Pathology and Immunology

Research Administration
Sponsored Research Process

Research Development
- Develop Project
- Find Funding
- Propose Project

Pre-Award
- Submit Project
- Accept Award
- Manage Award

Post-Award
- Closeout Award
- Share Results
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 in 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/](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.

**Key Partners**
- Mentors, Collaborators, Dept Chairs & Senior Faculty
  - Review concept and science, and provide feedback to investigator.
    - Dept. Chair’s approval is required.
  - Review draft budget and draft proposal application, and provide feedback to investigator.

**PI**
- Develop research concept. Discuss and circulate.
- Develop science based on feedback and discuss project with RA.
- Review guidelines and compliance requirements. Develop budget with RA.
- Complete proposal.
- Complete all protocols and compliance requirements with the assistance of RA.

**RA**
- Review funding alerts and announcements for possible support for investigator.
- Discuss upcoming research project with investigator, and notify OSRS.
- Consult/respond with RA and investigator to develop a timeline that addresses proposal development, resources, protocols, required approvals, and budget.

**Central Admin Staff**
- OSRS is the central administrative office responsible for signing off/submitting sponsored project proposals and accepting awards on behalf of Washington University. Sponsored project proposals must be submitted and awarded accepted only by individuals authorized to sign the necessary documents.

**Central Admin Staff**
- OSRS = Office of Sponsored Research Services
- SPA = Sponsored Projects Accounting
- JROC = Joint Research Office for Contracts

**Review proposal for resubmission/address reviewers’ concerns from Summary Statement**

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*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.)*

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Revised 12/2022
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
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

<table>
<thead>
<tr>
<th>Name</th>
<th>Project Role</th>
<th>Effort</th>
<th>Base Salary</th>
<th>Salary Requested *</th>
<th>Fringe Benefits</th>
<th>Funds Requested</th>
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<td>Dr. Jones</td>
<td>Principal Investigator</td>
<td>15%</td>
<td>$225,000</td>
<td>$30,555</td>
<td>$8,861</td>
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**Subtotal:**

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<tr>
<th><strong>Salary</strong></th>
<th><strong>Fringe Benefits</strong></th>
<th><strong>Funds Requested</strong></th>
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</thead>
<tbody>
<tr>
<td>$30,555</td>
<td>$8,861</td>
<td>$39,416</td>
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</tbody>
</table>

**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%) New rate effective 7/1/2023**

*Salary calculated off of the NIH Cap ($212,100, New Cap 2023)*

*MTDC – only include first $25,000 of suba 700)*

$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.
## Summary

<table>
<thead>
<tr>
<th>Grants</th>
<th>Sponsor</th>
<th>Agency Number</th>
<th>Free Balance</th>
<th>Budget end date</th>
<th>Project end date</th>
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## Gifts and Endowments

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## Projects

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## NonCarryforward

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## Personnel Supported by PI

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<th>GR0025921 DHHS Grant Title</th>
<th>GR0025813 DHHS Grant Title</th>
<th>GR0023802 Private Grant Title</th>
<th>GR0015939 DHHS Grant Title</th>
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<td>03/31/2023(26)</td>
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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?