



Symposium for Research Administrators

University of Wisconsin-Madison
October 8th, 2019

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Welcome

Current and Pending/Other Support *Strategies & Tools for Success*

- Kurt McMillen, Office of Research and Sponsored Programs (RSP)
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Agenda

- Introductions
- Today's objectives
- Agenda
 - Recent updates
 - Key aspects of UW policy and guidance
 - How the Current & Pending tool can assist you with all of this



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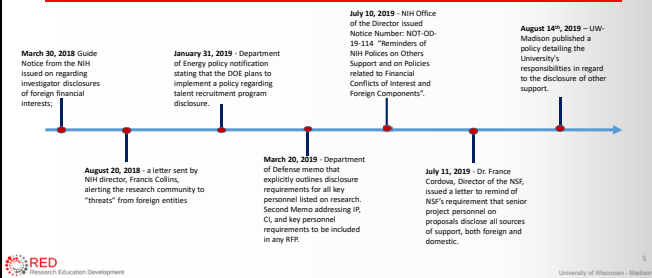
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Today's Objectives

- Learn the differences in Other Support documents between agencies and recent updates to sponsor requirements.
- Become familiar with UW-Madison's policy and guidance for Current and Pending support.
- Be able to create various agency's Current and Pending (Other Support) document using the RSP tool.
- Discover various ways on how to maintain the RSP's Current and Pending (Other Support) Tool and Other Support documents.

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Recent Updates



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Recent Updates



- Proper disclosure of outside activities will continue to be any area of concentration for some time
- Expect changes/revisions to sponsor requirements regarding Other and Current & Pending Support
- RSP will monitor the evolving situation and communicate as necessary
- Keep an eye on the RSP webpage: "[Federal Agency Guidance Regarding Disclosures of Other Support \(Current and Pending Support\)](#)"

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UW Policy

- Comply with the provisions of the federal Office of Management and Budget's regulations, including 2 CFR 200, the Uniform Guidance, and other relevant sponsor requirements.
- Establish expectations with faculty and staff about other support information.
- Promote the best possible alignment between faculty and staff activity and funding sources and, in so doing, enhance work at UW-Madison.



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UW Policy

- All researchers comply with University policies and sponsoring agency requirements regarding the provision of information on other support documents.
- Every disclosure to an external funding agency of a researcher's active, pending, or previous sources of support for research and other sponsored activities be **true, complete, and accurate** to the best of the researcher's knowledge
- Requirement applies regardless of the source of support, whether or not UW-Madison is the recipient of the support.



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UW Policy

- It is the investigator's responsibility to ensure the accuracy of other support documents, in accord with the application guidelines or the sponsor's instructions
- False, fictitious, or fraudulent statements or claims (including intentional omissions) in violation of this policy may result in University and sponsor administrative, civil, or criminal penalties.



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UW Guidance



- Any activity conducted within the scope of an Investigator's UW-Madison appointment that provides funding or requires a quantifiable commitment of time must be reported.
- All collaborations and affiliations that provide funding or require a commitment of time must be reported, whether foreign or domestic.
- Awards resulting from internally-funded competitions, such as WARF funds, should be included only if there is measurable effort.
- For NIH Other Support documents, an Investigator's VA-funded activities should be included. More guidance is included in the NIH section.

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UW Guidance



As Appropriate...

- Include the proposal being submitted as a pending proposal.
- Address potential overlap or over-commitments. As this is a primary concern of Federal agencies, please be clear in your explanations.
- List projects with no-cost extensions.
- Update information as much as possible, e.g., remove outdated proposals or expired awards, unless specifically requested by sponsor, such as DoD.

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Sponsor Requirements

National Institutes of Health (NIH):

- Participation in a foreign talent program **needs to be disclosed**.
- Start-up funds provided by UW-Madison **are not** subject to disclosure in Other Support.
- Consulting activities, which were part of the July 6, 2019 version of the FAQs, have been subsequently excluded from reporting requirements in Other Support.
- Gifts, training grants, and prizes are still excluded from Other Support. Care must be taken to ensure that funds are appropriately categorized. Awards resulting from internally-funded competitions, such as WARF funds, should be included only if there is measurable effort.
- Non-monetary support provided for the benefit of an investigator's research endeavors needs to be reported. This would include resources and facilities that are uniquely available to the researcher, but would not include facilities, services, or resources available for shared use and not specific to the individual investigator. Those facilities, services and resources would typically be reported under the Facilities and Other Resources section of the application.
- Individuals with a 9-month appointment must report any time spent conducting research under a foreign award over the summer. All resources provided by a foreign organization, whether monetary or not, should be disclosed.
- Special Instructions for Individuals with Multiple Research Appointment

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Sponsor Requirements

National Science Foundation (NSF):

Released a draft Proposal and Award Policies and Procedures Guide (PAPPG) on May 29, 2019
New guidance is anticipated in Fall 2019 and will be effective in early 2020.

