

# WBSE Create Form

The WBSE Create Form is the tool used to request new WBSE(s) for any externally sponsored project via the SPS record and generate the WBSE(s) in SAP. The department/center/institute will now have the ability to generate WBSE(s) as needed.

## Key Points when requesting a WBSE

### Using the tool:

- Pop ups must be allowed for SPS on your browser to support the integration between SPS and SAP
- This form should be used to request the creation of WBSE(s) for externally sponsored projects only
- Do NOT use this form for Cost Centers, WBSE(s) for Gifts, Capital Projects, or other projects not entered into SPS

### Requesting a code:

- For projects with annual renewals, the Grant Manager will receive a notification approximately 45 days prior to budget period end to create the WBSE(s) needed for the upcoming budget period
- Additional codes cannot be requested while a create form is in process, or if the SPS record status is “Award-Inactive,” “Inactive,” “Unfunded,” or “Withdrawn”
- If the user does not have access to the SPS record, they must work with the owner of the SPS record to facilitate the creation of the WBSE(s). This could be common with internal subcode creation.

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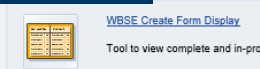
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# WBSE Create Form

## Creating WBSE in Advance of Award (SPS)



Initiate the WBSE request in SPS using the SPS Proposal module. The proposal information should be as complete as possible to ensure the correct type of WBSE is created.

### Department/Center/Institute initiates when:

- WBSEs in advance of award
- WBSEs with annual renewals if codes in advance are required (highly encouraged)
- Subcodes for existing WBSEs

### Central Office initiates when:

- WBSEs at Award In Progress/Award
- WBSE for annual renewals if no code in advance requested

#### 1 In SPS, select Proposals

##### Welcome to SPS

Below is a list of features that

- Proposals - Create/edit proposals
- Awards - Create/edit awards

#### 2 Enter search criteria for desired proposal (Tip: Use the SPS# in the field Prop#) and click the Search icon

Search for a Proposal

Last First Prop# 245524

Where Person is ☒ PI ☐ Co-PI ☐ PI-Fellow

Sponsor PI Duke Org

Agency ID Counting Duke Org

#### 3 Click the Go to icon to the left of the result and select Main

Go to ...

Main

Personnel

#### 4 The SPS record will open in a new window/tab. Confirm the required sections and fields are complete/accurate in proposal

##### Budget Period & Project Period Dates

Main Sponsor Admin Activity Clearances Federal Info Summary

Start Date End Date Proposed Duration

\* Project Period 04/01/2019 03/31/2024 60 months

\* Current Budget Period 04/01/2019 03/31/2020 12 months

##### External Subrecipient Details

Rules Cost Sharing Templates

Budget Period Definition

* Period	* Start Date	* End Date
1	04/01/2019	03/31/2020
2	04/01/2020	03/31/2021
3	04/01/2021	03/31/2022
4	04/01/2022	03/31/2023
5	04/01/2023	03/31/2024

Consortium/Subaward Costs

Show Periods: ☒ 1 ☒ 2 ☒ 3 ☒ 4 ☒ 5 Show

Period 1

Subcontractor Name	Organization	Dir Spc
Diane Rhine	University of North Carolina - Chapel Hill	<input type="checkbox"/>
Dee Marley	Massachusetts Institute of Technology	<input type="checkbox"/>

##### Protocol Information

IRB IACUC IBC

Human Subjects

\* Will human subjects be used at any time during the project period, either at Duke or at any participating subrecipient's site?

If Yes to Human Subjects

Clinical Trial Questions

\* Will human participants be involved at any performance site? ☒ Yes ☐ No

\* Will any participants be prospectively assigned to an intervention? ☒ Yes ☐ No

\* Is any study designed to evaluate the effect of the intervention on any participants? ☒ Yes ☐ No

##### Activity Type

Main Sponsor Admin Activity Click

\* Activity Research

See appendix on page 13 for details

## ATTENTION!

Before creating WBSE(s) in advance of the award, be sure that the SPS record is as complete as possible. Incomplete/completed fields and sections will impact if the WBSE(s) is set up correctly.

#### 5 Initiate the WBSE request. Click Proposal Actions and select Manage WBSE Requests

Proposal Actions

Memo/Internal Docs

Show History

Manage WBSE Requests

#### 6 Click Create WBSE Request

No WBSE Requests currently exist

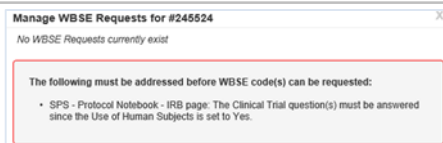
Create WBSE Request

# WBSE Create Form

## Creating WBSE in Advance of Award (SPS)



- 7 Address warnings and errors as prompted
- For example, if the use of Human Subjects is indicated in SPS, the clinical trials questions must be answered. If not, you will be prompted with an error message that the clinical trial questions must be addressed in the **Protocol Notebook**



- 8 Review Request Information and Compliance Information sections and take any action needed

### Request Information

Type: Code In Advance Request Initialized On: 11/30/2018 at 01:41pm by Darrell Queen (STAGE) (queenjd)  
 Status: In Progress Request Sent to SAP On:  
 SAP TK ID: Request Completed On:

The Red Flag indicates non-compliance. This will not stop the creation of a WBSE, but it will need to be addressed prior to the award processing

