WSU Research Administration Series:
Life Cycle of a Sponsored Project

Diane Rathbun, Office of Research Support & Operations
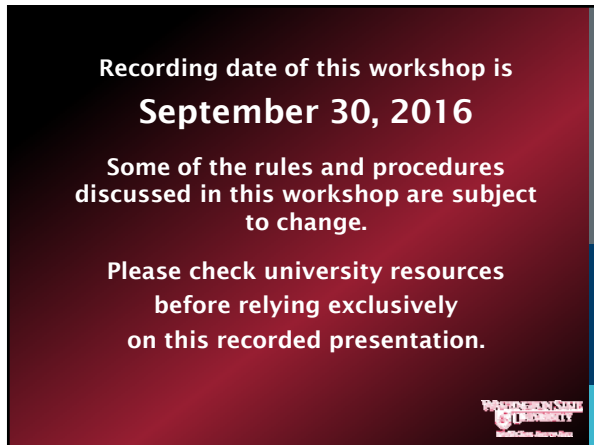Brian Dentler, Sponsored Program Services
September 30, 2016

Recording date of this workshop is

September 30, 2016

Some of the rules and procedures
discussed in this workshop are subject
to change.

Please check university resources
before relying exclusively
on this recorded presentation.

Why are we here today?

This 12 part series is designed
for those employees who have
sponsored management
responsibilities to gain a better
understanding of what research
administration is made up of -
the pre-award and post-award
processes, requirements and
compliance from A to Z.

Session One Agenda

Research Life Cycle Resources Across Campus:
- Research Advancement & Partnerships
- Office of Research Support & Operations
- Sponsored Programs Services
- Office of Research Assurances
- Office of Commercialization
- Internal Audits

SPONSORED RESEARCH
DIRECT GUIDANCE

Research Advancement & Partnerships	ORSO Office of Research Support & Operations	SPS Office of Sponsored Programs Services
Pre-Proposal Development • Locates Funding Sources • Conducts Writing Classes **Proposal Development** • Provides proposal writing assistance/classes • Budget assistance	**Proposal & Award Processing** • Drafts/negotiates contracts • Prepares/Reviews Budgets • Review/submit proposals • Coordinate w/SPS for change requests & allocations • PI dashboard **Confidentiality/Material Transfers** • Obtains non-disclosure agreements • Handles material transfer agreements • No money, licensing, equipment agreements	**Award Set-up** • Coding, budget allocation • Activates accounts **Invoicing/Reporting** • Invoicing, Reports • Cost share • Reports Program Income **Payment Processing** • Receipt payments • Subcontract Invoices **Account Closing** • FFR, invention, property reports • Inactivation **Sub-Recipient Monitoring** • Submits FFATA reporting • Assists with Sub-recipient compliance

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SPONSORED RESEARCH
Support Guidance

ORA Office of Research Assurance	OC Office of Commercialization	OIA Office of Internal Audit
Law & Regulation Compliance/Policy • Export controls (IBC) • hazardous waste & shipment, radiation (IRC) • Use of humans & animals for research (IACUC) • Reviews possible research misconduct **Post Award Approval Review (PAR)** • Assists with compliance	**Submits Applications** • Invention Disclosures • Patent, Copyright, Trademarks **Assists with Protection** • Scholarly & Educational Material • Intellectual Property • Technology Transfer	**Audits** • Conducts Internal financial audits • Ethic Audits • Operational Audits • Fraud Investigations • Completes Risk Evaluations • Unannounced Cash counts **Control Systems** • Develops Control Systems • Creates Policies & Procedures **Audit Liaison** • Assists departments with internal controls • Acts as Liaison between departments, external auditors • Attends auditors entrance & exit meetings

Office of
Research Advancement &
Partnerships
Pre-Award
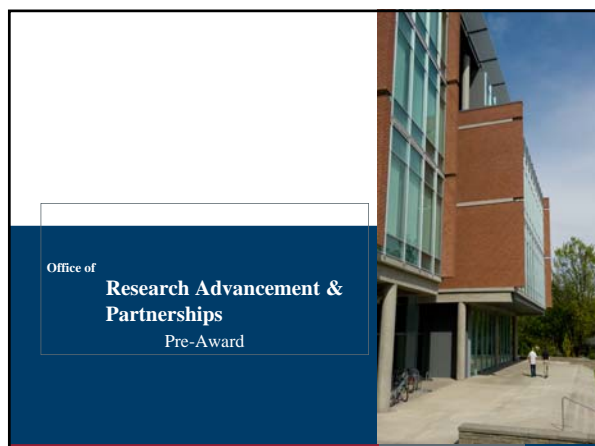
Research Development Resources

