

NCURA 2011 Region IV Spring Meeting

# Introduction to Electronic Document Routing



THE UNIVERSITY  
*of*  
**WISCONSIN**  
MADISON

## Introduction to Electronic Document Routing

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### **Electronic Routing at UW-Madison**

- Main Campus: 935 acres
- Medical School almost 3 miles from RSP
- Total Awards FY2010: \$1.3 billion
- 17,000 Active Projects FY2010
- 4,000 Proposals submitted FY 2010

## Routing History at UW Madison

- Paper through 2003
- 1<sup>st</sup> Generation: Web based system for tracking; no routing feature.
- 2<sup>nd</sup> Generation: "PALS" system. Improved tracking feature; still no routing.
- 3<sup>rd</sup> Generation: "WISPER" electronic routing and tracking system. Went live Feb. 2008.

## **Routing History at UW Madison**

- Beginning in 2006 worked collaboratively with Deans, Departments, Labs and Centers (large and small)
- IT programmers were every meeting; programming during the planning process.

# WISPER Rollout

- Lots of buy-in because campus was included in the process. Implementation was smooth, but system down for 10 days.
- Trained Deans who trained Depts. RSP still holds quarterly training.

### Why Do This?

- Electronic Routing tools allow for a more efficient process to assist in routing, approval, and negotiations of applications and agreements.
- These tools provide data necessary to record information for internal tracking and reporting purposes.

### What is WISPER?

- WISPER is the UW electronic replacement for paper
  - Create, route & sign routing forms electronically from ANYWHERE in the world
  - Share attachments with collaborators and administrators (budget, RFP, other relevant docs)
  - Track the record from creation through negotiation and award set-up. Know when the PI signs, when the Division approves and when RSP submits!



## How Does WISPER Work?

- Functionality
- Attachments
- Approvals
- Routing
- Signature
- Tracking

<http://www.rsp.wisc.edu/WISPER/>

- Desk References and Webcasts available for review
- Power Point and Manual
- Training Environment

# User Preferences

### 1. Delegates

- Delegate gets same access to records and email notifications
- Great for when you are out of the office
- **PI Signature does not transfer to delegate**

### 2. Emails

- Should be turned on
- Controls whether emails are sent when someone asks for an approval or routes a record

# MY WISPER WORKLIST

### 1. In Box

- Records you own = Paper on your desk
- When you create it, you are owner
- One owner on campus at a time
- Pass along via Routing function

### 2. Approvals

- Someone is requesting review/approval for a specific item on a record. For example: revised budget
- Stays there until you respond

### 3. Records for which I am PI

- Only records in process in WISPER
  - Gone when record is awarded or not funded
  - Gone when negotiations are completed

### 4. Status 4.5 SPO Negotiation

- Records that RSP is negotiating – FYI only

### 5. Status 5 SPO Setup

- Records that RSP has fully executed award or agreement and is in the process of collecting the award details

Security is record by record. Access depends on:

### 1. Role

- Division, Campus Contact, PI, Router ("participant") have full edit access
- Approvers can view, add approvals & add attachments

### 2. Document Status

- 1-On campus - only see it if a participant
- 2-Forwarded to SPO or greater
  - Everyone can see (all except attachments which are not visible to all)
  - Edit & update ability then depends on your role

# Introduction to Electronic Document Routing

## Enter demographic information

General		Approvals	Attachments	SPO Action	Terms & Cond	Document History
Record ID	MSN124824	Document Type	Grant <a href="#">Wisper Help</a>			
Contact PI	BALSER,TERESA C	Sponsor Name	NATIONAL SCIENCE FOUNDATION			
Short Title	Short Working Title	Status	1-In Process			

