

# A Grants Administration Primer for Waisman Center Investigators and Research Staff



## Table of Contents

INTRODUCTION.....	4
1. PREPARING AND SUBMITTING A GRANT PROPOSAL AT THE WAISMAN CENTER.....	5
Roles: Who does what? .....	5
What are the timelines? .....	5
What electronic systems and software are used?.....	6
2. BEGINNING A NEW PROJECT .....	8
What triggers the set-up?.....	8
What can delay a project set-up? .....	8
Can an account be set up before the award notice is received?.....	8
When can a PI begin to spend grant funds? .....	8
What advance preparations can I make for purchasing? .....	9
How do I staff a new project? .....	9
What other centralized administrative services are available?.....	9
3. FINANCIAL MANAGEMENT OF GRANTS AND CONTRACTS .....	10
Roles: Who does what? .....	10
How do I find WISDM?.....	10
What purchases am I allowed to make?.....	11
What expenses are usually unallowable on a federal grant?.....	12
How do I make a purchase? .....	12
Shop@UW.....	13
Purchasing Card .....	13
Purchase Orders.....	14
Contract Purchasing.....	14
Academic Support Services Agreement.....	14
Direct Payments.....	14
Payments to Individuals.....	15
Exceptions .....	15
What is the chargeback system? .....	15
How do I remunerate research participants? (Custodian Funds).....	15
How do I book and pay for business travel?.....	15
How do I reimburse a university employee? .....	16
How do I correct a charging error? (Cost Transfers).....	16

What happens when a grant project comes to an end?.....	17
4. COMPLIANCE.....	18
Research involving human participants.....	18
Research involving vertebrate animals.....	18
Research involving human stem cells.....	19
Environment, health and safety (Biosafety).....	19
Effort reporting (ECRT).....	20
Financial conflict of interest.....	20
Export controls.....	21
Intellectual property.....	21
5. NATIONAL INSTITUTES OF HEALTH BASICS.....	23
Types of grant funding.....	23
Other funding mechanisms.....	24
Due dates and funding cycles.....	24
Just in Time Requests.....	24
eRA Commons.....	24
NIH salary cap.....	25
NIH public access policy.....	25
NIH Research Performance Progress Report (RPPR).....	26
NIH Research Grant Close-Out.....	26
6. TRAINING OPPORTUNITIES AND PROFESSIONAL DEVELOPMENT.....	27
GLOSSARY.....	28

## INTRODUCTION

This resource guide is intended to help investigators and research project staff at the Waisman Center understand the language, policies and procedures of sponsored project administration. We hope that new investigators and staff will find it especially useful as they navigate a sponsored project from the proposal through the close-out stage.

The UW Madison Office of Research and Sponsored Programs is the authoritative source for information on policies and procedures related to grants administration. Its website should be consulted for more in-depth information: <https://www.rsp.wisc.edu/>

The campus has an excellent battery of on-line and in-person training programs that are useful to both new and seasoned employees. Section 6 of this guide includes links to many of those programs.

The Waisman Center Grants Administration and Business Office staff members are available to help with your questions and challenges. We encourage and welcome your suggestions for future additions or other improvements to this guide.

# 1. PREPARING AND SUBMITTING A GRANT PROPOSAL AT THE WAISMAN CENTER

## **Roles: Who does what?**

### *Principal Investigators*

University faculty may initiate proposals for external support. Certain academic staff may also be authorized to do so (see glossary for “limited PI status”). Prior to moving forward on a full proposal, investigators are required to submit the proposal title and summary to the Waisman Center grants team.

### *Waisman Center Grants Administrators*

The WC grants administrators, located on the second floor, are responsible for working with investigators to prepare and submit grant proposals. Typically, the administrators provide support for creating budgets, completing the non-scientific sections of proposals, obtaining approvals, and tracking the proposal through the university until it is submitted to the sponsor.

### *Office of the Vice Chancellor for Research and Graduate Education(VCRGE)*

All proposals must be reviewed and approved by research administration staff at the Office of Vice Chancellor for Research and Graduate Education. Once approved at that level, a proposal is routed to the Office of Research and Sponsored Programs.

### *Office of Research and Sponsored Programs (RSP)*

Final review and submission of a proposal takes place at RSP. Proposals are signed by an authorized representative of the University of Wisconsin and sent on to the sponsoring agency. (Only certain individuals are authorized to sign proposals and agreements on behalf of the university. While a sponsor may sometimes require only the principal investigator’s signature on a proposal, the proposal must still be submitted to RSP for review and approval prior to submission.) This RSP web page addresses proposal preparation:

<https://www.rsp.wisc.edu/proposalprep/>

## **What are the timelines?**

In order to allow adequate time for review and approval of a grant proposal, investigators are asked to adhere to the following timeline:

4 weeks prior to sponsor’s due date	The PI should send an email to <a href="mailto:grants@waisman.wisc.edu">grants@waisman.wisc.edu</a> providing the project title, summary, sponsor and due date. A grants administrator will be assigned to the proposal and contact PI. In most cases, a meeting is advisable to discuss tasks, timetable and any special requirements of the proposal.
3 weeks prior to sponsor’s due date	Budget should be finalized.
2 weeks prior to sponsor’s due date	All documents should be in the grants administration office and ready for routing to the Graduate School for review.
1 week prior to sponsor’s due date	Complete file approved by Graduate School and routed to RSP for final review and submission.

Submitting a proposal one week before the sponsor's deadline may seem overly cautious. However, virtually 100% of grant proposals are now submitted electronically. The flurry of last minute submissions can overload systems, resulting in a transmission delay and a rejected proposal.

Early submission to The National Institutes of Health (NIH) can also enable a potentially fatal error to be corrected. NIH allows two days after submission of a proposal for correction of any error that causes eRA Commons to reject the proposal. However, the grace period is only available prior to the due date.

### **What electronic systems and software are used?**

#### *WISPER*

WISPER is the internal electronic routing system for grant applications and other types of contractual agreements. It ensures various institutional approvals are obtained and recorded and that a proposal is tracked from creation to award. It is unique to the UW System and is used at other UW campuses. Every proposal and agreement requires WISPER routing.

