Post-Award Management Procedure

Sponsored Research Office (SRO)

7th December 2022

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1. Record of Amendments

This is a record of approved changes made to these guidelines.

Rev.	Approval Date	Document Code	Type of Change
00	15/11/2020	OVPR-SRO-POST-PRO-001-00	Initial Release
01	07/12/2022	OVPR-SRO-POST-PRO-001-01	Updated Post-Award Management Process

2. Purpose & Scope

The purpose of this procedure is to formalize, and aid the researchers in navigating, the Post-Award process from award announcement to award closeout.

This procedure applies to all HBKU faculty, researchers, students, and any other personnel participating in awarded External Research Grants.

3. Acronyms and Definitions

Abbreviation/Term	Definition
Awardee	Institution that has been awarded an External Research Grant
CR	Change Request – any alteration to the Sponsor-approved budget and Research Plan
Co-funding	The mechanism through which third-Party institutions contribute cash or in-kind funding to the project.
Cost sharing	The mechanism through which any of the institutions participating in the project contribute cash or in-kind funding to a project.
Day(s)	Business days i.e. Sunday to Thursday
External Research Grant	Refers to research projects, activities and assignments funded partially or wholly by external restricted funding which are carried out by any of HBKU Entities' faculty members and/or researchers.
Financial Report	Financial Report highlights the financial transactions conducted on External Research Grants – i.e. costs incurred per budget category during the reporting period (for Interim and Final Financial Report)
Graduate Student	An individual who is enrolled in either a Masters or PhD Program at HBKU.
Hiring Plan	Hiring plan as detailed by the LPI in the submitted Research Plan for an External Research Grant
HBKU	Hamad Bin Khalifa University
HBKU Entities	All colleges and Research Institutes under HBKU
HR	Human Resources
IDKT	Industry Development and Knowledge Transfer
IACUC	Institutional Animal Care and Use Committee
IBC	Institutional Biosafety Committee
IRB	Institutional Review Board
LPI	Lead Principal Investigator – The Principal Investigator (whether a faculty member, researcher or a student depending on the type of grant) who is the leader and manager of the Research Team and who has the ultimate responsibility for all administrative and programmatic aspects of a project, in addition to his/her research role.
NCTE	No-Cost-Time Extension

OVPR	Office of the Vice President for Research
PD	Project Director – The person(s) who leads and manages all the activities of a cluster project and ensures a smooth and well-coordinated operation of all its constituent sub-projects, which are in turn led by LPIs.
PI	Principal Investigator – The person(s) (affiliated with an Awardee or a Sub-Awardee) who is involved in the scientific execution of a project
Prime Fund Agreement	Master research agreement with the funding agency or sponsor that governs all External Research Grants.
Procurement Plan	Procurement plan as detailed by the LPI in the submitted Research Plan for an External Research Grant
Progress Report	Technical and/or Financial Reports
QF	Qatar Foundation
Research Plan	The plan submitted by the LPI for an External Research Grant and approved by the Sponsor. This plan typically highlights how the proposed research will be conducted (including the resources required to achieve each WP and the timeline to achieve them, the budget allocation, and the expected deliverables and outcomes)
Research Team	Personnel assisting the LPI in a project, including (but not limited to) PIs, post-doctoral fellows, research assistant/associate, Graduate Students, etc.
SAA	Sub-Award Agreement – an agreement entered with a sub-awardee for the sub-awardee to carry out part of an award received by the Awardee.
Sponsor	Relevant external entity that provides funds for the research
SRM	Sponsored Research Manager
SRO	Sponsored Research Office – the entity under the HBKU OVPR which oversees administration and management of all externally funded research projects at HBKU, and supports grants funded by OVPR.
SRO E-Portal	A system designed for submitting proposal applications, managing projects and raising requests related to External Research Grants and grants funded by the OVPR (E-Portal)
SRO-PM	SRO-Project Manager – Personnel at SRO assigned to manage the project
Sub-Awardee	A research institution inside or outside the State of Qatar which has a SAA or any other form of legal collaboration with the Awardee to conduct a project
Technical Report	Technical Report highlights progress made and detailed accomplishments of each specific work package as well as the overall goals and objectives of the project, including results obtained and problems encountered.
Travel Plan	Travel plan as detailed by the LPI in the submitted Research Plan for an External Research Grant
WP	Work Package