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**Basic Info**

Contact PI	BALSER,TERESA C	Outside Activities Report Submitted	No	<a href="#">i</a>
	<a href="#">Change Contact PI</a>	Effort Training Completed	No	<a href="#">i</a>
Official Proposal Title	<div>Full title placed on the application</div> <div><div></div><div></div></div>			
Short Title	<div>Short Working Title</div>	Proposal Type	<div>New</div>	
Administering Dept	075400 SOIL SCIENCE*SOIL SCI	<a href="#">i</a> Document Type	<div>Grant</div>	
	<a href="#">Change Department on Record</a>	<a href="#">i</a> Related Record		
Begin Date	<div>08/01/2008</div>	End Date	<div>07/31/2012</div>	
Sponsor	NATIONAL SCIENCE FOUNDATION			
	<input type="checkbox"/> <b>Sponsor Not in List</b>			
	<a href="#">Change Sponsor on Record</a>			
Primary Sponsor (Optional)	<input type="checkbox"/> <b>Primary Sponsor Not In List:</b>			
	<a href="#">Add Primary Sponsor to Record</a>	<a href="#">Remove Primary Sponsor</a>	<a href="#">Save</a>	

# Introduction to Electronic Document Routing

## Key Fields

1. Outside Activities Report?
2. Effort Training Completed?
3. Document Type
4. Related ID
5. Campus Contact
6. Paper Copy to RSP
7. New Compliance Questions: Stem Cells & Equipment/Buildings
8. Additional Personnel
  - Enter fellows & key personnel
9. Budget Details – Cost Sharing
10. Flows to Financial System and generates account number.



# WISPER - Attachments



### Attachments:



#### Types of Documents to upload

- RFP/RFA/Call for Proposals
- Narrative Scope of Work
- Budget
- Full proposal file
- Protocol approvals
- Award documents
- Draft agreements (from campus or during negotiations)

# Electronic Routing

## Upload Attachments

General	Projects	Approvals	Attachments	Division Action	SPO Action	Terms & Cond	Document History
Record ID	MSN100044			Document Type	Grant		
Contact PI	BALSER,TERESA C			Sponsor Name			
Short Title	Test Routing			Status	1-In Process		

Upload Attachment		File Name	File Description	
1	Upload Attachment	 <a href="#">424RRbudget_NOPROTECT.xls</a>	<input type="text" value="Budget"/>	<a href="#">Add another attachment</a>
2	Upload Attachment	 <a href="#">DOE_GLBRC_Summary.pdf</a>	<input type="text" value="Abstract"/>	<a href="#">Add another attachment</a>



## PI Signature



### **PI's must log in with their own NetID & sign**

- Link is only available for those listed as PI
  - Link at the top of the General tab & the bottom of all other tabs
- Can sign any time after record is created & compliance questions are answered

# Introduction to Electronic Document Routing

## Principal Investigator Signature for Proposal

In signing, I certify that I am a Principal Investigator on the above referenced proposal or award and understand that by clicking on the "I Sign" button below, I agree to this text. I certify that I have identified all space, personnel, equipment and budgetary needs associated with the proposal or award, and that the proposal or award and this form are accurate and complete in all regards, including technical matters, adherence to sponsor's guidelines, budget and required clearances. I certify (1) that the information submitted within the application is true, complete and accurate to the best of the PI's knowledge; (2) that any false, fictitious, or fraudulent statements or claims may subject the PI to criminal, civil, or administrative penalties; and (3) that the PI agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

I Sign

PI Signature performed by

PI Signature Date & Time

BALSER,TERESA

# Introduction to Electronic Document Routing

## Principal Investigator Signature for Award

I certify that I am the Principal Investigator on the above referenced proposal or award and understand that by clicking on the "I Sign" button below, I agree to this text. In order for the University to carry out its obligations, and as a condition of and in consideration of my participation in this extramurally sponsored research or other activity at the University of Wisconsin-Madison, I hereby agree to the following:

I agree to disclose promptly to the University any invention, novel variety of plant which is or maybe protected under the Plant Variety Protection Act, computer software which is potentially patentable or to which the sponsor has rights under the agreement, or mask work made by me in whole or in part, whether solely or jointly with others during and in the course of such extramurally supported research or other activity. I further agree that I will comply with the provisions of any agreement between the University and the sponsor, and will cooperate in assuring that the sponsor's rights in intellectual property are fully protected. If an invention is funded in whole or in part by a federal agency or if the sponsored research agreement requires the University to grant rights in the invention to the sponsor, I agree that I will, if requested, assign rights to such invention to the University's designated patent and intellectual property management organization and will execute all papers necessary to file patent applications on the invention and to establish the federal government's or other sponsor's rights in the invention. I confirm that I am now under no obligation to any other person or extramural sponsor with respect to any rights in inventions, discoveries, or copyrightable material which are in conflict with the subject agreement or project proposal. By clicking on the "I Sign" button below, I agree to this text.

I agree to be responsible for assuring that all persons participating in the project, other than clerical or nontechnical persons, prior to commencing work on the project become familiar with the terms and conditions in the agreement between the extramural sponsor and the University and have signed a copy of a document agreeing to essentially the same obligations as set forth above. (PI may use either a copy of the above language or may use the universal project participants statement found at <http://info.gradsch.wisc.edu/research/ip/ipagreement.doc>)

I agree that I will comply with the provisions of the award from the Sponsor, and will cooperate in assuring that the University's obligations to fulfill those terms are met.

I Sign

PI Signature performed by

PI Signature Date & Time

## Introduction to Electronic Document Routing

- Note the PI Signature language
  - Proposal signature attests to content of application not content of WISPER record (dates, exact budget figure)
- Award Signature is available now as well but you are committing to all terms of the award or agreement. If you don't know them, don't sign.
- Know whether the PI has signed by clicking on the Request signature button on the General Tab or in the Document History
  - Use the PI request button to see what email requests have been sent, when/if the PI signed, and to send a request to sign if necessary



# Approvals



## Introduction to Electronic Document Routing

- Confirmation from another user without giving up ownership
- Tracks situation other than PI & Division Signature
  - Chair approval
  - F&A Waivers
  - Cross department or division resources
  - Revised budget
  - Award in Advance request
- Approver gets notified
  - Record added to approver's MY WISPER worklist
  - Sends email to approver
- On response, requester and all commenters receive copy of email notification

## Introduction to Electronic Document Routing

- Use ADD APPROVAL button to initiate a new approval
  1. Select Approval type
  2. Enter additional text
  3. Select who should respond
    1. Division
    2. Employee
    3. PI
- Respond to an Approval options:
  - Approve
  - Deny
  - Submit comments

# Electronic Routing

## Approvals

Add Approval

Requested Approvals						
Type	Requested	Requested By	Requested Approver	Actual Approver	Action	Details
LEGAL Review	10/25/07 6:20PM	GRAY,STEPHANIE L	BALSER,TERESA C	GRAY,STEPHANIE L	Approved	<a href="#">Details/Comments</a>

### Approvals

Requested By GRAY,STEPHANIE L

Request Date 10/25/07 6:20PM

Sequence 1

Approval Type LEGAL Review

Approval Request Requesting that you review and provide input on the Legal language of the award.  
Specifically,

Approver Type Employee

Business Unit UWMSN

Requested Approver BALSER,TERESA C

Add Approval

Cancel

### Respond to Approval

Submit Comment Only

Approved

By GRAY,STEPHANIE L

On 11/11/07 12:41PM

Comment

Commenter	When	Comment
1 GRAY,STEPHANIE L	11/11/07 12:41PM	Spoke with the PI & ensured approval.
2 GRAY,STEPHANIE L	11/11/07 12:41PM	PI APPROVES per verbal approval.