Typically, a Waisman Center grants administrator will create a WISPER record when notified by an investigator of his/her intent to prepare a proposal. WISPER assigns a unique number to the proposal. Descriptive information is entered such as PI, title, project dates, budget, etc. Proposal documents are attached to this record so they can be accessed at each level of review and archived for future reference. The PI must electronically sign the WISPER record and state whether the project will involve research that requires clearances, such as animal and human subjects protocol review.

Waisman Center grants administrators are responsible for ensuring the WISPER record is complete and is routed appropriately.

WISPER log in is at: <https://www.rsp.wisc.edu/WISPER/index.html>

#### *CAYUSE*

Cayuse is a software program for proposal development. It can be used for grant submissions to several federal agencies, including National Institutes of Health, Department of Defense, and Department of Education. Typically, a Waisman Center grants administrator will create a proposal within Cayuse and work with the principal investigator to ensure it is complete and error free. Similar to WISPER, Cayuse allows for routing a proposal for various institutional approvals. It is used in conjunction with WISPER.

For access to Cayuse, contact a Waisman Center grants administrator, or send full name and preferred email address to [cayuse@rsp.wisc.edu](mailto:cayuse@rsp.wisc.edu). RSP completes the set-up.

The link to the Cayuse log-in is: <https://www.rsp.wisc.edu/cayuse/index.html>

### *FASTLANE*

FastLane is the National Science Foundation's online website and is used for proposal submissions to that agency.

### *GRANTS.GOV*

Grants.gov is a central portal where organizations and individuals can electronically find and apply for grants throughout the federal government. The system houses information on over 1,000 grant programs and vets grant applications for 26 federal grant-making agencies. (*Cayuse*, described above, serves as a user-friendly software interface with grants.gov and is typically used for federal grant submissions at the Waisman Center.)

### *OTHER ELECTRONIC SYSTEMS*

Most private foundations and other types of sponsors require some type of electronic submission of grant proposals. Some are as simple as sending attachments with emails. Many of them use proposalCENTRAL, a website shared by government, non-profit and private organizations.

## 2. BEGINNING A NEW PROJECT

### **What triggers the set-up?**

When a PI and the university are officially notified that a new award will be made, the Waisman Center grants administration staff is responsible for initiating the project set up. They enter relevant information in the WISPER record, such as amount of award, project period, protocol information, and effort requirements of the PI and other key personnel. The record is submitted to the VCRGE for review and approval, and then to RSP where an accountant will create a unique account for the project. RSP sends out an email to the PI announcing the account has been set up.

### **What can delay a project set-up?**

RSP will not proceed with an account set up unless all compliance requirements have been met:

- The PI and other key personnel must be up-to-date in meeting effort reporting.
- The PI and ***all other key personnel*** must be up-to-date in completing conflict of interest outside activities reporting and have completed financial conflict of interest training. Instructions for accessing the training can be found at: <https://kb.wisc.edu/gsadminkb/page.php?id=32986>
- If vertebrate animals, human subjects, stem cells and/or toxic substances are used, approved protocols must be in place. Frequently, a PI will have a previously approved protocol which is applicable to a new project. However, each new project must be reviewed by the relevant review board in order to ensure that it is congruent with the existing protocol. The new project must appear as a funding source on the protocol.

### **Can an account be set up before the award notice is received?**

On rare occasions, an account may be established before an award notice has been received. If written assurance that the notice is forthcoming has been provided by the sponsor, the Waisman Center grant administrator will place a request for an “account in advance of award.”

### **When can a PI begin to spend grant funds?**

Purchasing can begin on the first day of the project period. However, some sponsors, notably the National Institutes of Health, may allow for “90 day pre-award spending.” In other words, purchases made up to 90 days prior to the start date of the project will be considered allowable if they are necessary to the project and the purchases would not otherwise require prior approval. *This option, however, should be used with caution as it does not impose an obligation on NIH to cover the cost or make the award.*



### **What advance preparations can I make for purchasing?**

Set up a meeting with the Waisman Center financial specialist, located in the second floor business office, to discuss the types of purchases your project will require. She will assist you with set up of appropriate purchasing mechanisms such as:

- Purchasing card (used for low-dollar purchases and travel expenses).
- Shop@UW Account (approved state and university vendors for many low dollar supply purchases) to be used for purchases made through UW's Material Distribution Services (MDS).
- Custodian account (for reimbursement of research participants).

### **How do I staff a new project?**

A newly funded project may require recruiting and hiring new staff or re-assigning existing staff to the new project. Investigators wishing to recruit new staff begin that process in consultation with Waisman Center Human Resources Office. The HR Office is responsible for an array of personnel-related services, including staff recruitment, hiring and on-boarding, payroll and benefits, and leave management.

Investigators who have existing staff working on other projects, may elect to reassign staff to a new project, in whole, or in part. In this case, they should work with their post-award grants manager to ensure that the payroll distribution among grants is accurate and reflects the amount of effort devoted to each project.

In labs where multiple projects are underway, effort of employees may vary from year to year, even month to month. This should be carefully and routinely monitored to ensure that the effort devoted to research projects is properly allocated to grants.

### **What other centralized administrative services are available?**

The Waisman Center "Business Office & Financial Services" web page includes information on building access, telephones, meeting rooms, copying, mailing services, purchasing, etc. The URL is:

<http://www.waisman.wisc.edu/admincore-bofs.htm#dirpay>

Computing Services: <http://www.waisman.wisc.edu/cores/admin/it.html>

Poster Design and Production: <http://www.waisman.wisc.edu/admincore-poster.htm>

### **3. FINANCIAL MANAGEMENT OF GRANTS AND CONTRACTS**

#### **Roles: Who does what?**

##### *Principal Investigator*

The principal investigator has primary responsibility for agreeing to the terms and conditions of a grant, for assuring that expenses are reasonable, allocable and allowable, managing grant expenses so as not to exceed available balances, approving subcontractor invoices, and preparing any prior approval requests that may be required.

