

# **POST-AWARD MANAGEMENT: RESPONSIBILITIES AND PROTOCOLS**

## **Faculty of Engineering and Applied Science**

### **1. Roles of Individuals/Groups**

Various individuals/groups need to work together throughout the life of an award to effectively manage sponsored research awards in the Faculty of Engineering and Applied Science (FEAS) at Memorial University. This document describes the primary responsibilities of these individuals/groups once a project has been awarded and the associated management protocol. All these individuals/groups rely on each other for the successful fiscal management of the award.

#### **1.1 Principal Investigator**

The Principal Investigator (PI) serves as the primary individual responsible for the scientific integrity and fiscal and administrative management throughout the period of the award. The PI's specific responsibilities include:

- (1) Being cognizant of, and adhering to, all sponsor-imposed terms and conditions, as well as University policies and procedures related to administering sponsored agreements. (This includes all relevant government and University regulations regarding the use of human and animal subjects, biohazards and bio-safety, occupational health and safety, conflicts of interest, intellectual property, and purchasing and equipment management policies.)
- (2) Obtaining prior approvals from Engineering Research Office (ERO) or working with ERO to request prior approval from the sponsor for post-award changes relating to the conduct or scope of the work, budget amendment, expenditure of funds awarded, and or time frame extension.
- (3) Recruiting and supervising project personnel including project managers, research associates, project research engineers, post-doctoral fellows and students (both graduate and undergraduate).
- (4) Managing and controlling project funds in a prudent manner and expending funds in accordance with the restrictions imposed by the award terms and conditions and University and FEAS policy. Funds should only be expended to directly support the project effort and expenditures must not exceed the total amount of funds awarded. Deficits and ineligible expenses incurred against an award account/fund are the responsibility of the PI.
- (5) Submitting technical/project/program progress reports in a timely fashion to the sponsor as required by the terms and conditions of an award.

#### **1.2 ERO**

During the period of an award, ERO will advise the PI and project personnel of their obligations under the terms and conditions of the award/contract and facilitate processing project documentation and award modifications. The ERO's specific responsibilities include:

(1) Serving as the office of record for all awards on behalf of the FEAS and distributing the award documents and award synopsis to the PI and appropriate administrative units. Informing the PI and FEAS administrators about the actions that need to be taken to meet the commitments under the terms and conditions of the award/contract including but not limited to subcontracting, patent rights, copyrights, rights in data, license agreements, dissemination rights, and exchange of confidential information.

(2) Interpreting sponsor policies, University policies and federal and state regulations related to the terms and conditions of the award, the conduct of the project and the delivery/reporting of project results. Serving as a liaison between the principal investigator, project staff, administrative unit staff in Research Grant and Contract Services (RGCS), Strategic Institutional Research Initiative (SIRI) and FEAS at Memorial University, and the sponsor.

(3) Advising faculty and staff regarding the sponsor's and University's approval requirements for changing aspects of the project, (i.e., changes in PI, changes in the scope of work, reduction in PI time devoted to the project or absence from the project funding changes, and no-cost time extensions). Coordinating the changes in collaboration with RGCS/SIRI and with the sponsor and accepting or executing modifications to the award/contract on behalf of FEAS.

(4) Reviewing award changes to ensure that the scope of work and terms and conditions are acceptable to the PI and are consistent with University and FEAS policies. Accepting or executing modifications to sponsored agreements (grants, collaborative research agreements or contracts) on behalf of FEAS.

(5) Monitoring and coordinating the submission of project reports required by the terms of the award and the administrative closeout of the project when the award expires. Assisting in the completion of all closeout procedures as necessary.

### **1.3 Engineering Finance Office (EFO)**

The EFO is responsible for day-to-day management of the project finances, and for compliance with the sponsor requirements and University policy through working with the PI and Project Managers . The EFO's specific responsibilities include:

(1) Helping the PI to setup the grant account and obtain the FOAPAL number shortly after RGCS notifies Financial and Administrative Services (FAS) to establish research accounts.

(2) Processing grant invoices/claims and keeping all original documentation related to the award financial dissemination activities. This includes sending a monthly account statement report to the PI.

(3) Interpreting financial policies and regulations of sponsor and University related to the terms and conditions of the award. Monitoring and reviewing of any financial modifications to sponsored agreements, grants or award.

(4) Notifying the PI/ERO/funder about any issue related to financial instability of an award/grant as soon as EFO is aware of the issue.

(5) Monitoring the submission of project financial reports as required by the terms of the award/grant. Assisting in the completion of all closeout procedures as necessary.