# Routing



## Introduction to Electronic Document Routing

- Transfers Ownership of the Record from User to User
  - Removes from your worklist
  - Adds to new owner's worklist
  - Sends email to new owner
  - You can still locate & edit the record using the Search
- Route to Individual
- Route to Division

## Route

### Route Ownership of this Record

Routing note to recipient

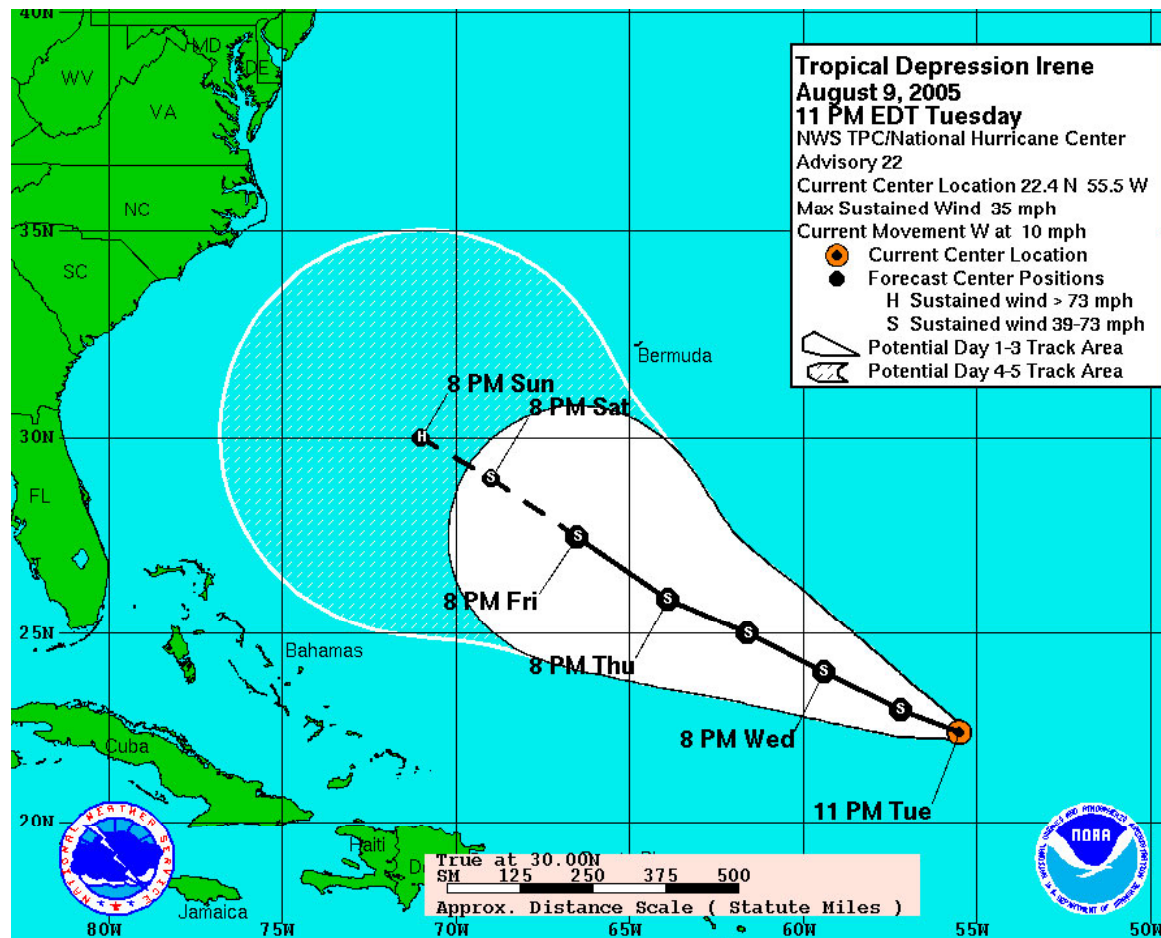
Record currently owned by LUSCHEN,MEREDITH

[Click here to Route to a specific person..](#)

[Route to 07-COLLEGE OF AG & LIFE SCIENCE](#)