Identify & Disseminate Funding Opportunities
- COS Pivot funding database & training
- Informer
- Limited submission Competitions

Large Multi-disciplinary Projects &
Single Investigator Support
- RFP review, timeline assistance, meeting coordination
- Templates/models development, editing & budget support
- Serve as a point-of-contact for collaborating partners
- Help with special needs and proposal submission

Training and Outreach

Grantsmanship Training
- Writing Winning Grants Seminar
- Mentored Proposal Writing Program
- Productive Proposal Writing Class

Grant Writing Resources
- Library of resources

Outreach & Collaboration Building Activities
- Coordinate meetings, workshops, seminars and state-wide outreach activities
- Coordinate WSU internal grant competitions
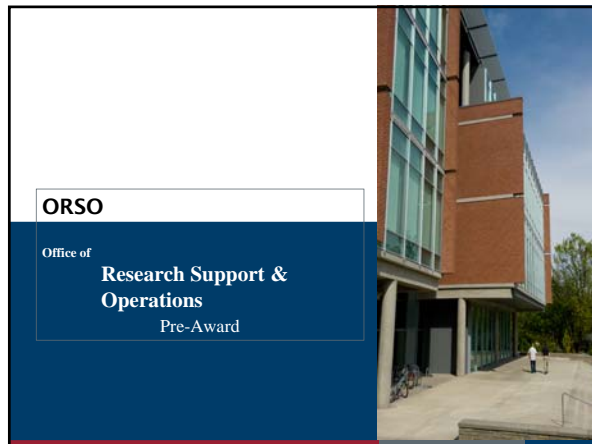- Promote prestigious faculty awards & provide applicant support

ORSO

Office of

Research Support & Operations

Pre-Award

ORSO

Proposal and Award Processing

- **Review & Authorize Proposals**
  - Provide guidance on RFP compliance/help with forms
  - Review of final proposal, budget
  - Submission of proposal to sponsor
  - Tracking & monitoring of proposal
- **Review, accept and negotiate Contracts and Awards**
  - Review contractual language, negotiate as needed
- **Prepare & Execute Standard Agreements & Contracts**
  - Draft various subawards, agreements & contracts
  - Material transfer, non-disclosure, no-money, data set & equipment loan agreements

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ORSO

Proposal and Award Processing

Certify and assure university adherence to governmental policies
- U.S. Code of Federal Regulations and other federal regulations
- Uniform Guidance; OMB Circulars
- Revised Code of Washington (Title 28B)
- WSU Business Policies & Procedures Manual
- WSU's Faculty Manual

Monitor and report sponsored project activity
- Work with sponsor on change requests
- Work with SPS and sponsor on award changes
- Help with additional materials

Advise faculty, staff & graduate students on these functions & activities

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ORSO

ORSO Updates

Cool Stuff
- Online eREX for routing and approvals
- PI Dashboard
- 2,862 proposals totaling $912.5M (FY16)
- 1,783 awards totaling $219.2M (FY16)
- 40,213 log items inside the MyResearch grants database

Reporting is HUGE
- Work with Institutional Research to give them all our numbers to determine WSU's national ranking
- Data shack or canned reports are now available through MyResearch

(Training provided: contact Derek Brown for dates)

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ORSO

Important Websites/Resources

ORSO QUICK GUIDE
Room 280 Lighty, PO Box 641060, Pullman, WA 99164-1060
Phone: 509-335-9661 FAX: 509-335-1676 Email: orso@wsu.edu
Dan Nordquist, AVP/Director & Authorized Signatory

Important Numbers	Budget Information
IRS I.D. Number: 91-6001108	Estimated Salary Increases as of July 1 of each year:
CAGE Code: 0REY0	Faculty, Post Docs, and Res. Asst. 4%
DUNS Number: 04-148-5301	Staff 4%
Animal Assurance Number: A3485-01	Qualified Tuition Reduction See current ORSO Budget
AAALAC Accreditation Date: 02/25/10	Estimated Benefit Rates Templates
Office of Campus Vet Number: 509-335-6246	Facilities and Administrative Cost Rates (All rates are MTDC)
Human Subjects Assurance Number: FWA00002946	Cognizant Agency: Health & Human Services (Helen Fung, 415-437-
Misconduct in Science Assurance File Date: 1/13/92	7820)
PHS Entity Number: 1-916001108	Agreement Date: 12/9/2015;

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ORSO

Important Websites/Resources

http://orso.or.wsu.edu/
- RAC list, quick guide, policies, guidelines, templates, etc.