### Compliance Information

COI Disclosures: **Non-Compliant** RCC Training: **Non-Compliant**

- 9 Complete the fields below and then click **Create**

Line #	Proposal ID	Description	Parent	External Subcode	Internal Subcodes	DCRI Sister	Total
1	245524	Amy C. Barbee - WBSE Create Training Proposal	1	2	0	0	3

**Subcontractors:**

☒ University of North Carolina - Chapel Hill (Diane Rhine) 1

☒ Massachusetts Institute of Technology (Dee Marley) 1

**Create**

- A. Description:** The Project Long Text will be pulled from the Short Title listed in SPS record and should only be updated if the project title has changed since the SPS record was created
- B. Parent:** (If no Parent code exists) A single parent code will be created by default; this field is not editable
- C. External Subcodes:** The number of external subcode WBSE(s) (sum total) to be created; this will default based on the external subcontracting organizations found in the SPS proposal record (See **F** for more details)
- D. Internal Subcodes:** The number of internal subcode WBSE(s) to be created (sum total); this will default to 0. Insert the number of internal subcodes that needs to be created. The (i) button will display a list of the PI(s) identified on the proposal
- E. DCRI Sister:** FOR USE BY DCRI GMs ONLY, LEAVE DEFAULTED TO 0
- F. Subcontractors:** Number of external subcode WBSE(s) to be created for external subrecipients; this will default based on the external subcontractors found in the SPS proposal record. Multiple WBSE(s) can be created for an external subrecipient, if applicable. As these numbers change, the total listed in C will auto-adjust

- 10 Once **Create** has been clicked, additional buttons will be available for specific form actions

Choose **Save** to generate a draft of the request. This will be accessible via the SPS record

Save

Cancel

Send Request to SAP

Choose **Cancel** to undo all unsaved changes; this will NOT cancel the request unless the form was not previously saved

Choose **Send Request to SAP** to send the form data to SAP for review and approval; this will continue WBSE creation in Duke@Work

## WBSE Create Form

### Creating WBSE in Advance of Award (SAP)



Once the request has been submitted in SPS, it will progress to SAP via Duke@WORK (if it doesn't open automatically, you can retrieve from your Universal Worklist). Project and WBSE values can be assigned in this section prior to being routed for approval by the preaward offices and TBS.

**Project Setup**

Created by: **B** 2018 QUEENDJ **C** 5:34 **D** 41000241 **E** **F** **G**

**H** Check/Validation **I** Add Approver **J** Save as Draft **K** Submit to Workflow **L** Cancel the Project Setup Request **M** Close Application

**H** Request **I** Project Level Values **J** WBSE Specific Values

Additional details on how to use these icons at the point of submission are found on page 6

- A. TK Number:** The SAP Document number for the WBSE Create form
- B. Check/Validation:** Check the form for warnings or errors
- C. Add Approver:** Add an approver that is not a part of the normal workflow; enter their Duke Unique ID to add
- D. Save as Draft:** Save changes to the form without submitting it to workflow; drafts are accessible via the initiator's UWL
- E. Submit to Workflow:** Submit the form to workflow for approval/completion
- F. Cancel the Project Setup Request:** This cancels the WBSE request form and updates SPS with the cancellation status
- G. Close Application:** Closes the form, any unsaved changes will be lost
- H. Request:** Expand to view or enter information related to the form submission (for more details see section 4 below)
- I. Project Level Values:** Expand to complete values that apply to ALL WBSE(s) in the request (for more details see Page 5)
- J. WBSE Specific Values:** Expand to complete values for SPECIFIC WBSE(s) in the request (for more details see Page 6)

### Request Section

This section contains information that is related to the submission and approval of the form. The layout is similar to the header section found in other research forms like the closeout tasklist.

**A** SPS No.: 243757 Request ID: 00000462 Request Type: AWARD

**B** **Approval Cycle**

Date	Time	Approval State	Possible Agents	Action	Agent	Date Processed
12/03/2018	08:38:44					12/03/2018
12/03/2018	10:22:49	APPROVAL-ORA	AM323	Approved	USSIZEM002	12/06/2018
00:00:00		APPROVAL-DEPT	DSH11 JEY8 LJ69 QUEENDJ			
00:00:00		APPROVAL-ORA	SMITH718			
00:00:00		APPROVAL-TBS	AR180 BULLOCKG GP45 HT64 MURPHYPA SM490 TMH54			

**C** Comments

**D** Attachments

**A. Request Information:** Includes the SPS number (proposal ID), Request ID (internal tracking number), and Request Type (see page 11 for more details on Request Types)

**B. Approval Cycle:** Lists the workflow approval steps and assigned approval agents for the form

**C. Comments:** Add/Review comments for the WBSE creation form (the Request section header will indicate if comments exist). Comments are date/time stamped once saved and are no longer editable. This should primarily be used for returns

**D. Attachments:** Upload or review attachments associated with the WBSE request form (pdf only)

Optional: If the section is collapsed, double click on the bolded title bar, or scroll to the far right and click on the box icon

**Approval Cycle**

# WBSE Create Form

## Project Level Values Section

The values entered in this section will impact **ALL** WBSE(s) being created via this form. If an entry in this section is not completed correctly, a new WBSE(s) form may need to be submitted and any incorrectly set up codes will need to be closed. In the event that a new WBSE is required, any activity or effort on the incorrectly set up codes will need to be moved prior to the code closing.