[Cancel](#)

## Tracking the Record





### SEARCH PAGE

- Find records by many search criteria
- Once you find the record & need more details, use:
  - SPO Action Page
  - Document History Page

## Introduction to Electronic Document Routing

- SPO Action Page
  - Document Status
  - Funding Status
  - SPO (RSP) Owner
  - Negotiation Tracking
- Document History
  - Changes to key fields: PI, Sponsor, Projects
  - PI Signature
  - Routing
  - Approvals
  - Changes in Record Status
    - Funding: Pending, Pre-Award, Awarded, Refused, Withdrawn
    - Document: 1-On Campus, 4-Sent to Sponsor, 6-Completed

# Introduction to Electronic Document Routing

**NOT PROD!**

**Menu**

Search:

- My Favorites
- Grants
- Customer Contracts
- Billing
- UW WISPER
  - Effort Training Tracking
  - UWML
  - My WISPER
  - Run External Interfaces
  - SPO Worklist
  - Search
  - Wisper User Preference Page
- Employee Self-Service
- Manager Self-Service
- Supplier Contracts
- Customers
- Order Management
- Services Procurement
- Project Costing
- Proposal Management
- Travel and Expenses
- Accounts Payable
- Commitment Control
- General Ledger
- SCM Integrations
- Set Up Financials/Supply Chain
- Enterprise Components
- Worklist
- Tree Manager
- Reporting Tools
- UW nVision
- PeopleTools
- SFS Extensions
- Tax Center
- Change My Password
- My Personalizations
- My System Profile
- My Dictionary

Document Status: 4.5-SPO Negotiation

Reference Award Number: 26-0521-0103-001

Proposal Funding Status: Pending

SPO Owner: JACOBS,MELANIE

SPO Ruleset: RSP\_DIR\_FA

Request Manager Approval: Manager Approve

Generate Award: Finalize Record

Approval / Comments

HOLTE,DARLENE A 02/25/2010 12:42:33PM

SPO Manager Approval: APPROVD

Award ID:

Negotiation Status: 08-SPO Action

Negotiation Comment:

Update

Negotiation Status	SPO User	Negotiation Status Datetime	Negotiation Comment
1	HEIMSTREET,ROBERT C	12/01/10 12:09PM	Sent Noelle an e-mail outling WARF's position and current status.
2	JACOBS,MELANIE R	10/26/10 8:55AM	inquiring with Bob H. he's been in conversations with WARF
3	JACOBS,MELANIE R	08/03/10 3:28PM	WARF has concerns with Background IP language, Bob H. reviewing as there are Graduate Assistants on the award.
4	JACOBS,MELANIE R	07/21/10 3:02PM	spoke with Angie at WARF regarding IP language. Sent email to Nebraska to find out what type of flexibility we may have to get changes made to the Prime award from NIST/NERC
5	JACOBS,MELANIE R	07/19/10 4:04PM	sent agreement to Stephanie at WARF for her insight.
6	JACOBS,MELANIE R	07/19/10 10:20AM	requested word doc of prime from Nebraska to work with WARF
7	JACOBS,MELANIE R	07/13/10 3:28PM	Awaiting Noelle's return to the office to discuss the negotiations
8	JACOBS,MELANIE R	07/02/10 2:03PM	sent email to Gene at UNL regarding the confidentiality of prime agreement
9	JACOBS,MELANIE R	05/28/10 10:51AM	missing page 4. Sent request to Gene at UNL
10	HEIMSTREET,ROBERT C	05/25/10 2:49PM	Two sets of partially executed contract docs to Melanie Jacobs along w/ proposal folder.
11 SPO Action	HEIMSTREET,ROBERT C	05/25/10 2:49PM	
12	HOLTE,DARLENE A	02/25/10 12:42PM	emailed to sponsor by RSP MSN134635
13 SPO	HOLTE,DARLENE A	02/25/10 12:42PM	

http://www.rsp.wisc.edu/WISPER/

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**NOT PROD!**

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  - Wisper User Preference Page
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- Manager Self-Service
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- Services Procurement
- Project Costing
- Proposal Management
- Travel and Expenses
- Accounts Payable
- Commitment Control
- General Ledger
- SCM Integrations
- Set Up Financials/Supply Chain
- Enterprise Components
- Worklist
- Tree Manager
- Reporting Tools
- UW nVision
- PeopleTools
- SFS Extensions
- Tax Center
- Change My Password
- My Personalizations
- My System Profile
- My Dictionary

