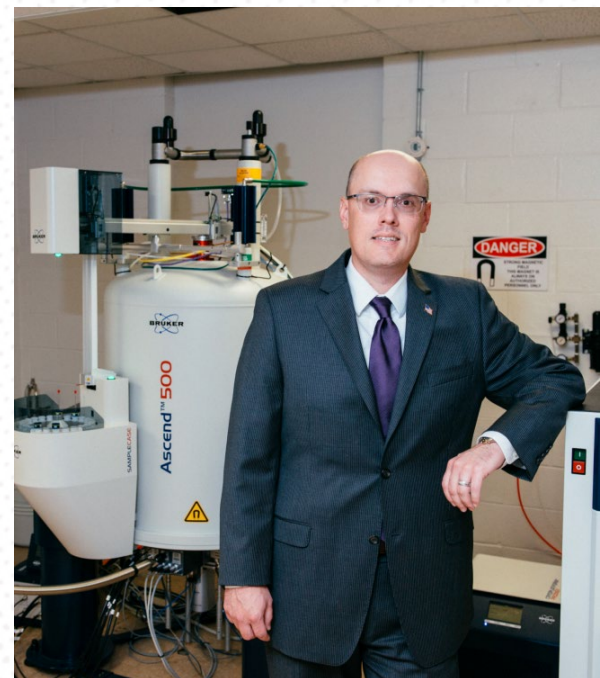
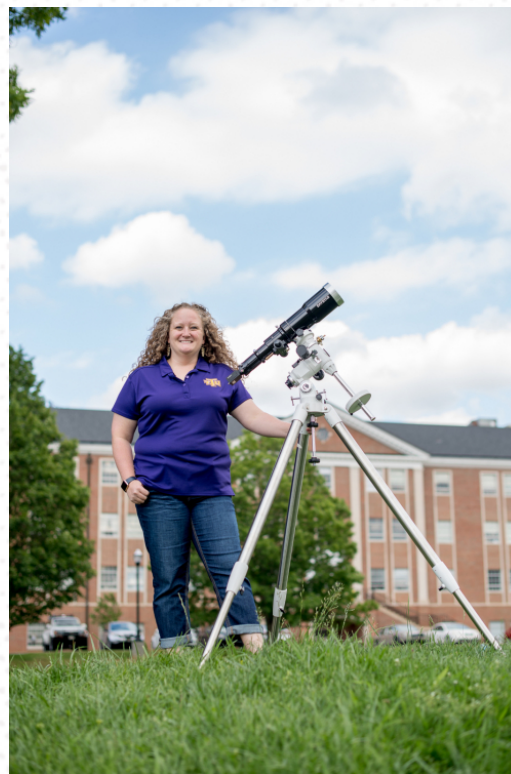


Research 101 Workshop: Post-Award Management



Research 101 Workshop

Post-Award Management

February 24, 2022



Topics to be Covered

- **Roles and responsibilities – who to contact?**
- **Post-award processes**
 - **Activations**
 - **Revisions**
 - **Closeout**
- **General compliance overview**
 - **Uniform Guidance**
 - **Prior approval matrix**



Life Cycle of a Sponsored Project



Roles and Responsibilities

The Principal Investigator (PI) has the primary responsibility for the scientific, technical and fiscal leadership of the project.



Roles and Responsibilities

- **Departments/Centers of Excellence**
- **Office of Research**
- **Grant Accounting**
- **Purchasing & Contracts**
- **University Advancement**



Key Roles and Responsibilities

- The Principal Investigator (PI) has the **primary responsibility** for the scientific, technical and fiscal leadership of the project.
- The Dean and Department Chair approve that PI is qualified to serve and approve any cost share commitments. Department Chair also approves any release time and ensures release occurs.
- The OoR assists PI in preparing proposals and implementing awards that are compliant with relevant government laws and regulations, and TTU policies and procedures.
- The Project Bookkeeper assists the Principal Investigator with budget monitoring to ensure expenditures are authorized and develops and maintains document and record management.
- Grant Accounting invoices and prepares and submits all financial reports as articulated in the award documents.

See OoR website for a more complete list of roles and responsibilities:

<https://www.tntech.edu/research/researchcompliance/roles-and-responsibilities.php>



Post-award Processes

I got funding!

...Now what?



Post-award Processes

- **Receive award**
- **Negotiate**
- **Activate**

---Manage

- **Closeout**



Policy Compliance

- **2 CFR 200 “Uniform Guidance”**
- **Expanded authority – prior approval matrix**



Post-award Processes

Because everyone loves paperwork...

