



University of Wisconsin – Madison

Research Admin 101 Series

Award Set Up, Commitments and Cost Sharing

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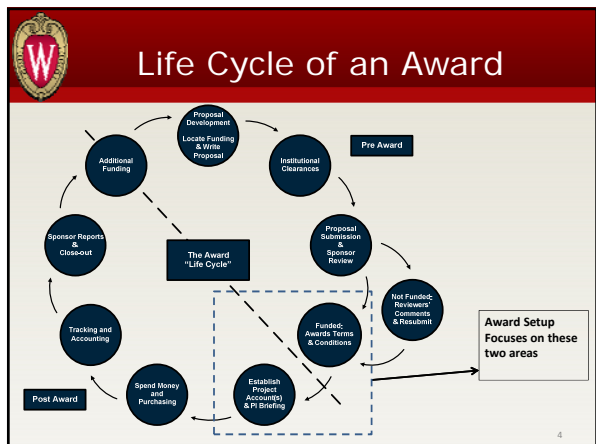
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Today's Agenda

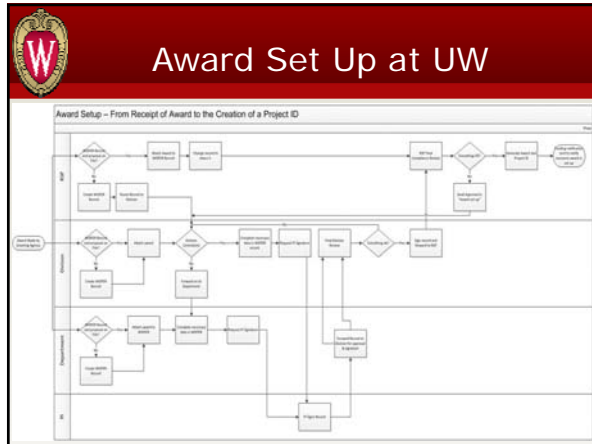
- What is "Award Set Up?"
 - Importance, overview of process & award types
- Items Reviewed for Award Set Up
 - Protocols
 - Award Terms & Conditions (T&C)
 - Budget & Rates
 - Effort Commitments & Cost Share
 - Financial Conflict of Interest (FCOI)
- Award Received – What Happens Next?
 - Department and Divisional/Deans Offices
 - RSP
- Questions/Answers
- Group Exercise

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- ### Importance of Award Set Up
- Award setup forms the bridge between Pre-Award and Post-Award
 - Establishes the foundation for effective future management of the award
 - Accurately recording data points during award setup is critical to effective and compliant award management.
 - Efficiency and accuracy are critical.
 - Award setup is a gate-keeping step for beginning research: spending and progress can only occur once an award is set up.

- ### Award Set Up at UW
- Several handoffs
 - RSP, Department, Dean's Office, PI's
 - IRB, IACUC, COI, effort, etc.
 - High level: All new awards or award modifications, must be entered into the UW's grant management systems.
 - Pre-Award tracking = WISPER
 - Post-Award financial system = WISDM



- ### Award Overview
- What Constitutes An Award?
 - What Types Of Awards Are There?
 - What Do Awards Look Like?
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- ### Award Types
- **Grant**
 - Purpose is to transfer money, property, services, or anything of value to recipient in order to accomplish a public purpose
 - **No** substantial involvement between sponsor and recipient
 - **Cooperative Agreement**
 - Purpose is to transfer money, property, services, or anything of value to recipient in order to accomplish a public purpose
 - Substantial involvement is anticipated between sponsor and recipient
 - **Contract**
 - Principle purpose is to acquire property or services for direct benefit of the sponsor. Procurement mechanism.
 - Cost-reimbursable: Invoicing based on expenditures
 - Fixed-price: Invoicing based on milestones or deliverables
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Types of Award Actions

- **New Award/Competing Award**
 - New research or project idea funded competitively for the first time
- **Continuation Award/Non-Competing Award**
 - Incremental funding of a previously approved project period (such as annual funding on a multi-year project)
 - Usually based on reasonable progress reported by investigator


