### Additional Project under an Existing Award (Subproject)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The creation of an additional project (ex. AAB1234) under an existing award (ex. MSN123456).</td>
<td>Create a new WISPER record. Make sure to select the &quot;subproject&quot; document type. Route the record through normal channels.</td>
<td></td>
</tr>
</tbody>
</table>

### Advance Award/Account

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Set-up of an award in the financial system prior to receipt of the official notice of grant award.</td>
<td>Submit request via WISPER. For new awards, use the existing WISPER record to submit the request. For continuation awards, use an existing record if you have one or create a new one to submit the request.</td>
<td>Check out the Award Set-up Webpage under the heading &quot;Advance Account.&quot;</td>
</tr>
</tbody>
</table>

### Award Closeout

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>System generated e-mail is sent out 60 days before the award end date.</td>
<td>Follow the instructions contained in the award closeout email. If you don't recall receiving a closeout email, contact your RSP accountant.</td>
<td>Award Closeout Resources</td>
</tr>
</tbody>
</table>

### Award Modification/Amendments

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modification/Amendments are formal changes to already established awards. These can be funding increments, changes to terms and conditions, non-competing continuation awards, etc.</td>
<td>If the award document is sent directly to campus, attach the award to the WISPER record that was originally created for the proposal submission. If one doesn’t already exist (mostly for amendments), please create a new record. Route the record to your Dean’s Office, who will submit to RSP for Award Setup.</td>
<td></td>
</tr>
</tbody>
</table>

### Business Associate Agreements (BAA)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>These agreements create protections whereby one entity (the Covered Entity) can provide protected health information (PHI) to another entity (the Business Associate) so that the Business Associate can perform a service for the Covered Entity (such as evaluating its systems for improvements).</td>
<td>New WISPER record. If a Business Associate Agreement is part of a Funded Research Agreement, the Business Associate Agreement must be in its own record for tracking purposes for the Provost.</td>
<td></td>
</tr>
</tbody>
</table>

### Carryover Requests and Modifications

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review the award terms and conditions to determine if carryover is allowed and how much is permitted.</td>
<td>Prepare a formal request letter specifying how much funding needs to be carried over along with a detailed explanation. Email the letter to the assigned RSP accountant. If you later receive a modification from the sponsor, you can also forward that to the accountant.</td>
<td>RSP Accountant Lookup</td>
</tr>
</tbody>
</table>

### Change in Key Personnel

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>A change in a key person on an award is the complete removal and/or replacement of that individual. Each sponsor has different rules, consult If prior approval is needed, craft a justification on departmental letter head and forward to the assigned RSP accountant.</td>
<td></td>
<td>RSP Accountant Lookup</td>
</tr>
<tr>
<td>Details</td>
<td>Routing Guidance</td>
<td>More Information</td>
</tr>
<tr>
<td>-----------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>Change in Scope of Work</td>
<td>Prepare a request letter to be sent to the project sponsor. Send the letter, along with the new scope of work, to the RSP accountant for submission to the sponsor.</td>
<td>RSP Accountant Lookup</td>
</tr>
<tr>
<td>Checks for Sponsored Projects</td>
<td>Depending on the scenario, there may be different actions to take.</td>
<td>Please see the Check Routing Webpage for detailed information on the proper routing of checks.</td>
</tr>
<tr>
<td>Clinical Trial Check Payments</td>
<td>Depending on the scenario, there may be different actions to take.</td>
<td>Please see the Check Routing Webpage for detailed information on the proper routing of checks.</td>
</tr>
<tr>
<td>Confidential Disclosure Agreements (CDA)</td>
<td>Create a new WISPER record and route through your Dean's Office. Your Dean's Office will then review the documentation and submit the record to RSP for negotiation and processing.</td>
<td>Agreement Negotiation</td>
</tr>
<tr>
<td>Contracts / Research Agreements</td>
<td>Prior to RSP review, the document needs to be uploaded to WISPER and routed through your Dean's Office. Your Dean's Office will then review the documentation and project for submission through WISPER for processing. From there, the award will be processed and/or negotiated by the appropriate RSP Team.</td>
<td>Agreement Negotiation Webpage</td>
</tr>
<tr>
<td>Cost Share Updates</td>
<td>To request an updates, please complete and submit a Cost Share Update Form through the proper channels.</td>
<td>More information on cost sharing can be accessed here: Cost Share Webpage</td>
</tr>
<tr>
<td>Data Sharing Agreement / Data Release Agreement</td>
<td>All research related contracts must be in WISPER. Create a new WISPER record and route through proper channels.</td>
<td>Agreement Negotiation Webpage</td>
</tr>
<tr>
<td>Data Use Agreement</td>
<td>Create a new WISPER record and route through the proper channels. All DUAs will be reviewed and signed by RSP.</td>
<td>Agreement Negotiation Webpage</td>
</tr>
<tr>
<td>Department Changes (project or award ownership)</td>
<td>Complete the Project/Award Transfer Form. Once completed, email the form to the assigned RSP accountant.</td>
<td>See the Internal Transfer for Proposals/Grants webpage for more information.</td>
</tr>
<tr>
<td>Effort Commitment Updates</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
If the individual with the commitment is listed on the Notice of Award, and the change is greater than 25% of the baseline commitment, Prepare a request for approval from the sponsor on department letter head. Forward the letter, along with a completed commitment update form to RSP. Commitment update form: https://www.rsp.wisc.edu/forms/costshareCommitment_update/index.cfm

