

Pathology and Immunology

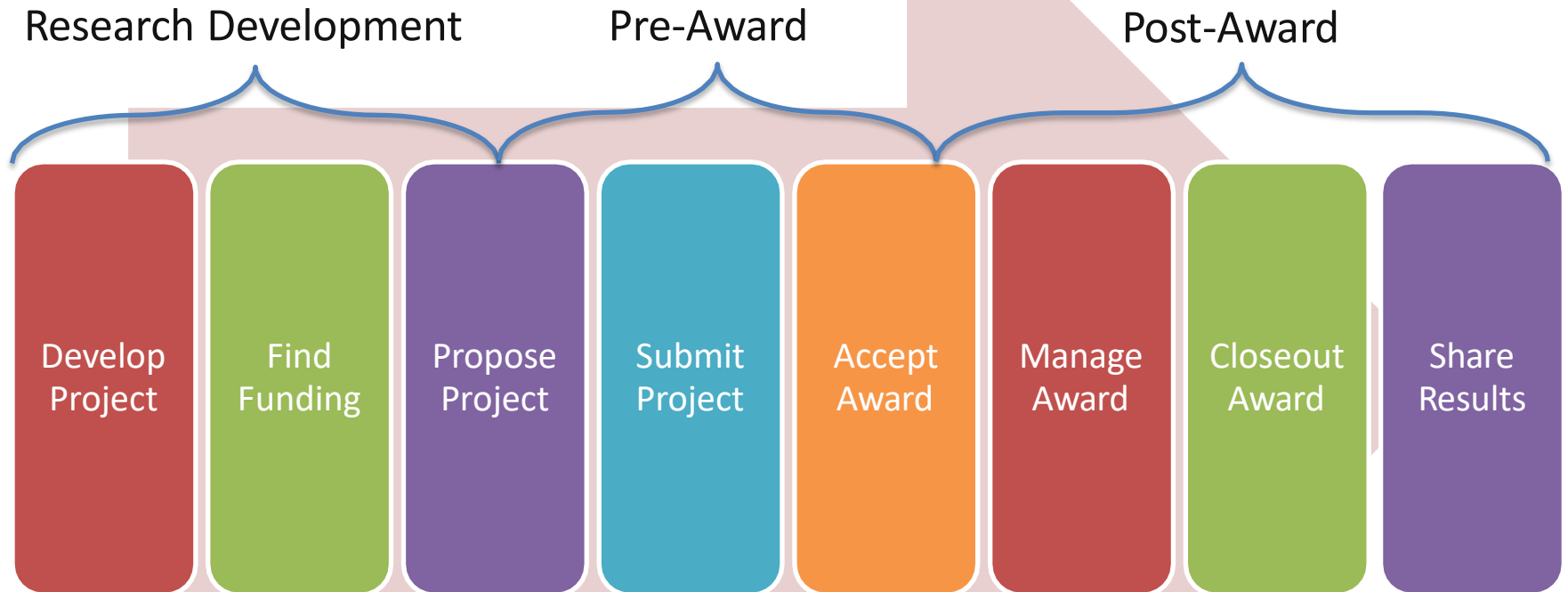
Research Administration



Washington University in St. Louis

SCHOOL OF MEDICINE

Sponsored Research Process

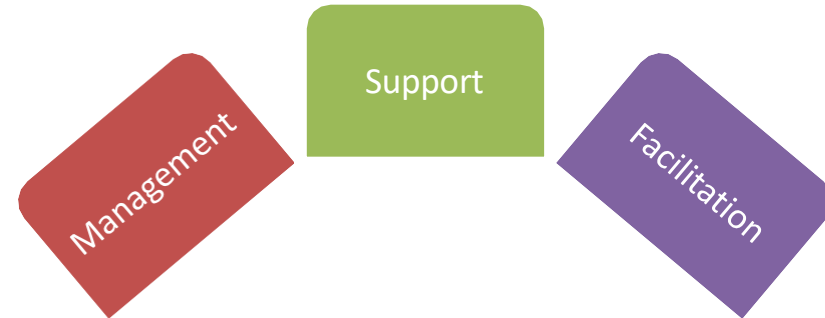


Sponsored Research Roles & Responsibilities

- PI
 - conducts objective research that generates independent, high quality, and reproducible results.
 - responsible for the management and integrity of the design, conduct, and reporting of the research project and for managing, monitoring, and ensuring the integrity of any collaborative relationships.
 - responsible for the direction and oversight of compliance, financial, personnel, and other related aspects of the research project and for coordination with school, department, and central administration personnel to assure research is conducted in accordance with federal regulations and university and sponsoring agency policies and procedures.
- Department or Research Administrator
- Central Offices

