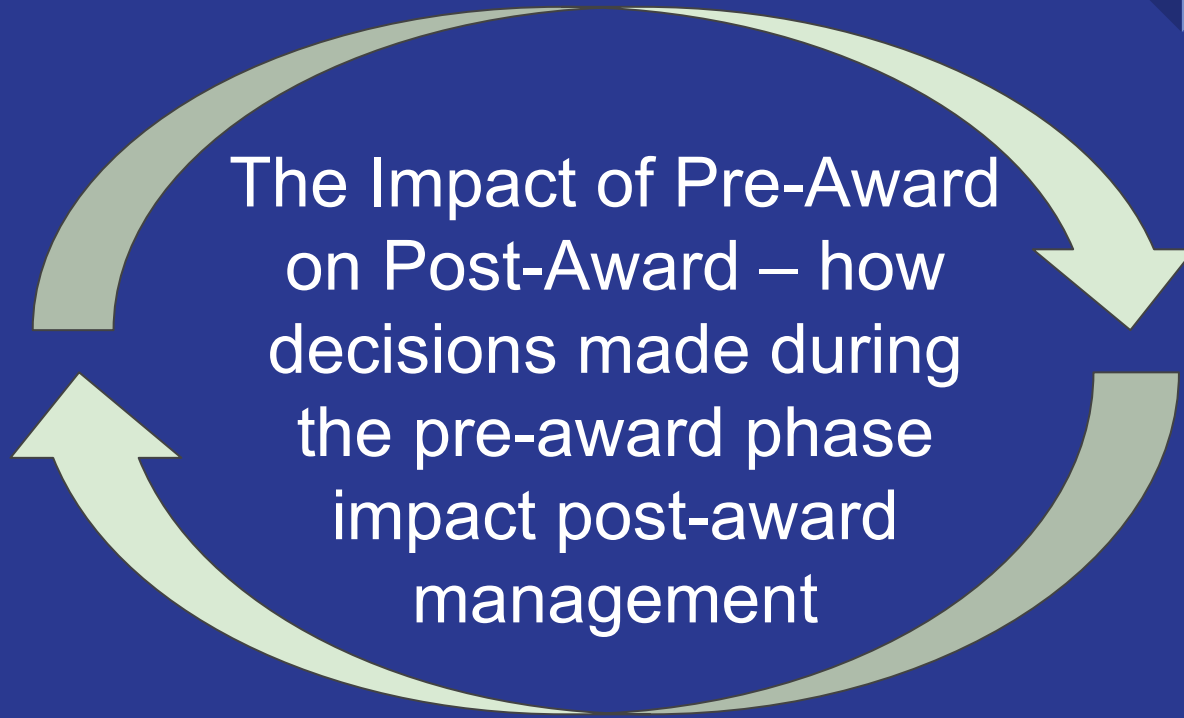


# Pre-award



# Post-award

# Speaker

Katherine Bui M.S., CRA



**Senior Clinical Trial Research Process  
Manager  
Research Management Group  
Stanford University**

# Objectives

## Objective 1

After this session, participants should be able to describe the activities of pre-award and post-award that make up the research administration life cycle.

## Objective 2

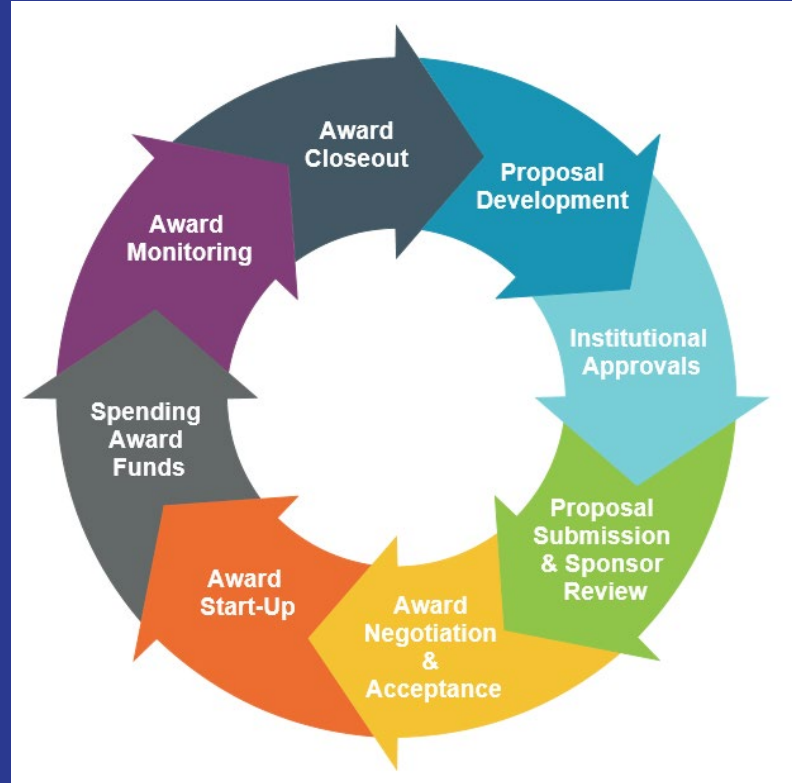
After this session, participants should be able to determine pre-award approaches to prevent post-award issues and how post-award can help pre-award processes.

