



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

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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.

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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</u> <u>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 Ethics 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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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




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

- 2,583 proposals totaling \$1,014,049,491
- 1,650 awards totaling \$269,559,994
- 46,824 new log items inside the MyResearch grants database

Strategic Goals & Accomplishments

- Workday implementation
- Online, web-based IRB & IACUC systems
- WSU COVID Coordinated Response
- Other OR initiatives & committees

Reporting is HUGE

- Work with Institutional Research to give them all our numbers to determine WSU's national ranking
- eREX revisions to provide Workday and more detailed reporting for PI's

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ORSO

Important Websites/Resources

[Home](#)
[Research & Operations](#)
[Research proposals](#)
[Submit a proposal](#)
[Frequently requested information](#)
[Policies, guidelines, templates](#)
[Forms & templates](#)
[Data security](#)
[Research & publication](#)
[Research administration](#)
[Contact](#)
[MyResearch Grants](#)
[Feedback](#)

Frequently required information

Grant proposals often request the following data

ORSO contact information

Office of Research Support and Operations
 Lighty Student Services Building, Room 280
 PO Box 641060
 Pullman, WA 99164-1060
 509-335-9661
orso@wsu.edu
 Fax: 509-335-0890

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ORSO

Important Websites/Resources

<https://orso.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

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SPS

Office of
Sponsored Programs Services
Post-Award

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



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- 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 – via Workday Create Request functionality (BPPM 40.23.10)
- SPS will remove GUAR after receiving Executed Award

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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, Costing Allocations, Allocation Transfers, 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

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	

SPS Updates

- Effort Reporting – Payroll Certification via Workday
- NIH accounts will be suspended if effort isn't certified within 30 days
- Expect delays right now while SPS is transitioning to Workday


SPS Website

- <http://sps.wsu.edu/>
 - Contact information
 - Expenditure Information in various formats



RESEARCH ASSURANCE


- ▶ **Law & Regulation Compliance**
 - Monitors 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 (IRC)
 - Institutional Animal Care and Use Committee (IACUC)
 - International Biosafety (IBC)
- ▶ **For Researchers**
 - Resolves possible research misconduct



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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



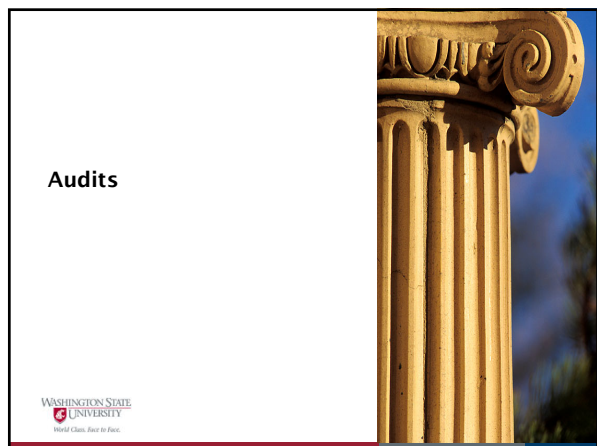


OC Purpose

- 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



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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
 - Single Audit
 - Program reviews
- Financial Statement
- Operational
 - Reviews
 - assessments
- Investigations

Effects of a Negative Audit Report

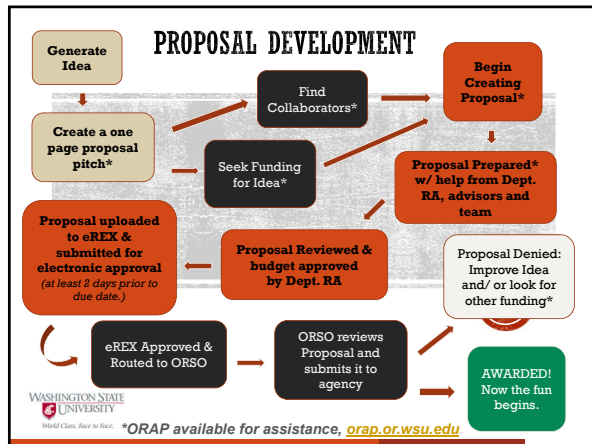
- Loss of future awards
- Bad publicity
- Potential undermining of public trust and confidence in agency and government
- Personal losses

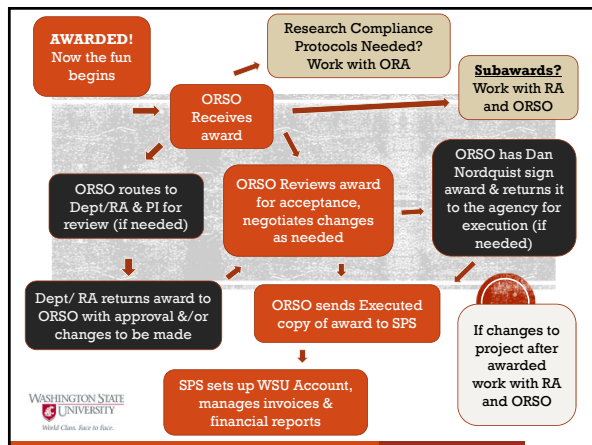
Audit reminders

- 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/>





Washington State University Training Program

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

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