WSU Research Administration Series: Life Cycle of a Sponsored Project
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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
- Pre-Proposal Development
- Conducts Writing Classes

ORSO
Office of Research Support & Operations
- Proposal & Award Processing
- Drafts/negotiates contracts
- Prepares/Reviews Budgets
- Review/submit proposals
- Coordinate with SPS for change requests & allocations

SPS
Office of Sponsored Programs Services
- Award Setup
- Coding, budget allocation
- Activates accounts

OC
Office of Commercialization
- Invoicing/Reporting
- Cost share
- Reports, statements

ORIA
Office of Research Assurances
- Law & Regulation
- Compliance/Policy
- Export controls (IBC)
- Hazardous waste & shipment, radiation (IRC)
- Use of human & animals for research (IACUC)
- Reviews proposed research project

OIA
Office of Internal Audit
- Financial Audits
- Internal financial audits
- Compliance Audits
- Pre-award compliance
- Complete Risk Evaluation
- Unaudited Cost Reviews

Support Guidance

ORO
Office of Research Assurance
- Post Award Approval/Review
- Audits with compliance
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

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

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
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)

Important Websites/Resources

http://orso.or.wsu.edu/
- RAC list, quick guide, policies, guidelines, templates, etc.
https://myresearch.wsu.edu
- ORSO Database
- Federal generic proposal submission sites
informer.or.wsu.edu
- funding opportunities
www.youtube.com/user/WSUOGRD
- Grant & funding tips for the greater WSU community
- Find us on Facebook
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

Ready to Close

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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
  - Human Research Compliance
  - Radiologic Safety
  - Environmental Health and Safety
  - Certificates of Interest
- Animal Policies
  - Use of Research Animals
- Post Award, Regulatory Review (PAR)
- Assist with Compliance
- Conflicts of Commitment
  - Institutional Review Board (IRB)
  - Institutional Animal Care and Use Committee (IACUC)
  - International Licenses (ILE)
- For Researchers
  - Identify, 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 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 - S-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/qrants_docs
- Office of Research Assurances www.ora.wsu.edu
- Office of Commercialization - http://commercialization.wsu.edu/Contacts/

PROPOSAL DEVELOPMENT

Generate Idea

Create a one page proposal pitch*

Proposal uploaded to eREX & submitted for electronic approval (at least 5 days prior to the due date)

Proposal Reviewed & budget approved by Dept. RA

Proposal Prepared* w/ help from Dept. RA, advisors and team

Real Funding for Idea*

Find Collaborators*

Begin Creating Proposal*

ORSO reviews Proposal and submit it to agency

AWARDED! Proposal Denied: Improve Idea and/or look for other funding*

ORSO approves & routed to ORSO

AWARDED: Now the fun begins.

ORSO Receives award

Research Compliance Protocols Needed? Work with ORA

Dept/ RA returns award to ORSO with approval &/or changes to be made

ORSO Reviews award for acceptance, negotiates changes as needed

Subawards? Work with RA and ORSO

ORSO sends Executed copy of award to IPS

If changes to project after awarded work with RA and ORSO

ORSO has Dan Nordquist sign award & returns it to the agency for execution (if needed)

IPS sets up WSU Account, manages invoices & financial reports

AWARDED! Now the fun begins.

AWARDED! Now the fun begins.
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