



# TURAC 2024<sup>+</sup>

Connection • Collaboration • Cohesion

**Managing Fruitful Research Collaborations  
with External Partners**

April 17, 2024

# 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.”*





# Managing Fruitful Research Collaborations with External Partners

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# Learning Objectives



Provide a better understanding of the potential challenges that may arise when working with domestic and international collaborators.



Share best practices for both pre-award and post-award perspectives when working with external partners regardless of the organizational type.



Share helpful tips and best practices for sub-recipient monitoring.

What Do You  
Hope to Learn?

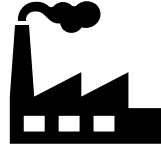


# Who Are We Working With?



Universities & Other Non-Profit Institutions

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Industry or Small Business

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Hospitals & Medical Organizations

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National Laboratories/ Federally Funded Research and Development Centers (FFRDC)

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International Organizations

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Consultants

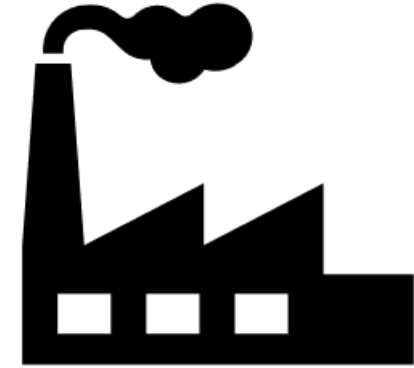
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# Potential Collaboration Challenges



## Universities & Other Non-Profit Organizations

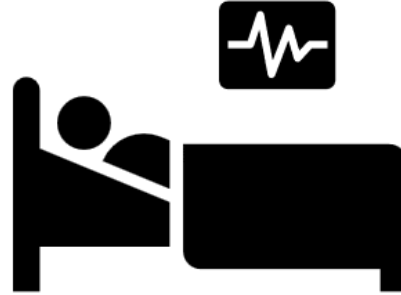
- Varying Organizational Structures
- Strict Timelines
- Need to Cover All Expenses.
- State & Federal Laws
- Must Publish Results



## Industry or Small Business

- Lack of Experience
- Different Objectives
- Financial Systems
- IP Terms
- Confidential Information
- Limited space/resources
- No Research Office
- No F&A Rate Agreement

# Potential Collaboration Challenges



## Hospitals & Medical Organizations

- Organizational structure
- Limited availability of lead investigator
- Different priorities
- Compliance Protocols



## National Laboratories & FFRDC

- Organizational structure
- Fieldwork proposals
- Special approvals required



# Potential Collaboration Challenges



## International Organizations

- Unique organizational structures
- Jurisdictional issues
- Unfamiliar with our requirements
- Communication barriers
- Cultural barriers
- Time zone differences
- Currency conversion

## Consultants

- Differences in project needs
- High costs & limited funds
- Tax implications
- No rights to data
- Provides own materials and tools
- Not responsible for performing and or reporting the research

# Summarize Expectations



## DO's

- Highlight requirements/regulations
- Establish a rapport
- Provide clear expectations with deadlines.
- Provide templates and or examples.
- Use and leverage available tools and resources.
- Consistent Check-ins.

## DON'T's

- Don't assume they understand what is needed.
- Don't assume they will read the FOA.
- Don't delay responding to questions or concerns.
- Don't provide unrealistic expectations.

# Communication Strategies



SCHEDULE ZOOM OR  
PHONE CALLS VS  
EMAILS



SET CLEAR GOALS  
AND EXPECTATIONS



BE AVAILABLE FOR  
QUESTIONS AND  
PROVIDE TIMELY  
RESPONSES



LISTEN TO CONCERNS



TRY TO FIND  
CREATIVE WAYS TO  
ACCOMPLISH TASKS  
TOGETHER



# PRE-AWARD STRATEGY

- **REVIEW**

- Review the funding opportunity
- Create a checklist
- Meet with PI and stakeholders
- Who are we collaborating with?

