



# Symposium for Research Administrators

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University of Wisconsin-Madison  
September 13<sup>th</sup>, 2017

# Research Administration Roles and Responsibilities Matrix Overview

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Who is responsible for what?

# Introductions

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## Tammy Kuhn Martin

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College of Engineering

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## Bonniejean Zitske

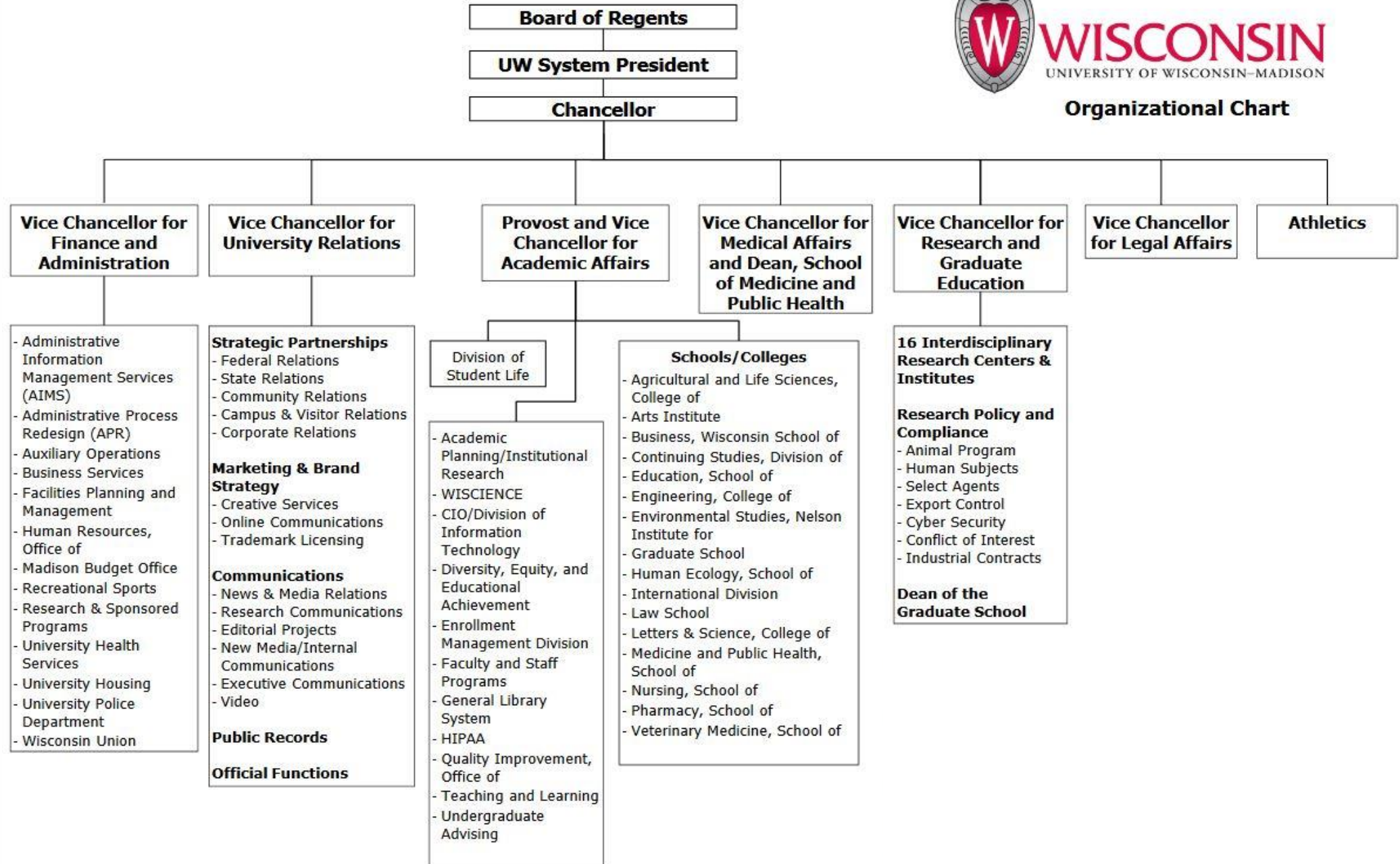
Assistant Director of Research Financial Services