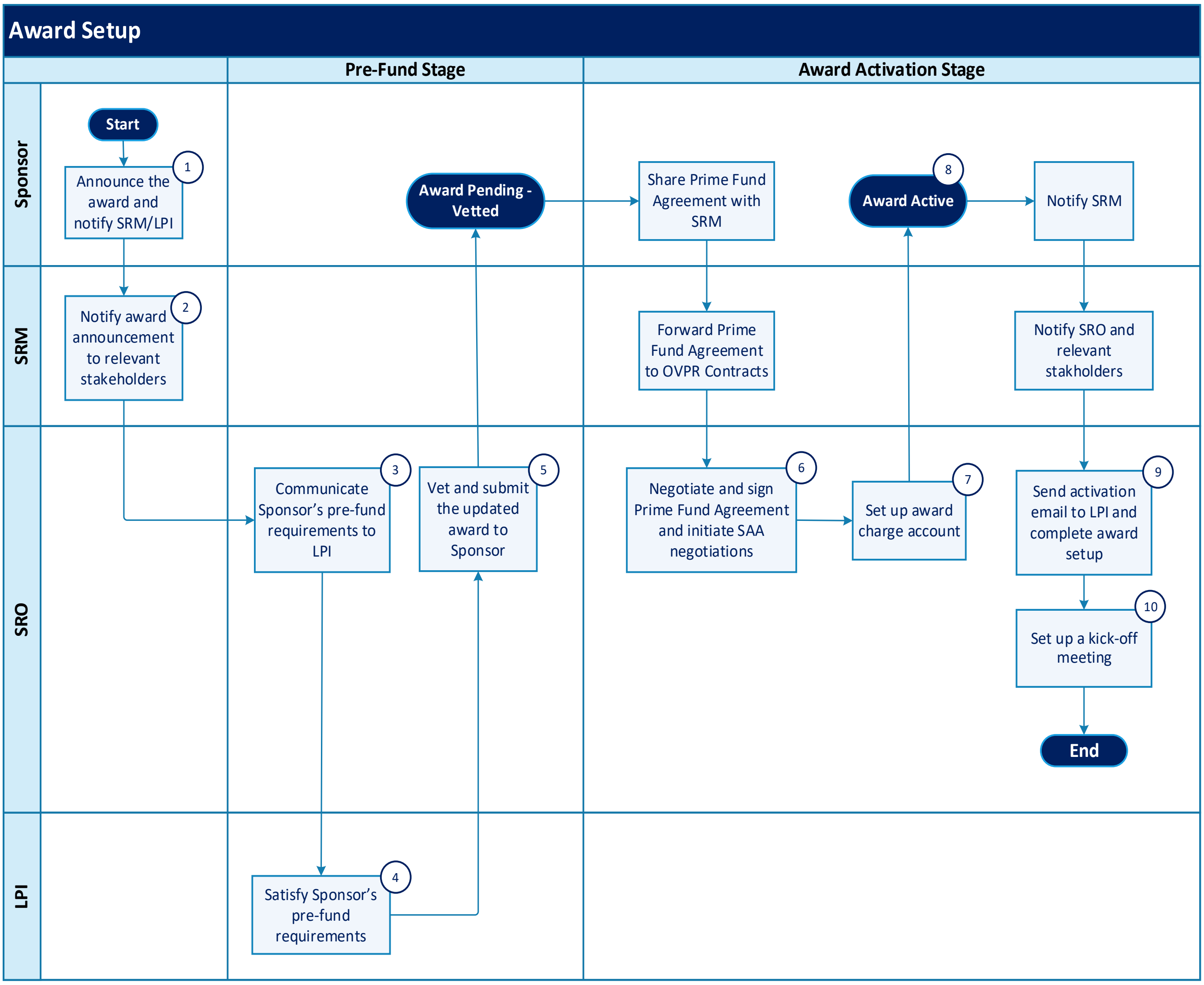
4. Roles and Responsibilities

Role	Responsibility
LPI	The LPI is responsible for the overall leadership of the project and must: ➢ Ensure project activities are conducted as per the approved Research Plan, within the approved budget and in a timely manner, adhering to the SRO's and the Sponsors' deadlines. ➢ Initiate hiring, procurement and travel requests, in consultation with their Home Entity, and as per HBKU/QF policies and procedures. ➢ Raise change requests and update Research Plan (if required)

	➢ Fulfil the Sponsors' pre-fund requirements (where applicable) including, but not limited to, obtaining required ethical approvals, making budget adjustments, providing any missing documents, etc. ➢ Prepare and submit Technical Reports to the SRO. ➢ Adhere to the Sponsors' guidelines and HBKU's policies and procedures, and ensure the Research Team's compliance of the same. ➢ Review Financial Reports prepared by the SRO and provide any supporting documents as required.
SRO	The SRO serves as an institutional liaison with the Sponsors and facilitates day-to-day project activities. The SRO's function is to: ➢ Ensure efficient and effective management of all aspects of externally sponsored research projects from award announcement to award closeout, including but not limited to managing financial transactions and processing requests related to travel, procurement, hiring, etc. ➢ Provide guidance, advice and support to researchers and serve as the principal point of contact for all Post-Award related inquiries. ➢ Coordinate with the LPI to ensure all required documents including compliance approvals are in place, in order to activate research grant account. ➢ Liaise with Grants Finance for sub-award financial planning, including managing sub-award spending and ensuring invoice submission and collection occurs in a timely manner. ➢ Vet Technical Reports, ensuring research outcomes and deliverables are reported as per the Research Plan and according to the Sponsors' requirements. ➢ Prepare and submit Financial Reports to the Sponsors. ➢ Review, obtain approvals and facilitate project plan change requests to the Sponsors (such as NCTE, re-budgeting requests, changes in key personnel, among others). Submit SRO approved change requests to the Sponsors and coordinate implementation of the final approved changes (award modification). ➢ Monitor and control grant budget and assist with processing of budget amendments and carry over unspent budget. ➢ Coordinate with the LPI to ensure all final Technical, Financial, IP and other required reports are properly submitted to the Sponsors prior to project account closure. ➢ Ensure proper research projects closures as per the Sponsors' requirements. ➢ Ensure all project activities are in compliance with the Sponsors' requirements and deadlines, as well as with HBKU policies and procedures. ➢ Conduct project risk assessment and coordinate with the LPI on the course of action to keep the project on-track. ➢ Manage External Research Grants' audit activities.

5. Post-Award Procedure

5.1 Award Setup Flowchart



5.2 Award Setup Narrative

Sr. No.	Narrative	Responsible Person/Entity
1	Announce the awarded proposals and notify the SRM The Sponsor announces the awarded proposals and notifies the SRM or the LPI, as the case may be (including notification of the beginning of the pre-fund stage, where applicable). If the Sponsor only notifies the LPI, the LPI must promptly relay such notification to the SRM.	Sponsor, LPI
2	Notify award announcement to relevant stakeholders Upon receiving the notification from the Sponsor or the LPI, the SRM shall communicate the same to the following: ➢ LPIs ➢ SRO-PM ➢ LPI's Dean/ED ➢ OVPR Contracts ➢ Grants Finance ➢ Communications	SRM
3	Communicate Sponsor's pre-fund requirements to LPI Post award announcement, some Sponsors may have an additional pre-fund stage during which the Sponsor issues certain instructions and/or request changes in the submitted plan. The SRO-PM shall inform the LPI of the beginning of the pre-fund stage and set an internal deadline for the LPI to submit the required pre-fund documents. The **internal deadline** is one (1) week prior to the Sponsor's pre-fund deadline.	SRO-PM
4	Satisfy Sponsor's pre-fund requirements LPIs shall refer to the Sponsor's pre-fund requirements and make the requested changes and/or provide the requested documents **no later than** the SRO internal deadline. Typically, the Sponsor's requests during the pre-fund stage may concern, but are not limited to: ➢ Budget adjustments ➢ Ethical compliance ➢ Missing documents or profile information ➢ Other grant-specific required documents (such as student tuition or enrolment letter, etc.)	LPI
5	Vet and submit the updated award to Sponsor Upon receiving the required documents and/or information, the SRO-PM shall vet as per the Sponsor's requirements and submit the updated Research Plan to the Sponsor, changing the award status to "Award Pending – Vetted".	SRO-PM
6	Negotiate and sign Prime Fund Agreement and initiate SAA negotiations If the pre-fund requirements are met, the Sponsor will share a Prime Fund Agreement detailing Awardee's obligations under the award with the SRM, who shall forward it to the OVPR Contracts. The OVPR Contracts	SRO-OVPR Contracts