##### *Waisman Center Grants Administrators*

In order to support the PI, Waisman Center grants administrators are each assigned a portfolio of grants to monitor. They routinely review expenses charged to the grant account and prepare projections as needed to assist PIs in planning and decision-making. Upon completion of a project, they work with the PI and RSP to close out an account so that a financial report can be submitted to the sponsor.

##### *PI Support Staff (e.g., Program Managers, Research Specialists)*

Research project support staff members have responsibilities directly relevant to the research being conducted. Additional job duties and expectations, e.g., monitoring expenses, purchasing, or compliance may be delegated by the PI. This will vary from one lab to another.

##### *Waisman Center Financial Specialist*

A full-time financial specialist is available in the Waisman Center Business Office to assist investigators and their staff with purchasing. The specialist will assist with set up of Purchasing Cards, Materials Distribution Services (MDS) accounts (also known as Shop@UW), blanket orders, service agreements, custodian accounts used for payments to research subjects, and reimbursement.

##### *RSP Accountants*

Each grant account also has an RSP accountant assigned to monitor it. He/she serves as a resource when questions arise about award terms that may impact expenses assigned to the account. The accountant also monitors cost transfers, submits invoices to sponsors, and prepares financial reports to sponsors.

#### **How do I find WISDM?**

WISDM (Wisconsin Data Mart) provides web-based access to all of the data in the University of Wisconsin's electronic Shared Financial System. It is the go-to place for information on project expenses, personnel, invoice payments, and important documents. It is used by all University of Wisconsin System institutions and is an essential tool for financial management of a project. With the supervisor's permission, staff can be given authorization to access WISDM. The authorization request form is found at: <http://www.bussvc.wisc.edu/acct/sfs/wisdm.html>

All grants and contracts are assigned a unique fund-project identifier in WISDM known as a project number. Here's an example:

"144-AAA62FB"

The "144" identifies the project as federally funded. Non-federal grant accounts are prefaced by "133."

Training classes in WISDM are offered several times a year by the UW Office of Talent Management. <https://www.ohrd.wisc.edu/home/>

### **What purchases am I allowed to make?**

The university is responsible for insuring that all costs charged to a sponsored project are allowable, allocable and reasonable. Therefore, PIs can expect ongoing scrutiny of all expenses on a project by Waisman Center grants administrators and by RSP accountants.

When purchasing goods and services, PIs and staff should be familiar with any terms of the award agreement that may guide and/or restrict purchases. For example, some grants do not allow the purchase of equipment. Others do not allow purchasing to deviate from the proposal budget, while others provide latitude. The Notice of Award (NoA), grant agreement, and sponsor funding guidelines are the primary sources for information on allowable costs. These documents are available from the sponsor, from a Waisman Center grants administrator, or in WISDM under the "Associated Docs" tab of a project.

In determining whether a purchase is allowable, consideration must also be given to whether it is "reasonable" and "allocable." To be "reasonable," a cost must be able to withstand public scrutiny; that is, an objective individual would agree that a cost is appropriate on the award and in line with the value of the product or service. Purchases must also be "allocable" to a grant. In other words, the purchase must directly benefit the research being undertaken with the grant funds. NIH has specific definitions of these terms. They can be found in Section 7.2 of the NIH Grants Policy Guide. [http://grants.nih.gov/grants/policy/nihgps\\_2012/index.htm](http://grants.nih.gov/grants/policy/nihgps_2012/index.htm)

Some purchases require **prior approval** from the sponsor, e.g., foreign travel, expensive equipment. Prior approval typically requires the institution send a written request to the sponsor, detailing the item, how it benefits the research, and cost. The request is prepared by the PI and signed by him/her and an institutional representative. RSP completes the submission to the sponsor.

Prior to Dec. 26, 2014, use of federal grant funds by educational institutions was governed by an Office of Management and Budget Circular, A-21, Section J.

([http://www.whitehouse.gov/omb/circulars\\_a021\\_2004](http://www.whitehouse.gov/omb/circulars_a021_2004)) Since that date, the applicable document is the "Uniform Administrative Requirements, Cost Principles, and Audit

Requirements for Federal Awards.”

<https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards#h-5>

Investigators should consult a grants administrator to determine which rules apply.

### **What expenses are usually unallowable on a federal grant?**

Certain categories of expenses are not allowable under any circumstances, e.g., lobbying costs. Others are allowable only as indirect expenses that have been factored into the university's negotiated indirect cost rate.

Under most circumstances, the following items should not be charged to grants:

- General use office supplies such as pens, writing pads, paper clips and scissors. An exception to this would be supplies required specifically for the execution of a research experiment such as paper for preparing materials research subjects need for participation. PIs should expect to provide written justification for how these items benefit the project and meet its unique needs.
- Computers and related devices. Historically, these have been unallowable as a direct expense to a grant unless justified as essential and solely allocable to the project. However, new rules allow the purchase of computing devices that are essential and allocable to the project, but not solely dedicated to the performance of the project. Additional guidance can be found at:  
[https://www.rsp.wisc.edu/UG/ug\\_computing\\_device\\_guidance.html](https://www.rsp.wisc.edu/UG/ug_computing_device_guidance.html)
- Clerical and administrative salaries. Normally not allowed as direct charges. Under new rules, they will be allowable if certain conditions are met. Guidance can be found at:  
[https://www.rsp.wisc.edu/UG/ug\\_admin\\_clerical\\_guidance.html](https://www.rsp.wisc.edu/UG/ug_admin_clerical_guidance.html)
- Telephones and telephone lines for general use.
- Food and beverages, unless necessary to conduct the research, e.g., a snack after a fasting blood draw.
- Postage, unless specifically required for the research, e.g., mailing surveys, contacting participants for follow-up.

### **How do I make a purchase?**

A full-time financial specialist is available in the Waisman Center Business Office to assist investigators and support staff with purchasing (263-5910). New investigators and staff who will have purchasing responsibilities should meet face-to-face with the financial specialist for an orientation.

There also are several campus websites that provide information on purchasing policies and procedures.

Suggested websites for starting out:

The UW Purchasing Services Homepage: <http://www.bussvc.wisc.edu/purch/purch.html>

“How to Purchase Goods and Services at UW”:

<http://www.bussvc.wisc.edu/purch/purch101.html>

UW Purchasing Services also offers several training programs. See:

<http://www.bussvc.wisc.edu/purch/training.html>

Below, we cover the most frequently used options for purchasing.

