



Making Pre-Award Decisions for Post-Award Success. Guide to Budget Development and the Mindful Impact of Post-Award

Land Acknowledgement Statement

“Arizona State University, Northern Arizona University, and the University of Arizona collectively acknowledge that the campuses are situated on the ancestral lands of twenty-two federally recognized tribes located across Arizona. These universities collectively honor the past, present, and future generations of Native Americans, who have lived here for millennia and will forever call this place home. Committed to diversity, the institutions integrate Indigenous knowledge into their practices and strive to cultivate sustainable relationships with Native Nations through education, partnerships, and community service.”





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Learning Objectives



Participants will obtain a better understanding of how budgeting at pre-award may impact post-award.



Participants will learn strategies for tackling some of the unique budget challenges to minimize the impact on post-award management.



Participants will understand the importance of communication between pre-award and post-award for effective award management.

RESEARCH ADMINISTRATION

DIVE INTO THE CRAZY

What is YOUR role?



Pre-Award Challenges



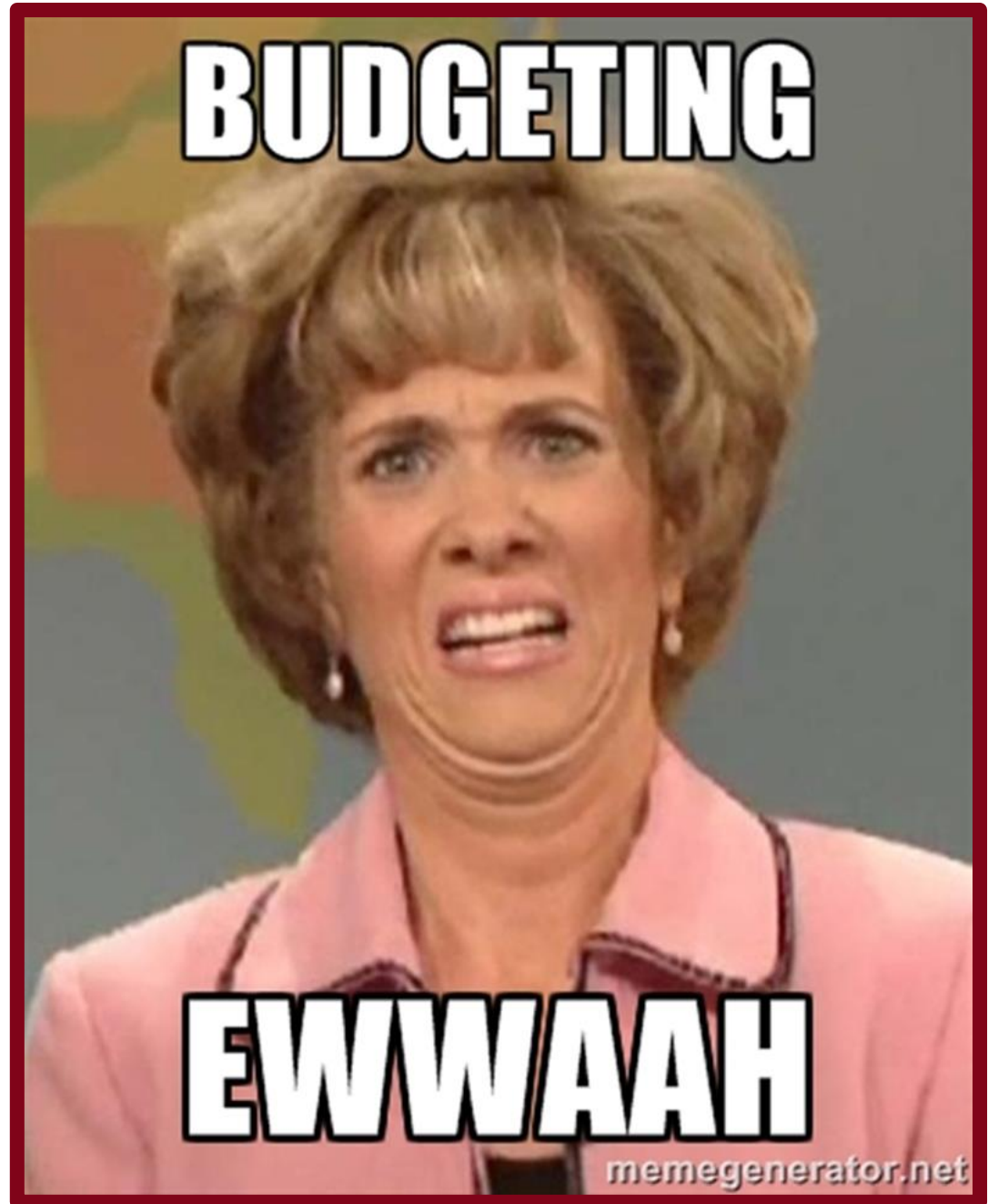
- Rushed or last-minute proposal
- Limited funding
- Scope of work not fully developed
- Using old budgets
- Budgeting to avoid documentation requirements
- Not the only proposal we have

