Symposium for Research Administrators

University of Wisconsin-Madison
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Research Administration
Roles and Responsibilities
Matrix Overview

Who is responsible for what?
Introductions

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Schools and Colleges

- College of Agriculture and Life Sciences
- Arts Institute
- Wisconsin School of Business
- Division of Continuing Studies
- School of Education
- College of Engineering
- Nelson Institute for Environmental Studies
- Graduate School
- School of Human Ecology
- International Division
- Law School
- College of Letters & Science
- School of Medicine and Public Health
- School of Nursing
- School of Pharmacy
- School of Veterinary Medicine
S/C Approval Organization

Principal Investigator Department/Center

Dean’s Office

Central Campus (RSP)
Centers

• The UW has more than 250 centers
  • [https://apir.wisc.edu/uapc/CENTERS2016web.xlsx](https://apir.wisc.edu/uapc/CENTERS2016web.xlsx)

• Some examples of centers from VCRGE:
  • Waisman Center
  • Primate Research Center
  • Space Science and Engineering Center
  • Physical Sciences Laboratory

• While Centers or Institutes might support interdisciplinary faculty and collaboration across campus, they ultimately have one academic home (Dean’s Office).
Three Examples

- **L&S**
  - 56 Departments
  - 70 Centers

- **SoHE**
  - Four Departments
  - Six Centers

- **SMPH**
  - 27 Departments
  - 24 Centers

The Department of Medicine, includes 11 Divisions and 11 Related Programs
Find Funding

Principal Investigator and/or Department Administrator
  • Identifies funding and communicates intentions

Dean or Division
  • Works with faculty and staff to match funding opportunities with research

Research and Sponsored Programs
  • Identifies databases of grant information and distributes information to University community
Proposal Prep

Principal Investigator and/or Department Administrator
• Prepares technical proposal
• Creates budget and budget narrative that aligns with scope of work in proposal
• Prepares and submits any compliance components

Dean or Division
• Approves and provides documentation to RSP for cost share requirements
• Provides general oversight for sponsored project proposals, including budget review

Research and Sponsored Programs
• Submits Small Business/Minority Subcontracting plans as required
• Approves F&A waivers
• Submits all proposals on behalf of the Board of Regents
Regulatory Compliance

Principal Investigator and/or Department Administrator

• Prepares and submits protocols for research involving human subjects, research animals, and biosafety hazards

Dean or Division

• Verifies submission of protocols to appropriate committees

Research and Sponsored Programs

• Assures compliance with federal regulations regarding disclosure of financial conflicts of interest
• Assures and provides documentation of certifications and representations to sponsor.
Award Negotiation and Set-up

Principal Investigator and/or Department Administrator

• Agrees to all terms and conditions, with emphasis on performance clauses. Includes frequency of technical reports, special professional staff hourly reports, deliverables, termination conditions, etc.

Dean or Division

• Consults with RSP on exceptions or unique situations.

Research and Sponsored Programs

• Accepts awards on behalf of the Board of Regents
• Negotiates terms and conditions relating to University policies
Award Management

Principal Investigator and/or Department Administrator

- Assures appropriateness, reasonableness and allowability of expenditures
- Manages expenditures to not exceed available award balance
- Reviews and signs Effort Statements
- Approves payment of subcontractor invoices

Dean or Division

- Provides oversight of sponsored project administration, including cost transfers and effort statements
- Approves substantive modifications and rebudgeting
- Assures timely resolution of overdrafts and revenue shortfalls
Award Management

Research and Sponsored Programs

• Reviews expenditures in restricted budget categories
• Initiates requests for rebudgeting and cost transfers
• Reviews and monitors cost transfers
• Reviews and processes modifications
• Draws funds on letters of credits and sends invoices to sponsors
• Works with campus to clear overdrafts and revenue shortfalls
Reporting and Closeout

Principal Investigator and/or Department Administrator
- Prepares technical reports and provides other deliverables as required
- Reviews interim financial reports provided by RPS as required
- Documents cost sharing/matching funds as required

Dean or Designee
- Provides final accounting of cost sharing to RSP
- Participates in negotiations when technical reports are incomplete and deliverables are lacking or unacceptable to the sponsor

Research and Sponsored Programs
- Prepares and submits financial reports and invoices to sponsor as required
- Files appropriate closeout documents
- Maintains official award file
QUESTIONS?