### **Shop@UW**

Shop@UW is an on-line purchasing system that gives you access to products distributed by the university’s Materials Distribution Services System (MDS) and access to many external vendors.

Purchases made through Shop@UW can be charged directly to a project. To use Shop@UW, you must have access to an existing account (account number and password required to log in) or complete a new account setup form and submit it to the Waisman Center Business Office.

Set up forms are available at:

<http://www.bussvc.wisc.edu/shopuw/account.html>

They must be reviewed and submitted by the Waisman Center financial specialist.

New Shop@UW accounts are normally set up at the start of a new research project so that supply purchases can be charged directly to the grant.

Shop@UW website: <http://mds.bussvc.wisc.edu/order/default.asp>

Shop@UW training schedule: <http://bussvc.wisc.edu/shopuw/training-schedule.html>

**NOTE: Purchases at Shop@UW are automatically charged to the default funding source associated with a specific account. The Pre-posting Allocation Tool, or PAT, is an on-line feature that allows you to change or split the funding for procurements from Shop@UW before they are posted to WISDM. This is very useful for labs in which multiple projects are underway. See: <http://www.bussvc.wisc.edu/shopuw/PAT/PAT.html>. A grants administrator or Waisman Center financial specialist can provide instructions on how to use the tool.**

### **Purchasing Card**

A purchasing card (or P-Card) is a Visa card issued by US Bank, assigned to a specific employee and tied to University funding. The card is intended for low-dollar, best judgment purchases. They are convenient to use because purchases are charged directly to a university project. Card owners receive a statement from US Bank bi-weekly that requires careful review to ensure purchases are charged to the appropriate project. Invoices for all purchases must be retained with the statement and turned in to the Business Office. NOTE: All P-Cards are initially set up with a default funding source. If this funding source ends it must be substituted by another active source.

Be sure to verify the vendor is not on an ineligible vendor list by checking the lists at the following links:

<http://www.bussvc.wisc.edu/purch/inel.html>

<http://vendornet.state.wi.us/vendornet/wocc/CertList.pdf>

With prior approval, purchasing cards may also be used for some travel expenses.

P-Card website: <http://www.bussvc.wisc.edu/acct/purchcd/>

### **Purchase Orders**

Items costing \$5,000 or more, or purchases from the same vendor of \$5,000 or more in a year, require a separate purchase order and should be set up with assistance from the Waisman Center financial specialist. Pls and research staff should be aware that only individuals authorized by the university may sign a contract or agreement to purchase goods and services. In most cases this is the UW Madison Director of Purchasing.

### **Contract Purchasing**

Purchase of some goods and services are available through negotiated contracts. Use of these contracts can result in significant savings. The gateway to all UW Madison, UW System and State Department of Administration contracts is at:

<http://www.bussvc.wisc.edu/purch/contract/conindx.html>

This site has links to an index of contracts and to contract listings by commodity. You can also link to instructions on how to use an existing purchasing contract and how to set up an external blanket order (an order that can cover multiple purchases from the same vendor).

### **Academic Support Services Agreement**

Unique needs of an academic nature routinely occur at the university. They have a narrowly defined scope, limited duration and require unique skills. When they can't be provided by a University employee, they are contracted out as a support service. The mechanism for obtaining these services is the Academic Support Services Agreement, or ASSA. The Waisman Center financial specialist will provide assistance in preparing required forms, including a sole source justification. These agreements are finalized by UW Purchasing and signed by the Purchasing Director.

### **Direct Payments**

A "Direct Payment" form is used to process a payment to a company or business for a one-time purchase. An invoice from the vendor is required. The forms can be found under the forms tab at: [www.bussvc.wisc.edu/acct/acct.html](http://www.bussvc.wisc.edu/acct/acct.html) The business must also provide the university with a completed W-9 form.

(The Direct Payment method cannot be used to reimburse university employees for out-of-pocket expenses. This must be done via the e-reimbursement system. See, "How do I reimburse a university employee," below.)

### **Payments to Individuals**

A “Payment to an Individual” form is used for a payment to an individual such as a speaker or a research study participant. The forms can be found under the forms tab at:

[www.bussvc.wisc.edu/acct/acct.html](http://www.bussvc.wisc.edu/acct/acct.html)

The individual receiving payment must provide the university with a completed W-9 form.

### **Exceptions**

Occasionally, a purchase is necessary that would ordinarily not be allowed on a grant. For example, computers are normally considered unallowable as a direct cost. However, in some cases, computers may be required for project-specific purposes (e.g., data collection and analysis). In such cases, PIs should complete an “Exception to Cost Principles” form, available on the RSP Website. A Waisman Center grants administrator will submit the request to the VCRGE for review and approval.

### ***What is the chargeback system?***

As a federally funded Intellectual and Developmental Disabilities Research Center, the Waisman Center provides vital resources and services to investigators through four scientific cores and an administrative core. An internal chargeback system is in place to track usage of the core services and distribute costs to the research projects that utilized the services. The grants office accountant manages this system and should be contacted when a new project is beginning that will utilize core services. He should also be notified of project end dates, or of changes to on-going projects such as the project number.

Chargeback costs normally post to WISDM the month after use, e.g., use of the Rodent Models Core in May, would appear in the June accounting period.

### ***How do I remunerate research participants? (Custodian Funds)***

Custodian Funds are used to provide financial remuneration to research participants as an incentive to participate or to reimburse them for a personal expense incurred as a participant. Temporary funds are set up for three months or less. Replenishable bank accounts may be set up for long term studies and enable payments to be made by check. The Waisman Center financial specialist will assist in set up and management of these accounts.

For more information on Custodian Funds:

<http://www.bussvc.wisc.edu/acct/policy/ca/capol.html>

Research participants may also be reimbursed using a “Payment to Individual” form.

W-9 forms for all research participants who are paid must be requested and retained.