	shall review the agreement and negotiate the terms to ensure they align with HBKU and QF policies, before routing it for signature. Once the Prime Fund Agreement is duly signed by the authorised signatory, the OVPR Contracts shall forward the signed agreement to the SRO-PM to be shared with the LPI. Thereafter, the OVPR Contracts shall initiate negotiation, review and finalisation of relevant SAAs. Collaborators **must only begin** research activity **after the signing of the SAA**.	
7	Set up charge account Grants Finance shall create a charge account for the awarded project to receive instalments from the Sponsor.	SRO-Grants Finance
8	Award Active Upon signing of the Prime Fund Agreement and creation of the charge account, the Sponsor shall activate the award and notify the SRM. The SRM, in turn, shall notify the SRO-PM and other relevant stakeholders.	Sponsor
9	Send activation email to LPI and complete award setup Upon award activation, the SRO-PM shall send an activation email to the LPI with all the project details. For External Research Grants, award setup shall conclude upon issuance of Internal Award Acceptance form to the LPI.	SRO-PM
10	Set up a kick-off meeting The SRO-PM shall set up a kick-off meeting to discuss the project scope, WPs, LPI’s/PI’s roles and responsibilities, and expected deliverables.	

5.3 Award Execution

As the award becomes active, it enters the execution phase. During this stage, the LPIs conduct project operations to perform WPs and achieve the expected outcomes as per the approved Research Plan.

The following sections highlight award execution activities namely:

- Raising hiring, procurement and travel requests
- Initiating change requests (if required)
- Preparing Progress Reports (Technical and Financial Reports)
- Monitoring and controlling project budget
- Conducting risk assessment

5.3.1 Award Execution – Hiring, Procurement and Travel Requests

To ensure proper execution of the project, the LPI may initiate the following requests:

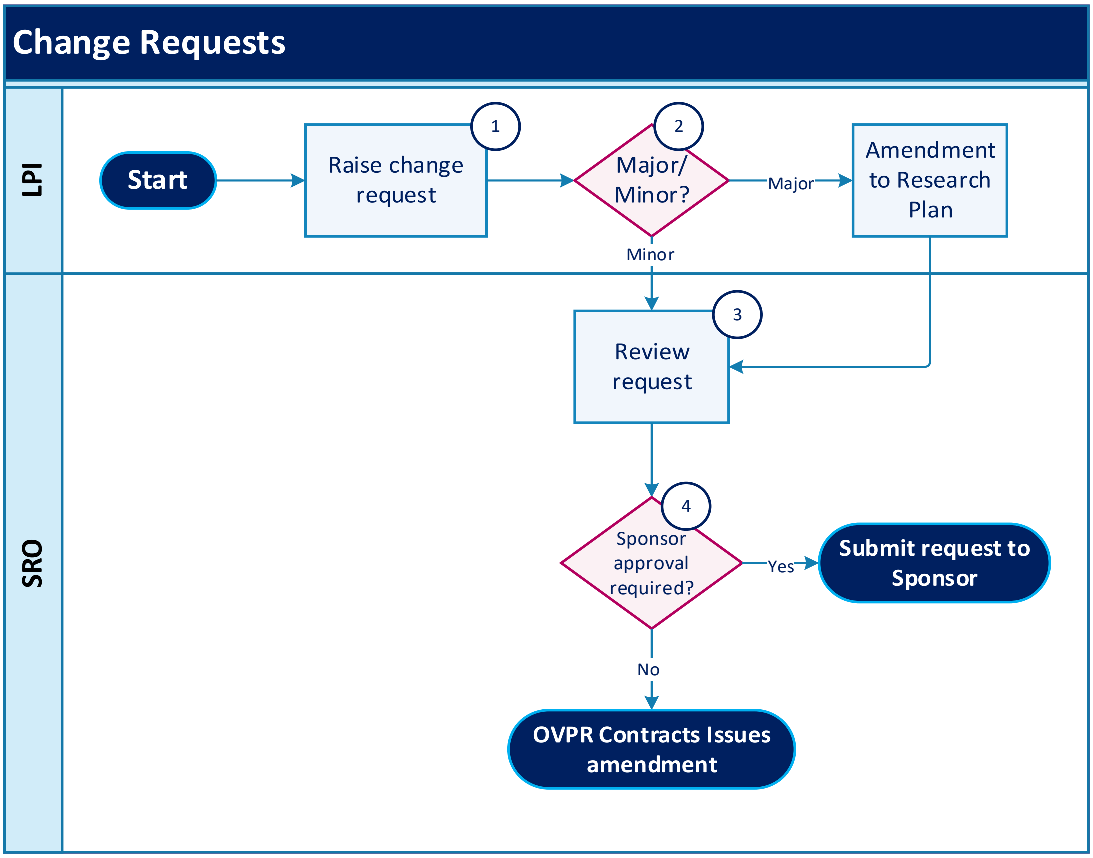
- Hiring Requests
- Procurement Requests
- Travel Requests

Any request raised must be in accordance with the Hiring, Procurement and Travel Plans as detailed in the approved Research Plan.

