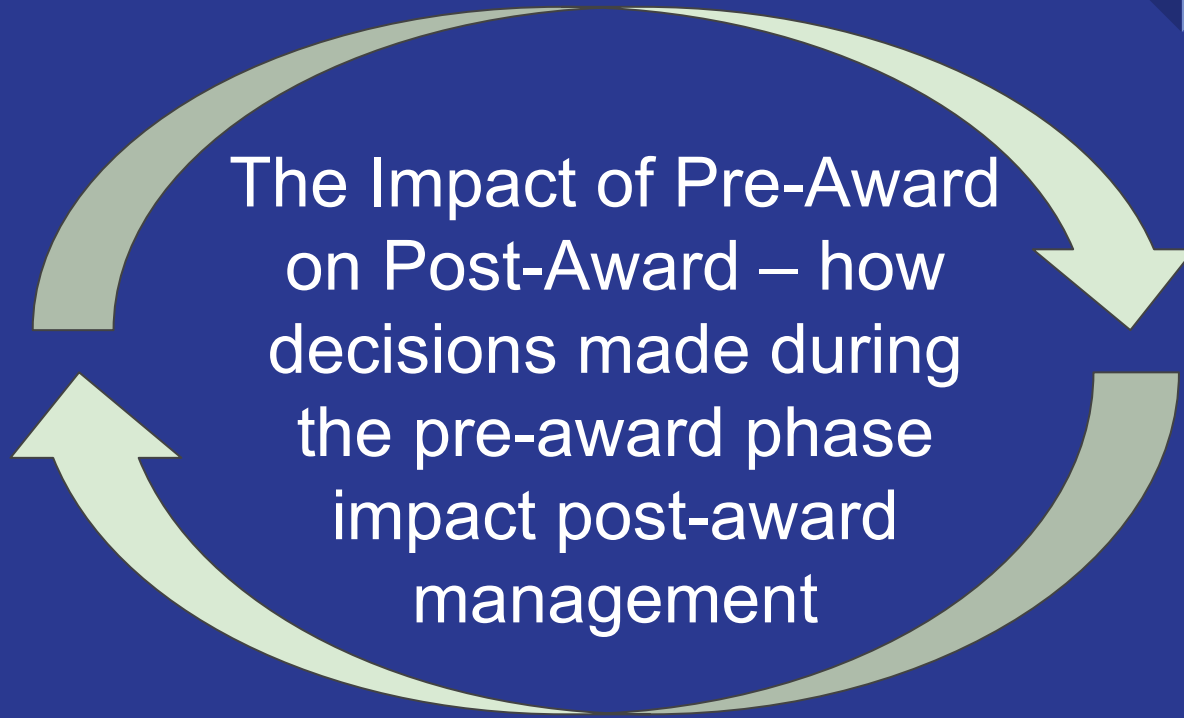


# Pre-award



# Post-award

SRAI Western / Midwestern  
Meeting 2025

# Speakers

Katherine Bui M.S., CRA



Clinical Trial Research Process Manager  
Research Management Group  
Stanford University

Janet Stoeckert M.A.



Senior Administrative Director  
Research Administration  
Keck School of Medicine  
University of Southern California

# 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

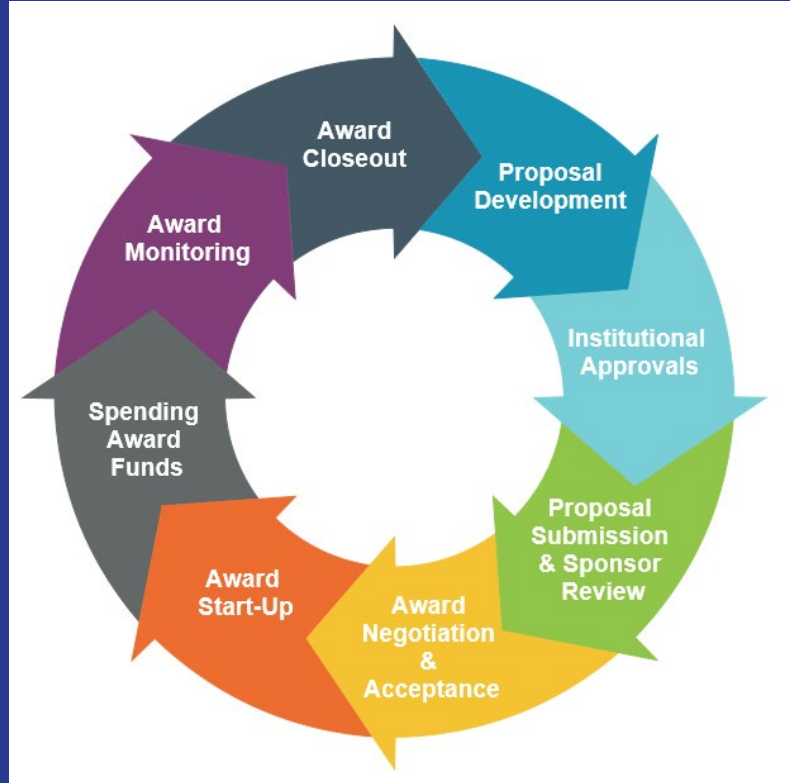
After this session, participants should be able to determine pre-award approaches to prevent post-award issues and how post-award can help pre-award processes.