### Field Key

Form info is often derived from the SPS record. The appearance of the field will determine if it is editable and/or if it is required.

<b>A</b>	Clinical trial Indicator:	N	<b>D</b>	* Financial Reporting Required? [-]:	Y
<b>B</b>	* Preaward Office:	ORA			
<b>C</b>	CFDA Number:				

**A. Grey Field:** non editable field, requires review only  
**B. White Field (with asterisk):** editable field, requires entry  
**C. White Field:** editable field, entry encouraged  
**D. Grey Text and Field:** automatically populated field, not editable

## General

- Sponsor Selection:** If not automatically populated, select the sponsor from the dropdown list, (for NIH, these are the institutes). Inaccurate selection will result in the wrong applicant # being assigned to the WBSE(s)

<b>General</b>		
Request Type:	ADV	RCC Issue: <input checked="" type="checkbox"/>
Sponsor Number [-]:	00000000	Sponsor Name
* Sponsor Selection:	00000000	COI Issue: <input checked="" type="checkbox"/>

- Financial Reporting Required:** If the field is blank/editable, indicate if financial reporting is required, or if there are any restrictions on how funds are expended (dependent upon sponsor; will default to Y for Federal Prime awards)  
**Preaward Office:** Defaults to ORA, ORC or ORS, editable if needed  
**CFDA Number:** Indicate CFDA number, for Federal Prime sponsored awards  
**Programmatic Class:** Prepopulated, if possible. If not, department must choose from drop down. Completed by initiator or dept. approver *See Chart on Page 13*

Sponsor Type/Source:	
* Financial Reporting Required? [-]:	
Purpose [-]:	Research
Clinical trial Indicator:	N
* Preaward Office:	ORA
CFDA Number:	
* Programmatic Class:	

*Note: the **sponsor type/source**, **financial reporting required**, and **purpose** drive the first 3 digits of the WBSE. If corrections or edits are needed; return form to SPS, revise SPS record details, then resubmit the WBSE form for review and approval*

- Federal Prime Sponsor & Federal Prime Grant Number:** Enter from dropdown if known, otherwise TBS will complete at time of award

Federal Prime Sponsor:	00000000	Federal Prime Sponsor Name:	
Federal Prime Indicator:	<input checked="" type="checkbox"/>		
Federal Prime Grant Number:			

## Dates

- Dates in this area will be derived from the SPS record. Changes made in this area will NOT BE TRANSMITTED TO THE SPS RECORD

**Project Start/End:** Update the overall start and end date for the project  
**Budget Start/End:** Update the budget period start and end date; this field populates the dates in the projection tool; If edits are made to these dates, the same changes should be made in the budget period grouping below  
**Open/Close Budget Periods to Edit:** Click the Open/Close Budget Periods for Edit icon to update the start and end dates for each individual budget period; this field populates the dates used in the projection tool

<b>Dates</b>	
* Project Start/End:	01/01/2019 12/31/2023
* Budget Start/End [-]:	01/01/2019 12/31/2019
Open/Close Budget Periods for Edit	
Budget Period 1:	01/01/2019 12/31/2019
Budget Period 2:	01/01/2020 12/31/2020
Budget Period 3:	01/01/2021 12/31/2021
Budget Period 4:	01/01/2022 12/31/2022
Budget Period 5:	01/01/2023 12/31/2023
Budget Period 6:	
Number of Budget Periods:	05

## Assignment Template

- For each field that a Duke Unique ID is listed, the individual will be assigned to that role for **ALL** WBSE(s) being created with this form.

**(re)Derive Names:** Displays the Name beside each field where the DUKE Unique ID has been entered  
**Validate assignments:** This confirms that the Duke Unique ID entered is valid (it does not validate the role of the person entered)  
**Copy Assignments to WBSEs:** Copies the entered assignment values to all the WBSE(s) in the WBSE Specific Values section at the bottom of the form.

<b>Assignment Template</b>	
(re)Derive Names	Validate Assignments
Copy Assignments to WBSEs	
PI #2 Number:	00000000
Grant Mgr ID 1:	00000000
Grant Mgr ID 2:	00000000
SRM Dept Apprv:	00000000
AP Chk Req Appr 1:	00000000
AP Chk Req Appr 2:	00000000
Travel Alt Appr ID 1:	00000000
Travel Alt Appr ID 2:	00000000
Payroll Recon ID:	00000000

# WBSE Create Form

## WBSE Specific Values Section

This section allows for the editing of values for specific WBSE(s). The fields in this section are derived from the SPS proposal and from the values selected in the Project Level Values above. Setting these assignments during the WBSE creation process ensures that workflow approvers and FAM controls are in place from the start, and that the GM1 will be included in notification once the code is created.

### General

- 1 The WBSE to be created will be listed out in sequential order with the project name being derived from SPS

#### General

SPS No	SPS Seq	Project Name	Parent	Project Long Text	Dept. Project Name	Subrecipient	SubRecipient Name	Rebud Class	CRU	Sister Code
245524	001	PARENT		Amy C. Barbee...		00000000		I	OBG	
245524	002	SUB #1 PXXXXXX		Sub 1: Universit...		03527030	NC, UNIV OF NC AT CHAPEL	R	OBG	
245524	003	SUB #2 PXXXXXX		Sub 2: Massach...		00000000		R	OBG	

SPS Seq
001
002

Take note of the sequence number and which WBSE it pertains to before proceeding. This sequence number will be referenced in the assignments section below.