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the individual with commitment is not listed on the Notice of Award, no updates are needed.</td>
<td>No action is needed.</td>
<td>Commitment changes for individuals who are not listed on the Notice of Award can be made with out sponsor approval. For more guidance: <a href="https://www.rsp.wisc.edu/effort/Guidance_Treatment_Effort_Commitments.pdf">https://www.rsp.wisc.edu/effort/Guidance_Treatment_Effort_Commitments.pdf</a></td>
</tr>
</tbody>
</table>

If the individual with the commitment is listed on the Notice of Award, and the change is NOT greater than a 25% of the baseline commitment, Prepare and submit a completed commitment update form to RSP. Note: sponsor approval is not needed for changes that are less than 25% of the baseline commitment. Commitment update form: https://www.rsp.wisc.edu/forms/costshareCommitment_update/index.cfm

### Effort Commitment Updates

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the individual with the commitment is not listed on the Notice of Award, no updates are needed.</td>
<td>No action is needed.</td>
<td>Commitment changes for individuals who are not listed on the Notice of Award can be made with out sponsor approval. For more guidance: <a href="https://www.rsp.wisc.edu/effort/Guidance_Treatment_Effort_Commitments.pdf">https://www.rsp.wisc.edu/effort/Guidance_Treatment_Effort_Commitments.pdf</a></td>
</tr>
</tbody>
</table>

Proposal budgets must incorporate indirect costs in accordance with the established UW rates. If you wish to deviate, a waiver must be requested and approved prior to proposal submission. A letter requesting the waiver and justification must be uploaded to WISPER and an Approval sent to your Dean, Director or College/School Research Administrator as indicated above. Waiver requests must be reviewed by the Director of RSP. See the “Required Approvals” section on the Proposal Preparation Webpage.

### F&A Waiver Request

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal budgets must incorporate indirect costs in accordance with the established UW rates. If you wish to deviate, a waiver must be requested and approved prior to proposal submission.</td>
<td>A letter requesting the waiver and justification must be uploaded to WISPER and an Approval sent to your Dean, Director or College/School Research Administrator as indicated above. Waiver requests must be reviewed by the Director of RSP.</td>
<td>See the “Required Approvals” section on the Proposal Preparation Webpage</td>
</tr>
</tbody>
</table>

Reports detailing how funding was actually spent. Some sponsors have templates, others do not. Regardless, all financial reports need to be reviewed and approved by RSP accountant prior to submission to the sponsor. RSP Accountant Lookup

### Fee for Service Agreements

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create a new WISPER record and select &quot;FeeForServ&quot; as the document type. Route through normal channels.</td>
<td>Agreement Negotiation Webpage</td>
<td></td>
</tr>
</tbody>
</table>

