Better Together: When Pre-Award Becomes a Post-Award Activity

Speakers

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Session Objectives

➢ Provide examples of common post-award issues

➢ Determine potential solutions in the pre-award process to avoid the common post-award issues

➢ Describe different perspectives on the proposal to award lifecycle to increase collaboration and understanding

Poll Question 1

Do you work in pre, post, both, or something else?

☐ Pre-Award

☐ Post-Award

☐ Both Pre- and Post-Award

☐ Something else
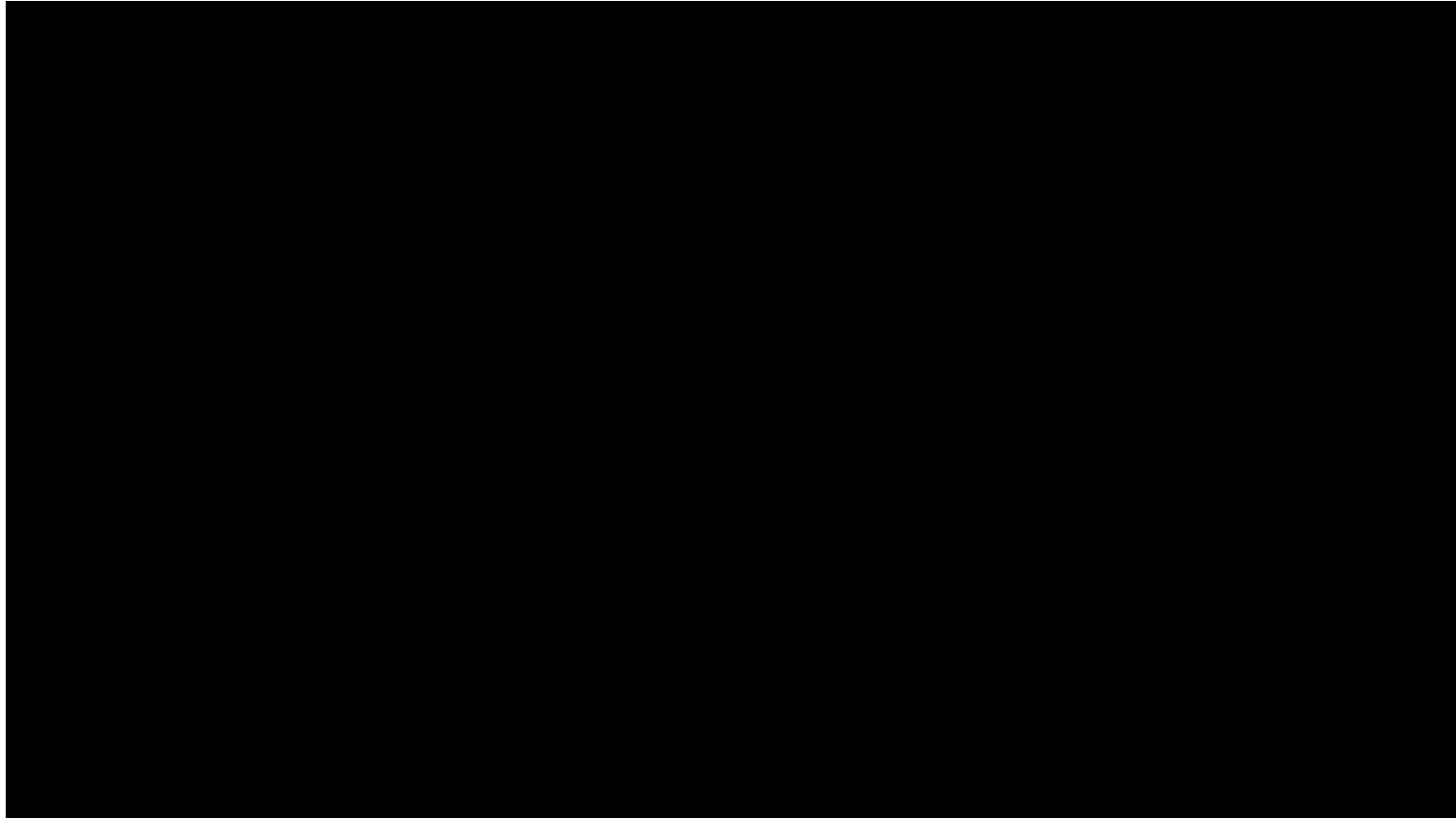
Poll Question 2

What is the most important part of pre-award that can positively impact post-award?

