Research Administration 101

Session 1
Introduction to Research Administration
Thursday, November 19, 2015

Presenters/Research Administration Series Committee

Becky Bound, Office of the Vice Chancellor for Research and Graduate Education
Dawn Herrick, College of Engineering
Tammy Kuhn-Martin, College of Engineering
Sarah Marcotte, College of Agricultural & Life Sciences
Deborah Meltzer, School of Medicine and Public Health
Jennifer Rodis, Office of Research and Sponsored Programs
Christy Schulz, School of Medicine and Public Health
Sharon Vetter, School of Pharmacy
Series

- Intro to Research Administration
- Lifecycle of Sponsored Projects Part 1: Proposal Preparation
- Lifecycle of Sponsored Projects Part 2: Award Setup, Commitments & Cost Sharing
- Lifecycle of Sponsored Projects Part 3: Award Management & Cost Transfers
- Lifecycle of Sponsored Projects Part 4: Award Closeout and Audits
- Agreement Types
- NSF and NIH Training
- Conflict of Interest & Outside Activities Report, FCOI Process on Sponsored Projects and Compliance (Human Subjects, Animal Welfare, & Biosafety)

Goals of RA 101 Series

1. To assist investigators, staff and students in identifying potential sponsors, locating and understanding the applicable policies and procedures, and understanding their responsibilities in the preparation of proposals and conduct of sponsored projects;

2. To describe and provide resources for the University’s policies related to submission of research proposals and responsible conduct of awarded projects;

3. To acquaint attendees with offices responsible for support and oversight of sponsored projects.
What *is* Research Administration?

- Dissemination of funding opportunities
- Communication of policy and processes
- Proposal preparation
- Award negotiation
- Award management
- Regulatory compliance
- Intellectual property protection and technology transfer
- Effort commitment and certification

The goal is to enhance faculty and staff success in obtaining external funding for research, training and service activities and to assist in the management of awards.
Vocabulary

Research Administration has its own set of acronyms and jargon - if we use any without defining them, stop us and ask!

Glossary: “Sponsored Projects”

Sponsored projects are research, training, instructional, or outreach/public service projects involving funds, materials, other forms of compensation, or exchanges of in-kind efforts from sources external to UW under awards or agreements.

Ex.: Grants, Research Contracts, Cooperative Agreements, Material Transfer Agreements, Confidentiality (Non-disclosure) Agreements, etc.
Glossary: “Principal Investigator”

- An individual designated to direct the project or activity being supported by the grant. He or she is responsible and accountable to the university and the sponsor for the proper conduct of the project or activity.
- At the UW, faculty in tenure-track positions (Asst. Prof., Assoc. Prof., Professor) automatically have PI status. Academic Staff may request limited or project PI status.

**If limited PI status is needed, plan in advance and refer to [https://research.wisc.edu/respolcomp/pistatus/](https://research.wisc.edu/respolcomp/pistatus/) for forms and instructions**

Glossary: “Key Personnel”

- A person who contributes to the scientific or scholarly development or execution of project in a substantive, measurable way. A key person is defined as the principal investigator, all co-investigators, and all individuals explicitly listed as key personnel in the proposal. In situations in which the proposal does not explicitly list key persons, the University defines key personnel as the principal investigator and all co-investigators on a sponsored project.
Glossary: “Indirect” or “Facilities and Administrative (F&A) Costs”

(OMB Circular A-21, Section F or 2 CFR 200 §200.414)

Costs that are incurred by a grantee for common or joint objectives and cannot be identified specifically with a particular project or program.

- General, Departmental, Sponsored Projects, and Dean’s Level Administration
  - Includes salaries for administrative and clerical personnel
  - Office supplies, telephones, postage, memberships, general-use computers
  - Libraries, Student Services, Depreciation and Use

Glossary: “Cost Sharing” or “Matching”

The portion of the costs of a project or program not borne by the sponsor.

- Mandatory cost sharing: Cost sharing that is required by the sponsor as a condition for proposal submission and award acceptance
- Voluntary cost sharing: Cost sharing that is offered in a proposal but not required by the sponsor (committed), or that is over and above that which is committed and budgeted for in a sponsored research agreement (uncommitted)

Costs used to satisfy matching or cost sharing requirements are subject to the same policies governing allowability as other costs under the approved budget.
Glossary: Sponsor Systems

- Grants.gov
- ProposalCentral
- Other Agencies
  - NSF Fastlane and Research.gov
  - NIH Commons and ASSIST
  - NASA NSPIRES
  - NOAA Grants Online
  - DOE FedConnect, PAMS
  - American Heart Association Grants@Heart

The UW Research Enterprise

- 2014-15 Extramural Awards
  - Non-Federal: $499.6 million
  - Federal: $619.5 million
  - Total: $1119.1 million

Compare to....