For detailed procedures on the above-mentioned requests, kindly refer to the following:

- Hiring Procedures on External Grants (here) and Graduate Student Employment Under Sponsored Research Guidelines (here)
- Procurement Procedure on External Research Grants (here)
- Travel Procedure on External Research Grants (here)

5.3.2 Award Execution – Change Request Flowchart



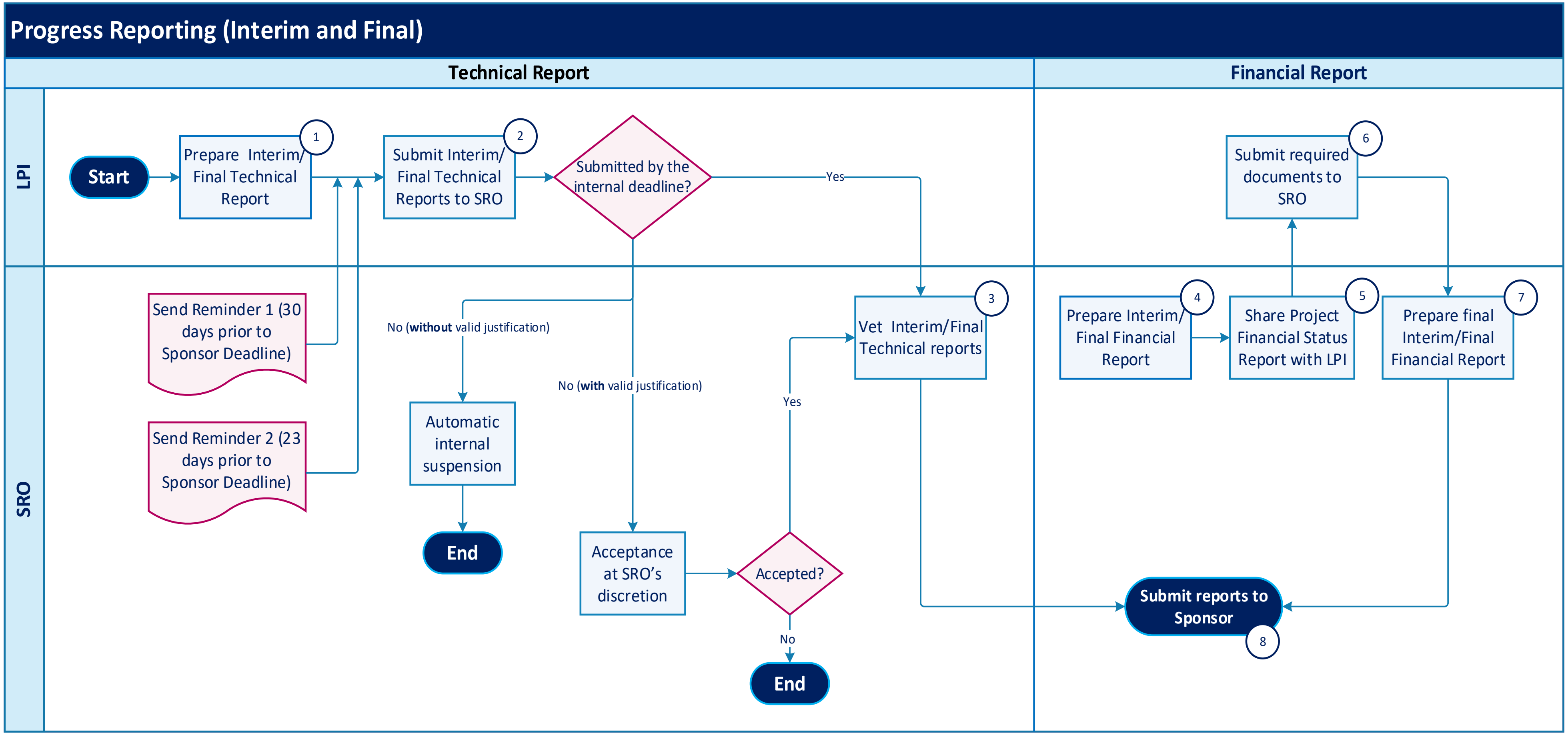
5.3.3 Award Execution – Change Request Narrative

Sr. No.	Narrative	Responsible Person/Entity
During the course of the project, circumstances beyond the LPI's control may arise warranting a change in the original Research Plan (including the approved budget). LPIs may raise a change request with regard to (but not limited to): ➢ Budget movement between categories ➢ Project status ➢ Project start/end dates ➢ Adding or removing research personnel, collaborative institution or co-funder ➢ Hiring ➢ Procurement ➢ Travel Change Request process may differ for different sponsors/funding agencies. Kindly refer to the respective Sponsor's change request guidelines. If there are no such guidelines, kindly contact the SRO through the SRO E-Portal for further guidance. It is strongly advised to keep the change requests to a minimum as they alter the scope of the project, which increases the risk factor and may result in the project being suspended or put on hold for further evaluation.		

1	Raise change request If circumstances require a change request, the LPI shall submit a change request form within the first three (3) months of the start of each project year.	LPI
2	Major/Minor? The LPI must refer to the Change Request Matrix (see Appendix A) to determine the nature of the request (i.e. whether the request is major or minor), the required approval level and documents, and the timeline during which a certain request may be raised. ➢ Major change requests substantially alter the scope of the project. If the request falls under "Major Change Requests" category, the LPI shall submit the request to the SRO along with an updated plan that reflects the impact of the change and proposes amendment to relevant sections of the Research Plan (WPs, deliverables, etc.) ➢ If the request falls under "Minor Change Requests" category, and the change does not alter the scope of the project, the LPI shall simply submit the request to SRO without an updated plan.	LPI
3	Review request The SRO shall review the request against the approved Research Plan, budget availability, the Sponsor's requirements, and HBKU's policies and procedures.	SRO
4	Sponsor approval required? Whether a change request requires the Sponsor's approval depends on the individual Sponsor (Kindly refer to the Sponsor's guidelines). ➢ If a change request does not require the Sponsor's approval, the SRO shall review and approve the request and issue an amendment to be processed by the OVPR Contracts. ➢ If a change request requires the Sponsor's approval, the SRO shall submit the request to the Sponsor who, at their discretion, may accept or reject the request.	SRO

5.3.4 Award Execution – Progress Reporting Flowchart

This section highlights the progress reporting procedure for both periodic/interim and final Technical and Financial Reports.