Post-Award Challenges

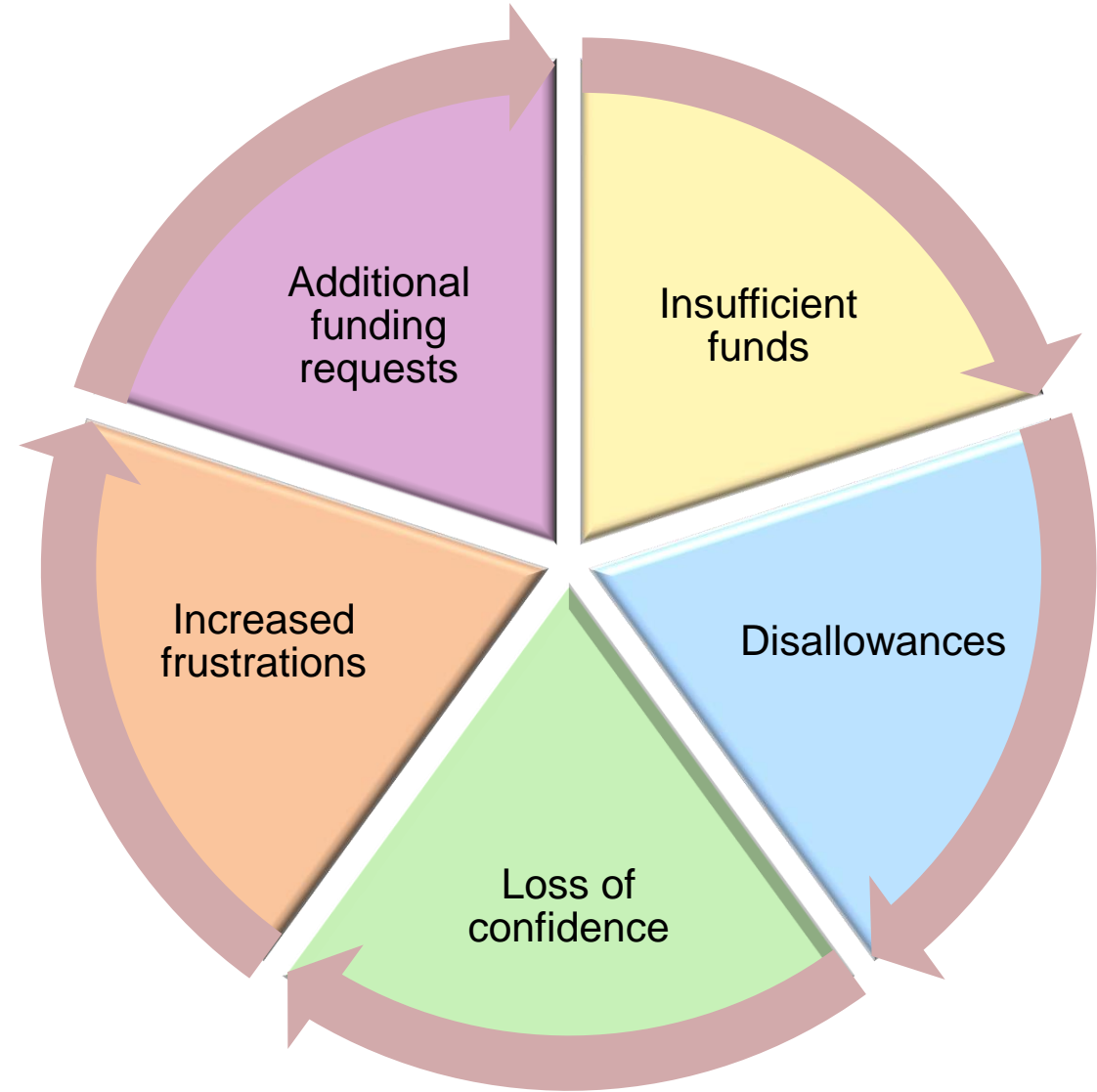


- Estimates vs Actuals
- Constant re-budgeting for unexpected costs
- Not enough funds to support the project needs
- Time consumed in trying to understand how to handle an expense/purchase

It's a Struggle