<https://research.wustl.edu/about/roles-responsibilities/>

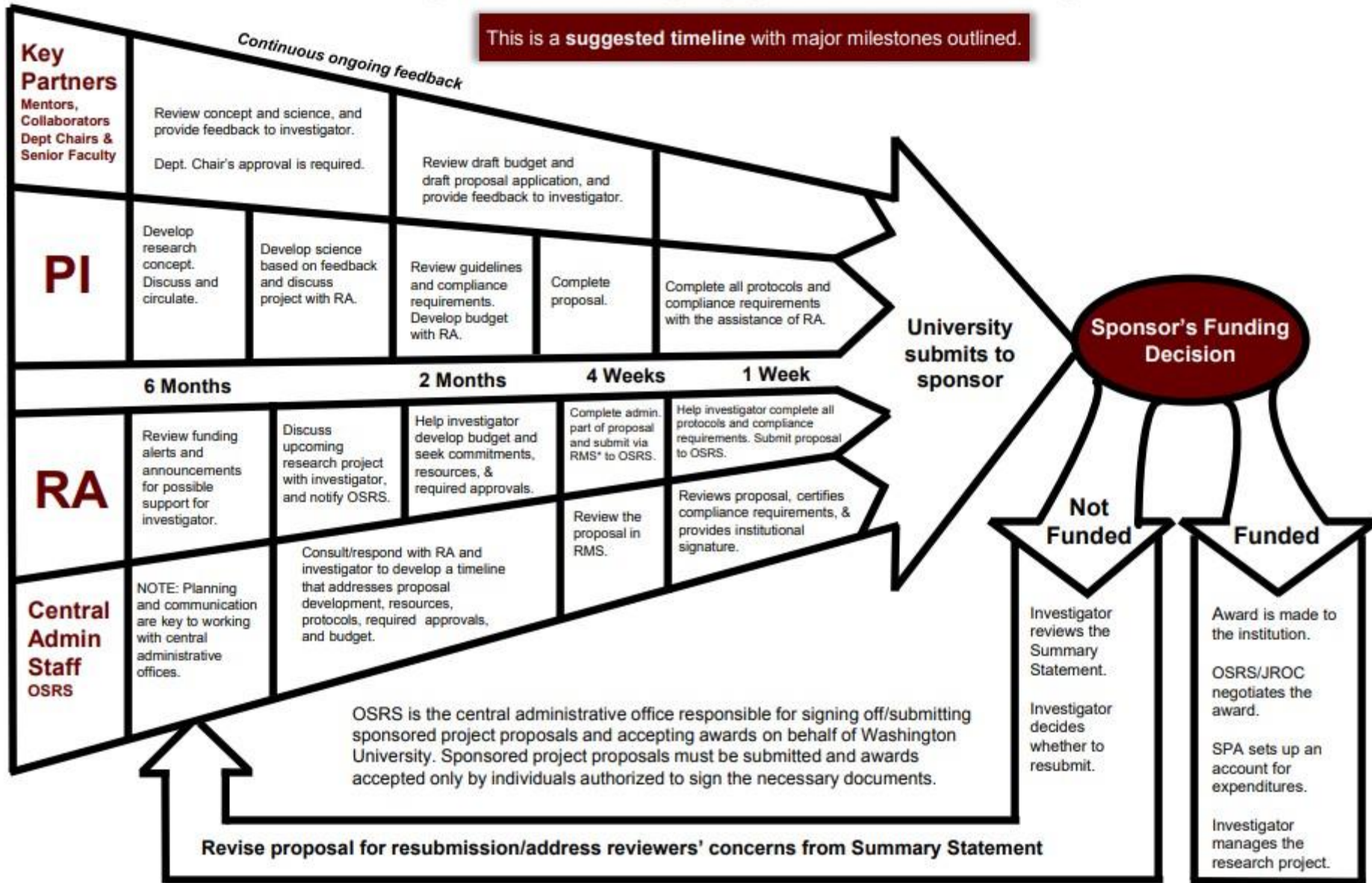
Sponsored Research Roles & Responsibilities



