“Who’s on First”
Pre-Award Basics: Developing a playbook for pre-award activities

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Or, how to avoid feeling like this
Anatomy of a Funding Announcement

- Is your institution eligible to apply for the opportunity?
- Is the PI eligible for this opportunity?
- Are there budget restrictions?
- Is cost share required?
- What is the sponsor deadline?
- Are the specific project dates defined?
- Formatting requirements
- Type of Award – grant, contract, cooperative agreement
What is a proposal?

An offer to perform certain work for a specific amount of money to be spent according to certain terms and conditions.
Hold a meeting of the minds as soon as you get wind of a proposal opportunity to outline roles and responsibilities
Use an “Abbott and Costello” approach

Who? (who’s on first)
- Who are the Co-I’s?
- Who else is involved?
- Department RA staff
- Sponsored Projects Staff
- Other institution contacts
- Who will be doing what?

What? (what’s second)
- What kind of project is it?
  a. Construction
  b. Organized Research
  c. Public Service
- What’s the sponsor budget dollar limitations?
- What are MY responsibilities?
Where?
• On campus or off campus?
• Foreign travel?
• Travel to partner sites?
• In the field or lab?

When?
• When is it due to the sponsor?
• If you have subs or collaborators, when do you want to have their information sent?
• When (by date) do you want the final proposal package?
How am I going to do this?

Checklists, shared file media and setting internal deadlines are key to survival for last minute proposals!!!

Wednesday’s are ideal internal deadline days!
Useful Tools to help keep things on track

- Checklist of all items needed
- Web based document center/site for all parties to upload their proposal documents (Dropbox)
- Calendar showing critical dates and target dates – out in the open for everyone to see as a reminder
- Send out administrative email to all including partners with deadlines
- Create list of “who is doing what”
Questions to ask early

- Are human subjects involved?
- Are vertebrate animals involved?
- Is there an environmental impact?
- Are there export control issues?
- Are there subcontractors involved?
- Is there any existing or anticipated Intellectual Property?
- Is there cost share?
- Does the sponsor allow F&A?
Complex Proposals at ASU are 4M:

- Multi-Dollars (Millions)
- Multi-Principal Investigator
- Multi-Partners/Subcontracts
- Multi-Period of Performance

Also referred to as Strategic Initiatives
Formal Notices of Award

- Grants
- Contracts
  - COST-REIMBURSEMENT CONTRACTS
  - FIXED-PRICE CONTRACTS
- Cooperative Agreements
Grant

• A grant is used whenever the sponsor anticipates no substantial programmatic involvement with your institution during the performance of the award.

• The terms and conditions of grants are standardized by the sponsor.

Cooperative Agreement

• An award similar to a grant, but the sponsor anticipates having substantial programmatic involvement in research activities once the award has been made.
CONTRACTS

Cost-Reimbursement

We will give it our best try, but failure may be an option

- Institutions allowable, allocable and reasonable costs incurred are reimbursed that took place during the term and performance of a contract

- Used when uncertainties involved in contract performance do not permit costs to be estimated with sufficient accuracy to use any type of fixed price contract.

Fixed-Price

Failure is not an option

- Institution assumes high performance and high costs risks as an incentive to the profit

- Potential - every dollar in cost savings becomes additional profit

- Used when certainties involved in contract performance permit costs to be estimated with sufficient accuracy
The first step in developing a budget is .......... Planning!
Orchestrating Budget Management

- Start early
- Find out who will be involved
- If you have other institutions involved, provide them with a specific dollar amount and stick to that amount
- Have a “user” friendly budget template
- Set a deadline for final budget
- Use the who, what, where and when approach
BUDGET RELATED QUESTIONS FOR FACULTY TO CONSIDER

- Do I need to ask for summer effort?
- Will I be using Research Assistants? Will I need other staff?
- Will space be an issue?
- Will there be any required match or cost sharing?
- Will I need to request a reduced indirect cost rate?
- Will there be any subcontracts/Consultants?
Are they Subcontractors or Consultants?

- A way to look at it is if someone is just bringing a briefcase and a brain, then they are a consultant.

- If they have the facilities, supplies, analyze, and contribute to the scope of work they are a subcontractor. Do they have deliverables? Will they be a part of any publication?
Remember:

All cost associated with the project should be included in the proposed budget, and identified as either a request for funding from the sponsor or as a contribution from the University or other sources. **Costs must be reasonable, allowable and applicable.**

Items to Watch out for:
- Sponsor restrictions
- CAS (cost accounting standards) items
- Foreign travel
Ignoring the allowability of costs won’t make them go away!
Budget Justification

Explanation of the factors used to determine the costs

• Format to follow the flow of the budget categories’
• Should be tailored to sponsor-specific requirements and the specific project or activity
• Must demonstrate how the expense is needed for the execution of the project.
• Provide any other information that will aid the sponsor in evaluating and funding the proposed item of cost
Pre-awards

- **Pre-Award Spending** is any spending incurred by the PI in advance of the award start date. Pre-award spending is *only allowed* when a sponsor authorizes such spending. Most federal granting agencies allow pre-award spending within 90 days prior to the start of the award. The funding announcement, contract, or award letter will specify if pre-award expenses are allowed.

- **Here’s the CATCH:** If the award does not arrive or the start date of the project is delayed, the award will not cover the expenses incurred and the Institution and/or Principal Investigator will have to cover the expenses from his or her non-sponsored funds. **Pre-award expenditures are made at the Institution’s risk!**
Just good enough?
...or Excellent

“One of the top 100 universities in the world”
“nation’s top 40 'coolest' schools”

“Ranked in the top tier of national universities”
“among top universities chosen by international students”

“Presidential recognition for community service”

“One of America’s top 20 institutions for research activity”
Questions?