- **PLAN**

- Understand what the sponsor requires for subawards
- Create templates & forms
- Highlight regulations and requirements

- **REQUEST**

- Create a communication plan
- Establish your timeline
- Prepare and send your request for documents

- **FACILITATE**

- Prepare for damage control
- Get on Zoom/Phone
- Do get clarification from the sponsor if needed
- Have a back-up plan



# Nature of Collaboration = Nature of the Agreement

## Subawardee:

- Contributes to intellectual leadership of Project
- Makes programmatic decisions about their portion of scope of work
- Is usually identified as key personnel in proposal
- Performance measured by contribution to overall scope of work
- May publish results of their work or co-author with prime PI

## Contractor / Consultant:

- Provides ancillary services
- Often operate in a competitive environment
- Provide goods and services as part of normal business operations
- Acts at direction of prime PI
- Has little or no discretion over design of larger scope of work

# Contracting Team Vets Collaborators

## Collect Required Documentation

- Assurances
- Budget/Justification
- Negotiated Rate Agreement
- SAM.gov Registration
- Recent Audits
- Perform Risk Analysis

## Confirm

- Qualified to do the work
- Established policies, procedures per sponsor expectations
- Sufficient internal controls

# Negotiates, Issues Agreement



## Include

- Period of Performance
- Reporting requirements
- IP Ownership
- Financial/billing requirements
- Additional terms?  
    Adds burden for both entities

## NIH NOT-OD-23-182: Disclosure Requirements for Foreign Subawards

Requires all (new and existing) subawards to foreign entities to include a term that requires the subrecipient provide access to copies of all lab notebooks, all data, and all documentation that supports the research outcomes described in the progress report, to the primary recipient (PTE), with a frequency of no less than once per year, in alignment with the timing requirements of Research Performance Progress Report (RPPR) submission.

# Encumber the Funds & Monitor Progress

## Who reviews (PI, Dept., Central)?

- Responsive, transparent
- Following rules
- Technical requirements
- Performance/Programmatic reporting
- Burn rate
- Fiscal requirements >>>
- Annual Audit reviews
- Additional terms

## All subaward invoices shall include:

- Unique invoice number
- Subaward agreement number
- Period being invoiced
- Current and cumulative costs
- Breakdown by major cost categories
- Documentation of Cost Share
- Certification and Signature per UG 2 CFR 200.415(a)
- PTE Required to pay valid invoices within 30 days of receipt per UG 2 CFR 200.305