Research and Sponsored Programs

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**Organizational Chart**



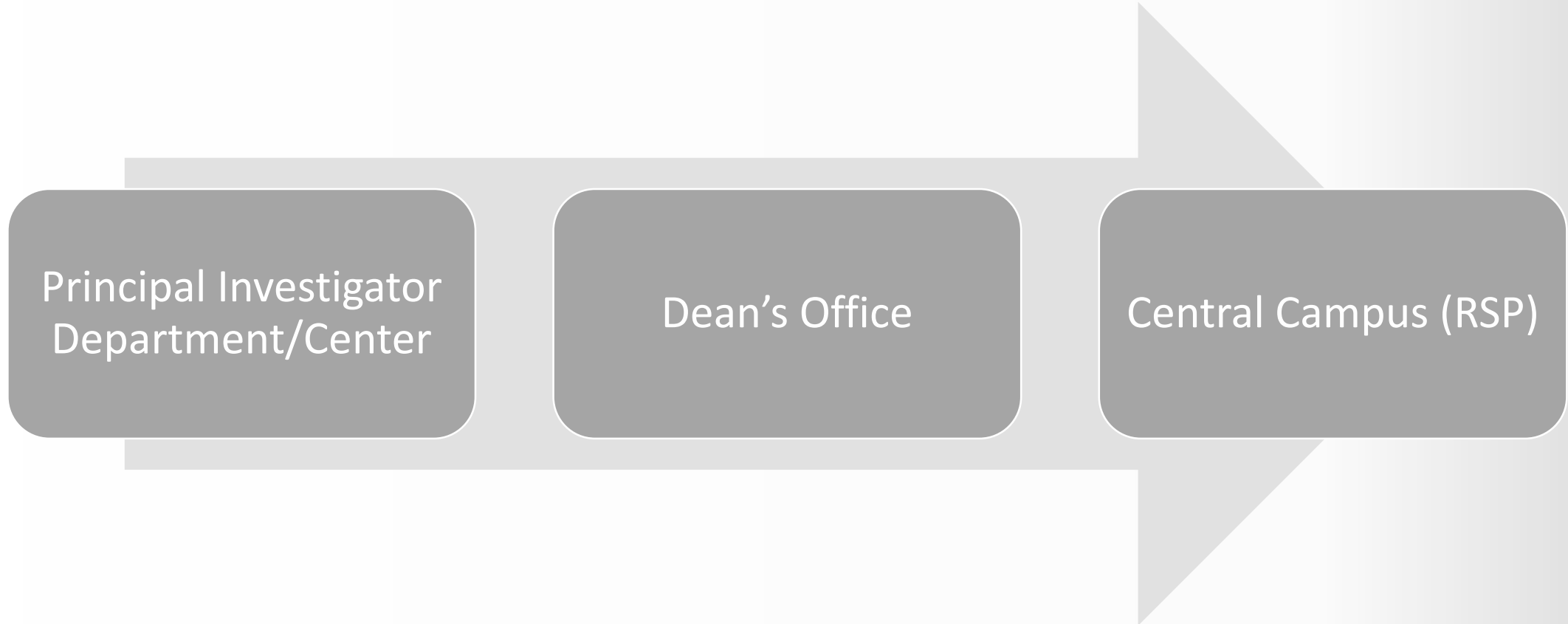
# Schools and Colleges

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- 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

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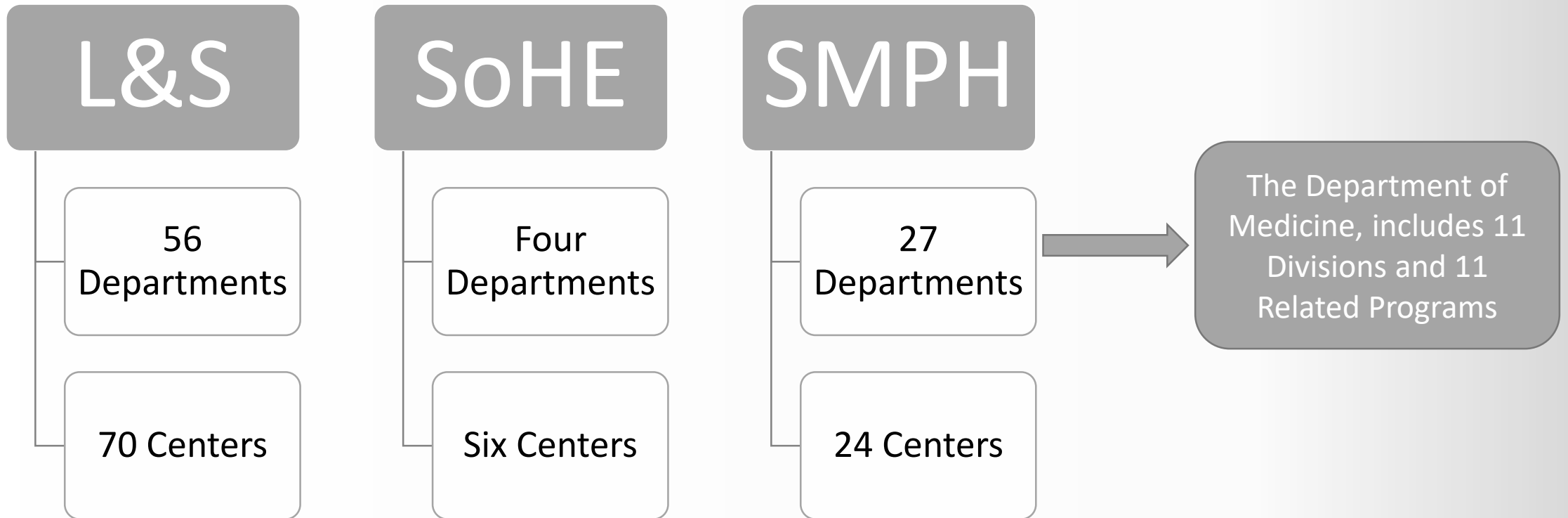
# Centers

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- The UW has more than 250 centers
  - <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

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# Find Funding

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## 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

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## 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

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## 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

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## 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

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## 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

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## 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

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## 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?

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