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."

Tri-University
Research
Administration
Conference

Post-Award Best Practices for Collaborative Management of HHS-Funded Awards

Fernando Zacarias – Arizona State University
Lisa Allen – Arizona State University
Elena Davis – Arizona State University

Meet your presenters:

Fernando Zacarias, Research Advancement Manager (Post Award), in the College of Health Solutions at Arizona State University. Fernando has supported Research Administration in pre- and post award roles within the central office at the University of Arizona and with ASU's Social Sciences and College of Health Solutions, with more than 9 years of collective research admin experience. He has also held accounting positions at other state agencies and non-profit organizations.

Elena Davis, Research Advancement Manager (Post Award), in the College of Health Solutions at Arizona State University. Elena has supported Research Administration in pre- and post-award roles with ASU's School of Human Evolution and Social Change, School of Life Sciences, Herberger Institute for Design and the Arts, and College of Health Solutions. Elena has worked in Research Administration since 2018 and in her current position, she supervises two individuals on the post-award team. She has also held accounting positions with ASU's Materials Management starting in 2015. She earned a Bachelor of Arts in Business Administration from Arizona State University in December 2017.

Lisa Allen, CRA, Associate Director of Research Administration, in the College of Health Solutions at Arizona State University. Lisa has nearly 20 years' experience and oversees Pre and Post Award areas. Lisa worked previously in the Mental Health and Drug and Alcohol fields. She was the lead on a US Department of Justice funded project which led her into a Senior Research Support Associate position at her alma mater, Penn State, when she wanted to change careers. In addition to a Bachelor's Degree in Psychology and a Master's Degree in Education, she is also a Certified Research Administrator (CRA).

What we'll cover today

1 Key Takeaways

2 Implementing Effective and Proactive Pre- to Post Transitions

3 Communication – PIs, RAs, Sponsors, Support Staff, and Subs

4 Establishing Expectations and Routines for Award Monitoring

5 NIH RPPRs, Carryover, and Effort Reporting

6 Other Resources for Sponsor-Specific Rules and Reporting

Pre-to-Post Kick-Off Meetings with PI

New Award Portfolio Form

✓Award Characteristics
  - ✓SNAP vs. Non-SNAP
  - ✓MPI
  - ✓Trainee/Participant Support

✓Special Reviews
  - ✓IRB, IACUC, IBC
  - ✓COI, Cost Share

Pre-to-Post Kick-Off Meetings with PI

New Award Portfolio Form **(…continued)**

✓Post Award Action Items
- ✓Budget Reductions
- ✓Payroll Mapping
- ✓Consultants
- ✓Recurring PI Meetings
- ✓Carryover

✓Special Reviews
- ✓IRB, IACUC, IBC
- ✓COI, Cost Share
- ✓Foreign Component

Communication

1 Important Updates (Researcher Alerts)

2 Reporting Requirements

3 Recurring Meetings

4 Award Changes

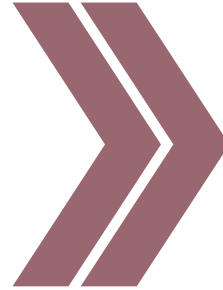## Research Admin Responsibilities

Review
- ✓ Expenditures
- ✓ Special Restrictions
- ✓ Cost Transfers

Reconcile
- ✓ Portfolios
- ✓ Payroll
- ✓ Subawards

Manage
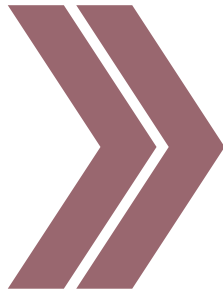- ✓ Award Changes
- ✓ Reporting Needs
- ✓ Communication

No longer sure how useful this slide is, keep?
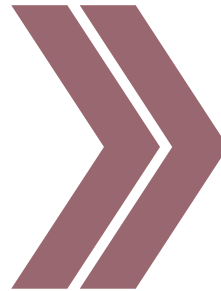
PI Responsibilities

Execution
- ✓ Design
- ✓ Implementation
- ✓ Oversight

Compliance
- ✓ Deliverables
- ✓ Changes
- ✓ Timeline

Reporting
- ✓ Responsiveness
- ✓ Unobligated Balance >25%
- ✓ Effort, Publications, Cost Sharing

Case Studies

Effort under budget cut

Received NOA with significant budget reduction, exciting, but level of effort and deliverables have to be met as proposed. Can the project be executed as funded? Options, conversations, revised SOW?

Case Studies

Non-Snap Award, Renewal

Renewal with a gap in PoP plus protracted budget period that was funded in full. Implications for carryover.

NIH RPPRs

Working together (PI, Subs, RAs)

Other Support Documents

Part D & eRA Commons Registration

Carryover >25%

Subaward Reporting >60 days

Routing, Submission timing >45days if annual

NCE RPPR period

Case Studies: PI Award Transfer affecting ASSIST and RPPR submission & Late RPPR causing late NOA

NIH RPPRs (continued)

PI guide preview (under development)

Questions

Twenty minutes for questions

Other Resources

-New Award Portfolio doc

-Training grants

-NIH MPIs

-NIH Supplements: Administrative and Diversity, expense monitoring

-NIH/HRSA FFR/SF425 Carryover Requirements

-RPPR Guidance Doc

-NIH 2nd and 3rd NCE

-Subject Pay Best Practices

-Training Grant Stipends (Offer Letters, Payment Schedule, Subaccounts

-Training Grant Risks: Employee participants, Targeted Demographics and Regions, Child Care Costs, Tax Implications, Stipend Levels (NRSA), Other Direct Cost to Participant Support Costs Ratio Requirement

Thank You!

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