# Subaward Invoice Simple Analysis

Sub-awardee:	PHX Children's Hospital												
NAU PI:	Emily Cope												
SA#:	1005273-02			Invoice Date:	2/17/2023	3/16/2023	4/14/2023	5/15/2023	7/14/2023	11/15/2023	12/18/2023	1/16/2024	
SA End Date:	5/31/2024			for Period Starting:	9/20/2022	2/1/2023	3/1/2023	4/1/2023	5/1/2023	6/1/2023	11/1/2023	12/1/2023	
				to Period Ending:	1/31/2023	2/28/2023	3/31/2023	4/30/2023	5/31/2023	10/31/2023	11/30/2023	12/31/2023	
Okay to use Sub's Cost Categories	NAU Approved												
	Budget	Reported Costs	Balance	Invoice 1	Invoice 2	Invoice 3	Invoice 4	Invoice 5	Invoice 6	Invoice 7	Invoice 8		
Personnel	\$ 114,326.00	\$ 73,799.38	\$ 40,526.62	\$ 2,350.54	\$ 1,631.69	\$ 3,850.22	\$ 2,480.24	\$ 2,480.24	\$ 32,196.62	\$ 7,218.41	\$ 10,133.49		
EREs	\$ 24,352.00	\$ 17,268.97	\$ 7,083.03	\$ 550.02	\$ 381.81	\$ 900.95	\$ 580.37	\$ 580.37	\$ 7,533.97	\$ 1,689.10	\$ 2,371.24		
Tuition	\$ -	\$ -	\$ -	\$ -	\$ -								
Other	\$ -	\$ -	\$ -	\$ -									
PST	\$ 138,678.00	\$ 91,068.35	\$ 47,609.65	\$ 2,900.56	\$ 2,013.50	\$ 4,751.17	\$ 3,060.61	\$ 3,060.61	\$ 39,730.59	\$ 8,907.51	\$ 12,504.73		
Operations	\$ -	\$ 720.00	\$ (720.00)	\$ -					\$ 720.00				
Services	\$ -	\$ -	\$ -	\$ -									
Travel	\$ -	\$ -	\$ -	\$ -									
Equipment	\$ -	\$ -	\$ -	\$ -									
"PT"/Subjects	\$ -	\$ 540.00	\$ (540.00)	\$ -					\$ -	\$ 75.00	\$ 135.00		
nPST	\$ -	\$ 1,260.00	\$ (1,260.00)	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 720.00	\$ 75.00	\$ 135.00		
TDC	\$ 138,678.00	\$ 92,328.35	\$ 46,349.65	\$ 2,900.56	\$ 2,013.50	\$ 4,751.17	\$ 3,060.61	\$ 3,060.61	\$ 40,450.59	\$ 8,982.51	\$ 12,639.73		
Billed F&As	\$ 41,603.00	\$ 27,698.73	\$ 13,904.27	\$ 870.18	\$ 604.06	\$ 1,425.37	\$ 918.20	\$ 918.20	\$ 12,135.24	\$ 2,694.78	\$ 3,791.95		
Totals	\$ 180,281.00	\$ 120,027.08	\$ 60,253.92	\$ 3,770.74	\$ 2,617.56	\$ 6,176.54	\$ 3,978.81	\$ 3,978.81	\$ 52,585.83	\$ 11,677.29	\$ 16,431.68		
F&A Check													
Base	\$ 138,678.00	\$ 91,788.35	\$ 46,349.65	\$ 2,900.56	\$ 2,013.50	\$ 4,751.17	\$ 3,060.61	\$ 3,060.61	\$ 40,450.59	\$ 8,982.51	\$ 12,639.73		
F&A Rate	30.00%	30.00%	30.00%	30.00%	30.00%	30.00%	30.00%	30.00%	30.00%	30.00%	30.00%		
Math	\$ 41,603.40	\$ 27,536.51	\$ 13,904.90	\$ 870.17	\$ 604.05	\$ 1,425.35	\$ 918.18	\$ 918.18	\$ 12,135.18	\$ 2,694.75	\$ 3,791.92		
Difference	\$ (0.40)	\$ 0.23	\$ (0.63)	\$ 0.01	\$ 0.01	\$ 0.02	\$ 0.02	\$ 0.02	\$ 0.06	\$ 0.03	\$ 0.03		