Required information:

- Current and pending support for ongoing projects and proposals, including proposed project, and any subsequent funding in the case of continuing grants.
- All current project support from whatever source (e.g., Federal, State, local, foreign, public or private foundations, industrial or other commercial organizations, or internal funds allocated toward specific projects) must be listed.
- The proposed project and all other projects or activities requiring a portion of time of the PI and any other senior personnel must be included, even if they receive no salary support from the project(s).
- The total award amount for the entire award period covered (including indirect costs) must be shown as well as the number of person-months per year to be devoted to the project, regardless of source of support.
- Similar information must be provided for all proposals already submitted or submitted concurrently to other possible sponsors, including NSF.

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Sponsor Requirements

Department of Energy (DoE):

Released a memo limiting participation in foreign talent recruitment programs. Guidance for how this limitation will apply to recipients of contracts, grants, and cooperative agreements is under development.

- Provide a list of all current and pending support (both Federal and non-Federal) for the Project Director/Principal Investigator(s) (PD/PI) and senior/key persons, including subawardees, for ongoing projects and pending applications. List all sponsored activities or awards requiring a measurable commitment of effort, whether paid or unpaid.
- For every activity, list the following items:
 - The sponsor of the activity or the source of funding
 - The award or other identifying number
 - The title of the award or activity
 - The total cost or value of the award or activity, including direct and indirect costs. For pending proposals, provide the total amount of requested funding.
 - The person-months of effort per year being dedicated to the award or activity

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Sponsor Requirements

Department of Defense (DoD):

- For all previous (award period of performance ending within the past 5 years), current, and pending research support, include the title, time commitments, supporting agency, name and address of the funding agency's procuring Contracting/Grants Officer, performance period, level of funding, brief description of the project's goals, and list of the specific aims. If applicable, identify where the proposed project overlaps with other existing and pending research projects. Clearly state if there is no overlap.
- If there is no previous, current, or pending support, enter "None." An updated previous, current, and pending support document will be required if an award is recommended for funding.

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Sponsor Requirements

United States Department of Agriculture (USDA), National Institute of Food and Agriculture (NIFA):

- Record information for active and pending projects, including this proposal.
- All current efforts to which PD/PI(s) and other senior personnel have committed a portion of their time must be listed, whether or not salary for the person involved is included in the budgets of the various projects. For AFRI applications, list only projects for which salary is requested.
- Provide analogous information for all proposed work which is being considered by, or which will be submitted in the near future to, other possible sponsors, including other USDA programs.
- For concurrent projects, the percent of time committed must not exceed 100%.

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Sponsor Requirements

National Aeronautics and Space Administration (NASA):

- Not required for contract proposals.
- PIs and Co-PIs must provide all ongoing and pending projects and proposals (regardless of salary support) in which they are performing or will perform any part of the work. Co-Is proposing to spend 10% or more of their time to the proposed effort must provide ongoing and pending project and proposals (regardless of salary support) that require a significant share (more than 10%) of their time. Proposals need not include the current proposal on the list of pending proposals unless it was also submitted to another FA or funding opportunity (whether at NASA or another sponsor).
- For those investigators for whom it is required (see above), the proposal shall provide the following information for each current and pending project:
 - Title of funded project or proposal title
 - Name of PI on award or proposal
 - Program name (if appropriate) and sponsoring agency or organization, including a point of contact with their telephone number and email address
 - Performance period
 - Total amount received by that investigator (including indirect costs) or the amount per year if uniform (e.g., \$50 k/year)
 - Time commitment by the investigator for each year of the period of performance.

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Current & Pending tool

- Displays data in two sections: 'current awards' and 'pending awards.'
- Data is pulled from two separate sources: WISPER for pending awards and the Grants Module (WISER) for the current awards.
- Automatically displays all pending and active awards with the appropriate information.
- Auto populates/generates the correct format of the C&P document for selected sponsors



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Current & Pending tool

What the tool is:

- A great starting point to submit or create master document
- Reference for required information
- Verification of information

What the tool is not:

- A ready to submit document

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Current & Pending tool



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Questions?

Check RSP website (<https://www.rsp.wisc.edu/other-support-information.cfm>) often.

Watch for communications regarding changes.

Ask questions!

Remember, measure early on a calendar not a clock...

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