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Types of Award Actions

- **Renewal/Competing Continuation**
 - Continuing project funded competitively for a new project period
- **Supplemental Award**
 - Additional funding provided by the sponsor during a previously approved budget period (such as an REU - Research Experiences for Undergraduates - supplement to an NSF award)


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Types of Award Actions

- **Modification/Amendment**
 - Budget modification
 - Change in scope of work or significant change in research plan
 - Change in key personnel or level of effort on the project
 - Administrative changes (e.g., change in reporting requirements)
 - Termination of agreement
- **No-Cost Extension**
 - Extension of agreement end date without additional funding from the sponsor.

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Award Notice Key Elements

- Awarding entity and authority
- Sponsor award number
- Catalog of Federal Domestic Assistance Number (CFDA)
- Recipient/Awardee name (institution)
- Name of Principal Investigator/Project Director
- Reference to proposal or project title
- Award period (start and end dates)
- Funding (total, incremental)
- Invoicing/payment
- Reports/deliverables
- Terms and conditions (in text, attached, or incorporated by reference)


Refer to handouts – NIH Notice of Award provides an example

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Protocols

<https://www.rsp.wisc.edu/compliance.html>




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Protocols

- Animal Use
- Environment, Health & Safety
 - Biological Safety
 - Chemical & Environmental Safety
 - General Safety
- Human Pluripotent Stem Cell Research
- IRB (Institutional Review Board)
 - Human Research Protections Program

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Protocols

<http://www.ehs.wisc.edu/biosafety.htm>
Environment, Health & Safety: Biological Safety

- Personnel involved in biological must undergo appropriate training
- Appropriate biosafety protocol must be in place
- Award number, project title and sponsor name must be listed on an approved protocol

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Protocols

<https://research.wisc.edu/respolcomp/scro/polres/>
Human Pluripotent Stem Cell Research

- Stem Cell research must have approval of institutional review committee
- Approval required by sponsor prior to award issuance

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Protocols

**IRB (Institutional Review Board)
Human Research Protections Program**

- Health Sciences IRBs:
<https://kb.wisc.edu/hsirbs/>
- Educational & Social/Behavioral IRB:
<http://www.irb.wisc.edu/index.htm>

**Human subjects research must undergo an IRB determination prior to Award Set Up


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Protocols

Protocol Lookup System (PLuS)

<https://my.gradsch.wisc.edu/lookups/plus/lookup.pl>



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Export Controls


<https://research.wisc.edu/respolcomp/exportcontrol/>

Export Controls

- Each UW researcher must determine export control applicability
- Questions on WISPER General Tab and Projects Tab prompt further review and determination
- Liability for violating laws is with individual

- If not entered at set up, export control office will follow-up directly.


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Award Terms & Conditions

- Notice of Award outlines Terms and Conditions
- Award terms are legally binding requirements
- WISPER "Terms" Tab used to capture specific terms for award management →
- WISDM "Requirements" details Terms and Conditions of note
- **Read NoA carefully!**

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Award Terms & Conditions

Federal Agencies

- Overarching award terms (i.e., Research Terms and Conditions)
- Tend not to require negotiation
- Special Terms and Conditions include program or project-specific requirements
- Contracts vs grants

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Award Terms & Conditions

Non-Federal Sponsors

Terms to negotiate <ul style="list-style-type: none"> - Confidentiality - Data ownership - Intellectual Property rights - Liability - Legal disputes and jurisdiction - Publication rights - Invoicing or payment terms 	UW must adhere to <ul style="list-style-type: none"> - Federal regulations - State regulations & laws - UW System policies - UW-Madison policies
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Budget & Rates

