



# TURAC 2024<sup>+</sup>

Connection • Collaboration • Cohesion

**Navigating Complexities  
of Award Changes**

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.”*





# Navigating Complexities of Award Changes

Kelley Hall, M.Ed.

Assistant Director of Research Advancement

School for Engineering of Matter, Transport, & Energy

Arizona State University

Tri-University

# Research Administration Conference



## Overview

- What is an award change?
- What needs to be considered when making an action plan?
- Commonly needed pieces
- Case study



## What is an award change?

- No cost extension
- At Risk Request
- Change in scope
- Budget/ cost share change
- Key personnel changes
- Removing or adding sub awards
- Internal allocation adjustments
- Request for additional funds

You have been notified of a change – now what?

---

Review the request with the PI. It is important to completely understand the situation and the intended outcomes to make a clear path forward.

---


Is sponsor approval needed to complete the change?

---

What documents (if any) need to be submitted to the sponsor?

---

What is the process to internally document and process the change in university systems of record.



# Prior Approval Matrix



Provides guidance on which award actions require sponsor prior approval before execution



This is used guide next steps in administrative action to manage award changes





# Backup for the request

- Budget
- Budget justification
- SOW
- Post doc mentoring plan
- Revised IRB, IACUC
- Investigator documents
- Technical justification
- PI approval
- Institutional approvals
- Subaward documents/ revisions



# Case Study

Tri-University

# Research Administration Conference



## Scenario

A PI has notified you that they are leaving the university. They would like to take their NASA award with them, but the NASA program officer advised that the award must remain at the current institution, with funds issued to the new institution via a sub award.

# Initial questions

## **PI Change**

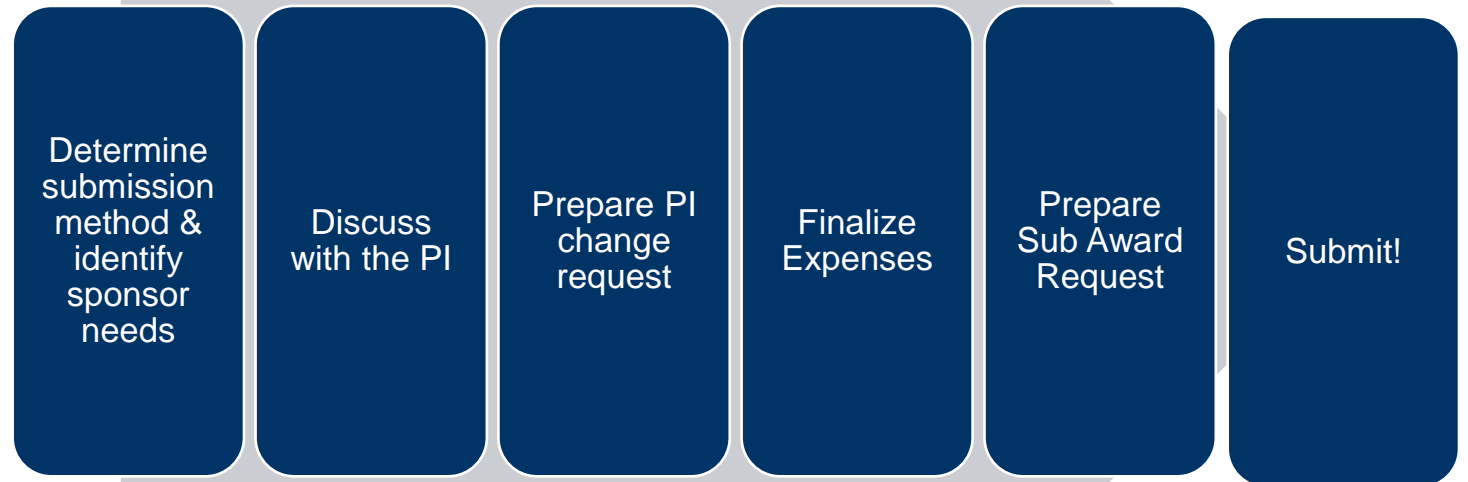
- Does institutional policy allow a person not on payroll to be a PI on a sponsored project?
- What is needed to change a PI?
- Is prior approval needed?

## **Adding a sub award**

- What is needed to add a sub award to an existing sponsor project?
- Does this impact the scope of the project?
- Is prior approval needed?



# Plan of Action



# Identify sponsor needs

- Check the award document for guidance on what needs to be included
- Review sponsor generate terms and conditions references online.

# What does NASA GCAM tell us to do?

<b>Change in Key Personnel</b>	Occurs upon recipient request to change key personnel (e.g., PI, Co-I, etc.) on an award.	GOs must coordinate with the award's TO to ensure that the key personnel change is reasonable and to determine if the proposed replacement has the technical abilities to successfully implement the award.  If approved, the GO will document the correspondence in the official award file.
--------------------------------	---	---

<b>Sub-awards not previously proposed and approved</b>	The issuance of new sub-awards or transferring or contracting out of any work under the Federal award that is not in the original proposal.	GOs must coordinate with the award's TO to ensure that there is a programmatic need for the project to be sub-awarded if sub-awards have not previously been proposed by the recipient and approved.  The GO will document in writing the actions taken in the official award file.
--	---	---



# Determine submission method

- Sponsor systems
- Weblinks
- Email
- When in doubt – ask!

