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
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
- 2,583 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
Important Websites/Resources

Frequently required information
Grant proposals often request the following data

ORSO contact information
Office of Research Support and Operations
Libby Student Service Building, Room 206
P. O. Box 436
Pullman, WA 99164-0436
(509) 335-5050
orso@wsu.edu
Fax: (509) 335-4185

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
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 Setup

- Reviews Award for Key Terms and Conditions
- In Workday:
  - Create Billing Schedule
  - Create Award Calendar
  - Capture Award Information for Tracking & Reporting
  - Establish & Assign Award Tasks

Guarantees

- Used when expenses need to be incurred, but a contractual vehicle is not in place yet (i.e. executed award or amendment not yet processed to SPS).
- Allows department to expense from a placeholder award, with a backup cost center identified to guarantee those expenses in the event the award/mod doesn’t ultimately come through.

- Request via Workday’s Create Request business process.
  - RG: https://jira.esg.wsu.edu/servicedesk/customer/kb/view/156963520
  - Please: do not submit a guarantee request if we already have the award/mod.
Invoicing & Reporting

- Using Workday information, SPS accountants work with DRAs to create invoices and reports according to award T&Cs and the Workday billing schedule.
- Enter Supplier Invoices and route to department for approval.
- Reconcile Cost Share & F&A.

Departmental Perspective: Get to know the analyst. Handling your accounts – teamwork here is essential to successfully managed budgets.

Review Process

- SPS accountants spot-check expenditures using the Cost Principles, agency/award T&Cs, and WSU BPPM.
- SPS accountants review PAAs, Journals, GSMs etc. that tag the awards assigned to them.

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

- SPS Resourcing Plan & Staffing Update
- Setup backlog
- Policy changes with Workday implementation
- Effort certification cycles, deadlines
- Returning to the Office

Contact Us

- General Department Contact Info:
  - Phone: (509) 335-2058
  - Website: https://sps.wsu.edu/

- SPS Leadership Team:
  - Casey St.Clair, Director
  - Kim Small, Operations Manager
  - Tyler Howard, Compliance Manager
  - Sandy Jutte, Non-Federal Grants Manager
  - Kim Akin, Federal Grants Manager
ORAS
Office of Research Assurances

RESEARCH ASSURANCE

- Law & Regulation Compliance
  - Monitor Export Controls
  - Hazardous Waste & Disposal
  - Use of Human & Animal for Research
  - Radiation Safety
  - Environmental Health and Safety
  - Conflict of Interest

- Create Policies
  - For research use of humans & animals

- Post Award Approval Review (PARR)
  - Assists with compliance

- Conduct Committees
  - Institutional Bio-safety Committee (IBC)
  - Institutional Animal Care and Use Committee (IACUC)
  - International Bio-safety (IBC)

- For Researchers
  - Resolves possible research misconduct

WHEN MIGHT SFI/C0I 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 startup company, Membership on advisory board, etc.

- Equity interest (overlap)

- Third Party Sponsored travel

- Gifts
  - A gift of greater than $50 from 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
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/
**PROPOSAL DEVELOPMENT**

1. **Generate Idea**
2. **Find Collaborators**
3. **Create a one page proposal pitch**
4. **Seek Funding for Idea**
5. **Proposal Prepared** w/ help from Dept. RA, advisors and team
6. **Proposal Reviewed & budget approved by Dept. RA**
7. **Proposal uploaded to eREX & submitted for electronic approval (at least 2 days prior to due date.)**
8. **eREX Approved & Routed to ORSO**
9. **Department/RA returns award to ORSO with approval & changes to be made**
10. **ORSO Review Award for acceptance, negotiates changes as needed**
11. **ORSO sends Executed copy of award to SPS**
12. **SPS sets up WSU Account, manages invoices & financial reports**

*GRAP available for assistance, grap.or.wsu.edu*

**AWARDED! Now the fun begins.**

- **Research Compliance Protocols Needed? Work with ORA**
- **Subawards? Work with RA and ORSO**
- **ORSO Reviewers award for acceptance, negotiates changes as needed**
- **ORSO has Dan Nordquist sign award & returns it to the agency for execution (if needed)**
- **Dept/RA returns award to ORSO with approval & changes to be made**
- **If changes to project after awarded work with RA and ORSO**

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This has been a WSU Training Videoconference

Your training completion will be reflected in your Learning Transcript. Access your training record at: www.hrs.wsu.edu/skillsoft

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10/12/2021