- **Activation form – every budget period**
- **Technical progress reports/annual reports**
- **Financial reports – Grant Accounting**
- **Revision requests – program and/or budget**
- **Closeout form**



OoR & Grants Accounting

Post-Award Services

- Process all awards from external sponsors (OoR > Grants Accounting)
- Negotiate and execute sponsored agreements (OoR)
- Provide bookkeeping assistance and training (Grants Accounting)
- Ensure sponsored activities are in compliance with TTU, state, sponsor, and federal regulations (OoR & Grants Accounting)
- Assist faculty in all matters regarding intellectual property protection and commercialization. (OoR)



Required Training

TTU subscribes to the Collaborative Institutional Training Initiative (CITI) to provide training in the Responsible Conduct of Research, Animal Subjects, Human Subjects, and Export Controls.

- All personnel on funded grants are required to complete training in the Responsible Conduct of Research (RCR).
- Additional training modules are required for individuals dealing with human subjects, animal subjects, and export controls.



Post-award Processes

- **Activation form**
 - **OR checks for pre-award approvals (PEF), current RCR training, executed agreement**
 - **IRB/IACUC protocols??**
 - **Grant Accounting assigns FOAPAL**



Post-award Processes

- **Request for Budget or Program Revision**
 - **PI change or disengagement**
 - **No cost extension**
 - **Change scope, budget, etc.**
- **Budget Revision Form (Business Office)**



Post-award Processes

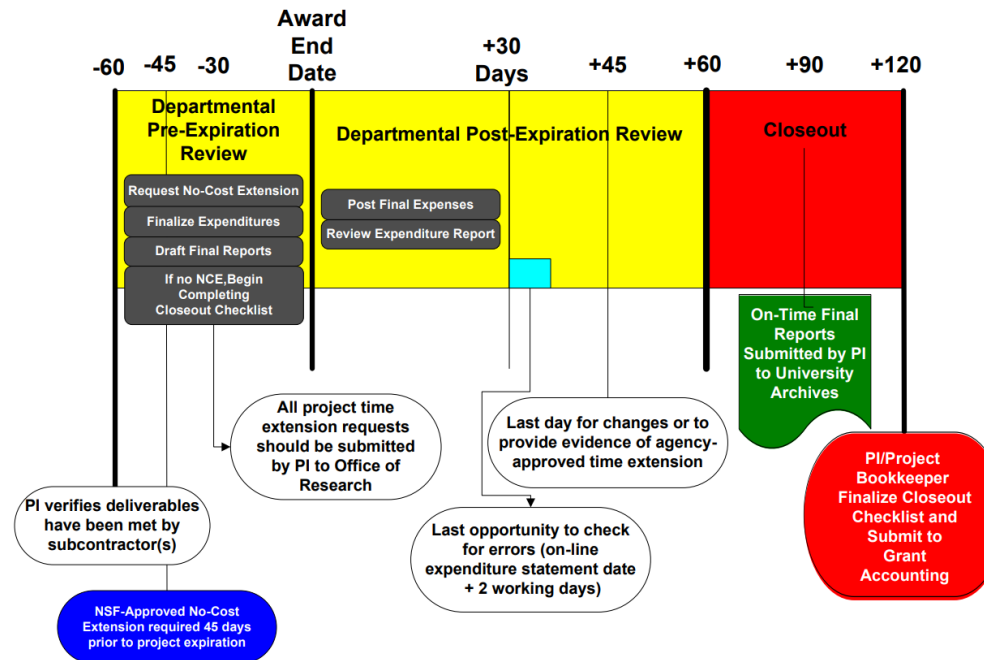
- **Expanded Authority**
 - **Prior Approval**
 - **It's never wrong to ask**



Post-award Processes

- **Closeout**
- The Office of Grant Accounting is now handling, in coordination with the PI, the project closeout form process.

Summary of Closeout Schedule



Record Retention

- **2 CFR 200.334**
 - **Record Retention (3 years)**
 - **University Policy 113**

research Records including steps taken and results (correspondence, project descriptions, final reports or deliverables, data, applications, contracts, invoices, asset documentation, monitoring documentation, evaluations, photographs, closeout documents, and related documentation)	Research & Economic Development and Principal Investigator	10 years	transfer final reports and deliverables to University Archives and destroy the rest 10 years after the project ends or for the duration specified by grant, whichever is longer	SW-U07: College/University Research Records
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Next Session

- Thursday, March 10
- Responsible Conduct in Research

