Research Administration

Introduction to.....
& Proposal Preparation

Session 1

October 27th, 2016
Presenters/Research Administration Series Committee

Melanie Hebl, Office of Research and Sponsored Programs
Dawn Herrick, College of Engineering
Amber Jensen, College of Engineering
Tammy Kuhn-Martin, College of Engineering
Sarah Marcotte, College of Agricultural & Life Sciences
Deborah Meltzer, School of Medicine and Public Health
Christy Schulz, School of Medicine and Public Health
Sharon Vetter, School of Pharmacy
Research Administration Training
Series 2016-17

1: Introduction to Research Administration & Proposal Preparation
2: Budget Preparation Workshop
3a: NIH Proposal Workshop
3b: NSF Proposal Workshop
4: FCOI Process on Sponsored Projects and Compliance (Human Subjects, Animal Welfare & Biosafety)
5: Agreement Types
6: Award Setup, Commitments & Cost Sharing
7: Award Management & Cost Transfers
8: Award Closeout & Audits
Training Series Goals

To help investigators, staff & students......

Identify potential sponsors
Understand applicable policies & procedures
Know their responsibilities in proposal preparation & the conduct of sponsored projects

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

To familiarize.......you with the offices responsible for support and oversight of sponsored projects
What is Research Administration?

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

- Disseminate funding opportunities
- Proposal preparation
- Communication of policy and processes
- Regulatory compliance
- Effort Commitment and Certification
- Intellectual property protection/technology transfer
- Award negotiation
- Award management
Research Administration Components
The “Life Cycle”

**POST-AWARD**
- Additional Funding
- Sponsor Reports & Closeout
- Tracking Accounting
- Spend Money/Purchasing
- Establish Project Accounts/Brief PI

**PRE-AWARD**
- Locate Funding/Develop Proposal
- Proposal Review/Inst Approval
- Proposal Submission
- Funded: Award Terms/Conditions
- Not funded: Reviewer comments.. Resubmit
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/activity being supported by the grant. He/she is responsible and accountable to the university and the sponsor for the proper conduct of the project/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/ 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, and all individuals explicitly listed as key personnel in the notice of award.
Glossary: “Indirect” or “Facilities and Administrative (F&A) Costs”

(Uniform Guidance, Part 200, Subpart A, §200.56)

• Costs that are incurred by a grantee for common or joint objectives and cannot be identified specifically with a particular project/program. General, Departmental, Sponsored Projects, and Dean’s Level Administration
  • Includes salaries for administrative and clerical personnel
  • Office supplies, telephones, postage, memberships
  • 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............UW uses Cayuse
- 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: $501.6 million
  - Federal: $641.1 million
  - Total: $1,142.7 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

### Total Extramural Research Awards by School/College

(Millions of Dollars)

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**Total Research Awards in 2015**

- Education: 3%
- Engineering: 12%
- CALS: 7%
- Medicine and Public Health: 41%
- Letters and Science: 13%
- Other: 6%

**Annual % Change in Total Research Awards**

ACADEMIC PLANNING & INSTITUTIONAL RESEARCH, OFFICE OF THE PROVOST • VICE CHANCELLOR FOR FINANCE & ADMINISTRATION
# The UW Research Enterprise

## Total Research and Development (R&D) Expenditure Rankings

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

## 2014 Total R&D Expenditures: Top Five Public Inst. (Millions of Dollars)

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<th>Total R&amp;D Expenditures</th>
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<td>Michigan</td>
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<td>Washington</td>
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<td>UW-MADISON</td>
<td>1108.6</td>
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<td>UC-San Francisco</td>
<td>1084.0</td>
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<td>UC-San Diego</td>
<td>1067.4</td>
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## 2014 Fed. S&E R&D Expenditures: Top Seven Public Inst. (Millions of Dollars)

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<th>Total S&amp;E R&amp;D Expenditures</th>
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<td>733.8</td>
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<tr>
<td>Michigan</td>
<td>601.9</td>
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<tr>
<td>UC-San Diego</td>
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<td>Pittsburgh</td>
<td>597.3</td>
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<tr>
<td>UC-San Francisco</td>
<td>554.7</td>
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<td>UW-MADISON</td>
<td>522.3</td>
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<tr>
<td>Michigan</td>
<td>984.8</td>
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## 2014 S&E R&D Expenditures: Top Five Public Inst. (Millions of Dollars)