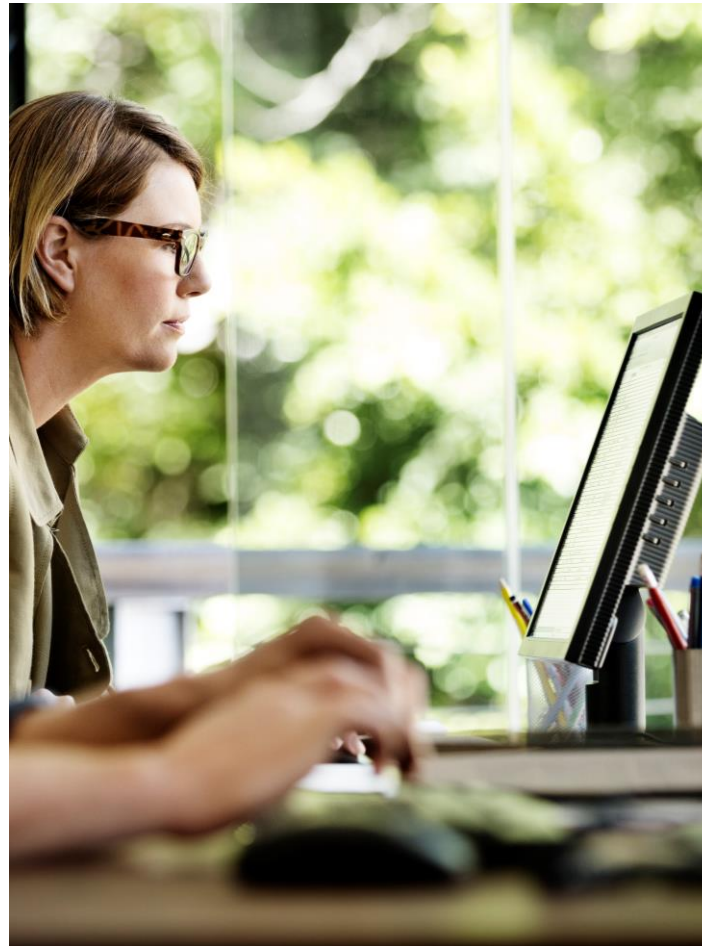
Impact on Post Award



Personnel

- **Potential Impacts**

- Increase in budget costs due to
- incorrect position type
- Decrease in budget resulting in a low burn rate
- Different ERE rates, tuition, & salary amount
- Unallowable costs