# 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

# 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>

# Examples of Pre-award Missteps that Impact Post-award - Grants (reimbursement perspective)



## Pre-award

- Key personnel over 100% committed
- Budget not consistent with project narrative
- Budget Justification not consistent with budget content
- Unallowable Costs- review the guidelines multiple times
- Accidental Voluntary Cost Share

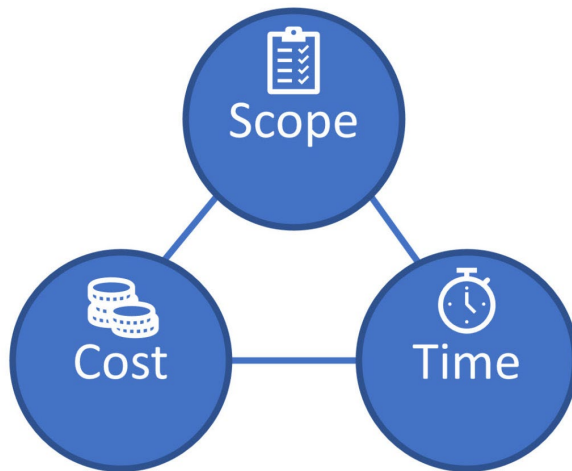
## Post-award

- Carryforward / timing / spending doesn't happen when originally planned
- Monitor budget and provide projections to help with minimizing carryforward needs

# Examples Clinical Trials (Fixed Cost perspective)

## Pre-award

- *Scope*: Are virtual visits needed?
- *Cost*: What level of hospitalization is needed?
- *Time*: How much time is needed for patient recruitment?
- *Language*: Are payment terms administratively burdensome?



## Post-award

- *Scope*: Amendment to budget for change to include virtual visits.
- *Cost*: Actual hospitalization billing higher and gap in per patient budget
- *Time*: Years needed for recruitment that wasn't budgeted or planned.
- *Language*: Payment terms prevent invoicing for costs due to terms agreed upon.

# REMEMBER



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

**ALLOWABLE**

**REASONABLE**

**ALLOCABLE**

**CONSISTENT**

**SURPRISE!**

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



A close-up photograph of a person's hand holding a black marker, writing the words "Cost Sharing" in a large, bold, cursive script on a white surface, likely a whiteboard. The hand is positioned at the bottom right of the text, with the marker tip just finishing the underlining stroke under 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
- 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

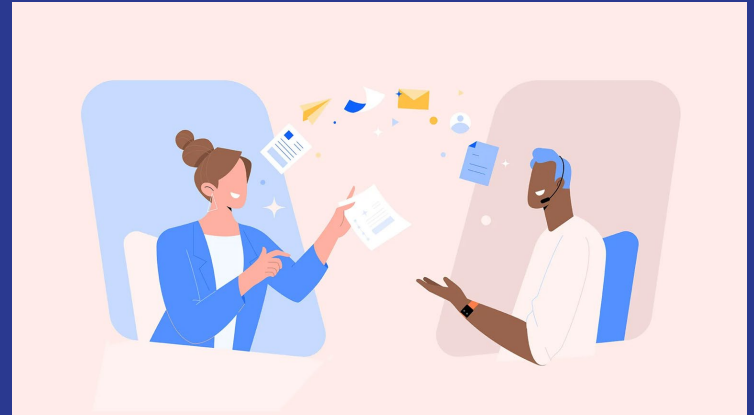


**The Hand-Off!**



# Pre-Post Award Hand-off

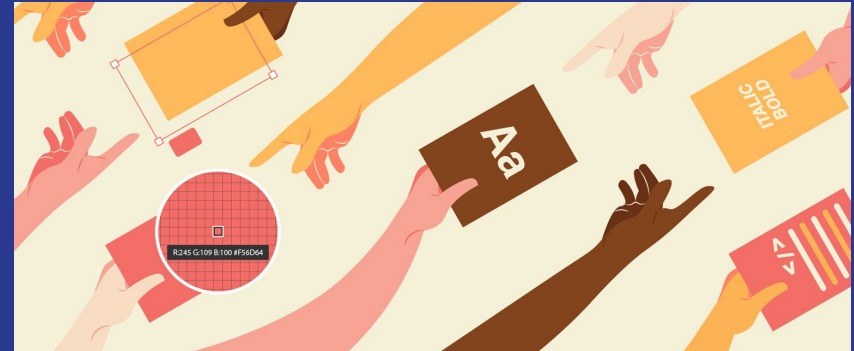
- **Meet**
  - PI, Department Administrator, Pre-Award, Post-Award
  - In-person or
  - Conference call
- **Documents Needed**
  - Submitted Proposal
  - Institutional Approval Forms
  - Regulatory Compliance forms
  - Sponsor Award Notice
  - Award Institutional Account Information



# 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?





# KEY TAKEAWAYS

**Documentation**

**Start Early and  
Plan**

**Collaboration**

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

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

# Questions?

## Contact Information:

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