RESEARCH & RELATED BUDGET - Cumulative Budget		
Award Number: 2017-01-000-00170		
	Totals (Y)	Totals (X)
Section A. Researcher Personnel		0.00
Section B. Other Personnel		20,000.00
Total Researcher Personnel	1	
Total Salary, Wages and Fringe Benefits (A+B)		20,000.00
Section C. Equipment		0.00
Section D. Travel		0.00
1. Domestic	0.00	
2. Foreign	0.00	
Section E. Participant / Trainee Support Costs		0.00
1. Tuition/Fees/Health Insurance	0.00	
2. Stipends	0.00	
3. Travel	0.00	
4. Substipends	0.00	
5. Other	0.00	
6. Number of Participants/Trainees	0	
Section F. Other Direct Costs		0.00
1. Materials and Supplies	1,000.00	
2. Publication Costs	0.00	
3. Consultant Services	0.00	
4. Off-Campus Services	0.00	
5. Subawards/Contracts/Indirect Costs	0.00	
6. Equipment or Facility Rental/Lease Fees	1,000.00	
7. Auxiliary and Reproduction	0.00	
8. Other	1,000.00	
9. Other	0.00	
10. Other	0.00	
Section G. Indirect Costs (A-Memo)		0.00
Section H. Indirect Costs		0.00
Section I. Total Direct and Indirect Costs (B + H)		20,000.00
Section J. Fee		0.00
Other - Project Expenses		0.00
Other - Subawards		0.00

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Budget & Rates

1. NoA – Award amount = \$250,000

Dear Mr. Novak:

The Bill & Melinda Gates Foundation (the "Foundation") is pleased to award direct effort of up to \$250,000 to the University of Wisconsin System ("University of Wisconsin") as part of the award of \$250,000.00 for the period beginning on the date you sign this agreement (the "Start Date") to June 30, 2015 (the "Award Period"). This agreement (the "Grant Agreement") contains the terms and conditions of this grant.

2. Budget – Indicates 10% IDC rate

Direct Costs	\$ 189,256	\$ 36,017
MIDC Costs		
Indirect Costs (10.00% of IDC)	\$ 18,926	\$ 3,602
Total Costs	\$ 208,182	\$ 41,819

3. IDC policy in WISPER

BILL & MELINDA GATES FOUNDATION
Indirect Cost Policy for Grants, Grants and Contracts
For Recipient Organizations

Summary:

- Indirect costs on grants and contracts are subject to the applicable maximum indirect rate of 10%.
- Indirect costs on other non-grant activities are not subject to the applicable maximum indirect rate.
- Recipient organizations must provide a copy of this policy to all sub-grantees.
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- Recipient organizations must provide a copy of this policy to all sub-grantees.

Definitions:

The Foundation is a charitable entity and is not subject to the indirect cost rules of the US government or other entities. We require that the recipient of our grant provide the best available data to support their indirect cost proposal. Recipient organizations must provide a copy of this policy to all sub-grantees.

Maximum Indirect Cost Rate:

Recipient organizations must provide a copy of this policy to all sub-grantees.

Indirect Cost Exclusions:

- Indirect costs for the purchase of real estate.
- Indirect costs for the purchase of land.
- Indirect costs for the purchase of buildings.
- Indirect costs for the purchase of equipment.
- Indirect costs for the purchase of furniture.
- Indirect costs for the purchase of vehicles.
- Indirect costs for the purchase of other tangible personal property.
- Indirect costs for the purchase of intangible personal property.
- Indirect costs for the purchase of other non-grant activities.

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Commitments

Commitments

Effort

Paid Effort

Cost-Shared Effort

Non-Fyrcall Cost Sharing

Not Paid By Sponsor

RSP Effort Web Page: <https://www.rsp.wisc.edu/effort/index.cfm>

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Commitments

Commitments are made at Proposal Stage

Where: Budget, Budget justification, SOW (if specific & quantified)

What: The quantified amount of time proposed in a grant proposal or other project application

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Commitments

Who has a commitment?

- Everyone, and Anyone, listed in a proposal with a specific and quantified amount of time proposed.
- If no commitments are proposed in the grant application, UW effort guidelines state that the contact PI must have minimum of 1% effort commitment
 - Based on 2001 OMB memo, and referenced in the Uniform Guidance
- Exceptions to the minimum PI commitment rule: Equipment or instrumentation grants, doctoral dissertation grants, and student mentoring grants, clinical trails
- UW policy, faculty cannot commit 100% of their time on sponsored projects. Time must be reserved for other UW duties.