5.3.5 Award Execution – Progress Reporting Narrative

Sr. No.	Narrative	Responsible Person/Entity
The SRO shall prepare reporting schedule/timeline as per the Sponsor's requirements and share it with the LPI ahead of time. It is the LPI's responsibility to ensure compliance with the Sponsor's deadlines.		
1	**Prepare Interim/Final Technical Report** The LPI shall prepare Periodic/Final Technical Reports according to the Sponsor's requirements and the provided templates (if any). Technical Report components may vary subject to a specific Sponsor. The LPI must refer to the Sponsor's guidelines to determine what is required in a Technical Report. Nevertheless, a Technical Report typically comprises the following: ➢ Research Progress and Upcoming Work Plan ➢ Participant Contribution ➢ Capacity building ➢ Research Outcomes ➢ Ethical Compliance ➢ Public Engagement ➢ Travel ➢ Co-funding/cost-sharing ➢ Appendices The LPI must disclose all research outcomes with existing or potential IP to the HBKU-IDKT before publishing. The Technical Report must include timelines for disclosures and such disclosures must be made to the HBKU-IDKT through For further information on reporting of research outcomes and other report components, kindly refer to Technical Report Components (see Appendix B).	LPI
2	**Submit Interim/Final Technical Reports to SRO** The SRO shall send two (2) reminders to the LPI requesting submission of Technical Reports. All reports (for External Research Grants) must be submitted to the SRO **at least two (2) weeks prior to the Sponsor's submission deadline** to allow SRO enough time to review and vet the reports before the final submission to the Sponsor. If the LPI fails to submit by the internal deadline without a valid justification, the project shall be internally suspended by the SRO, and the LPI and Dean/ED shall receive notification of the same. This, in turn, will lead to a formal suspension by the Sponsor due to failure to submit a final, fully vetted report.	

	The SRO, at its discretion, may accept a late report if the LPI provides a valid justification (i.e. cause beyond the LPI's control) within a reasonable timeframe prior to the Sponsor's deadline.	
3	Vet Interim/Final Technical Reports The SRO shall review and vet the Technical Reports to ensure it aligns with the approved Research Plan and the Sponsor's requirements.	SRO
4	Prepare Interim/Final Financial Report To prepare the Interim/Final Financial Reports, the SRO shall review the general ledger and any financial records to verify all transactions for a specific period, listing the actual costs incurred per budget category during that reporting period. For Final Financial Report, in addition to the above, the SRO shall document the unspent funds that must be returned to the Sponsor.	
5	Share Project Financial Status Report with LPI The SRO shall share the Project Financial Status Report with the LPI for further input and request the LPI to submit supporting documents.	
6	Submit required documents to SRO The LPI shall provide the information required for the Financial Report, attach all supporting documents as requested by the SRO and approve the Project Financial Status Report. The supporting documents may include, but are not limited to: ➢ Timesheets of Research Team members ➢ Confirmation of cost-sharing services ➢ Confirmation of co-funding services as per the commitment letter	LPI
7	Prepare final Interim/Final Financial Report The SRO shall prepare a final Financial Report based on the approved Project Financial Status Report from the LPI and the supporting documents. The Financial Reports shall be submitted to the Sponsor every six (6) months of the project (Interim) and at the end of the project (Final).	SRO
8	Submit reports to Sponsor The SRO shall submit Technical Reports and Financial Reports to the Sponsor before the Sponsor's deadline. The Sponsor shall release funds upon acceptance of Interim Reports and release final instalment (if any) upon acceptance of Final Reports.	

5.3.6 Award Execution – Monitoring and Control

The SRO monitors the progress of the project throughout its lifecycle to determine whether it is on-track and, in case it is not, what is the risk associated with it and how can it be managed to ensure timely completion of the project.

5.3.6.1 Project Budget

A project's budget includes all the funds authorized by the Sponsor to execute the project. The SRO-PM is responsible for monitoring and controlling project budget. The SRO shall review any request raised by the LPI against budget availability and allowability and must further ensure:

- Any budget changes requested are in-line with the approved Research Plan and the Prime Fund Agreement, and are requested as per the Change Request Matrix
- Budget is allocated to specific budget categories to avoid free cash
- Budget spending percentage is "On-Track" as per the Scorecard Matrix (see Section 6.2 and Appendix C)

The status of project spending against the Sponsor-approved budget during a given period shall be shared with the LPI as part of the Scorecard Report (see section 5.3.6.2 below).

5.3.6.2 Project Scorecard

The SRO employs a Project Scorecard as a tool to monitor the performance of the project and its implementation, against the Sponsor-approved Research Plan and budget. The project Scorecard Report shall be issued to the LPIs by the SRO every six (6) months, along with the Project Financial Status Report (see section 5.3.5 above).

The Scorecard Matrix (see Appendix C) lists the six main components of a project evaluated by SRO to assess project risk, namely:

1. Project Scope (No. of change requests raised)
2. Project Schedule (% of actual WP completion against planned WP completion)
3. Project Budget (% of spent/committed against received instalments)
4. Project Ethical Compliance (Ethical compliance documents (protocols, consent forms, etc.) and approvals)
5. LPI's Responsiveness and Communication (LPI responds to SRO's communication channels and action items, and initiates requests in a timely manner)
6. Project Resources – Personnel (Actual hiring against planned hiring)