### ***How do I book and pay for business travel?***

The university requires that all business-related travel be booked through Concur, an on-line travel booking tool available through Fox World Travel. Log-in is with the UW NetID and password at: <http://web.uwsa.edu/travel/login/>

When using Concur, airline travel can be directly charged to a P-Card. Travelers may NOT book reservations outside of Fox World Travel/Concur.

Lodging can be booked ONLY through Concur, directly with the hotel, or through a conference website. Use of third party booking agents is NOT allowed.

Expenses paid by the traveler are reimbursed via an electronic reimbursement system, GET (Guided Expense Tool). Access GET and training at: <http://www.bussvc.wisc.edu/acct/e-Re/index.html>. (GET can also be accessed through MyUW in "Employee Financial Resources.)

NOTE: In order to be reimbursed, expense reports must be submitted and substantiated with 90 days of the last day of travel.

UW TravelWise is a convenient tool available to identify maximum allowable lodging and per diem rates based on dates, duration and location of travel. It is located at: <https://uw.foxworldtravel.com/rate-calculator/>

Detailed UW travel policies are located at: <http://www.bussvc.wisc.edu/acct/policy/ppindex.html>

When travel is to be paid for with grant funds, it must occur within the grant's project period. Costs associated with a conference that occurs after the end date of the project period cannot be paid for in advance with grant funds.

### ***How do I reimburse a university employee?***

Miscellaneous out-of-pocket expenses also are reimbursed through the e-reimbursement system (see links above).

### ***How do I correct a charging error? (Cost Transfers)***

Every effort should be made to charge purchases to the project for which the item or service is intended. There are procedures in place to ensure this happens. However, when an incorrect posting does occur a cost transfer from one account to another must be completed by the Waisman Center grants administrator or financial specialist. Cost transfers should be rare as overuse is likely to raise concerns in an audit. Cost transfers completed more than 90 days after an expense has posted to WISDM require extensive justification.



### **What happens when a grant project comes to an end?**

A grant “close-out” occurs after the period of performance has ended. It is primarily the responsibility of RSP accountants to review the account to ensure terms have been met and financial reports submitted. RSP works with the Waisman Center grants administration staff to review all project expenses. The grant administrators work with PIs and lab managers to complete this review. For grant projects that have been underway for several years, this can be challenging if good records have not been maintained. The allowability of some purchases may be questioned. If justification is inadequate, the unallowed expenses must be removed from the project. An alternative source of funding must be identified from a non-sponsored account.

Once the review is completed, RSP will submit a financial report to the sponsor. The PI is responsible for submitting a final scientific report and invention disclosure, according to the terms of the award.

## 4. COMPLIANCE

### **Research involving human participants**

The Human Research Protection Program (HRPP) provides oversight of all research activities involving human subjects at the UW Madison. *The HRPP is not an office, but rather a collective effort* of all who participate in the conduct, review, approval and facilitation of Human Subjects Research at UW Madison.

All UW Madison faculty, students, and staff who are involved in research involving human participants are required to comply with federal, state and university policies for the protection of human research participants.

All research involving human subjects must be reviewed by an Institutional Review Board. UW Madison has three IRBs: the Health Sciences IRB, the Health Sciences Minimal Risk IRB, and the Education and Social/Behavioral Science IRB. Researchers must send their protocols involving human subjects to the appropriate IRB based on the type of research project.

ARROW is the on-line system for preparing, submitting, reviewing, and managing applications for research oversight at the UW Madison. ARROW supports applications to the Health Sciences Institutional Review Boards and the Education Research and Social and Behavioral Sciences Institutional Review Board.

All UW Madison personnel listed on a human subjects protocol must complete human subjects research training through the Collaborative Institution Training Initiative (CITI) platform. Log in at: <https://my.gradsch.wisc.edu/citi/index.php>

### **Research involving vertebrate animals**

UW Madison is accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC). Accreditation Dates can be found on the RSP website under "Frequently Needed Data."

For rules for research involving vertebrate animals, see:  
[https://www.rarc.wisc.edu/animal\\_health/rules\\_we\\_live\\_by.html](https://www.rarc.wisc.edu/animal_health/rules_we_live_by.html)

At UW Madison, the Research Animal Resources Center (RARC) provides veterinary, laboratory, and training services in support of quality animal care; oversight and assistance to assure compliance with all laws, regulations, and rules governing the care and use of laboratory animals; and direct or collaborative research and/or consultation on animal models for biomedical research. All animal care and use protocols are submitted via ARROW to and administered by the RARC. The campus has several Institutional Animal Care and Use Committees (IACUC). Instructions and protocol application forms can be found at:  
[https://www.rarc.wisc.edu/protocols/forms\\_and\\_instructions.html](https://www.rarc.wisc.edu/protocols/forms_and_instructions.html)

When a newly funded project is to be covered under an existing approved protocol, it must be reviewed by IACUC staff for congruence. NIH-funded investigators are advised to submit a request for congruence review at the time they receive notice from NIH of a fundable score on a proposal. WAISMAN CENTER grant administrators can assist with the review request.

### **Research involving human stem cells**

The university's Stem Cell Research Oversight (SCRO) Committee provides oversight for all research on campus that involves either the use of human embryonic stem cells (hESCs) or their derivatives or the introduction of human pluripotent stem cells (hPSCs), or their derivatives, obtained from a non-embryonic source, into non-human animals at any embryonic, fetal, or postnatal stage, if an expected effect is that human cells will be integrated into the central nervous system, testes or ovaries of the animal, or the storage or disposition of human embryos or gametes obtained for the purposes of stem cell research.

A principal investigator conducting research on stem cells must have SCRO approval in place prior to beginning research. This approval is in addition to oversight that is provided by other committees on campus such as the Institutional Review Board or Biosafety Review Board.

Additional policies and procedures can be found at:

<http://grad.wisc.edu/respolcomp/scro/> A link to begin the protocol submission process can be found at this site.

### **Environment, health and safety (Biosafety)**

The website of the UW Division of Facilities Planning and Management is located at:

<http://www.ehs.wisc.edu/index.htm> and includes many links to information on laboratory safety awareness and compliance.