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Commitments

What does the UW track at Award Set-up?

- Effort commitments only for those individuals identified in the award document.
 - Typically the just the PI, or other senior/Key Personnel
 - Exceptions: Fellowships, equipment, financial aid, clinical trials, doctoral dissertation grants, and student mentoring grants
- If the award document does not specifically identify PI, Co-PI, or Key Personnel, effort commitment will be tracked for the contact PI only.
- This practice does not diminish the scientific contribution to the project of other senior/key personnel; it merely limits the number of individuals that are affected by the effort-related prior approval requirement to those specifically named in the NoA.

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Commitments

Why UW only tracks those on NoA?

- Uniform Guidance (2 CFR 200), provided an opportunity for UW-Madison to review its effort policies and procedures.
- Prior approval is required for a reduction of 25% or more in the level of effort for senior/key personnel named in the NoA.
 - Those not listed in the NoA may adjust their commitment without prior approval.
- Seeks to take advantage of flexibilities provided by Uniform Guidance to reduce administrative burden

https://www.rsp.wisc.edu/effort/Guidance_Treatment_Effort_Commitments.pdf

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Commitments

What if my budget is cut?
 Commitment is the quantified amount of effort proposed that the sponsor accepts and awards, regardless of salary support.
 Sponsor reductions in budgets do not mean the Sponsor accepts a reduction in effort.

Options for dealing with budget cuts:

- Keep salaries & effort the same as proposed; reduce other budget categories (travel, supply etc.)
- Keep effort the same, reduce salaries – document the increased cost share
- Reduce effort commitments – prior approval needed from sponsor if reduction is greater than 25% for those in NoA.

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Effort Certification

Effort Certification: Required by Federal Regulation and University policy.

Effort Certification is the UW's means of:

- Providing assurance to Sponsors that faculty and staff have met their commitments
- Confirm salaries charged to sponsored projects are reasonable in relation to the work performed

Effort Certification is done through ECRT but we use WISPER to confirm Effort Training and Certification requirements are met.

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Effort Certification

Effort Requirements for Account Set Up:

- All Key Personnel must complete Effort Training
- Required Certifications must be complete
 - PI must certify effort for self and staff (graduate students, postdocs & classified staff)
 - Key Personnel must certify for self

Note: RSP will not set up awards if any key personnel on an award have not met Effort Requirements.

A validation warning in WISPER if Key Personnel have not met requirements.

- WISPER General Tab and Projects Tab have a help icon that provides a link to RSP ECRT page for help.
- If questions- Please contact your Department Effort Coordinator.


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Cost Sharing

- **Cost Sharing:** The portion of the total costs of a sponsored project that is borne by the UW rather than the sponsor.
 - University’s policy is to minimize institutional and third party cost sharing on sponsored projects. Should only be included in proposal when necessary.
- **Salary Cost Share:** Occurs on a sponsored project when the University, not the sponsor, provides salary support for an individual’s time on that sponsored project.
 - Collected at Award Set-up. Can be entered later if needed.

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Types of Cost Sharing

Mandatory Cost Share: Cost sharing that is required by the sponsor as a condition for proposal submission and award acceptance.

Mandatory

→

Mandatory

Voluntary Cost Share: Cost sharing that is offered in a proposal’s budget but not required by the sponsor as a condition of proposal submission. Once offered by the institution and agreed to by the sponsor, it becomes an obligation the university must fulfill.

Voluntary

→

Unavoidable

Examples: PI’s minimum 1%

Voluntary

→

Critical to support the research enterprise


Example: Small awards where PI’s salary would be too great a portion of the awarded amount

Voluntary

→

Offered “just because”

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Cost sharing

- **Uniform Guidance, § 200.306: Cost Sharing or Matching:**
 - “Under Federal research proposals, voluntary committed cost sharing is not expected.”
 - “Criteria for considering voluntary committed cost sharing and any other program policy factors that may be used to determine who may receive a federal award must be explicitly described in the notice of funding opportunity.”