- Harvard University 2014-15 Sponsored Support*
  - Non-Federal: $227.9 million
  - Federal: $577.9 million
  - Total: $805.8 million

### The UW Research Enterprise

#### University of Wisconsin—Madison  
**2014 - 2015 Data Digest | Research**

**Total Extramural Research Awards by School/College**

<table>
<thead>
<tr>
<th>School/College</th>
<th>2014-15</th>
<th>2015-16</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of A&amp;S, UW Sciences</td>
<td>62,520</td>
<td>62,520</td>
</tr>
<tr>
<td>College of Education</td>
<td>47,370</td>
<td>47,370</td>
</tr>
<tr>
<td>College of Engineering</td>
<td>86,650</td>
<td>86,650</td>
</tr>
<tr>
<td>School of Human Ecology</td>
<td>8,000</td>
<td>8,000</td>
</tr>
<tr>
<td>VSC/Graduate School</td>
<td>15,100</td>
<td>15,100</td>
</tr>
<tr>
<td>Inst. for Environmental Studies</td>
<td>4,000</td>
<td>4,000</td>
</tr>
<tr>
<td>Law School</td>
<td>6,200</td>
<td>6,200</td>
</tr>
<tr>
<td>School of Letters and Science</td>
<td>36,400</td>
<td>36,400</td>
</tr>
<tr>
<td>School of Medicine &amp; Public Health</td>
<td>240,300</td>
<td>240,300</td>
</tr>
<tr>
<td>School of Nursing</td>
<td>12,200</td>
<td>12,200</td>
</tr>
<tr>
<td>School of Pharmacy</td>
<td>7,600</td>
<td>7,600</td>
</tr>
<tr>
<td>School of Pharmacy (Clinical Pharmacy)</td>
<td>10,000</td>
<td>10,000</td>
</tr>
<tr>
<td>Other Institutes</td>
<td>10,7,33</td>
<td>10,7,33</td>
</tr>
</tbody>
</table>

**Total**                                    | 788,9   | 788,9   |

---

**Total Research Awards in 2014**

- Education: 20%
- Engineering: 50%
- Health: 10%
- Letters and Science: 5%
- Medicine & Public Health: 15%
- Other: 2%

---

**Annual % Change in Total Research Awards**

---

---

### The UW Research Enterprise

#### University of Wisconsin—Madison  
**2014 - 2015 Data Digest | Research**

**Total Research Expenditure Rankings**

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Science &amp; Engineering R&amp;D Expenditures</td>
<td>4</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>5</td>
<td>5</td>
<td>6</td>
<td>6</td>
</tr>
<tr>
<td>Public Institutions</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>5</td>
</tr>
<tr>
<td>Big Ten Institutions</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Federally Financed S&amp;E Expenditures</td>
<td>8</td>
<td>5</td>
<td>5</td>
<td>8</td>
<td>8</td>
<td>6</td>
<td>11</td>
<td>11</td>
</tr>
<tr>
<td>All Institutions</td>
<td>5</td>
<td>3</td>
<td>3</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>6</td>
<td>8</td>
</tr>
<tr>
<td>Public Institutions</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>Big Ten Institutions</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Non-Science and Engineering R&amp;D Expenditures</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>5</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Big Ten Institutions</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>3</td>
<td>4</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Total R&amp;D Expenditures</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Public Institutions</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Big Ten Institutions</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

**2013 Total R&D Expenditures: Top Five**

<table>
<thead>
<tr>
<th>Institution</th>
<th>Dollars (Millions)</th>
<th>2013 Total R&amp;D Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Washington</td>
<td>$1.04 billion</td>
<td>2013 Total R&amp;D Expenditures: Top Five</td>
</tr>
<tr>
<td>Madison</td>
<td>$882.1 million</td>
<td></td>
</tr>
<tr>
<td>UW Madison</td>
<td>$666.1 million</td>
<td></td>
</tr>
<tr>
<td>UC San Diego</td>
<td>$541.6 million</td>
<td></td>
</tr>
<tr>
<td>UC San Francisco</td>
<td>$438.2 million</td>
<td></td>
</tr>
</tbody>
</table>