- PI
- Department or Research Administrator (DA/RA)
 - administrative staff that work at the departmental level and coordinate with the department head, PIs, and school, department, and central administration personnel to support and provide guidance on the administration of compliance, financial, personnel, and other related aspects of research projects.
- Central Offices
 - reviews, approves, and provides institutional signature for university-wide proposals, awards, and contracts as these documents relate to sponsored research.
 - monitors compliance with Federal regulations and University, School of Medicine, and sponsoring agency policies and procedures regarding the management of non-financial aspects of sponsored research programs.
 - comprised of one pre-award Sponsored Research Team and one Contract Negotiation Team (with the Center for Clinical Studies). JROC &, OSRS also coordinate export controls and services/licenses as appropriate.

RESEARCH PROPOSAL PREPARATION

This is a suggested timeline with major milestones outlined.



PI = Investigator or Principal Investigator
 RA = Department/Grants/Division/Research Administrators
 OSRS = Office of Sponsored Research Services
 SPA = Sponsored Projects Accounting
 JROC = Joint Research Office for Contracts

*Submit proposal attachments in RMS (e.g., budget, key personnel, compliance info, etc.)

Pre-Award Team



Tracy Goodman



Christne Gatuiria



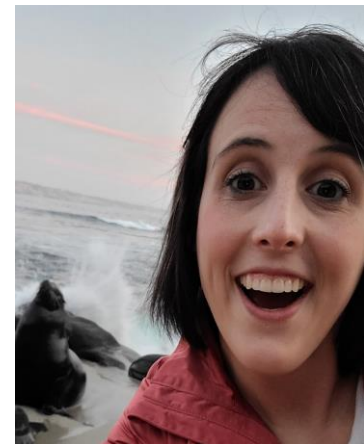
Rachel Guzman



Caroline Goff



Alex Halliday



Karri Steinhauff

Non-technical proposal activities

– DAs/RAs will help you! Contact us early

- Review solicitation, including any pre-proposal requirements
- Create proposal checklist
- Draft and review budget and budget justifications, suggesting changes and language
- Data entry, uploads and routing for internal RMS budget
- Data entry and uploads into sponsor system, research.gov, grants.gov's Workspace, NIH ASSIST, etc.
- Document requests from collaborators/subrecipients
- Liaise with WU central offices, Institute for School Partnership (ISP)
- Coordinate with administrators at partner institutions, including submission of subaward documents for incoming/outgoing subawards
- Generate proposal certification (PC) forms
- Obtain approval signatures
- Complete other administrative forms/drafting administrative letters
- Assist with creating, reviewing and/or compiling compliant PI docs for WU faculty (ie. Biosketch, Current & Pending/Other Support)
- Assist with facilities & equipment, institutional letters, other proposal elements requiring "boilerplate" language
- Review of final proposal documents prior to submission
- Assist with Just-in-Time (JIT) documents, such revised budgets or animal/human protocols

Pre-Award Process

Propose Project

Research/Dept Administrator (RA or DA)

- PI initiates email with solicitation
- DA reads solicitation, involves contracts office as needed
- RA provides checklist of needed info
- RA assists on other **non-technical documents**
- RA drafts budget into Research Management System (**RMS**), required for university approval
- PI & RA review/revise budget
- RA routes budget to the Office of Sponsored Research Services (OSRS) for partial review and budget approval.
- RA routes internal Proposal Certification (PC) forms and any other required internal forms
- RA communicates with OSRS for submission approval

Submit Project

Research/Dept Administrator (RA or DA)