# Subaward Invoice Tracker

Voucher	Appr. by	Inv. Revwd	Cayuse/	Project ID	Subrecipient	Invoice Number	Amt	Date Rec'd	Date to	Dept	Date Voucher	Notes
	PAA	by FM	Contract					(or Inv Dat)	PI/Unit		Approve	
April		DM	19-0533	1004495	UC San Diego	20065330022	\$28,103.77	3/21/2024	3/21/2024	191		
Jan	Doug		21.0306	1004978 & 1005530	Clemson	SP115328	\$5,766.50	3/20/2024	3/20/2024	277	3/27/2024	This shou
April		DM	22.0471	1005347	UC San Diego	20298460010	\$14,418.97	3/20/2024	3/20/2024	191	4/3/2024	
April		DM	19.0560	1004601	L Sakvarelidze NCDC	007	\$98,166.45	3/19/2024	3/19/2024	191	4/5/2024	
April		DM	22.0471	1005347	University of Arkansas	CI-00086748	\$1,173.08	3/19/2024	3/19/2024	191	3/21/2024	
Jan		IO	21.0623	1005096	Johns Hopkins University	FG5R4-7	\$798.36	3/18/2024	3/19/2024	278	3/21/2024	
Tammy			21.0336	1004958	University of Nevada, Reno	CI-01-00045568	\$1,818.29	3/16/2024	3/16/2024	308	3/21/2024	
Tammy		IO	22-0376	1005417 (1005320)	University of New Mexico	3QB60-2	\$2,159.18	3/14/2024	3/18/2024	351		
Jan		IO	21.0623	1005096	Johns Hopkins University	FG5R4-8	\$8,382.84	3/13/2024	3/18/2024	278	3/29/2024	
Tammy			19.0641	1004171	Buckeye (BUSD)	5.4	\$36,779.48	3/12/2024	3/12/2024	251	3/21/2024	
April		DM	21.0661	1005122	Arizona State University	CI-0101115 022924 bd	\$17,987.25	3/12/2024	3/12/2024	191	3/18/2024	
Jan		IO	22.0279	1005279	Arizona State University	CI-0101106	\$912.60	3/12/2024	3/18/2024	278	3/21/2024	
Tammy			21.0336	1004958	Utah State University	204487-13-0	\$1,001.71	3/11/2024	3/11/2024	308	3/21/2024	
April		DM	21.0661	1005122	Mezies School of Health Research	NAU_R01115_060324_Y2-6	\$12,425.73	3/11/2024	3/11/2024	191	3/18/2024	
April		IO	23.0067	1005227	Colorado State University	30101-011	\$13,331.29	3/8/2024	3/14/2024	288	3/27/2024	
April		IO	17.0406	1005273	Mayo Clinic	533986	\$3,841.68	3/8/2024	3/18/2024	191	4/1/2024	
April		DM	21.0346	1004877	University of Florida	M000401110	\$1,951.99	3/7/2024	3/7/2024	191	3/19/2024	
Shanay			19.0459	1004277	Chapman University	500592-Final	\$10,706.30	3/7/2024		285	3/11/2024	Final - rec

# Close-out (small window of time)

## Communicate

- End Date
- Confirm Cumulative Expenses / Final Invoice
- Collect Technical Reporting / Deliverables from Subs
- Confirm/Report generated Intellectual Property
- Capital Equipment (title and disposition)
- Closeout Checklist >>>

**NAU** NORTHERN ARIZONA  
UNIVERSITY

Office of Sponsored Projects

**SUBAWARD CLOSEOUT CHECKLIST**

Subaward No.: \_\_\_\_\_ Subrecipient: \_\_\_\_\_

Please check all that apply.

N/A  \*\*Final invoice and financial report submitted per the terms of the Subaward Agreement.  
Invoice No.: \_\_\_\_\_ Invoice Date: \_\_\_\_\_ Amount: \_\_\_\_\_

N/A  \*\* Technical Report submitted to Northern Arizona University's PI per the terms of the Subaward

N/A  Required Cost Share has been met and reported.

N/A  Fixed Price Subaward – End of Award Certification (usually Attachment 4 of subaward agreement).

N/A Patents or inventions:  
 Patents and/or inventions are pending. Required documentation attached.  
 There are no patents or inventions to report.

N/A Capital Equipment:  
 Capital Equipment was purchased for this Subaward. Agreement for disposition and/or required reporting is attached.  
 Capital Equipment was NOT purchased for this Subaward.

**\*\*If this subaward is federally funded, the Federal Government's strict enforcement of the 90-day award closeout requires due diligence by the Subrecipient with regard to due dates in the Subaward Agreement.**

I hereby certify the above information is correct and in accordance with the terms of the Subaward.

\_\_\_\_\_  
Subrecipient Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Business/Finance Name

\_\_\_\_\_  
Email Address

Please return completed form and any additional documentation noted above to: [NAU-OSP@nau.edu](mailto:NAU-OSP@nau.edu)

# PTE Has Ultimate Responsibility



- Monitor all award activities including subs and contractors
- Assure compliance with sponsor terms, requirements
- Collect and maintain relevant documentation
- Report activities and outcomes to the sponsor
- Communicate with all involved parties
- Foster Fruitful Collaborations with External Research Partners



# THANK YOU!

[Joelina@asu.edu](mailto:Joelina@asu.edu)

[Ivan.Ochsner@nau.edu](mailto:Ivan.Ochsner@nau.edu)

**Be sure to complete all 3  
TURAC surveys for a chance  
to win a **\$25 gift card!****

