

# Welcome to the Tri-University Research Administration Conference.

Your session will begin shortly. While you wait, please review the following reminders::

## Zoom Troubleshooting

### Issues with Audio

Verify that your microphone and speakers are set to the appropriate device.

Turn off headset/computer speakers and call in by phone for audio.

### General Issues

Log off and log back in using SSO.

### Technical Support

Call 480-965-9065 Ext 1.

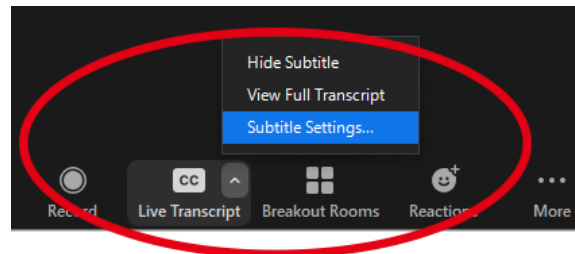
## About this Session

### Recording

Today's session is being recorded and will be made available for later viewing

### Closed Captioning

The Closed Caption/Live Transcript feature has been enabled. You can show/hide the CC via your meetings controls located at the bottom of your screen.



## We'd Love Your Feedback!

At the end of this session, you will receive a Qualtrics survey link. Please take 2-3 minutes to complete the survey. Your feedback is important for continuous improvement of the Tri-University Research Administration Conference (TURAC).

# Land Acknowledgement

The **Arizona State University (ASU)** acknowledges the twenty-three Native Nations that have inhabited this land for centuries. Arizona State University's four campuses are located in the Salt River Valley on ancestral territories of Indigenous peoples, including the Akimel O'odham (Pima) and Pee Posh (Maricopa) Indian Communities, whose care and keeping of these lands allows us to be here today. ASU acknowledges the sovereignty of these nations and seeks to foster an environment of success and possibility for Native American students and patrons. We are advocates for the incorporation of Indigenous knowledge systems and research methodologies.

**Northern Arizona University** sits at the base of the San Francisco Peaks, on homelands sacred to Native Americans throughout the region. We honor their past, present, and future generations, who have lived here for millennia and will forever call this place home.

We respectfully acknowledge the **University of Arizona** is on the land and territories of Indigenous peoples. Today, Arizona is home to 22 federally recognized tribes, with Tucson being home to the O'odham and the Yaqui. Committed to diversity and inclusion, the University strives to build sustainable relationships with sovereign Native Nations and Indigenous communities through education offerings, partnerships, and community service.





# How to Treat the T&C with TLC at the Department Level

Lisa Allen – Arizona State University

Kristen Heck – Arizona State University

# T&Cs to be aware of

- Cost Share Commitments
  - Tracking through life cycle of the project
- Unusual termination clauses
- Carryforward not allowed or not automatic
- E-verify requirements (FAR 52.222-54)
- Disengagement from the project (25% or more reduction of key personnel - 2 CFR 200 § 200.308 (c)(3))
- Restriction on rebudgeting participant support costs (2 CFR 200 § 200.308 (c)(5))

# T&Cs to be aware of, cont.

- Restrictions to rebudgeting more than x%, based on sponsor
- Intellectual Property rights
- Export Controls & International Traffic in Arms Regulations (ITAR)
- Utilization of Small Business Concerns (FAR 52.219-8)
- Property ownership (FAR 52.245-1)
- Prior approval requirements
- Choice of Law
- Publication Restrictions

# Connecting with Central on T&Cs

- Pre-award/Award
  - Communication during negotiation of terms and conditions
  - Central email pointing to specific T&Cs
  - New Award Meetings with central, dept, and researcher(s)
- Post-award
  - Cost Share
  - Invoicing needs
  - Procurement - SBC
  - Fixed Price vs Cost Reimbursable
  - Carryforward - separate accounts?
  - NCE request

# Brain Storming

How do you disseminate T&C at your institution?

What have been the successes or challenges you have experienced related to dissemination of T&Cs?

Intentionally left blank



### AWARD CHARACTERISTICS

<b>No Cost Extension (NCE) Necessary:</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	NCE Deadline:	
<b>Carryforward:</b>	Automatic: <input type="checkbox"/> YES <input type="checkbox"/> NO	Request Required:	<input type="checkbox"/> YES <input type="checkbox"/> NO
*Spending is limited year by year so it may require initiating an at-risk each year. Please contact your Post award Research Administrator for more information.			
<b>Intellectual Property:</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	Page #:	
Notes:			
<b>Prior Approval Requirements:</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO	Page #:	
Notes:			

## RESEARCH INTEGRITY & ASSURANCES

### Protocols

IRB Protocol (Human Subjects)

YES  NO

Notes

IACUC Protocol (Animals)

YES  NO

Notes

IBC Protocol (Biohazardous Materials)

YES  NO

Notes

No funds will be released if the protocol is not current.