https://myresearch.wsu.edu
- ORSO Database

www.grants.gov; https://www.fastlane.nsf.gov/fastlane.jsp
- Federal generic proposal submission sites

informer.or.wsu.edu
- funding opportunities

www.youtube.com/user/WSUOGRD
- Grant & funding tips for the greater WSU community

http://www.facebook.com/pages/Office-Grant-Research-Development-OGRD-WSU/185924391445269?ref=hl
- Find us on Facebook

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SPS

Office of
Sponsored Programs Services
Post-Award

SPS's Role As WSU Post Award Office

- Provide fiscal administration.
- Educate and train.
- Establish accounts and input budget allocations.
- Maintain data systems and project files.
- Prepare, submit & record financial reports & associated payments.
- Subcontract payments.
- Periodically notifying departments of overdrafts.
- Draw funds from federal government, prepare receipts for checks and electronic funds transfers.

Award & Sub-Contract Set-up

- Reviews Award for Key Terms and Conditions

- Creates Billing Instructions; Records Award Information for Tracking & Reporting

- Establishes Accounts in Databases; Activates Account Number

Guarantees

- Executed Award or Amendment Not Received

- Request on a Sponsored Project Activity Request Form
  (BPPM 40.23.10)

- SPS will remove GUAR after receiving Executed Award

Invoicing & Reporting

- **Works with department to create monthly, quarterly, final invoices, financial status reports**

- **Monitors Sub-Recipient payments and process payment**

- **Track Cost Share & Reporting**

Review Process

- **Review of expenditures for allowable, reasonable, allocable and consistent treatment**

- **Approves and Processes SPAR's, EEA's, ETR's, Grad Student Support Memos**

Closing

- Coordinate for final invoicing/reports
- Review of the requirements within Federal, Sponsor, and University Policy/Regulations
- Final Financial & Invention Reports, etc
- Closing of Accounts
- Time Extensions: Only if scope of work is unfinished, NOT because there is money left over to spend
- Clear overdrafts
- Zero Objects/De-obligations
- Close Account **w/in 90 days**

That's all Folks!

Ready to Close

OBJECT	BUDGET	EXPENDITURES	ENCUMBRANCES	BALANCE	PCT
00 SALARIES	52440.58	52440.58	0.00	0.00	100
01 WAGES	2807.04	2807.04	0.00	0.00	100
03 GOODS,SERVC	12937.13	12937.13	0.00	0.00	100
04 TRAVEL	4939.01	4939.01	0.00	0.00	100
07 BENEFITS	17241.91	17241.91	0.00	0.00	100
08 GRANTS	975.00	975.00	0.00	0.00	100
13 OVERHEAD	74175.48	74175.48	0.00	0.00	100
PROJECT TOTAL:	165516.15	165516.15	0.00	0.00	100

	ESTIMATE	REVENUE		VARIANCE	PCT
99 REVENUE	165516.15	165516.15		0.00	100

SPS Updates

- F&A Rates
- Stipends / Fellowship Payments
- Subrecipient Monitoring
- Cost Transfers
- Effort Reporting

SPS Website

- http://sps.wsu.edu/
  - Contact information
  - Expenditure Information in various formats

ORA

Office of
Research Assurances

RESEARCH ASSURANCE

- **Law & Regulation Compliance**
  - Monitors Export Controls
  - Hazardous Waste & shipment
  - Use of Humans & Animals for Research
  - Radiation Safety
  - Environmental Health and Safety
  - Conflict of Interest
- **Creates Policies**
  - For research use of humans & animals
- **Post Award Approval Review (PAR)**
  - Assists with compliance
- **Conducts Committees**
  - Institutional Bio-safety Committee (IBC)
  - Institutional Animal Care and Use Committee (IACUC)
  - International Biosafety (IBC)
- **For Researchers**
  - Resolves possible research misconduct

WHEN MIGHT SFI/COI APPLY TO A FACULTY MEMBER?

- Engaging in intellectual property activities
  - Office of Commercialization
- Engaging in Sponsored Agreements, Subcontracts, or Facility Use Agreements, where you are an owner of a company working with WSU
- Grants from Public Health Services and Adopting Sponsor Grants (HHS/PHS)
  - Significant Financial Interest
  - Outside salary and payments for service (overlap with institutional responsibilities)
  - Consulting, working at start up company, Membership on advisory board, etc.
- Equity interest (overlap)
- Third Party Sponsored travel
- Gifts
  - A gift of greater than $50 from an outside entity is a significant financial interest;
- Family connected to activities above

OC

Office of
Commercialization

OC Purpose

-Supports, nurtures, guides, sustains commercialization efforts for the University

