WSU Research Administration Series: Life Cycle of a Sponsored Project
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Kim Small, Sponsored Program Services
Jeannine Burke, Energy Systems Innovation Center
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

ORAP
Office of Research Advancement & Partnerships
Pre-Proposal Development
- Conducts Writing Classes
Proposal Development
- Provides proposal writing assistance/classes
- Budget assistance

ORSO
Office of Research Support & Operations
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

SPS
Office of Sponsored Programs Services
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

SPONSORED RESEARCH
Support Guidance

ORA
Office of Research Assurance
In & Ex-Research
- Export controls (IBC)
- Hazardous waste & shipment, radiation (IRC)
- Use of Humans & animals for research (IACUC)
- Reviews possible research misconduct
Post Award Approval/Review
- Adheres with compliance

OC
Office of Commercialization
In & Ex-Research
- Licensing, Trademarks
- Acquisitions
- Patent, Copyright, Trademarks
Assists with Protection
- Technology Transfer

OIA
Office of Internal Audit
In & Ex-Research
- Financial Audits
- Internal Audits
- Compliance Risk Evaluations
- Unaudited Cost Incurred
Internal Accounting
- Activities/Operations
- Compliance Policies & Procedures
Post Award
- Reviews projects with internal control
- Team meets with external auditors
- Assists with internal audit
- Adheres with compliance and internal controls
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
- 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

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!

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’s Faculty Manual

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

Important Websites/Resources

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

*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!

Ready to Close

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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
  - Monitoring 
  - Environmental 
  - Radiation Safety
- Animal Use
- Research Exeeption
- Post-Employment Review (PER)
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- Pre-Employee Review (PER)
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

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/egrants 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*

Find Collaborators*

Seek Funding for Idea*

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

Proposal Reviewed & budget approved by Dept. RA

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

eREX Approved & Routed to ORSO

AWARDED! Now the fun begins.

Research Compliance Protocols Needed? Work with ORA

Subawards? Work with RA and ORSO

ORSO receives award

ORSO routes to Dept/RA & PI for review (if needed)

ORSO reviews & submits to agency

ORSO sends Executed copy of award to IPS

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

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)

ORSO has Review of award & return to the agency

SPS sets up WSU Account, manages invoices & financial reports

AWARDED! Now the fun begins.

Proposal Denied: Improve idea &/or look for other funding*
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

This has been a WSU Training Videoconference