Gifts are handled by accounting services, not RSP. Contact Accounting Services Accounting Services Webpage

### Intergovernmental Personnel Assignment (IPA) Agreements

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>IPA agreements are used when UW faculty will be on assignment to a different institution/agency but will stay on UW payroll.</td>
<td>Create a new WISPER record, select IPA as the document type, and route through the normal channels.</td>
<td>See the &quot;Intergovernmental Personnel Assignment Agreement (IPA Agreement)&quot; section on the Award Set-up Webpage</td>
</tr>
</tbody>
</table>

After the proposal is submitted, the sponsor may have questions or require additional information before making an award. Some sponsors call this a Just-In-Time (JIT) request. If the department or PI receives a request for information other than scientific information, please notify via WISPER approval the SPO owner of the WISPER record (located on the SPO Action tab) when the request is ready to be submitted. See the "Requests for Additional Information and JIT" section of the Proposal Preparation Webpage.

### Material Transfer Agreements (MTA)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The exchange of materials among scientists is a common, and much needed, practice. Material Transfer Agreements (MTAs) are contracts that protect the rights of both the recipient and the provider of these materials.</td>
<td>All MTAs (incomign and outgoing) should be routed in WISPER. Create a new record for a new MTA and route through the necessary channels.</td>
<td>Please see the MTA Webpage for more information.</td>
</tr>
</tbody>
</table>

### NIH Loan Repayments

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
# New Proposal Applications, Competing Continuations (Renewal), Resubmissions

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>All new proposals/applications for extramural support funding. Competing continuations, where the continuation of a project is subject to an open competition, are also treated as new proposals. Likewise the re-submission of a proposal will follow the same process as a new proposal.</td>
<td>All proposals must be routed through WISPER and approved by RSP prior to submission. An authorized representative (RSP) must sign any document requiring an official signature. Create a new WISPER record and route through your deans office. Once deans office approves, they will forward on to RSP for final review and submission.</td>
<td>Please see the <a href="#">Proposal Preparation Webpage</a> for additional information.</td>
</tr>
</tbody>
</table>

# No-Cost Extensions

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>An extension of the end dates of a sponsored project without additional funding. Each sponsor has different requirements for NCEs, be sure to review the award terms and conditions. An NCE must be requested in advance of the end date of the award based on agency requirements.</td>
<td>All materials must be routed through WISPER. Create a new record, select &quot;NoCostExt&quot; as the document type and route through normal channels.</td>
<td>In-depth guidance can be found on the <a href="#">No-Cost Extension Request Webpage</a> Test</td>
</tr>
</tbody>
</table>

# Non Funded Research Agreements

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>There are many types of agreements that facilitate research at the UW, but may not involve the exchange of funding. These are often referred to as non-funded agreements or NFAs.</td>
<td>All research agreements, with funding or no funding, need to be in WISPER and reviewed by RSP. Please create a new WISPER record and route through proper channels.</td>
<td>Agreement Negotiation Webpage</td>
</tr>
</tbody>
</table>

# PI / Award Transfers (Reinluiishments)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The transfer of a Principal Investigator (PI), and subsequently an award, from one institution to another.</td>
<td>Depending on the specific situation, there may be different ways to approach this situation.</td>
<td>For specific guidance on this topic, please see the <a href="#">PI &amp; Award Transfers Webpage</a></td>
</tr>
</tbody>
</table>

# PI Change

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsor approval is needed to change the Principal Investigator of an award.</td>
<td>All PI change requests need to be in WISPER. The new PI should be listed as the PI of the record and sign accordingly. The record then needs to be routed through the proper channels and submitted by RSP.</td>
<td></td>
</tr>
</tbody>
</table>

# Pre-Proposal

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>A pre-proposal (depending on the sponsor, this may also be called a preliminary proposal, white paper, letter of intent or concept paper) is a short description of a project that does not involve a binding commitment of university resources.</td>
<td>If the sponsor requires institutional approval or budget information, the pre-proposal must be in WISPER and routed through normal channels.</td>
<td></td>
</tr>
</tbody>
</table>