Submit and renew your protocols as required.

Information regarding Research Compliance Policies can be found here: <https://researchintegrity.asu.edu/>

Foreign Component			
Foreign Element	<input type="checkbox"/> YES <input type="checkbox"/> NO	Country	Restricted <input type="checkbox"/> YES <input type="checkbox"/> NO
Notes			
<ul style="list-style-type: none"> <li>• ORIA Export Controls and security information: <a href="https://researchintegrity.asu.edu/export-controls-and-security">https://researchintegrity.asu.edu/export-controls-and-security</a></li> <li>• All air travel funded by federal government are required to use a "U.S. flag" air carrier services. For more information you can access the <a href="#">Fly America Act</a>.</li> <li>• ASU's Approved <a href="#">Foreign Conversion Site</a></li> </ul>			
Publications			
Publication Restrictions:	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Restriction Detail:			
Conflict of Interests			
Conflicts of Interest Applies to this Project:	<input type="checkbox"/> YES <input type="checkbox"/> NO	COI Management Plan Approved:	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> NA
COI Information:			
<ul style="list-style-type: none"> <li>• Initial disclosure/COI Training required</li> <li>• Submit Annual COI Disclosures</li> <li>• Key Personnel disclosures required</li> </ul>			
Other Research Compliance Considerations:			
<ul style="list-style-type: none"> <li>• NIH- The <a href="#">NIH Public Access Policy</a> requires PIs to submit final peer-reviewed journal manuscripts that arise from NIH funds immediately upon acceptance for publication.</li> <li>• NSF- NSF awards require Responsible Conduct of Research (RCR) training. All personnel on NSF awards are required to complete CITI Training.</li> </ul>			

**REPORTING & DELIVERABLES**

<b>Annual/Interim Reporting:</b>	
<b>Final Reporting:</b>	
<b>Project Deliverables:</b>	

**BUDGET CHARACTERISTICS**

<b>Budget Revision Required:</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
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Position Accounting			
Position Accounting Update Required:	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Personnel Name:		Percentage of Effort:	
Adjustment Period (i.e. fall semester):			



Personnel Name:		Percentage of Effort:	
Adjustment Period (i.e. fall semester):			
Personnel Name:		Percentage of Effort:	
Adjustment Period (i.e. fall semester):			
Personnel Name:		Percentage of Effort:	
Adjustment Period (i.e. fall semester):			
Personnel Name:		Percentage of Effort:	
Adjustment Period (i.e. fall semester):			

Cost Share			
Cost Share:	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Cost Description (ex. Personnel, Tuition, F&A)			Total (\$)
<ul style="list-style-type: none"> <li>Review Cost-sharing commitments in proposal/award: <a href="https://researchadmin.asu.edu/cost-sharing/manage-commitments#General%20Information">https://researchadmin.asu.edu/cost-sharing/manage-commitments#General%20Information</a></li> <li>Review Cost-sharing Basics: <a href="https://researchadmin.asu.edu/cost-sharing">https://researchadmin.asu.edu/cost-sharing</a></li> <li>Maintain documentation for cost-sharing by department or third party</li> <li>Cost share agreement is approved by the Dean and/or Provost at submission.</li> </ul>			
Consultants			
Consultant(s):	<input type="checkbox"/> YES <input type="checkbox"/> NO		
Name:		Email:	
Total Cost:			
Period of Performance:		Named in Proposal:	<input type="checkbox"/> YES <input type="checkbox"/> NO
Name:		Email:	
Total Cost:			
Period of Performance:		Named in Proposal:	<input type="checkbox"/> YES <input type="checkbox"/> NO
Name:		Email:	
Total Cost:			
Period of Performance:		Named in Proposal:	<input type="checkbox"/> YES <input type="checkbox"/> NO
Name:		Email:	
Total Cost:			