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W Commitments & Cost Share

At Award Set Up:

- Commitments only entered for those on NoA
 - Look at award to identify personnel
 - Then look at proposal to identify level of commitment
- Enter commitment into WISPER projects tab
 - Paid or Cost Shared
- All key personnel should be up to date with effort tasks (training and certification) before award can be set up.

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W Example: WISPER – Effort & Cost Share Entry

Example:

Randal Tibbetts is the only person listed on the NoA. Below is the budget included in the proposal.

RESEARCH & RELATED BUDGET - SECTION A & B, BUDGET PERIOD 1											
* ORGANIZATIONAL SOURCE: 00000102											
* Budget Type: * Project * Subaward/Continuation											
* Offer Source: * Organization: The Board of Regents of the University of Wisconsin System											
* Start Date: 07-01-2016 * End Date: 09-30-2016 * Budget Period: 1											
A. Researcher Personnel											
PI#	* First Name	* Middle Name	* Last Name	* Title	* Project Role	* Base Salary	* Cost	* Award	* Requested	* Fringe	* Funds Requested (\$)
1	RANDAL		TIBBETTS	PROF	PI	100,000.00	100,000.00	100,000.00	100,000.00	17,700.00	117,700.00
2	WISPER			CONTRACTOR	CONTRACTOR	15,000.00	15,000.00	15,000.00	15,000.00	1,700.00	16,700.00
Total Funds Requested (Researcher Personnel)						115,000.00	115,000.00	115,000.00	115,000.00	19,400.00	134,400.00
Additional Senior Key Personnel											
* Other Personnel											
* Number of Personnel	* Project Role			* Cost	* Award	* Requested	* Fringe	* Funds Requested (\$)			
1	Post Doctoral Associate			25,000.00	25,000.00	25,000.00	4,375.00	29,375.00			
1	Graduate Student Employee			10,000.00	10,000.00	10,000.00	1,100.00	11,100.00			
1	Researcher/Scientist			10,000.00	10,000.00	10,000.00	1,100.00	11,100.00			
2	Staff Member/Other Personnel			10,000.00	10,000.00	10,000.00	1,100.00	11,100.00			
Total Salary, Wages and Fringe Benefits (Other)						55,000.00	55,000.00	55,000.00	6,675.00	61,675.00	
RESEARCH & RELATED Budget (Other) Funds Requested											


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W The Effort Process in a Nutshell

```

    graph LR
      A[Commitment Proposed] --> B[Commitment Awarded]
      B --> C[WISPER]
      C --> D[SFS Commitment Management]
      D --> E[ECRT]
      E --> F[Commitment met]
      subgraph "Effort expended by PI"
        C
        D
        E
      end
  
```

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FCOI Compliance

At award set up RSP checks to ensure all key personnel are up to day with FCOI tasks

- **University COI Policy:**
 - All Key Personnel required to have a valid annual OAR on file to receive RSP award set-up services
 - Annual OAR submissions are due May 1st of each year
 - This is indicated on the General Tab of each WISPER record.
- **PHS FCOI Policy:**
 - All Key Personnel on PHS Awards will need to complete FCOI training.
 - All Key Personnel will need to update their OAR at [time of Award Set Up](#).
 - Agencies Using the PHS FCOI Regulations: http://sites.nationalacademies.org/PGA/rdp/PGA_070596

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PHS FCOI Compliance

Process for FCOI Check

1. Key personnel are identified by RSP and loaded into the personnel section of the General tab in WISPER
2. Record is then loaded to FAST by (FCOI Award Setup Tool)
3. Key personnel are notified via email and instructed to complete FCOI requirements. Department contact is also copied on this e-mail.
4. FAST tracks and logs FCOI items in compliance and emails RSP when items are completed
5. Only when all items are completed will RSP move forward.

