on behalf of the service provider</td>
<td>• Executed by Purchasing Services</td>
<td>• Negotiated, signed and administered by RSP.</td>
</tr>
<tr>
<td>• Publications involved</td>
<td>• No input into publication content</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Effort reporting, certifications, RSP billing</td>
<td>• Dept does the invoicing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Negotiated, signed and administered by RSP</td>
<td>• Administered and signed by Business Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Must adhere to compliance requirements of the prime sponsor</td>
<td>• Not subject to compliance requirements of the prime sponsor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Intellectual property, copyrights, ownership of data belong to the Subaward University and/or faculty member</td>
<td>• Ownership of output belongs to the prime sponsor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• F&amp;A charged</td>
<td>• F&amp;A costs built into service</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Pilot Phase II is open to all sub-agreements that fit the following criteria:

1. Awards can be for ANY College/School.

2. Award can be from ANY sponsor, including all federal and all non-federal.

3. New sub-agreements only.

4. Modifications to sub-agreements are NOT included.
Current Process for Creating an Outgoing Sponsored Project Sub-Agreement

The Current Process involves 12 main steps:

- **RSP Receives Notice of Award (NOA)**
- **PI Receives Notice of Award (NOA)**
  - **Sub Agreement Needed?**
    - Yes: PI Identifies Scope of work, budget, etc.
    - No: Do Not Proceed with Sub Agreement
  - **Admin Staff Creates Requisition**
  - **Req Approval**
    - Yes: RSP Review and Approval
    - No: Revise Req
  - **Req Approved?**
    - Yes: OK to Send?
    - No: Revised
  - **RSP Sends to Sub Entity (Template and Cover Letter) & Enters in Sub-Award Tracking System**
  - **Sub Agreement Accepted by Sub?**
    - Yes: Sub Entity Accepts and Returns Signed Sub-Agreement to RSP
    - No: RSP Negotiates with Sub Entity
  - **Received by RSP**
    - Yes: RSP Signs and Executes Agreement and Sends Agreement to Sub Entity
    - No: Follow-Up by RSP
  - **RSP Records as Complete in Sub-Award Tracking System and Sends Req to Purchasing**
  - **Purchasing Creates Purchase Order and Encumbers Dollars**
    - Yes: Purchasing sends Dept / PI a copy
    - No: Follow-Up by Purchasing
New Process for Creating an Outgoing Sponsored Project Sub-Agreement

The New Process will involve only six main steps:

1. PI/Dept Prepares Proposal for submission
2. Award made?
   - Yes: RSP confirms accuracy of sub-agreement information with PI / Dept
   - No: Get / Upload Revised Information
3. Sub-agreement needed?
   - Yes: Dept / PI approves
   - No: Do not proceed with sub-agreement
4. RSP Prepares sub-agreement
5. Sub-agreement accepted by sub?
   - Yes: RSP negotiates with sub-recipient
   - No: Follow-up by RSP
6. Sub-recipient signs and returns sub-agreement and requested information to RSP
7. Received by RSP
   - Yes: RSP completes sub-agreement process
   - No: Follow-up by RSP
Key Differences Between the Current and the New Process

1. RSP will initiate the process

2. RSP will contact the PI/Dept about an award with sub-agreement(s)

3. RSP will have PI/Dept verify and update the budget and SOW of the sub-agreement at the appropriate time in the process

4. Responsibility for sub-agreements in the Pilot will shift from Post-Award to Pre-Award at RSP

5. Proposals with sub-agreements will have information needed for purchase requisition, including the contact info for sub-recipient’s institutional official

6. All sub-agreements will be sent via e-mail, and all sub-agreements based on FDP will be signed by RSP prior to being sent

7. RSP will create and eventually sign the purchase requisition (no need for routing through the Dept or Dean’s office)

8. When sub-agreement is signed and fully executed, RSP will notify PI/Dept using SFS’s notice of award notification
<table>
<thead>
<tr>
<th>Step</th>
<th>RSP</th>
<th>PI/Dept</th>
<th>Sub-Recipient</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>PI/Dept prepares proposal for submission</td>
<td></td>
<td></td>
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<tr>
<td>Step 2</td>
<td>RSP receives notice of award (NOA)</td>
<td></td>
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<tr>
<td>Step 3</td>
<td>RSP confirms accuracy of sub-agreement information with PI/Dept</td>
<td>PI/Dept approves the sub-agreement information</td>
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<tr>
<td>Step 4</td>
<td>RSP prepares purchase requisition and sub-agreement</td>
<td></td>
<td></td>
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<tr>
<td>Step 5</td>
<td></td>
<td></td>
<td>Sub-Recipient signs and returns sub-agreement and requested information to RSP</td>
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<td>Step 6</td>
<td>RSP completes the sub-agreement process</td>
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Tell RSP About Outgoing Subagreement Using WISPER

In General tab of WISPER record:

**Outgoing Sub-agreement(s)?**
Select ‘YES’
Exception Process #1 – RSP Pre-Award Misses a Sub-Award

If RSP misses a sub-award, Dept should contact outgoingsubs@rsp.wisc.edu or Cherry Hill at (608) 890-3083
Exception Process #2 – PI/Dept Want to ADD Sub-Award Not In Proposal

Submit request via WISPER record; include sponsor approval if exists already.
# Timeline

<table>
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<th>Time Frame</th>
<th>Next Steps</th>
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<tr>
<td>Mar – Oct 2009</td>
<td>Pilot Phase I for 6 Divisions, DHHS awards, and new sub-agreements only</td>
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<tr>
<td>Nov 2009</td>
<td>Training for RSP and Schools / Colleges with many sub-agreements</td>
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<tr>
<td>Dec 1, 2009</td>
<td>Pilot Phase II for ALL Divisions and Sponsors, but new sub-agreements only</td>
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<tr>
<td>May 2010</td>
<td>Pilot Phase III to include sub-agreement MODIFICATIONS</td>
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