# Polling Questions

- Do you do pre-award, post-award, or both?
- Are you in a central office or department?
- Do you think about post-award when doing pre-award?



# Phases of Sponsored Programs



# Phases of Sponsored Programs

Pre-award

Award

Post-Award



- Identify Funding Opportunities
- Prepare Budget and Proposal
- Proposal Submission
- Assists with Financial & Regulatory Compliance
- Maintains Proposal Submissions Database

# Phases of Sponsored Programs

Pre-award

Award

Post-Award



- Sponsor Negotiations
- Award Acceptance
  - Budget Set-up
- Financial Compliance
- Regulatory Compliance
- Maintain Grant Award Database

# Phases of Sponsored Programs

Pre-award

Award

Post-Award



- Fund Management & Project Monitoring
  - Cost Transfers & Re-budgeting
  - Sponsor reports
- Assist with Financial & Regulatory Compliance
  - Close-out
  - Audits

# Example #1

## Pre-award Details

- Your PI is working on an NIH proposal that uses an estimated 200 mice to study addiction to sugar. They will need supplies for the study and to “just budget the same amount as their last NIH trial that used 150 mice because that study had extra funding”. He does not give a specifics on what supplies are needed.
- They tell you they plan to have a collaborator in the statistics department complete a portion of the work and they will need 2 CAL months of effort (Co-I doesn't confirm effort).
- They tell you they want to travel to 1 conference a year, but they don't know where.
- No other personnel is budgeted.
- Last, they mention they may be up for a promotion in the next 6 months.

## Post-award Challenges

- Possible shortage in supplies
- Challenges with supplies not being well justified
  - Surprise the sugar given to the mice is M&Ms!
- Under budgeting for mice procurement
- Co-I not being able to commit to 2 CAL months due to being over committed
- Travel being under budgeted without specifics
- Potentially other personnel being needed to complete the SOW
- Underbudgeting salary for potential promotion

# Example #2







## Post-award Scenario

- Your PI was awarded a new study (yay!) and wants to set up a meeting to discuss personnel and plans for the study.
- In the meeting he let's you know a Co-I in another department who is critical to the study is moving to a new institution because they got a promotion and they want to keep them on the project.
- Additionally, their post-doc that has been around for 5 years is leaving in a few months and the PI wants to reassign the proposal work to a grad student.
- Your PI tells you they need to put an order in for a new piece of equipment before work can start, but equipment wasn't in the budget.

## Pre-award Opportunities

- In-depth conversations about personnel
  - know the personnel your PI typically works with on projects
  - Ask questions about cumulative support for personnel (or ask post-award RA)
  - Collaborate with RAs for Co-I in another department
- If your PI doesn't tell you they need equipment, still ask!

# Traditional Budget Categories and Proactive Planning

Personnel, Salary, Fringe, & Effort Commitments	Materials & Supplies	Subawards, Contracting & Consultants	Equipment	Travel	Patient Care Costs
 <ul style="list-style-type: none"><li>• Planning for promotions / merit increases</li><li>• Personnel identified to fulfill SOW</li><li>• Confirm effort for all senior personnel</li></ul>	 <ul style="list-style-type: none"><li>• Be specific to project</li><li>• Include rationale for supplies that are commonly unallowable</li><li>• Show breakdown in justification</li></ul>	 <ul style="list-style-type: none"><li>• Quicker setup (subaward packet, letter of commitment, quotes)</li><li>• Identified speciality needed</li><li>• Confirm consultant and not employee</li><li>• Foreign - consider exchange rates</li></ul>	 <ul style="list-style-type: none"><li>• Identifying vendor, cost, time to procure</li><li>• Understanding institutional threshold - budget appropriately</li><li>• Identify storage location</li><li>• Will a sole source justification be needed</li></ul>	 <ul style="list-style-type: none"><li>• Sponsor guidelines and regulations</li><li>• Identify number of personnel to travel</li><li>• Budget for appropriate destination of travel</li></ul>	 <ul style="list-style-type: none"><li>• Identifying standard of care costs versus research costs</li><li>• Identifying procedures for proper billing</li></ul>