# Consult with the PI

- Outline the plan and needs
- Identification of new internal PI
- Finalize costs on existing project to define the amount of the sub award.
- Confirm any changes to the scope of work
- Make connection with the program officer

# Documents for a PI Change

- Documents for a PI change varies by sponsor. See award document of sponsor specific guidance for complete details
- Gather any internal approvals
- Biosketch in sponsor format
- Current and pending in sponsor format
- Technical justification for change
- Statement on the impact of the scope of work



# Finalize internal expenses

- Finalize any outstanding expenses that need to hit the account
  - Payroll
  - Outstanding operational encumbrances
  - Travel
  - Gas cylinders
- Determine if any costs need to stay in the main account
- Account for F&A on the subaward

# Documents for new sub award

Scope of Work

Budget

Budget Justification

Biosketch

Current & Pending

Conflict of Interest

F&A rate agreement

Internal documents to set up the sub award



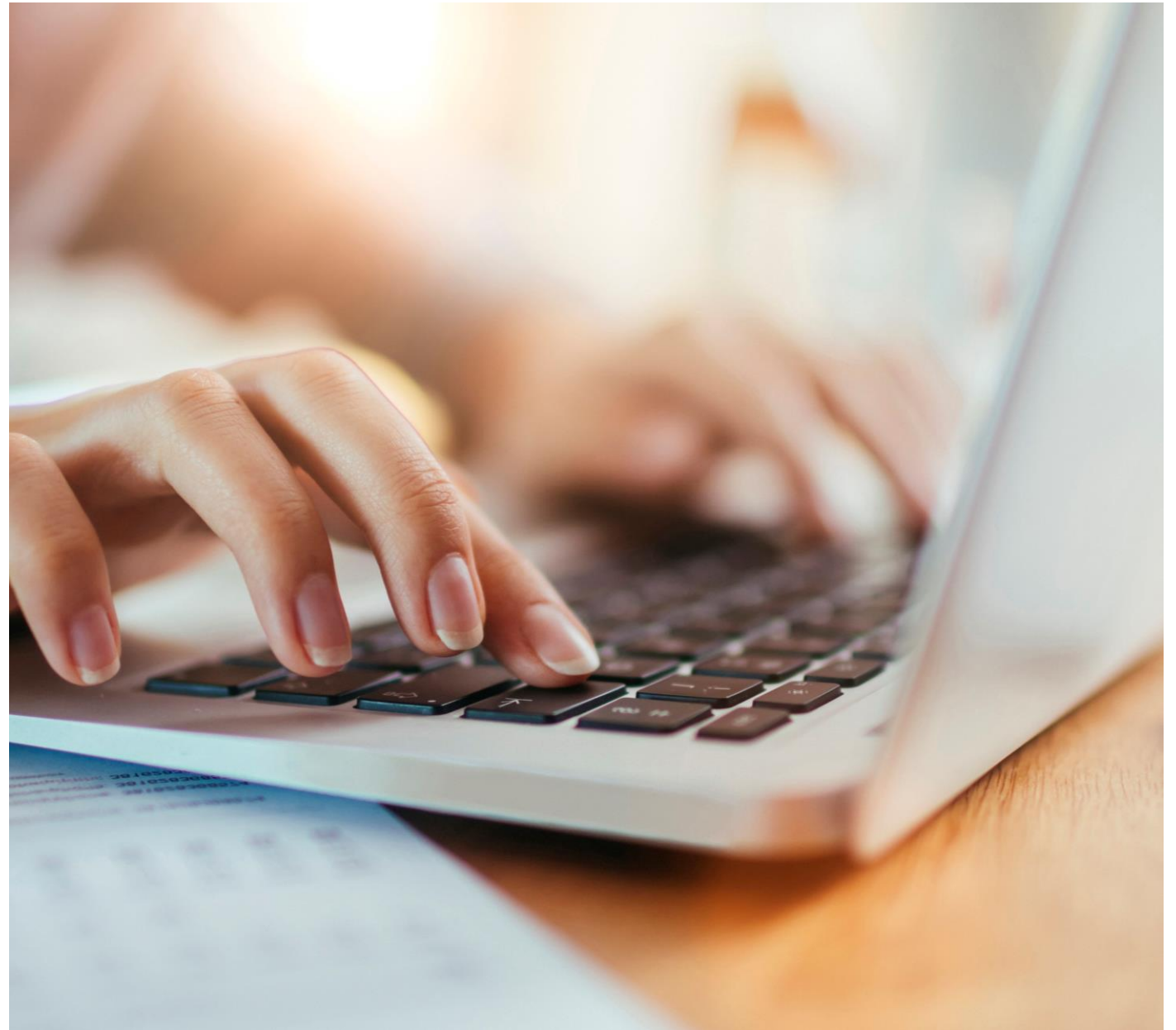
# Submit!

# Follows Ups

- Address concerns or clarifications from the sponsor
- Follow up with the sponsor as needed to keep the process moving
- Confirm you have all internal pieces squared away to prevent internal delays

# Execute Internal Changes

- PI & Unit Change
- Process the sub award
- Allocation changes





Tri-University

Research  
Administration  
Conference



Questions?

# Thank You!

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