- After OSRS partial review and internal forms are complete, RA routes to OSRS to receive final review and approval to submit
- RA prepares agency forms and uploads documents to agency portal.
- Submit to sponsor, depends on funding opportunity (OSRS, PI, or RA)

Accept Award

Research/Dept Administrator (RA or DA)

- Submit Just-in-time (JIT) documents
- Communicates with Department Administrator (DA) about award details, provides summary of terms
- Completes award set-up form
- Uploads pre-award documents into the SUBS system.
- Initiates subaward
- Sets up Project Activation (PA), if needed for pre-award spending
- Communicates with PI about special terms and conditions
- Determines salary sourcing
- Sets up administrative cost exceptions
- Completes & executes any subawards

Types of Budgets

- Lump sum
- NIH Modular
- Detailed or line-item (NSF)
- Program project or center grants

Types of Costs

- Direct & Indirect
- Allowable & Unallowable
- Cost sharing & Matching
- Out years
 - Escalation factor
 - Year-to-year variations

Budget Tips

The best strategy is to request a reasonable amount of money to do the work, not more or less, because reviewers will:

- Judge whether your request is justified by your aims and methods
- Weigh effort for all senior/key personnel for research proposed
- Consider significant over- or under-estimates as reason for not fully understanding the scope of work
- View it as a blueprint for how the project will be structured and managed

Basic NIH Budget

Name	Project Role	Effort	Base Salary	Salary Requested *	Fringe Benefits	Funds Requested
Dr. Jones	Principal Investigator	15%	\$225,000	\$30,555	\$8,861	\$39,416
			Subtotal:	\$30,555	\$8,861	\$39,416
Materials and Supplies						\$5,000
Subaward/Consortium						\$30,000
Total Direct Costs						\$74,416
Modified Total Direct Costs*						\$69,416
Indirect Costs (F&A @ 55.5%) <i>New rate effective 7/1/2023</i>		*Salary calculated off of the NIH Cap (\$212,100, New Cap 2023) *MTDC – only include first \$25,000 of suba			700) ward	\$39,914
Total Costs						\$114,330

Budget Justification: Personnel

- For each person, include a section about their qualifications and a section about their role on the proposed project.

Dell, Luisa, PhD, (Co-Investigator, 0.6 calendar months, 5% effort). Dr. Dell is an Associate Professor in the Department of Science at Washington University. Dr. Dell's research focuses on ... Her experience in science will greatly benefit this project.

Responsibilities: In collaboration with Dr. Investigator, Dr. Dell will ... She will contribute her wide experience in ... , ensuring that

FAQ: Should I ask for salary escalations in the out years?

Financial Team



Jenni Dickinson



Katie Jobst



Logan Riney



Zach Houston

Post-Award Activities

Manage Award

Research/Dept Administrator (RA or DA)

- Monitors spending levels
- Assists PI with review of budget vs expenditures
- Monitors cost sharing
- Verifies & sources academic and summer salaries
- Sets up project activations
- Sets up project allocations to other WU departments
- Coordinates no cost extensions (NCEs)
- Assists in monitoring subawards and allocations
- Initiates equipment purchases
- Reviews sponsored fund transactions
- Coordinates annual progress reports
- Effort reporting coordinator
- Cost transfers

Closeout Award

Research/Dept Administrator (RA or DA)

- Performs final review of all project expenses
- Transfers unallowable costs
- Clears overdrafts
- Assists with final progress and technical reports
- Follows-up with PI on any patent and property reports

Share Results

Library Staff

- Scholarly communications
- ORCID
- Data Services Team for data curation, sharing, literacy, management, analysis, visualization, and GIS.