Within this Division, the university's Office of Biological Safety (OBS) assists faculty and staff in observing safe biomedical laboratory practices and endeavors to assure that research is done in secure facilities in compliance with all local, state and federal regulations. The OBS also serves as the administrative office of the Institutional Biosafety Committee (IBS). This committee reviews research activities involving biologically hazardous materials and/or recombinant DNA molecules/organisms.

Find additional information and submit a biosafety protocol at:

<http://www.ehs.wisc.edu/biosafetyprotocol.htm>

## ***Effort reporting (ECRT)***

Effort reporting is the means by which individuals certify that the effort required as a condition of the sponsored award has actually been completed. Effort certification is required of all employees whose salaries are charged directly to external grants, or to subawards on grants. At UW Madison, effort reporting is accomplished on-line through the ECRT program. Twice each year faculty and academic staff receive a notice to log into ECRT, review their reported effort, and certify as to its accuracy.

Effort certification enables investigators to review their effort semiannually in order to ensure they are meeting commitments made to sponsors. The effort of University Staff, graduate assistants, fellows and research associates is certified by their supervisors – normally, a principal investigator.

In order to fully understand the key principles for effort reporting, and to become familiar with the electronic system, the university has developed on-line training. The training is mandatory for all faculty and academic staff who are supported on sponsored projects.

You can access the training for certifiers at:

<https://www.rsp.wisc.edu/effort/training/>

An individual in the grants administration office has been designated as the Waisman Center Effort Coordinator and is available for individualized assistance.

## ***Financial conflict of interest***

UW Madison Conflict of Interest (COI) Policy requires disclosure of all outside financial interests that appear to be related to their institutional responsibilities. A potential financial COI exists when an employee has significant financial interest that could lead an independent observer to reasonably question whether the design, conduct or reporting of research might be influenced by the possibility of personal gain. All faculty, all academic staff with appointments greater than 50%, and all individuals listed on human subjects protocols or federal grants, are required to complete an annual Outside Activities Report (OAR) and update it whenever new outside activities are undertaken.

An annual email notice is generated to all eligible individuals after the first of each year.

All key personnel on US Public Health System grants must also complete training on Financial Conflict of Interest. This training is accessed through Learn@UW:

<https://kb.wisc.edu/gsadminkb/page.php?id=32986>

New PHS-funded projects will not be set up until all training and reporting requirements have been met.

## ***Export controls***

“Export Controls” refers to federal regulations that impose access, dissemination, or participation restrictions on the transfer of items and information for reasons of national security, trade sanctions policy, anti-terrorism, or non-proliferation. Laws that may apply are the Export Administration Regulations (EAR) and the International Traffic in Armaments Regulations (ITAR). Under both laws, there are various exemptions, including exemptions that apply to information generated in the course of university research activities.

In order to comply with export laws, the university requires investigators to disclose at the time of proposal submission whether the project involves research or services in a scientific, engineering or technology field. If the investigator responds in the affirmative and an award is received, additional information is requested of the PI to determine the applicability of the regulations.

Additional information is available at:

<http://grad.wisc.edu/respolcomp/exportcontrol/>

## ***Intellectual property***

The mission of discovering and transmitting knowledge and providing service to the public frequently results in the conception and development of intellectual property (IP). The University has developed a set of policies and procedures setting forth faculty, staff, and student responsibilities regarding IP rights and the procedures to be followed in reporting inventions and copyrightable materials arising from University research.

Except as required by funding agreements or other University policies, the University does not claim ownership rights in the IP generated during research by its faculty, staff, or students. This policy has proven beneficial to the University, the public, and the creators of such property. In the case of inventions funded by a federal agency or in the case of sponsored research agreements that require the University to grant rights in inventions generated by funding under such agreements, faculty, staff and students must assign rights to such invention to the University's designated patent management organization, the Wisconsin Alumni Research Foundation (WARF) and execute all papers necessary to file patent applications on the invention and establish the federal government's or other sponsor's rights in the invention. If there are no specific written agreements or policies to the contrary, the researcher at the University is free to dispose of the rights in the manner of his or her own choosing. The University retains the right to use the products of research conducted as a University activity for its education and research mission.

In signing a WISPER record, the Principal Investigator agrees to comply with terms of a research agreement and to accept the responsibility for assuring that other participants in the research

agree to such terms and conditions. All staff and students working on research projects must complete an “Intellectual Property Agreement for Project Participants” form, found at: <https://kb.wisc.edu/gsadminkb/page.php?id=33081>

Principal investigators are responsible for maintaining these records.

In the event that an invention or discovery is made during the course of a federal funded or otherwise sponsored agreement participating faculty, staff and students are required to file an invention disclosure report via the Wisconsin Alumni Research Foundation’s web site:

<http://www.warf.org/home/for-uw-inventors/disclose-an-invention/disclose-an-invention.cmsx>

The University’s IP policies and procedures can be found at:

<http://grad.wisc.edu/projectagreementsip/intellectualprop/ippolicies/>

Additional information on the role of the Wisconsin Alumni Research Foundation, the official technology transfer office of UW-Madison, can be found at:

<http://www.warf.org/for-uw-inventors/for-uw-inventors.cmsx>

In signing a WISPER record, the Principal Investigator agrees to comply with terms of a research agreement and to accept the responsibility for assuring that other participants in the research agree to such terms and conditions. All staff and students working on research projects must complete an “Intellectual Property Agreement for Project Participants” form, found at:

<https://kb.wisc.edu/gsadminkb/page.php?id=33081>

Principal investigators are responsible for maintaining these records.

In the event that an invention or discovery is made during the course of a federal funded or otherwise sponsored agreement participating faculty, staff and students are required to file an invention disclosure report via the Wisconsin Alumni Research Foundation’s web site:

<http://www.warf.org/home/for-uw-inventors/disclose-an-invention/disclose-an-invention.cmsx>

## 5. NATIONAL INSTITUTES OF HEALTH BASICS

The National Institutes of Health (NIH) is an agency within the Public Health Service, under the umbrella of the Department of Health and Human Services (DHHS). Its mission is to improve human health by increasing scientific knowledge related to disease and health. There are over 25 Institutes and Centers, each of which has broad authority to set its own policies and make its own grant funding decisions.