---

**2013 Fed. & S&E R&D Expenditures: Top Eight Public Institutions (Millions of Dollars)**

<table>
<thead>
<tr>
<th>Institution</th>
<th>Dollars (Millions)</th>
<th>2013 Fed. &amp; S&amp;E R&amp;D Expenditures: Top Eight Public Institutions (Millions of Dollars)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Washington</td>
<td>$882.1 million</td>
<td>2013 Fed. &amp; S&amp;E R&amp;D Expenditures: Top Eight Public Institutions (Millions of Dollars)</td>
</tr>
<tr>
<td>Madison</td>
<td>$666.1 million</td>
<td></td>
</tr>
<tr>
<td>UW Madison</td>
<td>$541.6 million</td>
<td></td>
</tr>
<tr>
<td>UC San Diego</td>
<td>$438.2 million</td>
<td></td>
</tr>
<tr>
<td>UC San Francisco</td>
<td>$438.2 million</td>
<td></td>
</tr>
</tbody>
</table>

---

---

**2013 S&E Expenditures: Top Five Public Institutions (Millions of Dollars)**

<table>
<thead>
<tr>
<th>Institution</th>
<th>Dollars (Millions)</th>
<th>2013 S&amp;E Expenditures: Top Five Public Institutions (Millions of Dollars)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Washington</td>
<td>$1.04 billion</td>
<td>2013 S&amp;E Expenditures: Top Five Public Institutions (Millions of Dollars)</td>
</tr>
<tr>
<td>Madison</td>
<td>$882.1 million</td>
<td></td>
</tr>
<tr>
<td>UW Madison</td>
<td>$666.1 million</td>
<td></td>
</tr>
<tr>
<td>UC San Diego</td>
<td>$541.6 million</td>
<td></td>
</tr>
<tr>
<td>UC San Francisco</td>
<td>$438.2 million</td>
<td></td>
</tr>
</tbody>
</table>

---

---

---

---

**Source:** National Science Foundation Research and Development Expenditure Survey. Note: See Technical Note #6 for details about NSF definitions and data.
Electronic Systems at UW

- WISPER – Electronic Routing & Project Set up
- WISDM – Grants & Financial Reporting
- ECRT – Effort Certification
  - Certification Status Lookup Screen (and others)
- Cayuse – Grants.gov submission
- RSP Database Queries/Tools
  - All Awards Search
  - Accountant Search
  - Subaward Database Search
  - CITI Training Lookup
  - Collaborative Proposals Salary Lookup
  - Conflict of Interest Tools (FAST)/PHS Award Setup Worklist
  - Outside Activities Reports

WISPER

- **WISconsin Proposal & Electronic Routing.** UW’s tool for....
  - Routing, approval, and negotiation of applications and agreements for extramural support
  - Communicating and tracking progress for proposal submissions and award acceptance
  - Collecting award data for setup (details, requirements, and commitments)
Basics of Research Administration
Roles and Responsibilities

- Who does what?
- What are my responsibilities?
- Why do I have to do this?
Who is Involved?

- Research and Sponsored Programs
- Human Resources
- Business Services
  - Accounting
  - Purchasing
  - Travel
  - Risk Management
- Wisconsin Alumni Research Foundation (WARF)
- Legal Affairs
- University of Wisconsin Foundation
- Office of the Vice Chancellor for Research and Graduate Education
  - Office of Industrial Partnerships
  - Office of Research Policy
  - Research Animal Resources Center/Institutional Animal Care and Use Committees
- Institutional Review Boards
- Environment, Health and Safety

http://www.wisc.edu/about/leadership/docs/UWLeadershipOrgChart_20141009.pdf
Key Players

- Principal Investigator
- Chair and administrator
- Dean's Office
- Research and Sponsored Programs
- Office of Industrial Partnerships

https://www.rsp.wisc.edu/policies/staffroles.html
Key Players

- Chair and administrator
  - Verify PI eligibility/availability
  - Verify resources & facilities
  - Assure the work fits the department’s mission
  - Manage effort
    - Be sure effort commitments are met
    - Be sure salary is charged correctly (avoid salary cost transfers)

Key Players

- Dean’s Office
  - Provide general oversight for proposals, including budget review
  - Review and approval of limited PI status
  - Verify approval of regulatory compliance protocols
  - Approve cost-sharing/matching
  - Oversee financial management of awards
Key Players