# Traditional Budget Categories and Missteps Impacting Post-award

Personnel, Salary, Fringe, & Effort Commitments	Materials & Supplies	Subawards, Contracting & Consultants	Equipment	Travel	Patient Care Costs
<ul style="list-style-type: none"><li>• Under budgeted for actual salaries</li><li>• Unable to fulfill effort commitments</li><li>• Needing to re-identify senior key personnel</li></ul>	<ul style="list-style-type: none"><li>• Avoid general purpose items like “office supplies”.</li></ul>	<ul style="list-style-type: none"><li>• Delayed start-up to handle obtaining proper documentation</li><li>• Under budgeting if cost not previously identified or properly calculated</li></ul>	<ul style="list-style-type: none"><li>• Delays to procure equipment</li><li>• Not having approvals for planned storage location</li><li>• Needing renovations to accommodate equipment</li></ul>	<ul style="list-style-type: none"><li>• Under budgeting travel</li><li>• Awareness of safety of destination</li><li>• Budgeting for destination that isn't compliant.</li></ul>	<ul style="list-style-type: none"><li>• Under budget for procedures</li><li>• Compliance issues billing something that isn't SOC to insurance</li><li>• All patients treated the same</li></ul>

**REMEMBER**



Costs in Pre-award and Post-award Must Be:

**ALLOWABLE**

**REASONABLE**

**ALLOCABLE**

**CONSISTENT**

**SURPRISE!**

**there is cost-share  
in this project!!**



A hand holding a black marker is writing the words "Cost Sharing" in a large, cursive, black font on a white surface. The hand is positioned at the bottom right of the text, with the marker tip touching the end of the word "Sharing".

# Cost Sharing

- Definition: Any portion of the total costs of a project or program not borne by the sponsor.
- Types:
  - (1) Mandatory Cost Share
  - (2) Voluntary Committed Cost Sharing
  - (3) Voluntary Uncommitted Cost Sharing
- In-Kind vs. Cash Cost Share
- Examples: Salaries, wages, fringe benefits, supplies, acquisition cost of equipment necessary to perform proposed work, travel, F&A cost applicable to shared costs
- Costs that CANNOT be committed:
  - Facilities costs
    - Buildings or space leased or rented
    - General purpose equipment
    - Equipment in possession at the time a proposal is submitted

# Cost-Share in Pre and Post-Award



- Document specific use of cost sharing in Pre-award
  - Obtain necessary letters of commitment and share with post-award
  - Inform Post-award and request separate account to track expenses
  - Track cost share during post-award to ensure the commitment will be fulfilled at the end of the project
-



How Can We  
Collaborate?!

# How Post-award Can Help During Pre-award

- Attend pre-award budget meetings to provide guidance to pre-award and PI
- Help PI think beyond the “Pre-award” / “Post-award” box
  - Ask who, what, when, where, and Why questions
- Speak up if there have been issues in post-award on a project
- Use data to make informed decisions
- Collaborate with pre-award on understanding NOA / changes from proposal
- Understand the facilitation of studies to identify gaps in budget for SOW



# How Pre-award Can Help During Post-award



## Clear and Well Written Documents

- Budget justification
- Meeting notes and emails
- Emails with sponsor
- Save quotes and estimates



## Establish Shared Files System

- One Drive
- Google drive
- Internal shared files
- Cc'ing partners on emails to share information



## Make Connections

- Vendors and Consultants
- Collaborators
- Service providers
- Co-Investigators
- Subawards

# Phases of Sponsored Programs

Pre-award

Award

Post-Award

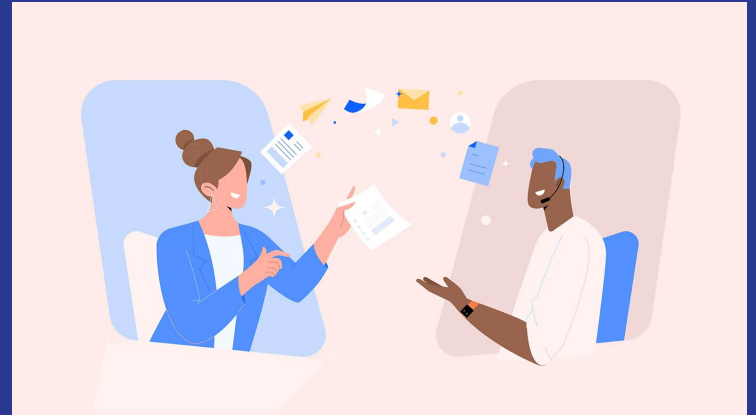


**The Hand-Off!**



# Pre-Post Award Hand-off

- **Meet**
  - PI, Department Administrator, Pre-Award, Post-Award
  - In-person or
  - Conference call
- **Documents Needed**
  - Submitted Proposal
  - Institutional Approval Forms
  - Regulatory Compliance forms
  - Sponsor Award Notice
  - Award Institutional Account Information



# Pre-Post Award Hand-off

- **Review Award Document**

- Personnel and Effort
- Subcontracts to be set-up
- Major Equipment purchases
- Compliance requirements
- Types of sponsor reports
- Timelines for sponsor reports
- Cost sharing requirements
- Other terms and conditions



# What Does Hand-Off Look Like at Your Institution?



**Documentation**

**Start Early and  
Plan**

**KEY  
TAKEAWAYS**

**Collaboration**

**Think about  
operationalizing  
pre-award into  
post-award**

**Keep an open mind  
and evolve your  
pre-award  
approaches**

# Questions?

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