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<th>Total S&amp;E R&amp;D Expenditures</th>
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<tr>
<td>Michigan</td>
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ACADEMIC PLANNING & INSTITUTIONAL RESEARCH, OFFICE OF THE PROVOST - VICE CHANCELLOR FOR FINANCE & ADMINISTRATION
Electronic Systems at UW

- WISPER – Electronic Routing & Project Set Up
- WISDM – Grants & Financial Reporting
- ECRT – Effort Certification
- Cayuse – Grants.gov submissions
- RSP Database Queries
  - Award lookup
  - Accountant lookup
  - Subaward tracking
  - CITI training
- www.rsp.wisc.edu (Training)
WISPER

WISconsin Proposal & Electronic Routing

UW’s tool for...........

• Routing, approval, & negotiation of applications for extramural support

• Communicating & tracking progress for proposal submissions & 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
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

Principal Investigator

- Identify funding opportunities
- Prepare a proposal
- Review and accept terms and conditions
- Manage the administration and science of the award
- Fulfill and certify effort commitments
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!

Teamwork
Communication
Shared Responsibility
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/](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 (RAN):
    - Debbie Meltzer, dmeltzer@wisc.edu
    - Christy Schulz, crschulz@wisc.edu
    - Sharon Vetter, sharon.vetter@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
- Research and Sponsored Programs
  - https://www.rsp.wisc.edu/directory.cfm
Resources – Training

• Training Opportunities

  • VCRGE Seminar and Workshop Series
    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/
    • NCURA Webcasts & Video Conferences
    • WISPER tutorials
    • WISDM for Grants Management
    • Effort Coordinator Training
Resources – UW Tools

- **WISPER, WISDM, ECRT, Cayuse, Cost Transfers, PI Financials** – Access from RSP homepage, [https://www.rsp.wisc.edu/index.html](https://www.rsp.wisc.edu/index.html)
- **All Awards Search** - [https://www.rsp.wisc.edu/services/admin/award_search/](https://www.rsp.wisc.edu/services/admin/award_search/)
- **Accountant Search** - [https://www.rsp.wisc.edu/accountantsearch.html](https://www.rsp.wisc.edu/accountantsearch.html)
- **Subaward Database Search** - [https://www.rsp.wisc.edu/services/admin/subaward_search/](https://www.rsp.wisc.edu/services/admin/subaward_search/)
- **CITI Training Lookup** - [https://my.gradsch.wisc.edu/lookups/index.html](https://my.gradsch.wisc.edu/lookups/index.html)
- **Collaborative Proposals Salary Lookup** - [https://www.rsp.wisc.edu/services/admin/slookup.cfm](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](https://my.gradsch.wisc.edu/coi-rsp/setupListview.pl)
- **Outside Activities Reports** - [https://my.gradsch.wisc.edu/lookups/index.html](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.aga-wis.org
Resources - Online

• E-mail lists
  • Research Administration Discussion List (RESADM-L)  
    http://lists.healthresearch.org/cgi-bin/wa?SUBED1=resadm-l&A=1
  • 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/
• Grants.gov/Cayuse at UW https://www.rsp.wisc.edu/preaward/grantsgov.html
• proposalCentral https://proposalcentral.altum.com/
And yet more Websites

  [http://grants.nih.gov/grants/oer.htm](http://grants.nih.gov/grants/oer.htm)
  [https://www.fastlane.nsf.gov/fastlane.jsp](https://www.fastlane.nsf.gov/fastlane.jsp)
- Research & Sponsored Programs [http://www.rsp.wisc.edu/](http://www.rsp.wisc.edu/)
- Vice Chancellor for Research and Graduate Education [www.research.wisc.edu](http://www.research.wisc.edu)
  - Office of Industrial Partnerships [https://research.wisc.edu/projectagreementsip/oip/](https://research.wisc.edu/projectagreementsip/oip/)
  - Office of Research Policy [https://research.wisc.edu/respolcons](https://research.wisc.edu/respolcons)
  - Research Animal Resources Center [https://www.rarc.wisc.edu/home.html](https://www.rarc.wisc.edu/home.html)
And yet more Websites

- Institutional Review Boards [https://research.wisc.edu/respolcomp/hrpp/](https://research.wisc.edu/respolcomp/hrpp/)
- Office of Legal Affairs [www.legal.wisc.edu](http://www.legal.wisc.edu)
- University of Wisconsin Foundation [http://www.supportuw.org/](http://www.supportuw.org/)