**Project Name:** This field is not editable and is derived from standard naming conventions

**Parent:** The Parent WBSE will only be populated when a Parent WBSE already exists for the proposal/award

**Project Long Text:** This will default based on SPS, it populates the Fund Code Long Text to be shown in CJ03.

**Dept. Project Name:** Entry will populate the field Department Project Name in CJ03

**Subrecipient:** Choose the correct subrecipient applicant number from the dropdown. This will derive from SPS unless more than one applicant number exists for the subrecipient

**Rebud Class:** This defaults to the appropriate Re-budget Class for Parent (I) and External Sub (R). Department should not edit

**CRU:** Select the appropriate Clinical Research Unit from the dropdown, if applicable

**Sister Code:** This field only applies to DCRI

## Assignments/Indirects

- 1 The assignments section will be populated based on the SPS record and the Assignment Table from the Project Level Values (see page 5). Verify and update the fields, as needed (see Navigating Master Data QRG for more information on these fields)

#### Assignments

##### Principal Investigator(s) / Grant Administrators

SPS Seq	SPS No	* BFR Code	* Pers. Resp. No.	Pers.Resp.Name	PI #2 Number	PI #2 Name	Grant Mgr ID 1	Grant Mgr Name 1	Grant Mgr ID 2	Grant Mgr Name 2
001	245524	6860205510	00100894	DEBERA H NIXON	00000000		00000000		00000000	
002	245524	6860205510	00100894	DEBERA H NIXON	00000000		00000000		00000000	
003	245524	6860205510	00100894	DEBERA H NIXON	00000000		00000000		00000000	

##### Check Request / SRM

SPS Seq	SPS No	SRM Dept Apprvr	SRM Dept Apprvr Name	AP Chk Req Appr 1	AP Chk Req Name 1	AP Chk Req Appr 2	AP Chk Req Name 2
001	245524	00000000		00000000		00000000	
002	245524	00000000		00000000		00000000	
003	245524	00000000		00000000		00000000	

##### Travel / Payroll

SPS Seq	SPS No	Travel Alt Appr ID 1	Travel Alt App Name1	Travel Alt Appr ID 2	Travel Alt App Name2	Payroll Recon ID	Payroll Recon Name
001	245524	00000000		00000000		00000000	
002	245524	00000000		00000000		00000000	
003	245524	00000000		00000000		00000000	

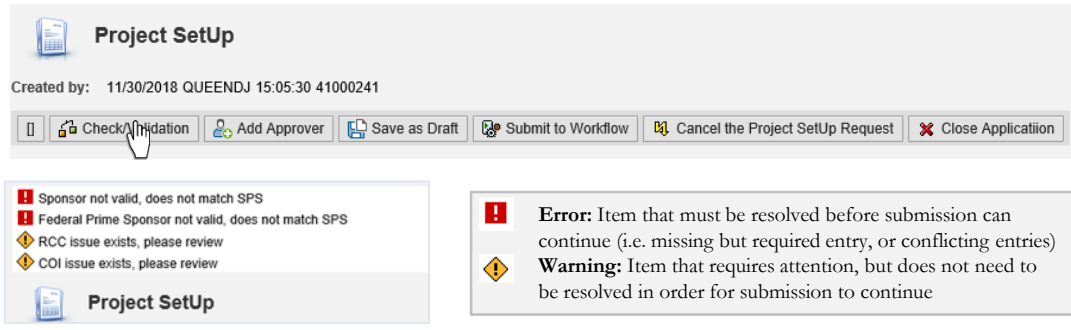
#### Indirects

SPS No	SPS Seq	SPS Incoming Allowable F&A	Allow F&A Cost %
245524	001	60.000	60.000
245524	002	60.000	60.000
245524	003	60.000	60.000

# WBSE Create Form

## Form Submission

- 1 Scroll to the top of the form and click **Check/Validation**. Any warning and error messages that need to be reviewed/resolved will populate at the top of screen



**Project Setup**

Created by: 11/30/2018 QUEENDJ 15:05:30 41000241

Check/Validation Add Approver Save as Draft Submit to Workflow Cancel the Project Setup Request Close Application

**Errors:**

- Sponsor not valid, does not match SPS
- Federal Prime Sponsor not valid, does not match SPS
- RCC issue exists, please review
- COI issue exists, please review

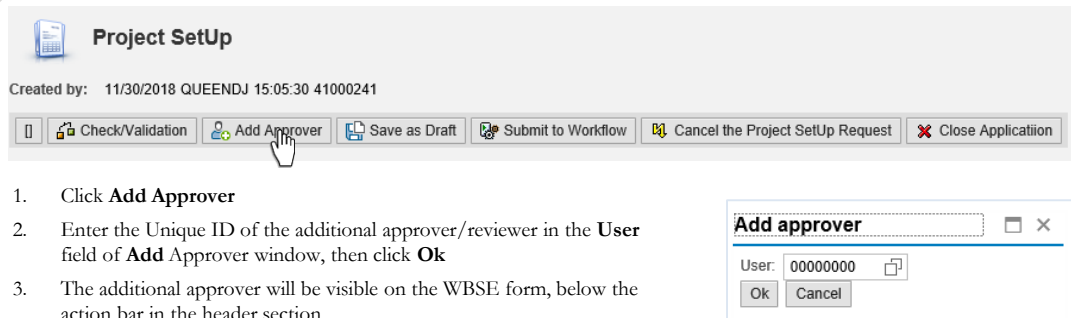
**Project Setup**

**Error:** Item that must be resolved before submission can continue (i.e. missing but required entry, or conflicting entries)