☐ Quality budget

☐ Communication with PI

☐ Coordination between department and central research administration offices

☐ Proposal not selected for funding

WHEN PRE-AWARD BECOMES POST-AWARD

Video: If Only It Were That Simple

When Pre-Award …

Delays in no-cost extensions or negotiation of continuing awards

- ✓ Cost overruns/ Deficit spending on existing awards. Post-award can't bill or draw funds
- ✓ Financial reports can't be properly completed.
- ✓ Inadvertent closing of award that will be extended
- ✓ Compliance with reporting can be delayed or missed.
- ✓ "Burn–rates" are not calculated properly.

when you compare your goals and your budget

Becomes Post-Award…

Close Out Concerns

➢ Expiration of project notices

    ➢ What happens when the balance of unused funds to significantly high?

    ➢ What happens if the account is expiring and already in deficit?

    ➢ How does the institution manage these anomalies? Who takes responsibility for working with the Principal Investigators or the administrators?

    ➢ Final Report Requirements

    ➢ Who is coordinating final reports? Technical, invention disclosures, property reports, trademarks?

Coordination between "Pre" and "Post"

➢ Building a culture of compliance is key.

➢ Understanding the risks to the institution makes it clear to everyone.

  ➢ Use audit reports to stress the risk in dollars and reputations.

➢ The availability of staff in both areas is essential.

  ➢ Do you require folks to "sign on" to Zoom or Teams every day? Can they be reached easily no matter where they are physically located?

➢ Does each office have an expert in areas that generate the most questions? i.e., Uniform Guidance, salary cap, NIH, NSF, etc.?

➢ How are your offices perceived by the research community? Will the business folks come to you first? How do you build that trust?

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PRE-AWARD STRATEGIES

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Pre-Award Strategies to Prevent Post-Award Issues

➢ Communication channels between central offices, departments, department administrators, Pis

➢ Conducting thorough proposal reviews
  ○ Compliance with sponsor policies, institutional policies, and applicable regulations
  ○ Building partnerships with colleagues during pre-award stage

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SUBAWARDS

Pre-award tasks ➡ Post-award processes

Subaward is the AWARD provided by a pass-through entity (prime) to a **subrecipient** (non-federal entity receiving the funds) to carry out part of an award.

- The subaward is legally binding agreement

- The subrecipient uses their own infrastructure to conduct the work

- Pre-award

  ➢ Determine if a subrecipient or contractor
  ➢ Risk Assessment
  ➢ If subrecipient - SOW, Budget, Budget justification, Bios, Letter of Commitment [NIH new subaward guidelines](#) effective October 1, 2023
  ➢ JIT
  ➢ Award acceptance - Pre notify post on any unusual terms and conditions

Pre-award tasks ➡ Post-award processes

Post-Award
- ➢ Terms and Conditions of subaward agreement (does it align with proposal submitted)
- ➢ Execute agreement (check sub is not on any government list of ineligible to receive funding)
- ➢ PO is assigned and set up in accounting system
- ➢ Award management and subrecipient monitoring
- ➢ Close out

AWARD LIFE CYCLE

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Perspectives on Proposal to Award Life Cycle

➢ Find funding
   ○ Usually done by PI working with the pre award office
➢ Preparing the Proposal
   ○ DRA, PI and Pre-award team
➢ Setting up the Award
   ○ Review NOA, set up subawards, review budget limits
➢ Managing the Award
   ○ Pre-award and Post-award team working directly with DRA and PI. Understand terms and conditions of the award and compliance
➢ Closing out the Award
   ○ DRA PI and Post-award team

COLLABORATION

Strategies for Collaboration and Understanding

Collaboration is key

➢ Pre-Award must anticipate the needs of Post-Award
➢ Communication between pre- and post-award related to specific terms and conditions
➢ Not "us versus them" Work to minimize and disconnects
➢ Interact regularly (Pre-Award, Post-Award, Departmental and PIs)
➢ Utilize pre-award as a resource if there is a question during post-award
➢ Obtain feedback - what is working, what is not working

SUMMARY

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Summary

➢ Real risk

➢ Follow guidelines and policies in pre-award

➢ Understand award lifecycle

➢ Open and frequent communication with all stakeholders

➢ Do not wait to address post-award issues

Thank you for joining us!

The after show will begin at 3:35

3:35

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