# Pre-Proposal

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>If the sponsor does not require budgetary information or a commitment from the institution, then the PI may submit the necessary materials directly to the sponsor without RSP approval.</td>
<td></td>
</tr>
</tbody>
</table>

# Progress Reports & Non-Competing Continuation (RPPR Interim & Final)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>If you are working to submit a NIH RPPR that is subject to SNAP.</td>
<td>No WISPER record is needed. The RPPR will be completed and submitted through eRA Commons.</td>
<td></td>
</tr>
</tbody>
</table>

# Progress Reports & Non-Competing Continuation (RPPR Interim & Final)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>If you are working to submit an NIH RPPR that is not subject to SNAP.</td>
<td>A new WISPER record needs to be created and routed through the proper channels.</td>
<td></td>
</tr>
<tr>
<td>Details</td>
<td>Routing Guidance</td>
<td>More Information</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------</td>
<td>------------------</td>
</tr>
<tr>
<td>If the Sponsor requires only technical progress report with no institutional approval.</td>
<td>No WISPER record is needed. The PI may develop and submit these reports directly to the sponsor.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the Sponsor requires budget, statement of costs or institutional approval.</td>
<td>A new WISPER record needs to be created and routed through the proper channels.</td>
<td></td>
</tr>
</tbody>
</table>

### Progress Reports & Non-Competing Continuation (RPPR Interim & Final)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>If the Sponsor requires budget, statement of costs or institutional approval.</td>
<td>A new WISPER record needs to be created and routed through the proper channels.</td>
<td></td>
</tr>
</tbody>
</table>

### Re-Budgeting Requests

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The re-budgeting of funds on an award that has been accepted and set-up</td>
<td>Each sponsor has different requirements for re-budgeting. Contact the assigned accountant in RSP for further guidance. A WISPER record is NOT needed.</td>
<td>RSP Accountant Lookup</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The re-budgeting of funds on an award that has NOT been accepted or set-up</td>
<td>If you are requesting the alteration of a budget for a pending application, upload the new budget to the existing WISPER record and send an approval to the SPO owner of the WISPER record.</td>
<td></td>
</tr>
</tbody>
</table>

### Spending Edits

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Spending Edits on an award control what departments can spend and what types of transactions can be placed on a project.</td>
<td>To request a change/update, please email the RSP accountant assigned to the award.</td>
<td>RSP Accountant Lookup</td>
</tr>
</tbody>
</table>

### Supplements

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>A supplement is a process by which funds are added to an existing awards. These funds are outside of what we previously committed by the sponsor.</td>
<td>All supplemental funding request/applications need to be in WISPER and signed off on by RSP. Please create a new WISPER record and route through the proper channels.</td>
<td></td>
</tr>
</tbody>
</table>

### Termination or Early Termination Notice

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>For various reasons, a sponsor (or the UW) may decide to terminate an award prior to completion. Terminations can have legal ramifications and need to be reviewed by RSP.</td>
<td>If a termination notice is received from the sponsor, or the PI wishes to terminate an award, create a WISPER record and route to RSP.</td>
<td>If requesting notification to the sponsor for early completion of an award, please work with your award accountant.</td>
</tr>
</tbody>
</table>

### Unfunded Proposals (Rejection/Refusal notices)

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>When the sponsor decides not to fund a proposal, they often times send a notice to inform the proposer of their decision.</td>
<td>If this notices is received directly by the PI, or campus personnel, please attach the notice to the WISPER record and notify RSP so they can update the record accordingly.</td>
<td></td>
</tr>
</tbody>
</table>

### Withdrawal of a Proposal

<table>
<thead>
<tr>
<th>Details</th>
<th>Routing Guidance</th>
<th>More Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>When a proposal, that's already been submitted the sponsor, needs to be withdrawn from funding consideration.</td>
<td>Please send an approval in WISPER to the SPO owner of the WISPER record. RSP will then withdraw the proposal in accordance with sponsor guidelines.</td>
<td>The WISPER record will be put into status 6 'completed' with a funding status of 'withdrawn.'</td>
</tr>
</tbody>
</table>