**Warning:** Item that requires attention, but does not need to be resolved in order for submission to continue

Optional

Click **Add Approver** prior to submitting the form into workflow to add additional approvers beyond those in the standard workflow



**Project Setup**

Created by: 11/30/2018 QUEENDJ 15:05:30 41000241

Check/Validation Add Approver Save as Draft Submit to Workflow Cancel the Project Setup Request Close Application

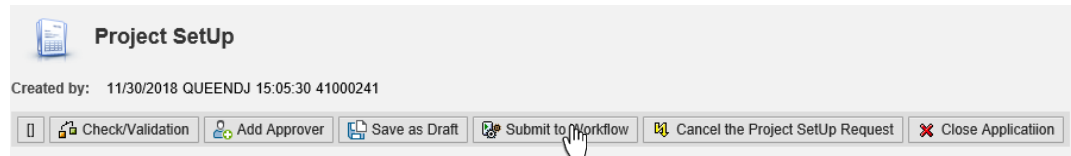
1. Click **Add Approver**
2. Enter the Unique ID of the additional approver/reviewer in the **User** field of **Add Approver** window, then click **Ok**
3. The additional approver will be visible on the WBSE form, below the action bar in the header section

**Add approver**

User: 00000000

Ok Cancel

- 2 Click **Submit to Workflow** to route the WBSE form to departmental approvers or additional approvers if utilized



**Project Setup**

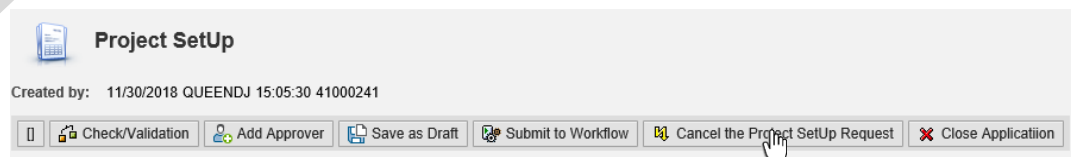
Created by: 11/30/2018 QUEENDJ 15:05:30 41000241

Check/Validation Add Approver Save as Draft Submit to Workflow Cancel the Project Setup Request Close Application

## Canceling the Form

Optional

To cancel the form and delete the WBSE set up request, click **Cancel the Project Setup Request**



**Project Setup**

Created by: 11/30/2018 QUEENDJ 15:05:30 41000241

Check/Validation Add Approver Save as Draft Submit to Workflow Cancel the Project Setup Request Close Application



# WBSE Create Form

## Creating additional WBSE(s) - Awarded State (SPS)



Initiate the WBSE request via the SPS Award module using the parent record (this can also be done through the Proposal module). Previous WBSE requests must be fully approved before a new request can be initiated.

- 1 In SPS, select **Awards**

### Welcome to SPS

Below is a list of features that

[Proposals - Create/edit pro](#)

[Awards - Create/edit award](#)



- 2 Enter search criteria for desired proposal (Tip: Use the SPS# in the field **Prop#**) and then hit **enter**.

Search for a Proposal

Last	First	Prop#	245524
Person		Where Person is	<input checked="" type="checkbox"/> PI <input type="checkbox"/> Co-PI <input type="checkbox"/> PI-Fellow
Sponsor		PI Duke Org	
Agency ID		Outgoing Duke Org	

- 3 Click on the **Go to** icon and select **View**

Proposal ID	PI Name	Fellow	Title
245524	Ta	A.	

[View](#)

- 4 From the Award record, click **Actions** and select **Manage WBSE Requests**, then **Create WBSE Request**

Actions

- Memo/Internal Docs
- Show History
- Show RCT Info
- Manage NCE Requests
- Manage WBSE Requests**

- 5 If Human Subjects is indicated in SPS, the clinical trial questions must be addressed in the Protocol Notebook

The following must be addressed before WBSE code(s) can be requested:

- SPS - Protocol Notebook - IRB page: The Clinical Trial question(s) must be answered since the Use of Human Subjects is set to Yes.

Close

- 6 A new screen will open; complete the fields below and then click **Create**

Line #	Proposal ID	Description	Parent	External Subcodes	Internal Subcodes	DCRI Sister	Total
1	238303	Health Professionals Education Partnership Initiati	0	1	0	0	1

Subcontractors:

x	<input checked="" type="checkbox"/>		Q	1
---	-------------------------------------	--	---	---

Create

- A. **Description:** The Project Long Text will be pulled from the Short Title listed in SPS; this field should only be updated if the project title has changed since the SPS record was created
- B. **Parent:** The Parent code already exists, therefore this field will default to 0 and will not be editable
- C. **External Subcodes:** The number of external subcode WBSE(s) (sum total) to be created; this field will default to zero and be greyed out. Click the "+" icon to add subcontractors and increase the number of codes in the subcontractor section (F)
- D. **Internal Subcodes:** The number of internal subcode WBSE(s) (sum total) to be created; this field will default to 0
- E. **DCRI Sister:** FOR USE BY DCRI GMs ONLY, LEAVE DEFAULTED TO 0
- F. **Subcontractors:** The number of external subcode WBSE(s) (sum total) to be created, by external subrecipient. Multiple WBSE(s) can be created for a subcontractor, if applicable. As these numbers change, the total listed in C will auto-adjust

