

WBSE Request
Instructions for Completion

When do I use this form?

Requests generated by the respective Owning Org/BFR/SBR and routed for approval and action through ORA for the following purposes as defined below:

Pending Awards – Department receives informal communication from Sponsor regarding intent to issue award to Duke. For example, Duke is scheduled to receive a subaward from the University of North Carolina with a start date of June 1, 20XX. Due to the time it may require to finalize a subaward agreement between the two organizations, the department may **use this document** to request a pending code in order to initiate project performance.

- **No separate document or additional action required for pre-award spending:** *For those sponsors who allow pre-award spending (e.g., 90 days in advance of the start date), departments need only request a fund code as a pending award. If pre-award spending is allowable, expenditures prior to the start date will be permitted according to the conditions prescribed by the sponsor.*

Pending Awards – Clinical Activity – Establishment of fund codes for clinical trials/research should occur in parallel with the other concurrent processes required to fully execute a given agreement as opposed to waiting for the other actions to reach completion. Departments are asked to complete the WBSE Request Form and upload the approved document in SPS as part of Internal Documents. Once the SPS record is routed to Pending Central Approval (PCA), ORA will process the document to the Office of Sponsored Programs (OSP) to establish a fund code which is communicated and utilized as necessary by various offices such as the Clinical Research Support Office (CRSO) and the Patient Management Revenue Organization (PRMO) to finalize study agreements as efficiently as possible.

- **Note regarding Budget and Project Period for Clinical Activities:** *Unless specifically expressed in the terms of the contract, Project and Budget start and end dates are determined by the effective date of the contract and estimated duration of study completion.*

Additional fund codes for existing projects – When it is determined that an award requires additional codes for the purposes of additional internal projects or issuance of subaward agreements to another organization¹, the department may **use this document** to request creation of such codes. All requests for additional codes must identify the existing parent fund code.

¹ Subaward Agreements are issued by ORA only upon the receipt of the Subrecipient Initiation Request (SIR) document located at <http://research.som.duke.edu/research-administration/contract-administration/subaward-initiation-request>. Departments must provide the code assigned to each respective organization.

Who Does What?

Department Action – *Form Submission*

- Complete WBSE Request Form, secure approval, and upload to Internal Documents of SPS record
- Upload to SPS Internal Documents the Duke Proposal Approval Form (DPAF) signed by Principal Investigator (PI) with Conflict of Interest (COI) assurance (**Yes** or **No** checked).
- SPS record generated by department and routed to the status of Pending Central Approval (PCA)

ORA Action – *Review and Approval*

- Pending awards – ORA confirms required documentation (SPS record at PCA status, signed DPAF and authorized WBSE Request Form); if approved, submits to the Office of Sponsored Programs (OSP) to secure code.
- Subcodes – ORA determines institutional ability to create additional codes as requested and secures all required documentation from the department. If subcode(s) used for internal purposes for BFRs outside the Parent Code, ORA reviews page 2 of the WBSE Request Form for completeness. If subcode(s) necessary to issue Subaward Agreement(s), ORA will determine allowability and approve accordingly.

OSP Action – *Data Entry and Communication via FI BATCH*

OSP utilizes the data elements provided by the department to create the appropriate code(s) based on sponsor and purpose.² Once assignment is complete, all codes are communicated to the Owing Org/BFR/SBR and ORA as output of the FI BATCH. All code assignments must be **communicated to each respective Grant Manager**.

NOTE TO GRANT MANAGER REGARDING SUBAWARDS: Upon receipt of fund code(s), departments must submit a Rebudget Request to ORA to facilitate movement of funds for each respective organization – failure to do so may cause administrative delays.

Data Field	Description
Active SPS Record	Current record routed to the status of PCA
Pending Award	Select to request code in advance of final award negotiations
Award – If selected check “Request additional WBSE” and identify Parent WBSE	Select when request is submitted to establish additional code(s) for an existing Award
<i>Sponsor Type</i> Federal	Select when project is funded directly by federal entity (e.g., NIH, DoD, NSF, etc.)
<i>Sponsor Type</i> Non-federal	Select when project is funded directly by non-federal sources such as non-profit organizations or other universities
Program Attributes	SNC, SCI, SDC, UME, GME, OME
Request additional WBSE	Select when requesting additional codes on existing award(s)
Parent WBSE	Identify parent WBSE under which additional

² <http://finance.duke.edu/accounting/glaccts/overview.php>

	codes are requested
Federal flow thru – If Yes , identify Prime Sponsor	If <i>Sponsor Type</i> is identified as Non-federal, users must indicate when funds originate from a federal sponsor (e.g., NIH prime award to UNC and Duke received subaward)
Purpose	Instruction or Department Research; General Operation; Training; Student Aid; Research; Special Programs; Student Services; Clinical Trial
Owning BFR	Identify administrative oversight for project
Sponsor Name	Identify entity from which Duke directly receives funding
Agency/Sponsor ID	Unique identification assigned to award at Duke (e.g., R01AB123456-01)
Project Title	Title for use in R/3 Master Data
<i>Budget Start*</i>	Should match SPS
<i>Budget End*</i>	Should match SPS
<i>Project Start*</i>	Should match SPS
<i>Project End*</i>	Should match SPS
Subawards	Duke is prime recipient – ORA will issue subawards for consortium costs
Subcodes	Additional internal codes connected with a Parent Code (e.g., P01)
Principal Investigator (PI) Name	Self-explanatory
PI Unique ID	Self-explanatory
SBR Therapeutic Area	Select from areas identified
SBR Financial Practice Manager	Identify the individual authorized to approve request and assignment of Cost Object to guarantee expenditures

IRB Protocol Number	Self-explanatory
ORA Research Administrator	Select RA as assigned

**The Project and Budget start and end dates identified here determine the attributes assigned to each fund code. The dates identified herein must match the dates as entered in the SPS record referenced.*