5.3.6.3 Project Risk Assessment

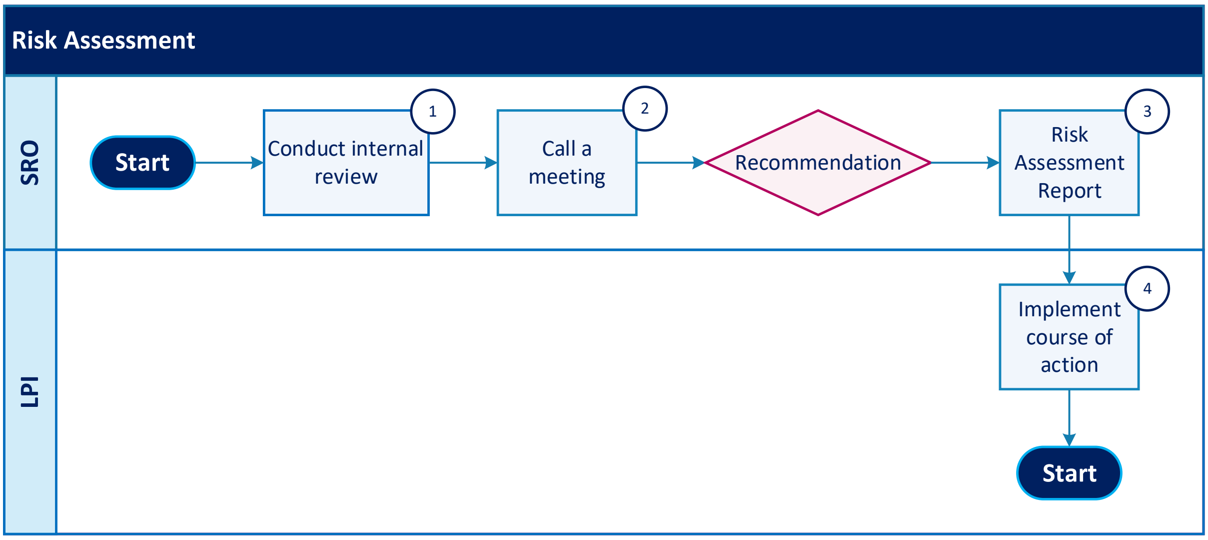
The SRO conducts risk assessment throughout the project life cycle to ensure the project is on-track and in compliance with the Sponsors' guidelines and HBKU's policies and procedures. The SRO evaluates three (3) of the abovementioned six (6) project components (section 5.3.6.2) to generate the overall project risk status. These include:

1. Project Scope
2. Project Schedule
3. Project Budget

Overall project Scorecard Report will be generated based on each of the three component's risk status, as shown below:

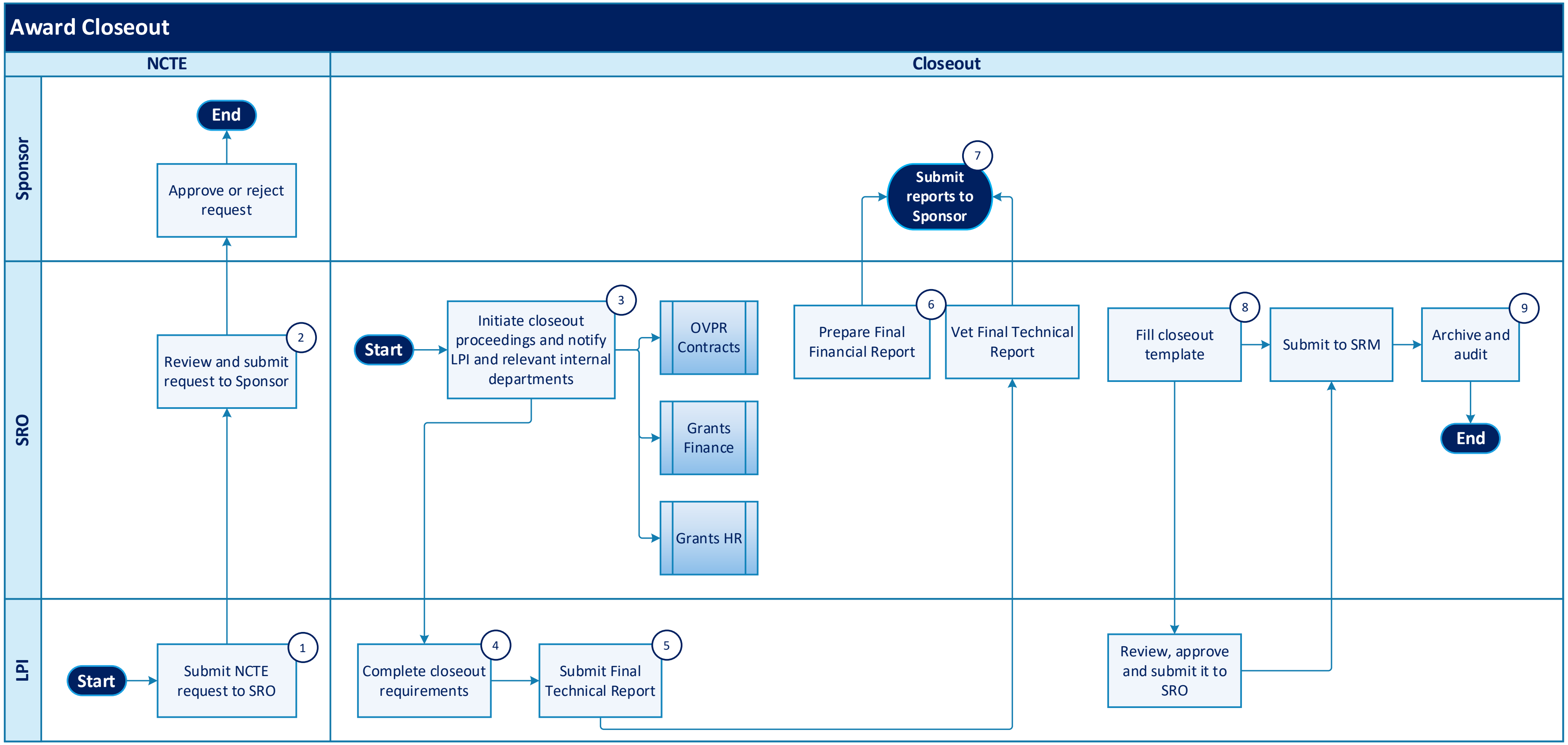
	Overall Project Status
Equal to or more than 2 RED categories	**RED (HIGH RISK)**
1 RED category	**YELLOW (ABOVE AVERAGE – LOW RISK)**
1 ORANGE category	**YELLOW (ABOVE AVERAGE – LOW RISK)**
0 RED categories	**GREEN (ON-TRACK)**

