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**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

ORAP
Office of Research Advancement & Partnerships

Pre-Proposal Development
• Locates Funding Sources
• 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 Setup
• Award, Award Lines, and Grants
• Billing Schedules
• Tasks

Invoicing/Reporting
• Development & Submission
• Cost Share & F&A reconciliation

Cash Management
• Receipting Sponsor payments
• Entering Supplier Invoices

Account Closing
• Workday processes TBD

Post-Award Compliance
• Subrecipient Monitoring, FFATA
• Effort Certification
• BRDPI, BE-125 etc. Reports

SPONSORED RESEARCH
Support Guidance

ORA
Office of Research Assurance

Law & Regulation Compliance/Policy
• Export controls (IBC)
• hazardous waste & shipment, radiation (IRC)
• Use of humans & animals for research (IACUC)
• Reviews possible research misconduct

Post Award Approval Review (PAR)
• Assists with compliance

OC
Office of Commercialization

Submits Applications
• Invention Disclosures
• Patent, Copyright, Trademarks

Assists with Protection
• Scholarly & Educational Material
• Intellectual Property
• Technology Transfer

OIA
Office of Internal Audit

Audits
• Conducts Internal financial audits
• Ethic Audits
• Operational Audits
• Fraud Investigations
• Completes Risk Evaluations
• Unannounced Cash counts

Control Systems
• Develops Control Systems
• Creates Policies & Procedures

Audit Liaison
• Assists departments with internal controls
• Acts as Liaison between departments, external auditors
• Attends auditors 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

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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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Important Websites/Resources

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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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 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's 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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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

- 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

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ORA

Office of
Research Assurances

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

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

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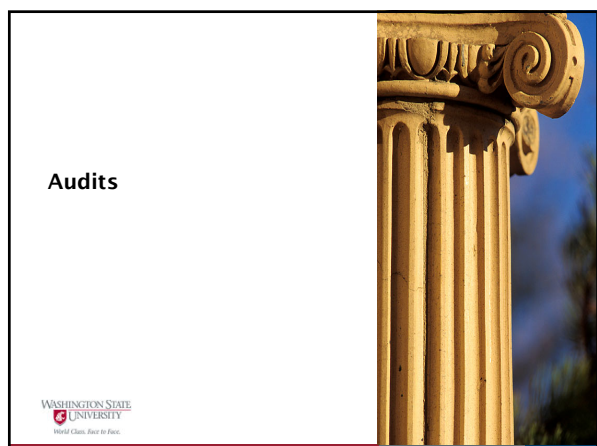
Audits

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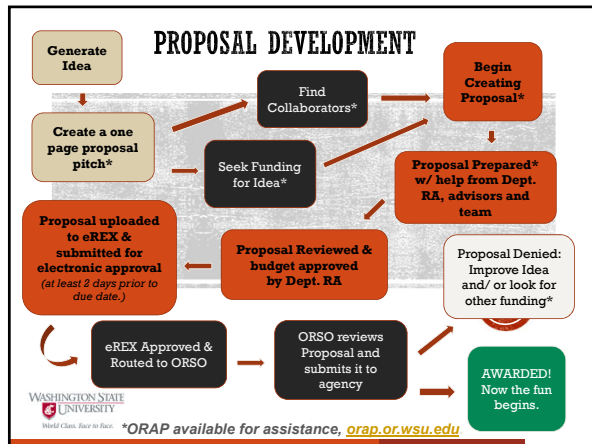- Investigations

Effects of a Negative Audit Report

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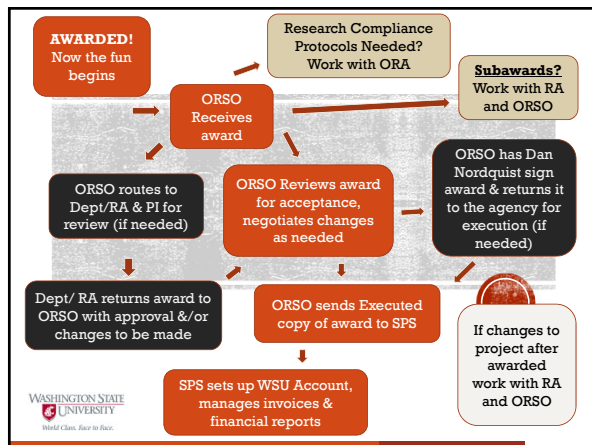- Personal losses

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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

ORAP available for assistance, orap.or.wsu.edu

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