

**WSU Research Administration Series:
Life Cycle of a Sponsored Project**


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September 14, 2017



**Recording date of this workshop is
September 14, 2017**

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 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:

- Office of Research Advancement & Partnerships
- Office of Research Support & Operations
- Sponsored Programs Services
- Office of Research Assurances
- Office of Commercialization
- Internal Audits



SPONSORED RESEARCH DIRECT GUIDANCE

<p style="text-align: center;">ORAP Office of Research Advancement & Partnerships</p> <p><u>Pre-Proposal Development</u></p> <ul style="list-style-type: none"> ▪ Locates Funding Sources ▪ Conducts Writing Classes <p><u>Proposal Development</u></p> <ul style="list-style-type: none"> ▪ Provides proposal writing assistance/classes ▪ Budget assistance 	<p style="text-align: center;">ORSO Office of Research Support & Operations</p> <p><u>Proposal & Award Processing</u></p> <ul style="list-style-type: none"> ▪ Drafts/negotiates contracts ▪ Prepares/Reviews Budgets ▪ Review/submit proposals ▪ Coordinate w/SPS for change requests & allocations ▪ PI dashboard <p><u>Confidentiality/Material Transfers</u></p> <ul style="list-style-type: none"> ▪ Obtains non-disclosure agreements ▪ Handles material transfer agreements ▪ No money, licensing, equipment agreements 	<p style="text-align: center;">SPS Office of Sponsored Programs Services</p> <p><u>Award Setup</u></p> <ul style="list-style-type: none"> ▪ Coding, budget allocation ▪ Activates accounts <p><u>Invoicing/Reporting</u></p> <ul style="list-style-type: none"> ▪ Invoicing Reports ▪ Cost share ▪ Reports Program Income <p><u>Payment Processing</u></p> <ul style="list-style-type: none"> ▪ Receipt payments ▪ Subcontract Invoices <p><u>Account Closing</u></p> <ul style="list-style-type: none"> ▪ FFR, invention, property reports ▪ Inactivation <p><u>Sub-Recipient Monitoring</u></p> <ul style="list-style-type: none"> ▪ Submits FFATA reporting ▪ Assists with Sub-recipient compliance
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SPONSORED RESEARCH Support Guidance

<p style="text-align: center;">ORA Office of Research Assurance</p> <p><u>Law & Regulation Compliance/Policy</u></p> <ul style="list-style-type: none"> ▪ Export controls (IBC) ▪ hazardous waste & shipment, radiation (IRC) ▪ Use of humans & animals for research (IACUC) ▪ Reviews possible research misconduct <p><u>Post Award Approval Review (PAR)</u></p> <ul style="list-style-type: none"> ▪ Assists with compliance 	<p style="text-align: center;">OC Office of Commercialization</p> <p><u>Submits Applications</u></p> <ul style="list-style-type: none"> ▪ Invention Disclosures ▪ Patent, Copyright, Trademarks <p><u>Assists with Protection</u></p> <ul style="list-style-type: none"> ▪ Scholarly & Educational Material ▪ Intellectual Property ▪ Technology Transfer 	<p style="text-align: center;">OIA Office of Internal Audit</p> <p><u>Audits</u></p> <ul style="list-style-type: none"> ▪ Conducts Internal financial audits ▪ Ethic Audits ▪ Operational Audits ▪ Fraud Investigations ▪ Completes Risk Evaluations ▪ Unannounced Cash counts <p><u>Control Systems</u></p> <ul style="list-style-type: none"> ▪ Develops Control Systems ▪ Creates Policies & Procedures <p><u>Audit Liaison</u></p> <ul style="list-style-type: none"> ▪ Assists departments with internal controls ▪ Acts as Liaison between departments, external auditors ▪ Attends auditors entrance & exit meetings
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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

- Grant writing seminars
- Mentored Proposal Writing Program
- Proposal writing classes