## 2. Protocols for Post Award Management

Current FEAS awarded projects can be categorized as follows:

Category	Example Awards
<p style="text-align: center;"><b>I</b> <b>(Post Award Management Level: Low)</b></p>	<p>Internal awards, NSERC Discovery and NSERC RTI</p> <ul style="list-style-type: none"> <li>- Start-up Fund</li> <li>- FEAS Special Award</li> <li>- Seed, Bridge, Multi Disciplinary Fund</li> <li>- NSERC Discovery</li> <li>- Harris Center</li> <li>- Terra Nova Young Innovator Award</li> </ul>
<p style="text-align: center;"><b>II</b> <b>(Post Award Management Level: Medium)</b></p>	<p>Major Research projects involving multiple partners including provincial, international, multi-institutional, Federal funding agencies and Industry partners.</p> <ul style="list-style-type: none"> <li>- CFI (with matching fund from provincial government like TCII/partners)</li> <li>- Canadian Research Chair (annual technical/financial reports)</li> <li>- Industry Chair (with steering committee/IP components)</li> <li>- NSERC Alliance/CRD/Engage (with industrial partners involved)</li> <li>- MITAC (with industrial partner)</li> <li>- Suncor/Husky/Exxon/PRNL research contracts (with regular project meeting and reports/IP components)</li> <li>- DFO MPRI fund (with external/multiple award team members)</li> <li>- Llyods Register Foundation</li> <li>- Genome Canada</li> </ul>
<p style="text-align: center;"><b>III</b> <b>(Post Award Management Level: High)</b></p>	<p>Projects involving multiple research contracts involving large group of PIs and various partners.</p> <ul style="list-style-type: none"> <li>- NSERC CREATE Fund (multi-university involved/a large group of researcher/specific need in reporting)</li> <li>- Ocean Frontier Institute (multi-university involved/a large group of researcher/specific need in reporting)</li> <li>- Atlantic Innovation Fund (large amount of IP components/specific need in reporting)</li> </ul>

## 2.1 Protocol for Post Award Management of Category I Projects

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### **Award Setup:**

- EFO helps setup award account.
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### **Award Management:**

- PI manages the project to meet the technical and financial requirements.
  - EFO conducts day-to-day management.
  - PI works with ERO regarding changing aspects of the project, and informs EFO any financial component changes.
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### **Award Closeout:**

- PI submits project final report (if any) and copies ERO.
  - EFO works with PI for award account closeout.
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## 2.2 Protocol for Post Award Management of Category II Projects

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### **Award Setup:**

- EFO helps setup the award account and associated matching fund account (if any).
  - ERO coordinates/ensures students and other project personnel intending to be paid from restricted awards to sign Research Participation Agreements (RPA).
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### **Award Management:**

- PI manages the project to meet the technical and financial requirements.
  - EFO conducts day-to-day management.
  - PI works with ERO regarding changing aspects of the project, and informs EFO any financial component changes.
  - PI works with ERO for processing any project sub-contracts, and informs EFO.
  - PI submits any monthly/quarterly/annual project technical report and copies ERO (or report review by /submission through ERO based on award agreement).
  - PI works with EFO to generate any monthly/quarterly/annual project financial report and copies ERO (or report review by /submission through ERO based on award agreement).
  - ERO tracks and assists compliance of all contractual obligations, including those related to confidential information (e.g., processing approval to disseminate information).
  - ERO helps to organize project steering committee meeting (if any).
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### **Award Closeout:**

- PI submits project final technical report (if any) and copies ERO.
  - PI works with EFO to generate final financial report and copies ERO.
  - EFO works with PI for award account closeout.
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## 2.3 Protocol for Post Award Management of Category III Projects

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### **Award Setup:**

- EFO helps setup the award account and associated matching fund account (if any).
  - ERO coordinates/ensures students and other project personnel intending to be paid from restricted awards to sign Research Participation Agreements (RPA).
  - PI/ERO/EFO has an award setup meeting to discuss key post award management components.
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### **Award Management:**

- PI manages the project to meet the technical and financial requirements.
  - EFO conducts day-to-day management.
  - PI works with ERO regarding changing aspects of the project, and informs EFO any financial component changes.
  - PI works with ERO for processing any project sub-contracts, and informs EFO.
  - PI generates any monthly/quarterly/annual project technical report and gets it reviewed by ERO before submission.
  - PI works with EFO to generate any monthly/quarterly/annual project financial report and copies ERO.
  - PI copies ERO on discussions with funder regarding project IP and technical transfer.
  - ERO tracks and assists compliance of all contractual obligations, including those related to confidential information (e.g., processing approval to disseminate information).
  - ERO helps to organize project steering committee meeting (if any).
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### **Award Closeout:**

- PI generates final technical report and gets it reviewed by ERO before submission.
  - PI works with EFO to generate final financial report and copies ERO.
  - EFO works with PI for award account closeout.
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