Home | Worklist | Add to Favorites

Comments | Projects | Approvals | Attachments | Division Action | Terms | SPO Action | History

**Record ID** MSN134635

**Document Type** Grant

**Contact PI** EOM,CHANG-BEOM

**Sponsor Name** UNIVERSITY OF NEBRASKA

**Short Title** U Nebraska-NRI

**Status** 4.5-SPO Negotiation

[Wisper Help](#)

Full Name	Action Date	Event	Additional Information
LAWTON,NOELLE H	07/07/10 1:40:23PM	Approval Approved	Other
JACOBS,MELANIE R	06/30/10 2:06:04PM	Approval Request Made	Type: Other of LAWTON,NOELLE H
HEIMSTREET,ROBERT C	05/25/10 2:49:48PM	Record Status changed	4.5-SPO Negotiation
HEIMSTREET,ROBERT C	05/25/10 2:46:53PM	SPO Owner changed	JACOBS,MELANIE R
BABCOCK,SUSAN E	02/25/10 5:45:44PM	Approval Approved	Chair Approval
HOLTE,DARLENE A	02/25/10 12:42:33PM	SPO Manager Approval	APPROVD
HOLTE,DARLENE A	02/25/10 12:42:33PM	Record Status changed	4-Sent to Sponsor
HOLTE,DARLENE A	02/25/10 9:22:21AM	Record Status changed	3-Assigned at SPO
HOLTE,DARLENE A	02/25/10 9:22:18AM	SPO Owner changed	HOLTE,DARLENE A
LAWTON,NOELLE H	02/25/10 9:20:30AM	Submitted Record to SPO	
LAWTON,NOELLE H	02/25/10 9:20:27AM	Division Signature	Proposal
LAWTON,NOELLE H	02/23/10 2:23:01PM	Route Record	New Owner: LAWTON,NOELLE
EOM,CHANG-BEOM	02/23/10 12:55:34PM	Route Record	New Owner: 19-COLLEGE OF ENGINEERING
EOM,CHANG-BEOM	02/23/10 12:55:23PM	PI Signature	Award
EOM,CHANG-BEOM	02/23/10 12:55:20PM	PI Signature	Proposal
EOM,CHANG-BEOM	02/23/10 12:55:06PM	Approval Request Made	Type: Chair Approval of BABCOCK,SUSAN E
EOM,CHANG-BEOM	02/23/10 12:04:10PM	Change Document Type	New Document Type: Grant
EOM,CHANG-BEOM	02/23/10 12:01:45PM	Record Created	
	02/23/10 12:00:24PM		

[General Info](#)

[Route to Another Person](#)

[My Worklist](#)

[Search Page](#)

### COPY Functionality

- Copy button at end of each search result
- Duplicates the existing record for a resubmission, supplement, renewal, continuation, etc.
  - Does NOT pull forward ALL data (Begin & End Dates, Submission Instructions, Compliance Questions, Budget, Attachments)

## Introduction to Electronic Document Routing

Of note:

- Email notifications will be sent for:
  - Completed negotiations on non-financial documents (MTA, CDA)
  - Set up & modifications to awards (Regent & Non-Regent Notices)
- Tables to whom those emails are sent are kept in WISPER
- Maintenance is done by RSP

- Pros and Cons of Electronic Routing.
- What type of systems are other Institutions using/considering?
- Questions?