

WASHINGTON STATE UNIVERSITY

Award Administration Part Two: Management of Grants

Presented by:
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Updated Dec. 2019

Recording date of this workshop is
Dec. 4th, 2019

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.

WHERE ARE WE?

Graphic source: University of Michigan Website



Post-Award Review

- Department Review
- Sponsored Programs Services (SPS) Review


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Award Management Responsibilities

- Department and SPS:
 - Expenses are Allowable
 - F&A Expense Review
 - Coordinate Invoicing
 - Reporting Cost Share Obligation is Met
 - Approving Subcontract Invoices
 - PI Technical Reports
 - Office of Commercialization handles Patent Filings
 - Monitor Property/Equipment per University Guidelines

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The Storyline:

Emilie is working with Principal Investigator, Dr. Pat Researcher, who received notification that WSU will be awarded a new NIH agreement for the performance period 1/1/20-12/31/20.

The PI is anxious to start the project prior to the 1/1/20 start date, and Emilie will start the process.

What form needs to be completed to setup an account so that the project can start before the agreement arrives?

[illegible]

Example 1

SPONSORED PROJECT ACTIVITY REQUEST (Page 11 of 14)

Project Number: 0000000000
 Date Received: 3/20/08
 Project Name: Cottage of Ag
 Project Address: 12345 Main St, Anytown, CA 90210
 Project Phone: (555) 123-4567
 Project Email: info@cottageofag.com
 Project Website: www.cottageofag.com
 Project Description: A small-scale agricultural project for educational purposes.
 Project Status: ☒ Active ☐ Pending ☐ Completed
 Project Funding: ☒ Funded ☐ Unfunded
 Project Budget: \$10,000.00
 Project Date: 03/21/11
 Project Manager: John Doe
 Project Contact: Jane Smith
 Project Notes: This is a request to fund a project for educational purposes.

[illegible]

- Is the account federal flow through?
- Is the account research or non research?
- Where will the work be conducted--on campus or off campus?
- Is pre-award allowed by the sponsor without prior approval?
- The guarantee holds the department responsible for the expenditures in the event that WSU does not receive an executed agreement.


[illegible]

Research or Conference Account Request (RCAR)

BPPM 40.07

New Subaccount

See Example #2



RCAR

- Used to set up a new: (submit to ORSO first)
 - Self Sponsored Research Account
 - Conference Account
 - Program Income Account
 - Subaccount under an Existing Award
 - Blanket Research Account
 - Graduate Education Account
 - Fixed Price Consolidation Account

Subcontract Forms (ORSO Website)

See example #3
Initiation
form posted on the ORSO website
under Forms & Templates

See example #4
Change (online submission)
myresearch.wsu.edu → grants → sub-
contracts → subcontract change




Subcontract Initiation and Change Form

- Initiation Form:
 - SOW, budget, budget justification required
 - Include any cost share (uncommon)
 - Where is the subcontract allocation set aside?
 - If the allocation isn't in object 14, SPS will need a SPAR completed to rebudget.
- Change Form:
 - Used to amend current subcontract to provide the next year of funding, no-cost extension, or any other change.
 - Online (easy) submission through the MyResearch database.
 - Budget required for additional funding

Expenditure Transfer Request (ETR) BPPM 30.25

See example #5 (Materials, Supplies, Travel, etc)

Example #5

EXPENDITURE TRANSFER REQUEST

See BPPM 30.25 for instructions.

Requester: (For all transfers involving programs 11-14)

Request: ☐ Program: ☐ Travel: ☐ Other: ☐ (For transfers involving travel, travel to support a program 11-14)

Request: ☐ Program: ☐ Travel: ☐ Other: ☐ (For transfers involving travel, travel to support a program 11-14)

Request: ☐ Program: ☐ Travel: ☐ Other: ☐ (For all other transfers)

Line	Item	Qty	Unit	Price	Total	Object	Account	Source	Destination	Comments
1	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
2	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
3	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
4	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
5	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
6	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
7	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
8	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
9	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
10	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
11	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
12	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
13	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
14	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
15	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
16	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
17	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
18	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
19	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
20	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
21	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
22	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
23	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
24	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
25	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
26	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
27	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
28	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
29	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
30	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
31	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
32	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
33	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
34	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
35	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
36	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
37	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
38	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
39	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
40	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
41	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
42	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
43	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
44	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
45	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
46	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
47	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
48	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
49	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
50	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
51	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
52	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
53	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
54	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
55	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
56	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
57	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
58	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
59	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
60	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
61	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
62	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
63	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
64	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
65	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
66	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
67	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
68	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
69	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
70	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
71	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
72	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
73	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
74	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
75	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
76	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
77	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
78	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
79	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
80	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
81	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
82	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
83	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
84	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
85	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
86	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
87	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
88	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
89	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
90	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
91	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
92	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
93	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
94	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
95	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
96	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
97	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
98	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
99	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	
100	Travel	1	Day	100.00	100.00	11-14	11-14	11-14	11-14	

Common Errors on ETRs

- Missing signatures (i.e. effort certification)
- Including wage transfers on same form with non-payroll transfers
- Including wage transfers for more than one employee on the same form
- Failing to include 90 day exception justification

90 Day Deadline & Exception

- SPS must receive the ETR within 90 days of the transaction date of the original charge, or the department will need to request a 90 day exception (BPPM 30.25)
- 90 day exceptions must explain the following:
 - Why the transfer was not initiated within 90 days.
 - What internal control procedures have been implemented to reduce the risk of reoccurrence.

[illegible]

Note 13

- This responsibility includes the following:
 - a. That funds are used only for purposes directly related to the activity supported and that these funds are reasonable, allowable, and allocable as defined in 2 CFR 200.
 - b. That expenditures are consistent with all special terms, conditions, or limitations applicable under the particular grant/contract.
 - c. That expenditures do not exceed the total funds authorized for a given period under the grant or contract. In many cases, the grant or contract may also specify expenditure limits by budget category or line item.

[illegible]

Retroactive EAAs

- Retroactive EAAs involving sponsored accounts require SPS approval and a retroactive justification in the comments section.
- 90 day exception is also required if transferring salaries that meet the criteria.


EAAs –Common Errors

- The end date of the assignment exceeds the end date of the sponsored project.
- Lack of reason for action or comments.

Cash Advance Request


BPPM 40.21

See example #7



Cash Advances


- Cash Advances are only used on Sponsored Programs.
- These are different from Petty Cash Funds and Travel Advances.
- SPS handles Cash Advances. 335-2058 sps@wsu.edu
- Used mostly for field work in remote areas and for subject payments
- Funds are to be used only for the purpose requested and detailed records/receipts are required to clear the advance.
- By signing for the advance, the applicant agrees to properly account for expenditures and also that funds may be withheld from applicant's pay to cover any unaccounted balance.



Questions?

Contact information can be found at www.sps.wsu.edu

WASHINGTON STATE UNIVERSITY



This has been a
WSU Training
Videoconference

If you attended this live training session
and wish to have your attendance
documented in your training history,
please notify Human Resource Services
within 24 hours of today's date:

hrstraining@wsu.edu