- Office of Industrial Partnerships
  - Provide institutional leadership through training and advising
  - Negotiate, accept and sign agreements
    - Industry-funded research
    - Material Transfer
    - Confidentiality/Non-Disclosure
    - Fee for Service

Key Players

- Research and Sponsored Programs
  - Provide institutional leadership through training and advising
  - Review, sign and submit proposals
  - Negotiate, accept and sign research agreements for non-industry funding (e.g. non-profits, federal and non-federal government agencies, universities, etc.)
  - Report on & invoice for all charges
    - Charges must be recorded in SFS
  - Manage revenue
    - Match checks received in RSP directly with correct projects
    - Deposit payments
Shared Responsibilities

All of the Above! We are all a team in this process – communication and shared responsibility are key.

Basics of Research Administration Regulations

What do you mean, “I can’t buy [...] on my grant?” It’s my money, isn’t it?
Where do these rules come from?

- Laws, regulations, guidelines
  - Federal
  - State
  - UW System
  - UW Madison
  - Schools and Colleges
  - Sponsors

Federal Regulations


- 2 CFR 200: Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
- Office of Management and Budget (OMB) Circulars
  - 2 CFR 220: Cost Principles (A-21)
  - 2 CFR 215: Administrative Requirements (A-110)
  - A-133: Audit Requirements
  - [https://www.whitehouse.gov/omb/circulars_default/](https://www.whitehouse.gov/omb/circulars_default/)
Federal Regulations

- 37 CFR 401: Rights To Inventions Made By Nonprofit Organizations And Small Business Firms Under Government Grants, Contracts, And Cooperative Agreements (Bayh-Dole)
- Animal Welfare Act
  - USDA/Animal Care Division
  - PHS/Office of Laboratory Animal Welfare
- 45 CFR 46: HHS Regulations for the Protection of Human Subjects
  - HHS/Office of Human Research Protections (OHRP)

State regulations and laws

- As an agency of the State of Wisconsin, we are required to follow state law
  - Indemnification
  - Insurance
  - Arbitration
  - Jurisdiction
  - Injunctive Relief
  - Open records
  - Record Retention
  - Ethics
  - Personnel practices
University of Wisconsin System
Policies

- Extramural Support Administration: https://www.wisconsin.edu/financial-administration/financial-administrative-policies-procedures/gapp-numeric-index/g2-extramural-support-administration/
  - Data Ownership
  - Right to Publish
  - Others...
- Rules of the Board of Regents: https://www.wisconsin.edu/regents/policies/

University of Wisconsin System
Policies
As implemented by UW-Madison
- Human Resources Policies https://kb.wisc.edu/ohr/policies/ (website includes information on all employment categories)
UW-Madison Policies

- Extramural Support Policies & Procedures: https://www.rsp.wisc.edu/policies/
  - Effort Policy
  - Authority and responsibilities
  - Who gets to be a PI
  - Outside Activities Reporting
  - And more...

- Research Policies: https://research.wisc.edu/researchers/, https://kb.wisc.edu/gsadminkb/
  - Research Policy & Compliance – Animal Care, Research Ethics, Conflict of Interest, Export Control, Select Agents
  - Project Agreements & Intellectual Property - Obligations & Disclosure

Research Administration Resources

- Where can I get help?

- Are there tools to help me prepare my proposal?

- Who can I call?
**Resources – People**

- **Department/Center Administrators**
- **Colleagues**
  - SMPh Research Administrators Network: Debbie Meltzer, dmeltzer@wisc.edu
  - L&S Research Administrators Group: Kelly Mallon, kelly.mallon@wisc.edu
  - VCRGE Research Administrators: Nick Novak, nick.novak@wisc.edu
  - Engineering Research Administrators: Tammy Kuhn Martin, tamara.kuhnmartin@wisc.edu
- **Dean's Offices**
  - [http://www.rsp.wisc.edu/cnsrescont.html](http://www.rsp.wisc.edu/cnsrescont.html)
- **Research and Sponsored Programs**
  - [https://www.rsp.wisc.edu/directory.cfm](https://www.rsp.wisc.edu/directory.cfm)