- 7 Once the **Create** button has been clicked, additional buttons will be available for specific form actions

Choose **Save** to generate a draft of the request. This will be accessible via the SPS record

Save Cancel Send Request to SAP

Choose **Cancel** to undo all unsaved changes, this will NOT cancel the request unless the form was not previously saved

Choose **Send Request to SAP** to submit the form data for review and approval; this will continue the WBSE creation in Duke@Work.

Once the request has been sent to SAP, the steps are identical to those for creating a WBSE in advance of award. Please return to page 4 for the remaining instructions.

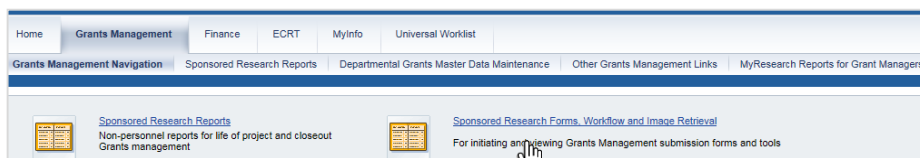


# WBSE Create Form

## WBSE Create Form Display

Once the form has been saved in SAP, it can be displayed using the WBSE Create Form Display. The utility will only display the form, and not allow for editing.

- 1 Select the **Sponsored Research Forms, Workflow and Image Retrieval** folder from the **Grants Management** tab



- 2 Select the **WBSE Create Form Display** folder from the **Grants Management** tab



- 3 Enter one of the following search criteria below. The search can be performed by single value, ranges, or non-consecutive multiple values

### Project Setup Utility

Selection Criteria			
A	TK:	<input type="text"/>	To <input type="text"/>
B	Overall SPS:	<input type="text"/>	To <input type="text"/>
C	Project:	<input type="text"/>	To <input type="text"/>
D	Applicant Number:	<input type="text"/>	To <input type="text"/>

- A. **TK:** Returns forms by the internal 8 digit record number (begins with 41)
- B. **Overall SPS:** Returns forms by the 6 digit SPS record number of the parent WBSE
- C. **Project:** Returns forms by the 7 digit SAP WBSE number (begins with 3,2, or A)
- D. **Applicant Number:** Returns forms by the 8 digit Applicant Number that corresponds to the Sponsor (begins with 03)

- 4 Click **Search**

### Project Setup Utility

Selection Criteria			
	TK:	<input type="text"/>	
	Overall SPS:	<input type="text"/>	
	Project:	<input type="text"/>	
	Applicant Number:	<input type="text"/>	

**Search**

- 5 Click the grey box to the left of the desired entry

TK (grp) =			SPS No	Project def.
<input type="checkbox"/>	41000248		243797	A030891
<input type="checkbox"/>	41000247		244678	

- 6 Click the **Display** icon

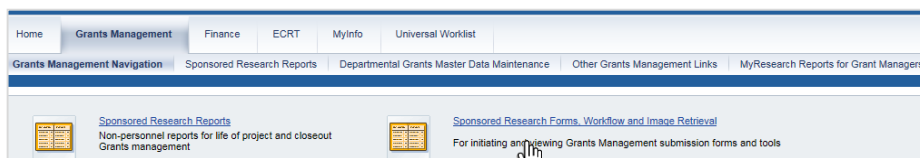
TK (grp) =			SPS No	F
<input type="checkbox"/>	41000248		243797	A
<input type="checkbox"/>	41000247		244678	

# WBSE Create Form

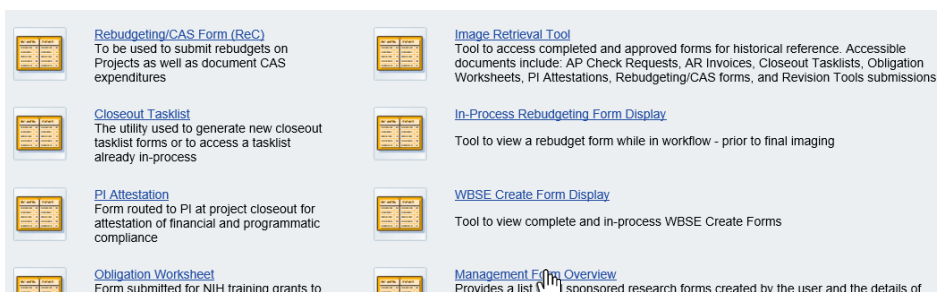
## Management Form Overview

Like other research related forms, the WBSE Create Forms submitted by a particular user are listed in the Management Form Overview. If the form is still open for approvals, opening it from this utility will return the full list of workflow approvals/approving agents associated with the form. If the form is fully approved and completed, the form itself will open.