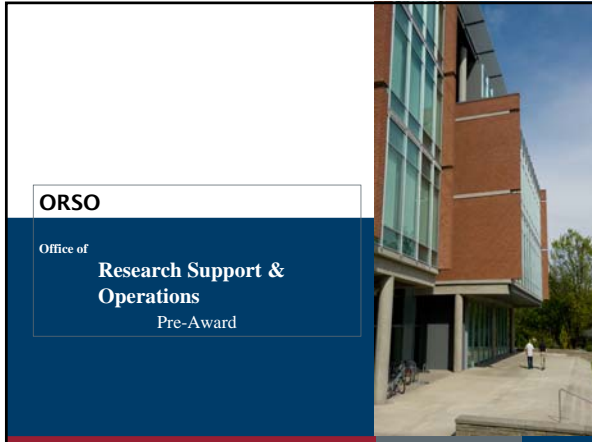
Grant Writing Resources

- Library of resources

Outreach & Collaboration Building Activities

- Workshops, seminars, focus groups and state-wide outreach activities
- Coordinate Faculty Seed grant competitions

Departmental Perspective: Encourage faculty to seek out ORAP services and training - some may not be aware



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 & submission of final proposal, budget
- Tracking & monitoring of proposal



Departmental Perspective: Teamwork at this stage is essential. ORSO coordinator is your ally. Encourage faculty to understand what ORSO brings to the table and how they help, not hinder, the process.

Process Awards, Contracts and Agreements

- Prepare & execute Standard Agreements & Contracts
- Review, negotiate & accept Contracts and Awards
- Draft various subawards, agreements & contracts
- Review and accept Material transfer, non-disclosure, no-money, data set & equipment loan agreements, negotiate as needed

Departmental Perspective: The award stage can be as deadline driven as the proposal process – always include ORSO in any correspondence when working with the awarding agency and help your faculty get into this habit as well!

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ORSO

Proposal and Award Processing

Monitor and manage sponsored project activity

- Work with sponsor on change requests
- Work with SPS and sponsor on award changes
- Help with additional materials

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

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

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ORSO

ORSO Updates

Cool Stuff

- 2,882 proposals totaling \$1.002B (FY17)
- 1,793 awards totaling \$208.3M (FY17)
- 40,927 log items inside the MyResearch grants database

Strategic Initiative Implementation

- Drive to 25
- 120-Day Study
- WSU Strategic Plan (Effectiveness Council - Theme 1)
- Other OR initiatives & committees

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

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ORSO

Important Websites/Resources

ORSO QUICK GUIDE
Room 200 Light, PO Box 34200, Pullman, WA 99164-2200
Phone: 509-335-9661 FAX: 509-335-5876 Email: orso@wsu.edu
Dan Nordquist, AVP/Director & Authorized Signatory

Important Numbers	Budget Information
HR ID Number: 91-4001108 CAGE Code: 0RE19 OIG# Number: 04-148-1301 Annual Assurance Number: A3483-01 AAALAC Accreditation Date: 02/25/10 Office of Campus Vet Number: 509-337-8246 Human Subjects Assurance Number: 19A30002348 Misconduct in Science Assurance File Date: 1/13/92 PHS Entity Number: 1-914001108	Estimated Salary Increases as of July 1 of each year: Faculty, Post Docs, and Res. Ass. 4% Staff 4% Qualified Tuition Reduction (See current ORSO Award Template) Estimated Benefit Rates Facilities and Administrative Cost Rates (AFAC) (see www.wfmc.org) Submitting Agency: Health & Human Services (Helen Fung, 415-437-7630) 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

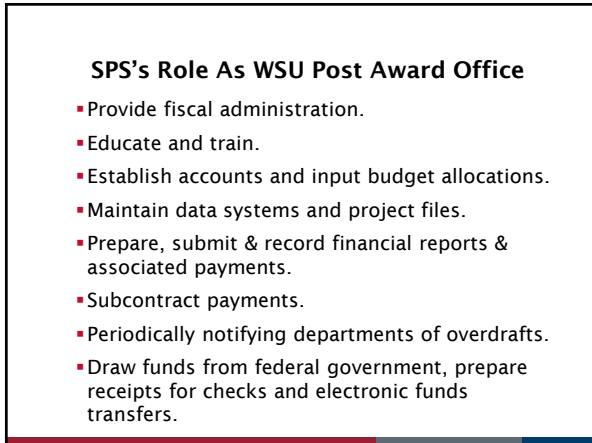
- funding opportunities

www.youtube.com/user/WSUOGRD

- Grant & funding tips for the greater WSU community

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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

Departmental Perspective: Get to know the analyst's handling your accounts - teamwork here is essential to successfully managed budgets.