**Resources – Training**

- **Training Opportunities**
  - VCRGE Seminar and Workshop Series
    - [https://www.ohrd.wisc.edu/ohrdcatalogportal/](https://www.ohrd.wisc.edu/ohrdcatalogportal/)
    - Research Administration
    - Human Research Protections
    - Intellectual Property
    - Responsible Conduct of Research
- **Research and Sponsored Programs**
  - [http://www.rsp.wisc.edu/training/](http://www.rsp.wisc.edu/training/)
    - NCURA Webcasts & Video Conferences
    - WISPER tutorials
    - WISDM for Grants Management
    - Effort Coordinator Training
Resources – UW Tools

- All Awards Search - https://www.rsp.wisc.edu/services/admin/award_search/
- Accountant Search - https://www.rsp.wisc.edu/accountantsearch.html
- Subaward Database Search - https://www.rsp.wisc.edu/services/admin/subaward_search/
- CITI Training Lookup - https://my.gradsch.wisc.edu/lookups/index.html
- Collaborative Proposals Salary Lookup - https://www.rsp.wisc.edu/services/admin/slookup.cfm
- Conflict of Interest Tools (FAST)/PHS Award Setup Worklist - https://my.gradsch.wisc.edu/coi-rsp/setupListView.pl
- Outside Activities Reports - https://my.gradsch.wisc.edu/lookups/index.html

Resources – Professional Organizations

- Professional Organizations
  - National Council of University Research Administrators (NCURA): http://www.ncura.edu/
  - Society of Research Administrators (SRA): http://srainternational.org/
  - Association of University Technology Managers (AUTM): www.autm.net
  - Southern Wisconsin Chapter of the Association of Government Accountants (AGA): www.agawis.org
Resources - Online

- E-mail lists
  - Research Administration Discussion List (RESADM-L)
    http://lists.healthresearch.org/cgi-bin/wa?SUBED1=resadm-l&A=1
  - NIH Guide LISTSERV
    http://grants.nih.gov/grants/guide/listserv.htm
  - National Science Foundation Update
    http://service.govdelivery.com/service/multi_subscribe.html?code=USNSF&custom_id=823
  - SBIR/STTR LISTSERV – subscribe by agency
  - Animal Welfare (OLAW) LISTSERV
    http://grants.nih.gov/grants/olaw/references/list.htm
  - Cayuse users LISTSERVs
    https://www.rsp.wisc.edu/cayuse/listservInfo.html
    http://admin.cayuse424.com/mailman/listinfo/cayuse424
- Other social media – Sponsors on Facebook, Twitter, etc.

Websites

- List of Acronyms and their meanings:
  https://www.rsp.wisc.edu/awardsetup/docs/Acronyms.pdf
- GrantForward
  https://www.grantforward.com/index
- InfoEd/SPIN
  https://spin.infoedglobal.com/Home/GridResults
- Pivot http://pivot.cos.com/funding_main
- Grants.gov
  http://www.grants.gov/web/grants/home.html
More Websites

- OMB
  http://www.whitehouse.gov/omb/circulars_default/
- Bayh-Dole http://www.cptech.org/ip/health/bd/

- WISPER https://www.rsp.wisc.edu/WISPER/
- Ebling Library http://ebling.library.wisc.edu/

And yet more Websites

- Grants.gov/Cayuse at UW
  https://www.rsp.wisc.edu/preaward/grantsgov.html

- proposalCentral
  https://proposalcentral.altum.com/

- NIH http://www.nih.gov/
  http://grants.nih.gov/grants/oer.htm

  https://www.fastlane.nsf.gov/fastlane.jsp
And yet more Websites

- Research & Sponsored Programs
  http://www.rsp.wisc.edu/
- Vice Chancellor for Research and Graduate Education
  www.research.wisc.edu
  - Office of Industrial Partnerships
    https://research.wisc.edu/projectagreementsip/oip/
  - Office of Research Policy
    https://research.wisc.edu/respolcomp/
  - Research Animal Resources Center
    https://www.rarc.wisc.edu/home.html

And yet more Websites

- Human Resources
  http://www.ohr.wisc.edu/index.aspx
- Business Services
  http://www.bussvc.wisc.edu/
- Institutional Review Boards
  https://research.wisc.edu/respolcomp/hrpp/
- Environment, Health and Safety
  http://www.ehs.wisc.edu/
- Office of Legal Affairs
  www.legal.wisc.edu
- Wisconsin Alumni Research Foundation
  http://www.warf.org/
- University of Wisconsin Foundation
  http://www.supportuw.org/