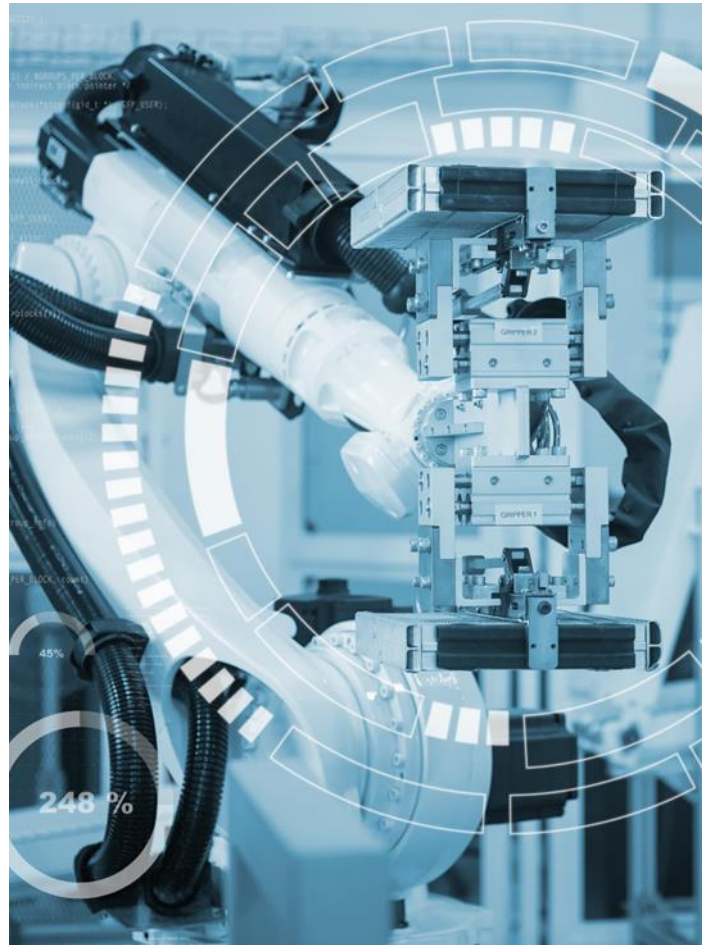
- **Potential Strategies**

- Explain differences in associated costs for position types
- Create a visual table that outlines standard costs for common positions
- Avoid budgeting TBD personnel when possible
- Avoid using goal seek for budgeting hourly

Capital Equipment

- **Potential Impacts**

- Insufficient funds for unaccounted costs (custom fees; renovation, installation, freight)
- Not truly capital equipment resulting in unexpected full F&A
- Only partial costs are capitalized resulting in some unexpected F&A



- **Potential Strategies**

- Ask specific questions to help generate more thought about the purchase
- Talk with your post award administrator to help identify potential issues or unaccounted costs
- Go with your gut and budget with F&A if its not clear
- Review quotes as early as possible to identify hidden costs
- If no quote or sufficient time be sure to communicate possible negative impacts to budget at award

Subcontracts

- **Potential Impacts**

- Additional administrative burden
- Increase in unexpected institutional costs
- Unallowable costs
- Difficulty in covering costs due to delays
- Behind on project spending



- **Potential Strategies**

- Communicate with PIs about best practices and budgeting collaborators appropriately based on role
- Be aware of go/no go milestones and think about impact if milestones are delayed or not met
- Avoid assumptions. Assuming leads to additional/unexpected costs
- Work closely and often with Industry sponsors in budget development

Participant Support

- **Potential Impacts**

- Disallowance of certain expenditures
- Possible reduction in funding
- Audit findings



- **Potential Strategies**

- Ask questions
- Ensure the activity you are budgeting is truly participant support
- Seek guidance from your post-award administrator
- Understand sponsor guidance
- Explain the risks to faculty

Cost Share

- **Potential Impacts**

- Over/under commitments
- Challenges in meeting invoicing requirements timely
- Increase/decrease in commitments making additional work for tracking and problem resolution



- **Potential Strategies**

- Ask questions
- Understand sponsor requirements for cost share
- Budget based on when the project needs the items
- Ensure items are trackable, allowable, and incurred during the period of performance

Other Costs

- **Potential Impacts**

- Increase in unexpected costs due to incorrect rates used
- Difficulty in providing back-up to sponsor/justifying costs
- Unallowable expenses/additional effort in obtain approvals



- **Potential Strategies**

- Understand where the sponsor budget categories will expense in your system for reporting
- Check sponsor requirements for prior approval to rebudget
- Communicate any potential impacts to budgets if not fully costing out the budget.

Summary

Stay Proactive

Balance

Communicate

Learn

Be Prepared



Questions?

Tri-University

Research
Administration
Conference



Thank You!

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