1 Select the **Sponsored Research Forms, Workflow and Image Retrieval** folder from the **Grants Management** tab



2 Select the **Management Form Overview** folder from the **Grants Management** tab



3 Once the report opens, un-check **All Available Forms**

▼ Form Type Selection

☐ All Available Forms

☐ Rebudgeting Requests

☐ Obligation Worksheet

☐ PI Attestation

☐ Tasklist

☐ Revision Tool

☐ WBSE Create Form

Refresh

4 Check **WBSE Create Form**

▼ Form Type Selection

☐ All Available Forms

☐ Rebudgeting Requests

☐ Obligation Worksheet

☐ PI Attestation

☐ Tasklist

☐ Revision Tool

☒ WBSE Create Form

Refresh

5 Click **Refresh**

▼ Form Type Selection

☐ All Available Forms

☐ Rebudgeting Requests

☐ Obligation Worksheet

☐ PI Attestation

☐ Tasklist

☐ Revision Tool

☒ WBSE Create Form

Refresh

6 Select the **Open/For Approval** link under **Status** and view the WF approvals

Form Type	Description	Form #	Created on ▾	Status
WBSE	WBSE Create Form	41000023	11/12/2018	<a href="#">Open/For Approval</a>
WBSE	WBSE Create Form	41000241	11/12/2018	<a href="#">Draft</a>
WBSE	WBSE Create Form	41000028	11/12/2018	<a href="#">Draft</a>

**Workflow Chronology**

Required Approval [ or Other Step]	~Flavor~	Action	Date	Time	Actual / Potential Agents
Added by Submitter	ADDAPPR-SB			00:00:00	REKPA DE
TBS	RA_CLSTBS			00:00:00	GAIL G BULLOCK;HEIDI G THOMPSON;PATRICIA A MURPHY

# WBSE Create Form

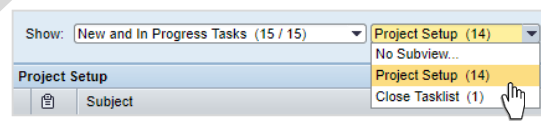
## Edit/Approve/Return via Universal Worklist

Once the form is saved in SAP, it can only be recalled for editing, submission, approval, or deletion of the form via the Universal Worklist.

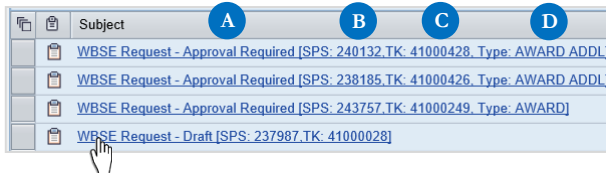
1 Navigate to work.duke.edu and select **Universal Worklist**



Optional Choose **Project Setup** to filter the entries into the worklist to view only those related to WBSE Creation



2 Double-click on the text of the desired entry



- A. **Draft/Approval Required:** indicates if the request is your draft to be completed, or a request requiring your approval
- B. **SPS:** Lists the SPS Record number
- C. **TK:** Lists the Internal Record number
- D. **Type:** type of WBSE request
  - **ADV:** in advance of Award
  - **ADV-NCR:** in advance of the award – non competing renewal
  - **AWD:** awarded state, AIP –Award In Progress
  - **ADDL:** request for additional codes to an established Parent WBSE

3 Once the form is open for review/approval, only the following fields will be available for editing:

- Programmatic Class
- Project Long Text
- Dept Project Name
- Subrecipient #
- CRU
- BFR
- PI
- PI#2
- All other assignment fields (GM1/2, Travel 1/2, etc)

See Page 4 for further details on identifying editable vs non editable fields

Optional If the mapping between the sponsor in SPS is not 1:1 the following fields will also be editable

- Sponsor Selection
- Fed Prime Sponsor
- Fed Prime Grant Number
- Budget and Project Dates

## For Departmental Approvers:

1 After following steps 1-3 above, choose **Check/Validation** and address any Warning or Error messages that may occur.

Created by: 11/13/2018 BARBE001 09:24:58 41000035



Note: The programmatic attribute field does not have to be completed by the submitter, but does need to be completed prior to department approval.

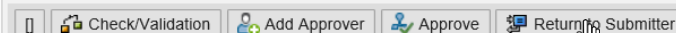
2 Choose **Approve** to advance the form to the next step in the workflow see page 12

Created by: 11/13/2018 BARBE001 09:24:58 41000035



Optional To return a form to the submitter for corrections, choose **Return to Submitter**. The approver must enter **Comments** in order to return the form.

Created by: 11/13/2018 BARBE001 09:24:58 41000035



**Request**

SPS No.: 244672 Request ID:

**Approval Cycle**

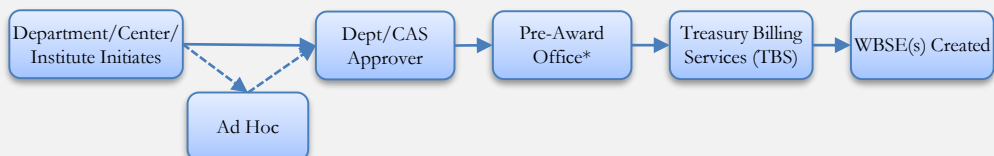
**Comments**

## WBSE Create Form

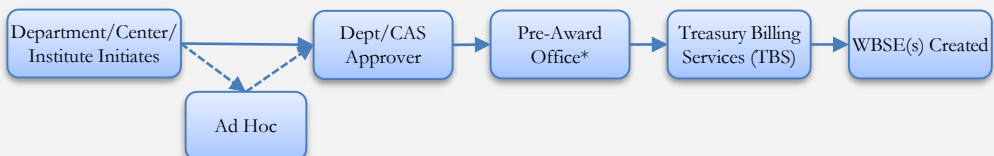
### Workflow Scenarios

The WBSE Create Form is approved at the department level by the same approving agents that are on the Rebud/CAS workflow. The form will route based on the BFR of the parent code. The three possible workflow scenarios are detailed below.