Workday Faculty Financial Report

Summary						
Grants	Sponsor	Agency Number	Free Balance	Budget end date	Project end date	Comments
GR00##### Project Title	National Institutes of Health (NIH)	R01 AI00###	\$250,000.00	11/30/2023	11/30/2025	
GR00##### Project Title	BJH Foundation	2023-043	\$75,000.00	6/30/2023	6/30/2023	
GR00##### Project Title	University of ???	UI-0528	\$125,000.00	7/31/2023	7/31/2024	
GR00##### Project Title	National Institutes of Health (NIH)	P01 DK000##	\$300,000.00	6/30/2023	6/30/2027	
GR00##### Project Title	American Cancer Society	AMC-2023-115	\$180,000.00	12/31/2023	12/31/2023	
Grants Total			\$930,000.00			
Grant Allocations						
GR00##### Project Title Admin Core	Director of Core	P01 DK000##	\$100,000.00	6/30/2023	6/30/2027	
GR00##### Project Title Project 1	Director of Project's Name	P01 DK000##	\$150,000.00	6/30/2023	6/30/2027	
GR00##### Project Title Project 2	Director of Project's Name	P01 DK000##	\$150,000.00	6/30/2023	6/30/2027	
Gifts and Endowments Total			\$400,000.00			
Gifts and Endowments						
GF00#### Endowment			\$574,000.00			
GF00#### Donor Gift			\$50,000.00			
Gifts and Endowments Total			\$624,000.00			
Projects						
PJ0000##### Pathology - Dr. Jones Discretionary Fund			\$75,000.00			
Projects Total			\$75,000.00			
NonCarryforward						
NC0000## P&I Dr. Jones Professional Allowance Fund			\$2,500.00			
NonCarryforward Total			\$2,500.00			

Personnel Supported by PI

Row Labels	GR0025813		GR0023802	GR0015939	Grand Total	Comments / Changes to be made
	GR0025921 DHHS Grant Title	DHHS Grant Title	Private Grant Title	DHHS Grant Title		
Hertz, Rental			100.00%		100.00%	
Jone, Robert	25.00%		25.00%	50.00%	100.00%	
Lee, Robert		50.00%	50.00%		100.00%	Lee 65% to be moved from New R01
Park, Walkin			100.00%		100.00%	
Dark, Roasted			35.00%	65.00%	100.00%	
Davis, Antoine	50.00%	50.00%			100.00%	
Donalds, Mack	30.00%	30.00%	10.00%	30.00%	100.00%	
Donuts, Dunkin	35.00%	30.00%	25.00%	10.00%	100.00%	
Francis, Jennifer		100.00%			100.00%	
Garavelle, Samantha		100.00%			100.00%	
King, Burger	30.00%	25.00%	10.00%	35.00%	100.00%	
Latte, Caramel	3.75%	85.00%	7.50%	3.75%	100.00%	
Nam, Yoon	25.00%		50.00%	25.00%	100.00%	
Nicholas, Jane		25.00%	50.00%	25.00%	100.00%	
Perez, Jose				100.00%	100.00%	
Starbucks, Venti	20.00%	20.00%	40.00%	20.00%	100.00%	
Tate, Derrick	30.00%	10.00%	30.00%	30.00%	100.00%	
Fund Balance	\$ 38,975.34	\$ -	\$ 238,431.88	\$ 60,561.75		
Budget Yr(Project) ending d	06/30/2023(25)	11/12/2022(22)	07/31/2023(23)	03/31/2023(26)		

Uniform Guidance (UG) Costing Principles: 2 CFR 200

- **Reasonable**
 - Amount reflects the actions of a prudent person
- **Allowable**
 - Necessary and adequately documented with limits or exclusions in mind
- **Allocable**
 - Specifically for and assignable to the project
 - If the purchase benefits multiple projects or objectives, charge proportionately. Do not rotate charges among grants.
- **Consistently Treated**
 - Charges are treated similarly for all federal and non-federal projects

Procurement and Accounts Payable Team:



Christine Cucchi



Jill Culleton



Crista Harnetiaux



Cheryl Litzsinger

Procurement and Accounts Payable:

- Marketplace orders, requisitions and purchase orders
- Miscellaneous payments (check request) and supplier invoices.
- Spend authorization, expense and travel reports
- Alcohol and animal orders, asset registration and open encumbrances
- Internal service deliveries
- Bi-monthly billing for recharge centers
- FedEx billing and freight approvals
- Budget overdraft monitoring

Questions, Ideas and/or Thoughts?

