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
- Post Process Management
- Locates Funding Sources
- Convenes Writing Classes
- Proposal Development
  - Provides proposal writing assistance
  - Budget assistance

**ORSO**
Office of Research Support & Operations
- Proposal Development
  - Locates Funding Sources
  - Conducts Writing Classes
- Proposal Assistance
  - Conducts NRIs for change requests & allocations
- Budget Assistance
  - Conducts non-disclosure agreements
  - Handles material transfer agreements
  - Handles research, equipment agreements

**SPS**
Office of Sponsored Programs Services
- Support Services
  - Drafts/negotiates contracts
  - Prepares/Reviews Budgets
  - Reviews/submit proposals
  - Coordinate with 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

- Sub-Recipient Monitoring
  - Submits FFATA reporting
  - Assists with Sub-recipient compliance

Support Guidance

**ORQA**
Office of Research Assurance
- Law & Regulation
  - Export controls (BCI)
  - Hazardous waste & shipment
  - Radiation (IRC)
  - Animal Health & Animals for research (SAUC)
  - Reviews possible research misconduct

- Post Award Approval/Review
  - Assists with compliance

**OC**
Office of Commercialization
- Submit Applications
  - Patent, Copyright, Trademarks
- Alumni and Internship
  - Intellectual Property
  - Technology Transfer

**OIA**
Office of Internal Audit
- Audit
  - Ensures internal financial audits
  - Budgets
  - Comprehensive audits
  - Financial investigated
  - Compliance, risk & evaluation
  - Management Code reviews
- Audits
  - Conducts internal financial audits
  - Ensures internal financial audits
  - Compliance, risk & evaluation
  - Management Code reviews
  - Financial investigated

- Audit Liaison
  - Acts as liaison between departments, external auditors
  - Attends auditor 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
- 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
- 2,737 proposals totaling $907M
- 1,691 awards totaling $225M
- 43,910 new 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

ORSO

https://orso.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/WSUDGCRD
  - 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

<table>
<thead>
<tr>
<th>OBJECT</th>
<th>BUDGET</th>
<th>EXPENDITURES</th>
<th>ENCUMBRANCES</th>
<th>BALANCE</th>
<th>PCT</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 LANDSCAPES</td>
<td>52460.00</td>
<td>52460.00</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
<tr>
<td>11 WOOL</td>
<td>2407.04</td>
<td>2407.04</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
<tr>
<td>13 GOODS, SUPPLIES</td>
<td>1227.13</td>
<td>1227.13</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
<tr>
<td>14 TRAVEL</td>
<td>4939.00</td>
<td>4939.00</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
<tr>
<td>15 TRYHDS</td>
<td>17446.96</td>
<td>17446.96</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
<tr>
<td>16 GRANTS</td>
<td>765.00</td>
<td>765.00</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
<tr>
<td>17 OVERHEAD</td>
<td>74195.48</td>
<td>74195.48</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
<tr>
<td>TOTAL</td>
<td>105516.15</td>
<td>105516.15</td>
<td>0.00</td>
<td>0.00</td>
<td>100</td>
</tr>
</tbody>
</table>

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
**ORAS**
Office of Research Assurances

**Research Assurance**
- Law & Regulation Compliance
  - Monitor 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/COS 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/
PROPOSAL DEVELOPMENT

Generate Idea

Create a one page proposal pitch*

Find Collaborators*

Seek Funding for Idea*

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

Proposal Reviewed & budget approved by Dept. RA

Proposal uploaded to eREX & submitted for electronic approval (at least 2 days prior to due date.)

eREX Approved & Routed to ORSO

ORSO reviews Proposal and submits it to agency

ORSO returns Proposal and submits it to agency

AWARDED! Now the fun begins.

AWARDED! Now the fun begins.

Generate Idea

Research Compliance Protocols Needed? Work with ORA

Subawards? Work with RA and ORSO

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

ORSO Reviews award for acceptance, negotiates changes as needed

ORSO sends Executed copy of award to SPS

SPS sets up WSU Account, manages invoices & financial reports

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)

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

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