- Process disclosures of Inventions
- Assists with Patents, Copyrights, Plant variety protection, Trademarks
- Assists with protection of trade secrets and knowhow
- Licensing and start-up company development
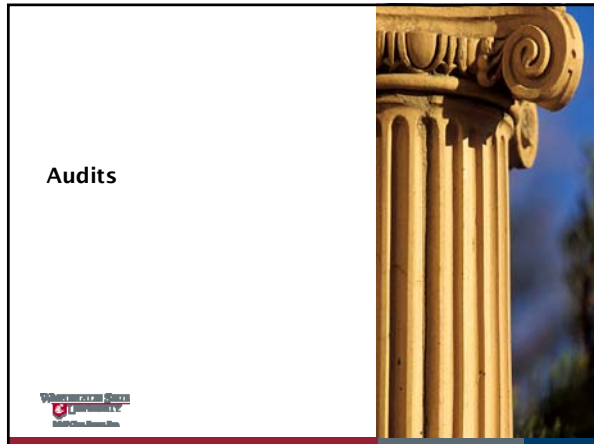- Signs Confidentiality disclosure agreement with agency/company

Audits

Purpose of Audits

- Required
- By accepting federal money, grantee agrees to comply with rules
- Grantor has an expectation for
  - Accountability
  - Proper stewardship
  - Terms carried out – results, product, service, etc.

Role of WSU Internal Audit

- Act as liaison between WSU and external auditor
  - With SPS and unit, ensure information requested is provided complete and accurate to support conclusions
  - Work with auditor on reporting
- Internal advisory for management on controls, policy, training
- Audits and investigations

Types of Audits

- Compliance
  - Circular A-133, 'Single Audit'
  - Program reviews
- Financial Statement
- Operational
  - Reviews
  - assessments
- Investigations

Effects of a Negative Audit Report

- Loss of future awards
- Bad publicity
- Potential undermining of public trust and confidence in agency and government
- Personal losses

Audit reminders

- When approached by external auditor:
  - Always verify auditor's credentials before giving information
  - Notify supervisor and SPS
  - Notify Internal Audit

- Be prepared
- Be organized
- Do it right the first time
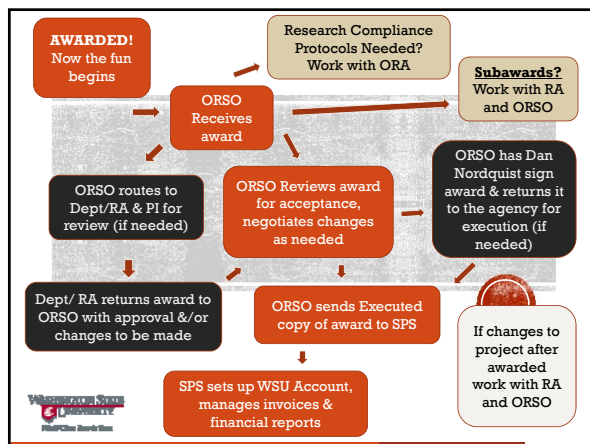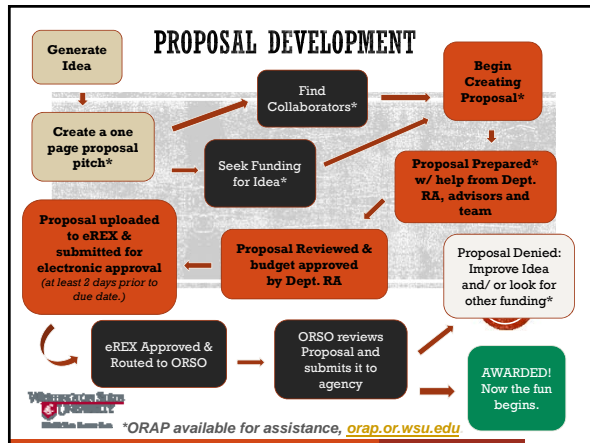
Resources

- WSU Sponsored Programs Services
- WSU Office of Research Support & Operations
- Internal Audit – 5-5336, hlopez@wsu.edu
- OMB Circulars - http://www.whitehouse.gov/omb/circulars/
- SAO – http://www.sao.wa.gov
- Uniform Guidance –
  https://www.whitehouse.gov/omb/grants_docs
- Office of Research Assurances www.ora.wsu.edu
- Office of Commercialization http://commercialization.wsu.edu/Contacts/

This has been a WSU Training Videoconference

If you wish to have your attendance documented in your training history, please notify Human Resource Services within three days of today's date:

hrstraining@wsu.edu

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