If the overall project is assigned a "HIGH RISK" status in two (2) consecutive Scorecard Reports, a formal risk assessment shall be conducted, as shown below:



Sr. No.	**Risk Assessment Narrative**	**Responsible Person/Entity**
1	The SRO shall conduct a detailed internal review of the project to determine the nature of risk.	SRO
2	Upon determining the source of risk, the SRO shall call a risk assessment meeting with the LPI to agree on the next course of action	
3	The SRO shall issue recommendations and prepare a Risk Assessment Report.	
4	The LPI shall implement the agreed upon course of action as detailed in the Risk Assessment Report to avoid project suspension and bring it on-track.	LPI

5.4 Award Closeout Flowchart



5.5 Award Closeout Narrative

Sr. No.	Narrative	Responsible Person/Entity
The award closeout process begins three (3) months prior to the project end date and must be fully completed within a maximum of three (3) months after the project end date or as per the Sponsors' guidelines.		
NCTE		
1	Submit NCTE request to SRO Sponsors often permit a NCTE to allow the LPIs additional time, generally between six (6) months up to one (1) year, to complete a project with no additional funding. If circumstances arise that render the completion of the project unfeasible within the initially allotted time, the LPI may submit a NCTE request to the SRO, typically, **within six (6) months of the project end date**. NCTE, however, may vary from one grant to another, The LPI, therefore, must contact the SRO-PM for clarity on the timeline during which NCTE may be requested for a given grant. The LPI may only request one (1) NCTE and shall provide valid justification for such request.	LPI
2	Review and submit request to Sponsor The SRO shall review the NCTE request and the LPI's justification against the Sponsor's guidelines before submitting it to the Sponsor. The Sponsor, subsequently, may either accept or reject the request at its discretion.	SRO
Closeout		
3	Initiate closeout proceedings and notify LPI and relevant internal departments The SRO-PM shall initiate the closeout proceedings three (3) months prior to the project end date by sending a notification of closeout requirements to the LPI. The SRO-PM shall also notify the following internal departments, who shall initiate their respective closeout proceedings: ➢ **OVPR Contracts** shall closeout all the SAA. ➢ **Grants Finance** shall review final expenditures, reconcile charge accounts and de-activate, release encumbrances, and clear any outstanding invoices. ➢ **Grants HR** shall closeout all hiring agreements, ensure that no effort is committed after the project end date, and request earnings of statement.	SRO
4	Complete closeout requirements The LPI shall complete closeout requirements as requested by the SRO. This includes: ➢ Informing the Research Team members (including collaborators) of the project end date ➢ Ensuring all timesheets are submitted to the SRO ➢ Ensuring all equipment is tagged and all orders received ➢ Submitting Final Technical Report	LPI
5	Submit Final Technical Report	LPI

	The LPI shall prepare the Final Technical Report as per the Sponsor's requirements and submit it to the SRO for vetting following the procedure detailed in Section 5.3.5 above (Steps 1-3).	
6	Prepare Final Financial Report	SRO
	The SRO shall prepare the Final Financial Report following the procedure detailed in Section 5.3.5 above (Steps 4-6).	
7	Submit reports to Sponsor	
	The SRO shall submit the Final Progress Reports and to the Sponsor at the latest by the project end date. The Sponsor shall review the reports to ensure funds were spent appropriately in accordance with the Prime Fund Agreement and activities were conducted as per the approved Research Plan.	
8	Fill closeout template	SRO, LPI
	The SRO-PM shall fill the closeout template within a maximum of three (3) months of the project end date and send it to the LPI to review, approve and re-submit it to the SRO-PM. The SRO-PM shall submit the approved closeout template to the SRM.	
9	Archive and audit	SRO
	Upon completion of the closeout process, the SRO shall archive all documents and coordinate/support audit reviews required by the Sponsor or external audit agency (as the case may be).	

6. Related Documents

The following supporting documents are associated with this procedure:

- Internal Award Acceptance form (here)
- Change request forms (available under "Award Management" tab here)
- Hiring Procedures on External Grants (here)
- Graduate Student Employment Under Sponsored Research Guidelines (here)
- Procurement Procedure on External Research Grants (here)
- Travel Procedure on External Research Grants (here)
- Award Closeout checklist (here)

7. Contacts

For further information, concerns and queries regarding any aspect of Post-Award process, the LPIs are requested to contact their SRO-PM by raising a ticket on the SRO E-Portal.

Please visit the following website for HBKU Research and Sponsored Research Office:

- https://research.hbku.edu.qa/
- https://www.hbku.edu.qa/en/research/sro

Appendix A – Change Request Matrix

Change Request Matrix			
Type of Change Request	**Required Approval**	**Timeline**	**Required Documents**
Major Changes			
Add PI or Collaborative Institution	SRO & Dean/ED	At least 3 months prior to the SRO Progress Report due date	Signed CR form by Dean/ED, SAA, support letter for PI, and associated WPs
Remove Collaborative Institution	SRO & Dean/ED	At least 1 month prior to the SRO Progress Report due date	Signed CR form by Dean/ED, valid justification, associated WPs and budget reallocation
Add/Remove Co-Funder	SRO, Dean/ED & Sponsor	At least 3 months prior to the SRO Progress Report due date	Signed CR form by Dean/ED, valid justification, support letter from co-funders
Change LPI*/PD or Sub-Project LPI	SRO, Dean/ED & Sponsor (+ PD – for cluster projects)	At least 1 month prior to the SRO Progress Report due date	Signed CR form by Dean/ED, valid justification, associated WPs, Change-in-LPI Form (template available)
Remove (PI)	SRO, Dean/ED	At least 1 month prior to the SRO Progress Report due date	Signed CR form by Dean/ED, valid justification, associated WP and budget
Change Project Start and End date (NCTE)	SRO & Sponsor	Within 3 months of the project **start date** Within 6 months from the project **end date**	CR form, valid justification, amendment, and WPs
Budget Movement between different collaborators	SRO & Dean/ED	At least 3 months prior to the project end date	Signed CR form by Dean/ED, amendment (in case of Collaborators) and associated WPs
Change Project Status (Suspend, Terminate, Withdraw)	SRO & Sponsor	Anytime	Suspension/termination/withdrawal memo (template available)
Minor Changes			
Reallocation of funds for HBKU Key Investigators (LPI/PI) to another budget line	SRO & Dean/ED	At least 3 months prior to the project end date	Signed CR form by Dean/ED
Add/ Remove un-named participant	SRO	At least 3 months prior to the project end date	CR form, valid justification, associated WPs and budget
Add/ Remove Graduate Student	SRO	At least 6 months prior to the project end date	CR form, valid justification, associated WPs and budget
Reallocation of funds between budget lines	SRO	At least 3 months prior to the project end date	CR form, valid justification