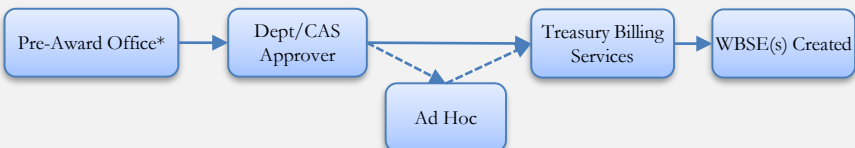
#### Creating WBSE(s) in Advance of Award (By Department/Center/Institute)



#### Creating Additional WBSE(s) (By Department/Center/Institute)



#### WBSE Created at time of Award (By Pre Award Office)



\* The Pre-Award Office that your form will route to is based on the Pre-Award Attribute listed in Project Level Value Selection, see page 5.

Once the form has been reviewed and approved, a notification will be sent to the Department Administrator, PI and Grant Manager 1 (if assigned during completion of the WBSE Create Form).

# WBSE Create Form

## Appendix – Programmatic Attributes

The programmatic attribute describes the function of the code. This attribute must be selected prior to the department approval of the WBSE create form.

Prgm Attr	Description	SOM/ SON	Campus
CME	CONTINUING MEDICAL EDUCATION	X	
GME	GRADUATE MEDICAL EDUCATION	X	
SCE	SPONSORED RESEARCH-IRB EXEMPT	X	
SCI	SPONSORED RESEARCH-REQUIRES IRB REVIEW	X	
SDC	DESIGNATED AS COORDINATING CENTER	X	
SNC	SPON RESEARCH NON-CLINICAL	X	
SOO	SPONSORED-OTHER/SPECIAL PROGRAMS/TRAINING	X	
UME	UNDERGRADUATE MEDICAL EDUCATION	X	
SRF	SPONSORED RESEARCH - FEDERAL		X
SRS	SPONSORED RESEARCH - STATE		X
SRN	SPONSORED RESEARCH – NON GOVERNMENT		X

## Appendix – Activity Type in SPS

The activity type selected in SPS will drive the 3rd digit of the WBSE element created. For additional details on the account code structure and the logic of the number assigned, visit: <https://finance.duke.edu/accounting/glaccts/overview#3>

Activity Types in SPS	SAP Purpose
Research	XX3
Fellowship (individual trainee on one grant)	XX8
Institutional Training Program (usually multiple trainees on one grant)	XX2 (i.e., T32 or K12)
Clinical Trial	XX3
Public Service	XX9
Institutional Support	XX1
Construction/Renovation	XX7
Equipment	XX7
Conference	XX9

Specific Awards	SPS Activity	SAP Purpose
NIH K Awards (except K12)	Research	Training (XX2)
K12 Awards	Institutional Training Program	Training (XX2)
NIH R25, T Awards	Institutional Training Program	Training (XX2)
NSF Research Experience for Undergrads	Institutional Training Program	Training (XX2)
NSF REU Supplements	*Consult your pre-award office for Activity Type	
NSF Dissertation Improvement Grants	Institutional Training Program	Training (XX2)
Dept. of Education FLAS	Instit. Training Program or Fellowship	Training (XX2)
NIH N, P, U Awards	Research	Research (XX3)
NIH U awards	Research	Research (XX3)
NSF Career Development Awards	Research	Research (XX3)
Dept. of Education Center	Institutional Support	Instruction/Dept. Research (XX1)
NIH C Awards	Construction/Renovation or Equipment	General Operation (XX7)
NIH F Awards	Fellowship	Student Aid (XX8)

*Exceptions to the above may apply, work with your pre-award office if in doubt*

# WBSE Create Form

## Appendix – Additional Guidance

For guidance beyond this document, please view the videos below or reach out to the applicable pre-award office below.

### Videos for Initiating/Creating a WBSE Create Form



WBSE Create Form – Creating  
WBSEs Using the Create Tool

<https://lms.duhs.duke.edu/Saba/Web/Cloud/goto/OfferingDetails?offeringId=dowbt00000000038372>

### Videos for Approving a WBSE Create Form



WBSE Create Form –  
Approving WBSE Create Forms

<https://lms.duhs.duke.edu/Saba/Web/Cloud/goto/OfferingDetails?offeringId=dowbt00000000038373>

If you would like to use the search function to find the videos in the LMS use the keyword WBSECREATE

### Contact Information

Topic	Central Department	Suggested Method of Contact
SOM/SON – General	Office of Research Administration (ORA)	<a href="https://medschool.duke.edu/research/research-support-offices/office-research-administration">https://medschool.duke.edu/research/research-support-offices/office-research-administration</a>
Campus – General	Office of Research Support (ORS)	ORS-Grant@duke.edu
Contracts	Office of Research Contracts (ORC)	contracts.b.management@mc.duke.edu ORC_Industry_Contracts@mc.duke.edu