<b>Period of Performance:</b>		<b>Named in Proposal:</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO
<ul style="list-style-type: none"> <li>Review <a href="#">Consultants RSP 503-03</a> and <a href="#">FIN 421-01</a> on how to pay Consultants and Independent Contractors.</li> <li>For less than \$25,000 the RA will complete REQ in Workday. For greater than \$25,000 we must follow ASA and or Federal Procurement requirements (if applicable).</li> <li>Independent Contractor Information: <a href="https://cfo.asu.edu/independent-contractor-information-faqs">https://cfo.asu.edu/independent-contractor-information-faqs</a></li> </ul>			
<b>Subcontracts</b>			
<b>Subcontracts:</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO		
<b>Institution:</b>		<b>Grant Acct. #</b>	
<b>PI:</b>		<b>Email:</b>	
<b>Period of Performance:</b>		<b>Total Award:</b>	
<b>Institution:</b>		<b>Grant Acct. #</b>	
<b>PI:</b>		<b>Email:</b>	
<b>Period of Performance:</b>		<b>Total Award:</b>	
<b>Institution:</b>		<b>Grant Acct. #</b>	
<b>PI:</b>		<b>Email:</b>	
<b>Period of Performance:</b>		<b>Total Award:</b>	
<b>Institution:</b>		<b>Grant Acct. #</b>	
<b>PI:</b>		<b>Email:</b>	
<b>Period of Performance:</b>		<b>Total Award:</b>	
<ul style="list-style-type: none"> <li>Review PI roles &amp; responsibilities with subcontracts: <a href="https://researchadmin.asu.edu/subawards/roles-responsibilities">https://researchadmin.asu.edu/subawards/roles-responsibilities</a></li> <li>Monitor Subcontract Performance. A monitoring package will be provided to you for each subcontract. Refer to the subcontract for monitoring policy for more information.</li> <li>Subaward Procedures and Forms: <a href="https://researchadmin.asu.edu/subawards/during-award">https://researchadmin.asu.edu/subawards/during-award</a></li> <li>Additional Subrecipient Information: <a href="https://researchadmin.asu.edu/subawards/subrecipient-information#Management%20and%20Monitoring">https://researchadmin.asu.edu/subawards/subrecipient-information#Management%20and%20Monitoring</a></li> </ul>			

## POST AWARD ACCOUNTING

1. Review Grants Accounting policies and procedures
2. Inception-to-date financial reports
  - Request FMS Workday Access for all personnel that will review financial reports.
  - Contact your Research Administrator for training and using reports. Contact ORSPA if you need access to a grant.
3. Personnel
  - Hire personnel according to Human Resources Department Procedures
  - Process payroll and time according to Payroll and Department Procedures.
  - Review [Recruitment & Hiring Information](#)
4. After-the-Fact Reports Review
  - Ensure that all faculty and monthly staff charging to the grant are aware of after-the-fact reporting requirements.



- Certify compensation within 45 days as required by the protocol.

#### 5. Expenditures

- Expenditures must be allowable on the grant.
- Provide appropriate documentation and obtain CHS approvals.
- Get P-Card
- Recharge Center Expenses
- Open Purchase Orders
- [PUR 301: Methods of Procurement and Dollar Limits](#)
- Federal Procurement Checklist: <https://www.asu.edu/purchasing/pdf/Federal-Procurement-Checklist.pdf>
- For Requisitions and Reimbursement Requests access the [Purchasing PowerForm](#)

#### 6. Contractors & Subcontracts

- Consult RA to initiate Supplier Registration for any new consultant involved in your research
- Verify invoices reflect work conducted for the period within the scope of work.
- Initiate new contract annually for year-by-year agreement. ORSPA will not initiate.
- Verify scope of work has been completed and all deliverables met before approving final invoice.
- Ensure invoices are received before the final closeout.

**CLOSEOUT**

ORSPA will send a Project Expiration notice 90 days prior to the end of the award. Please complete and return to ORSPA within 10 days of receipt.

Review the Project Management Closeout Checklist and initiate required actions for closeout

**FOLLOW UP REQUIRED**

Task	Assigned To

**ADDITIONAL DOCUMENTS INCLUDED**

Budget:	<input type="checkbox"/>	Justification:	<input type="checkbox"/>	Award Agreement/NOA:	<input type="checkbox"/>
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**PRINCIPAL INVESTIGATOR (PI) SIGNATURE**

SIGNATURE:	
DATE:	

# Challenges of Poor or No Dissemination

- Confusion on everyone's part
- Non-compliance during the life cycle
  - reduced PI effort without prior approval
  - unallowable spending
  - return of funding to sponsor
- Problems with close-out
  - cost share not met
  - late progress reports
  - deliverables not met (or not on time)
- Potential loss/hold of funding to the entire institution

# Successes of Proper Dissemination

- Open communications and willingness to engage each other during the life cycle of grant
- Smoother programmatic operations
- Everyone is informed of sticky points in advance and can comply
- PI and project personnel are knowledgeable about resources available to them
- Build trust, strong relationship and culture of support

# Scenarios

- Faculty reduced effort from 25% to 4% and certified this in the progress report. Is this an issue? If yes, why?
- Capital equipment purchased with grant. PI verbally promised the equipment to the vendor. Agreement stated that institution owns. Inventory control says no, no, no. What are the potential impacts?
- Unnamed foreign consultant. What are the potential impacts?

# Resources

1. [Sponsored Agreements: Tricky Negotiations and Troublesome Clauses](#)
2. [Troublesome Clauses](#)
3. [Agreement Considerations](#)
4. [Checklist of Required Elements in an Externally Sponsored Contract/Agreement](#)



**We appreciate your feedback!  
Please complete the surveys.  
Thank you!**