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PHS FCOI Compliance

FAST: <https://my.gradsch.wisc.edu/coi-rsp/coiDashboard.pl>

Details of WISPER Document MSN163138
Added to the Award Setup Worksheet on 5/10/13

Award PI: KAHL, BRAD S
 Award Period: 01-May-13 to 28-Feb-14
 Award Description: Eastern Cooperative Oncology Group - Wisconsin Studies
 Sponsor: DHRH, PHS, NATIONAL INSTITUTES OF HEALTH
 Award Reference #: S U10 CA021076-38
 Award Department: 633400
 Current Budget: \$104,308.00
 Award Contract Type: Grant

COI Clearances Required		Questions? Contact the COI Office				Questions? Contact RSP	
Role	Name	Training OAR Submitted	COI Office Action	Investigator Responded	Reportable FCOIs	Reports Submitted	Check
P	KAHL, BRAD S	OK	OK	OK	OK	Cell Therapeutics	07/02/2013
CO-INVESTIGATOR	CALLANDER, NATALIE S	OK	OK	OK		N/A	
CO-INVESTIGATOR	CETNAR, JEREMY P	OK	Pending	Pending			
CO-INVESTIGATOR	HOANG, TIEN	OK	Pending	Pending			
CO-INVESTIGATOR	POLESAR, JILL M	OK	OK	OK	OK	Helix Diagnostics	09/11/2013
CO-INVESTIGATOR	LIU, GLENN	OK	OK	OK		N/A	
CO-INVESTIGATOR	MATTISON, RYAN J	OK	OK	OK		N/A	45

 **NoA Received – Now What?**


RSP receives the award first

- RSP will send a "Set Up Projects" approval to the Award Setup contact (list maintained by Division). The purpose is to capture the details of the award for account creation.

PI or Department receives award notice first

- You can upload document(s) to Attachments tab
- Complete Projects Tab
- Send approval to Division


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 **NoA Received
RSP Actions**

RSP receives NOA

- Communication to the Department and/or Division by RSP
- RSP will identify requirements in need of action
 - FCOI requirements
 - Confirm PI effort and/or cost share
 - Verify budget
 - PI or Division Signature on award
 - Protocol approvals
 - Others


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 **NoA Received
Department/Division Actions**

Department/Division receives award notice

- Read NoA for key information
- WISPER Projects Tab completed
- Institutional compliance approvals in place
- Additional approvals (i.e., cross-campus collaborators)
- Division sign for award via "Division Action" tab in WISPER & process to RSP
 - Approve "Project Setup Approval" request [*Approvals Tab*]
 - "Request Project/Award Finalized of SPO" [*Division Action Tab*]


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Project Set Up WISPER Demo

Let's take a look in WISPER and see what we need to do...

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Common Pitfalls

Frequent "snags" at Award Set Up

- Protocol compliance information not updated and listed in PLuS (i.e., prior award info; title not listed; IACUC congruence not complete)
- PI or Co-PI has outstanding effort tasks or needs to take a mandatory training
- Senior/Key Personnel have FCOI requirements to meet
 - For PHS awards, PI, RSP, and COI office are all involved
- PI or Co-PI overcommitted, especially in summer
- Cross-campus collaborations need to be figured out (budget, effort, etc.)

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Finalizing Award Set-up

RSP Will do a comprehensive final review

1. Compliance (protocols, effort, FCOI, etc.)
2. Terms and Conditions
3. Internal approvals
4. Proper F&A rate applied
5. Effort
6. FCOI
7. Award Reporting Requirements
 - CFDA
 - Federal or Non-Federal
 - Classification (Research, Instruction, etc...)

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Finalizing Award Set-up

- WISPER is a tool for collecting all proposal and award information
- RSP Award Set Up Team will 'generate' the award from WISPER
- This transfers all information from WISPER over to the Grants Suite in PeopleSoft.

Information flow:
WISPER > Grants Suite > WISDM

Pre-Award tracking = WISPER
Post-Award financial system = WISDM

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Resources

Award Set-up: <https://www.rsp.wisc.edu/awardsetup/>

Effort: <https://www.rsp.wisc.edu/effort/>

Cost Share: <https://www.rsp.wisc.edu/costsharing/>

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Bringing it all together

- **Questions** – Test your knowledge
- **Group Exercise** – Scenario

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Feedback & Questions

Questions?

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Thank you for coming!

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