Many of the research projects underway at the Waisman Center are funded by NIH. This section provides background on NIH funding mechanisms, policies and procedures that are most relevant to the work that takes place at the Waisman Center.

The primary source for information on NIH policies is the NIH Grants Policy Statement, found at:

[http://grants.nih.gov/grants/policy/nihgps\\_2012/index.htm](http://grants.nih.gov/grants/policy/nihgps_2012/index.htm)

### ***Types of grant funding***

NIH grants are a financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity. A grant is used whenever the NIH Institute or Center anticipates no substantial programmatic involvement with the recipient during performance of the activities. In other words, the research is developed and conducted by a principal investigator independent of NIH.

#### **Research Grants (R series) common at the Waisman Center:**

R01 – NIH’s most commonly used grant program is used to support a discrete, specified, circumscribed research project. Generally awarded for 3-5 years

R03 – NIH small grant program provides limited funding for a short period of time (up to 2 years) for pilot or feasibility studies, preliminary data collection, development of new research technology, etc.

R21 – NIH exploratory/developmental research grant. Up to two years of funding.

#### **Career Development Awards (K series)**

K01 – Mentored research Scientist Development Award

K02 – Independent Scientist Award

K08 – Mentored Clinical Scientist Research Career Development Award

#### **Ruth L. Kirschstein National Research Service Award (NRSA)**

T grants - Institutional Research Training Grants – Grant to the institution

F grants - Individual pre- and post-doctoral fellowships

#### **Program Project/Center Grants (P series)**

P01 – Research Program Project Grant. Support for integrated, multi-project research projects. Multiple investigators share knowledge and resources.

P30 – Center Core Grants. Support for shared resources and facilities for categorical research by investigators from difference disciplines.

P50 – Specialized Center. Support for any part of the full range of research development from very basic to clinical.

### **Other funding mechanisms**

#### **Cooperative Agreement (U Series)**

A support mechanism used when there will be substantial Federal scientific or programmatic involvement. Substantial involvement means that, after award, NIH scientific or program staff will assist, guide, coordinate, or participate in project activities.

#### **Contract**

An award instrument used to acquire from a non-federal party, by purchase, lease, or barter, property or services for the direct benefit or use of the Federal government.

### **Due dates and funding cycles**

The schedule of standard due dates for competing applications to NIH can be found at:

<http://grants.nih.gov/grants/funding/submissionschedule.htm>

Funding opportunity announcements will indicate if standard due dates apply, or specify the non-standard due date if applicable.

NIH grant funding operates on three cycles. The date on which a proposal is submitted determines the cycle during which the proposal will be reviewed and the potential start date of the project.

### **Just in Time Requests**

Investigators with NIH grant applications receiving an impact score of 40 or less may receive a notice for “Just in Time” information. This information includes a current Other Support document for the PI and all other senior/key personnel and evidence of applicable certifications, such as IRB and/or IACUC approval and human subjects education. “Just in Time” materials must be uploaded to eRA Commons and submitted by an authorized university representative. Waisman Center grant administrators assist with this process.

### **eRA Commons**

eRA Commons is a NIH-sponsored secure website where research organizations and grantees electronically receive and transmit information about the administration of research grants. At



this site, applicants can access the status of their applications and grant recipients can access the status of their awards, submit reports and make requests electronically. Access to eRA Commons requires an ID and password. All undergraduate and graduate students working on NIH-funded projects will require an eRA Commons ID. Waisman Center grants administration staff should be contacted for ID set-up.

### **NIH salary cap**

A legislative mandate limits the direct salary that an individual may receive under a NIH Grant. Effective January 10, 2016, that amount is \$185,100. When an employee's salary exceeds this amount, the university must share the cost of the effort devoted to the project. For example, PI Smith earns an annual salary of \$200,000 and devotes 20% effort to her NIH-funded research project. She can receive only \$37,020 in salary from the grant – 20% of \$185,100. However, actual cost of her effort is \$40,000 – 20% of \$200,000. The difference of \$2,780, is the amount shared by the university. These salary dollars must be provided by the investigator's departmental funds or other non-federal, unrestricted funds.

### **NIH public access policy**

The NIH Public Access Policy is intended to ensure that the public has access to the published results of NIH-funded research. It requires scientists to submit final peer-reviewed journal manuscripts that arise from NIH funds to the digital archive PubMed Central immediately upon acceptance for publication. Papers must be accessible to the public on PubMed Central no later than 12 months after publication.

Additional information on the policy and PubMed Central procedures can be found at:  
<http://publicaccess.nih.gov/>

Non-compliance with this policy, which may be identified at the time of annual progress reporting, can result in the delay of an award.

### **Individual Development plans for Graduate Students and Post-Doctoral Trainees**

The university *requires* that all NIH supported graduate students and postdoctoral trainees, whether on training grants, fellowships, or research project grants, utilize Individual Development Plans (IDP) to set academic and career goals and facilitate conversations with their mentor(s). The university *encourages* use of IDPs for all graduate students and post-doctoral trainees. Tools have been developed in order to assist students, trainees and their mentors with the development and monitoring of these plans:

<http://grad.wisc.edu/pd/idp>

### **NIH Research Performance Progress Report (RPPR)**

NIH requires annual progress reports to document accomplishments and compliance with terms of the award. They describe scientific program, identify significant changes, report on personnel, and describe plans for the next budget period. Format for these reports is the RPPR, which is accessed via eRA Commons. Waisman Center grants administration staff assist principal investigators in the completion of these reports.

### **NIH Research Grant Close-Out**

At the end of a research project, NIH requires a final scientific progress report, a federal financial report (FFR) and a final invention statement.

Final progress reports and invention statements must be uploaded to eRA Commons by the principal investigator and submitted by an authorized official at RSP. RSP accountants submit the FFR.

## 6. TRAINING OPPORTUNITIES AND PROFESSIONAL DEVELOPMENT

A variety of short courses are offered through the Office of Talent Management that are essential for researchers and staff who have administrative responsibilities. They include courses on WISDM for grants management, WISPER and CAYUSE. In addition, a series of courses on research administration and occasional seminars on research policy topics are also offered.