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

Departmental Perspective: When in doubt consult your SPS analyst!



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



Departmental Perspective: Start Early!
 If accounts are managed properly - closing is a snap!

WASHINGTON STATE UNIVERSITY
 World Class. Race to Rise.

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

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SPS Updates

- Invoicing Tool
- JIRA
 - ETR's
 - Sub invoices
 - Awards
- 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**
 - Biosafety Export Controls
 - Bioscience Waste & shipment
 - Use of Humans & Animals for Research
 - Radiation Safety
 - Environmental Health and Safety
 - Conflict of Interest
- ▶ **Create Policies**
 - For research use of humans & animals
- ▶ **Post Award Approval Review (PAR)**
 - Assist with compliance
- ▶ **Conducts Committees**
 - Institutional Bio-safety Committee (IBC)
 - Institutional Animal Care and Use Committee (IACUC)
 - International Biosafety (IBS)
- ▶ **For Researchers**
 - Resolves possible research misconduct

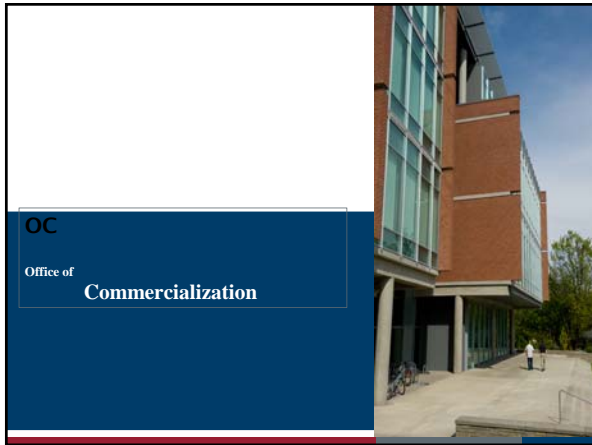


Washington State University

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

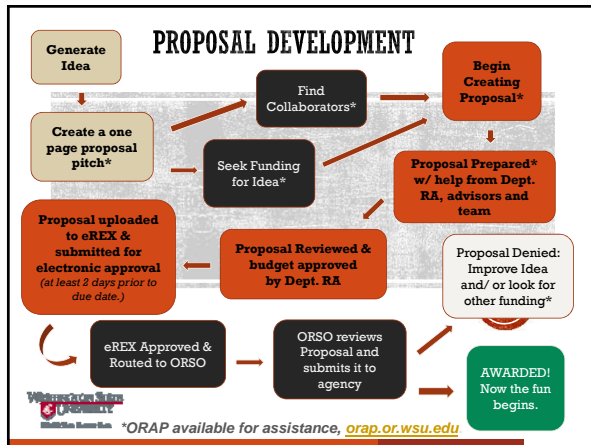
Audit reminders

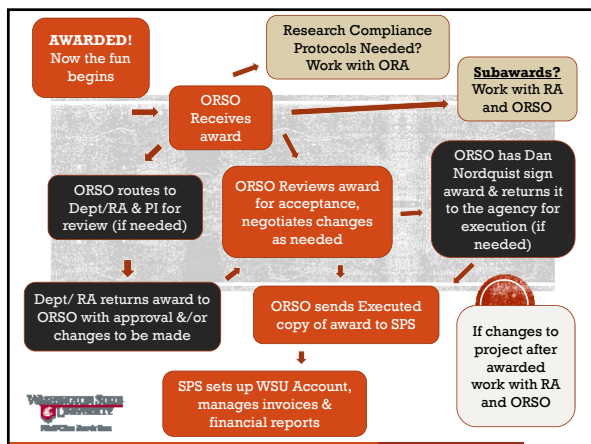
- When approached by external auditor:
 - Always verify auditor's credentials before giving information
 - Notify supervisor and SPS
 - Notify Internal Audit
- Be prepared
- Be organized
- Do it right the first time

Departmental Perspective: Audits should be considered another tool in successful award management rather than something to be feared.

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