* In case the LPI decides to leave the project or HBKU, the procedure below must be followed to change the LPI and maintain the grant with HBKU:

<table>
<tr><th>Sr. No.</th><th>Changing LPI while maintain grant under HBKU</th><th>Required Documents</th></tr>
<tr><td>1</td><td>The current LPI shall nominate new LPI from HBKU.</td><td rowspan="4">In addition to the required documents listed above, such a change would require:
• No objection letter from the current LPI
• Acceptance letter from the new LPI
• Updated Scope of Work and Budget
• Support letter from the former LPI from his/her new institute
• List of hired employees on the grant</td></tr>
<tr><td>2</td><td>The current LPI shall remain as a PI on the project or as a consultant.</td></tr>
<tr><td>3</td><td>Former LPI’s new institute shall be added to the project and SRO shall finalize a new agreement with the PI under his/her new affiliation.</td></tr>
<tr><td>4</td><td>All employees hired under the grant shall report to the new HBKU LPI.</td></tr>
<tr><td colspan="3">Kindly note that all changes will be subject to the SRO’s, HBKU Management’s and Sponsor’s discretion.</td></tr>
</table>

Appendix B – Technical Report Components

Components	Description
Research Progress and Upcoming Work Plan	This section must include the following: ➢ Any WPs, tasks and objectives achieved during the reporting period. ➢ Any significant results achieved, including major findings and developments contributing to the project's progress for current reporting period. ➢ Any challenges, major changes and delayed WPs affecting the project's progress for current reporting period. ➢ Any potential Research Outcomes planned for next reporting period aligned with the approved WPs and project timeline.
Participant Contribution	Names, roles, contribution, and effort days of each Research Team members as per the Sponsor-approved Research Plan and budget.
Capacity Building (if any)	This section must include the following: ➢ Any academic courses, workshops, or conferences organised during the reporting period and planned for the future based on the project. ➢ Any contribution to human resource development of the Research Team through trainings, scholarships, and other research opportunities in the relevant field. ➢ Any esteem positions or memberships obtained through the project. ➢ Any institutional infrastructure enhancements made through contributions to facilities, laboratories, instruments information resources, libraries, databases, etc.
Research Outcomes	Any form of recognized and distinguishable outcomes generated by the progress and activities of a project during the reporting period must be reported under this section. These include (but are not limited to) journal and conference publications; books and book chapters; poster presentations; patents & invention disclosures; videos; datasets; creative works. Achieved or expected research outcomes must be classified as follows: ➢ Copyrightable work: any datasets, data repositories, data registries, software code, mathematical theories, mathematical models or theories, formulae, policies, white papers, legal frameworks, educational materials, publications, etc. ➢ Patentable work: any products, processes, formulae applications, new use of existing technologies, use of biomarkers, use of chemical molecules and compounds, diagnostic methods, semiconductors devices, materials, nanotechnology inventions, etc. ➢ Hybrid cases: any copyrightable and patentable outcomes including software, algorithms, numerical models as simulators, novel mice models, cell-lines, plasmids, etc. ➢ Seeds and plant verities ➢ Industrial designs ➢ Trademarks ➢ Others

	This section also requires LPIs to list achieved and expected research outcomes (with their IP protection types) and compare them against the original proposal. LPI must also disclose any new research outcomes that may not have been in the original proposal along with the IP protection type for such new outcomes. Measures being taken to protect the confidentiality of such outcomes must also be detailed under this section, clarifying how the Research Team plans to communicate or disseminate the results, and manage the involvement of third parties.
Ethical Compliance	If the project involves human subjects, animals, hazardous materials or data storage, required ethical compliance approvals (IRB, IACUC, IBC etc.) must be obtained and attached under this section.
Public Engagement	Any work associated with the project presented at a workshop or conference (include event title, type and date)
Travel	Any trips made during the reporting period to present the results of the Project. This may include (but is not limited to) travel for meetings, conferences, workshops, etc.
Co-funding/Cost-sharing	Any in-cash or in-kind co-funding/cost-sharing contribution to the project.
Appendices	Any additional supporting documents required by the Sponsor.

If there is nothing to report under a component during the reported period, state “None/NA.”

Appendix C – Scorecard Matrix*

	Below Target (High Risk)	**Average (Moderate Risk)**	**Above Average (Low Risk)**	**On-Track**
Project Scope				
(Change requests)	More than: • 4 Major CR 4 • 6 Minor CR **Action required**: LPI must submit mitigation plan	-	• 4-6 Minor CR • 2-4 Major CR	• Less than 4 Minor CR • 1 Major CR
Project Schedule				
(% of actual WP completion against planned WP completion)	% of completion as of today is behind schedule			% of completion as of today is on schedule or ahead of schedule
Project Budget				
(% of spent/committed against received instalments)	0 – 50% Underspending	> 100% Overspending	51% - 70% LPI's Attention Required	> 71%
Project Ethical Compliance				
(Ethical compliance documents (protocols, consent forms, etc.) and approvals, when applicable)	Documents and approvals missing/pending/invalid	-	-	Documents and approvals obtained and renewed (when applicable)
Project Responsiveness and Communication				
(LPI's responsiveness to SRO's communication channels and action items and ability to initiate requests in a timely manner)	Poor	-	-	Good
Project Resources-Personnel				
(Actual hiring against planned hiring)	Inadequate capacity building, hiring delays, hiring not as planned	-	-	Adequate capacity building, no hiring delays, hiring as planned

* The Scorecard Matrix evaluates the project categories per project year

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