Registration for these courses is through the Office of Talent Management: <https://www.ohrd.wisc.edu/home/Default.aspx>

The campus' Institutional Review Boards also offer training opportunities including introductory sessions on preparing protocols for review. See their websites for current information.

UW Purchasing Services offers several training programs. See: <http://www.bussvc.wisc.edu/purch/training.html>

NIH offers an annual regional seminar on program funding and grants administration. Dates and location are announced in the fall.

The **National Council of University Research Administrators** (NCURA) advances the field of research administration through education and professional development programs, the sharing of knowledge and experience, and by fostering a professional, collegial and respected community. For more information: [www.ncura.edu](http://www.ncura.edu)

The **Society of Research Administrators International** (SRA International) is a global research management society providing education, professional development and the latest comprehensive information about research management to its members from over 40 countries. For more information: [www.sra.com](http://www.sra.com)

## GLOSSARY

**Animal Welfare Assurance Number/OLAW Assurance Number:** The UW Madison Assurance number is A3368-01. This number refers to a document the campus has on file with, and approved by, the NIH Office of Laboratory Animal Welfare (OLAW).

**Authorized organization representative (AOR):** The individual(s), named by the organization, authorized to act for the applicant and to assume the obligations imposed by the sponsor. Designated University of Wisconsin AORs are individuals at RSP.

**Cayuse:** Grants preparation software used at the University of Wisconsin – Madison.

**Co-investigator:** An individual involved with the principal investigator in the scientific development or execution of a project.

**Cost share:** Cost share is the university's share in the cost of conducting a project. (Also called "matching.")

**Direct costs:** Costs that can be identified specifically with a particular project.

**DUNS Number (Data Universal Number):** Identifier frequently required on grant applications. UW's DUNS number is: 161202122

**ECRT:** UW's electronic system for reporting effort.

**Facilities and Administrative Costs (F&A):** Also known as "overhead" and "indirect costs" these are expenses incurred by the university that indirectly support the research enterprise. Some examples are utilities and building maintenance costs. Some sponsors provide F&A funding; some do not.

**Federal Financial Report (FFR):** Final financial report submitted to NIH within 90 days of the end date of a project. Prepared and submitted by RSP.

**Final Invention Statement:** Document required by NIH at the end of a project reporting all inventions which were conceived or first actually reduced to practice during the course of work under the grant.

**Funding Opportunity Announcement (FOA):** Document by which a federal agency makes known its intentions to award discretionary grants or cooperative agreements. An FOA may also be known as program announcements (PA), requests for applications (RFA) or solicitations.

**Funding string:** A sequence of numbers that identify the university account to which an expense should be charged. The funding string includes a department number, a fund number, a project number and a program number. **Example:** 348700 144 AAA1234 4. "348700" is the Waisman Center's ID. "144" is the fund number for federal programs, "AAA1234" is the unique project number, and "4" is the program code, designating the project as research.

**Federalwide Assurance:** Every institution that engages in federally sponsored human subjects research must provide the government with a written assurance, known as the "Federalwide Assurance" that its

investigators will comply with the terms of the Federalwide Assurance for the Protection of Human Subjects. UW-Madison's FWA is 00005399. Expiration date: 09/17/2017.

**Grants Management Specialist/Officer:** A NIH staff member who oversees the business and other non-programmatic aspects of one or more grants and/or cooperative agreements. These activities include, but are not limited to, evaluating grant applications for administrative content and compliance with statutes, regulations, and guidelines; negotiating grants; providing consultation and technical assistance to grantees; and administering grants after award. (Grants Management Officer is the senior title.)

**IACUC:** Acronym for the Institutional Animal Care and Use Committee.

**Indirect Costs:** See "Facilities and Administrative Costs"

**Key Personnel:** The principal investigator and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. (Also referred to as "senior/key personnel" in NIH grants.)

**Limited Principal Investigator Status:** Only tenured and tenure-track faculty of the university are eligible to serve as sponsored project principal investigators. However, on a case-by-case basis, an academic staff member may assume this role. Requests for this "limited PI status" are submitted to the Vice Chancellor for Research and Dean of the Graduate School.

**Material Transfer Agreements:** A written contract that governs the transfer of tangible research materials. The contracts protect the rights of both the receiver and the provider of the material.

**No Cost Extension:** Sponsors may allow a grantee to extend the end date of a research project for a period of time without the addition of any new funding. This is typically done to enable the investigator to complete data collection and/or analysis and to prepare research results.

**Notice of Award (NOA):** Also known as Notice of Grant Award (NOGA). This is the official notice of the sponsor's intent to award a grant. It normally includes all terms and conditions of the award, including technical reporting, allowable costs, and prior approval requirements. NOAs should be read carefully by the PI and other personnel who are responsible for project administration.

**Overhead:** See "Facilities and Administrative" Costs

**Principal Investigator (PI):** The individual(s) designated by the applicant organization to have the appropriate level of authority and responsibility to direct the project.

**Program Official/Program Officer/Project Officer:** NIH term for the official responsible for the programmatic, scientific, and/or technical aspect of a grant.

**Research and Sponsored Programs/RSP:** The Office of Research and Sponsored Programs at the University of Wisconsin – Madison. RSP is responsible for oversight and management of the sponsored project enterprise. Website located at: <https://www.rsp.wisc.edu/>

**Scope of work:** The aims, objectives, and purposes of a research project.

**Senior/key personnel:** The project director or principal investigator and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant.

**Sponsor:** The entity providing funding for the project.

**Subawards or subcontracts:** A legal instrument by which an awardee provides funds (or property in lieu of funds) to an eligible subrecipient to perform a substantive portion of the grant-supported program or project.

**WISDM:** The university's on-line accounting system.

**WISPER:** The University's internal, electronic routing system used to track and obtain approvals for proposals and awards and other types of agreements. All WISPER records have a unique identifier beginning with "MSN" and followed by six digits.

A glossary of NIH terms can be found at:

[http://grants.nih.gov/grants/policy/nihgps\\_2012/nihgps\\_ch1.htm#definitions\\_of\\_terms](http://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch1.htm#definitions_of_terms)