

Nova Southeastern University

**FY2012 President's Faculty Research and
Development Grant**

Post-Award Procedures

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INTRODUCTION

Congratulations on being awarded a FY2012 President's Faculty Research & Development Grant! This short document is meant to serve as a resource for any questions that may arise during the funded project, and has been excerpted from the *Grant Application Guidelines and Procedures* document. The two sections in this Introduction are just a reminder of the academic unit's matching contribution requirement and the activities which are allowable as expenses on an award. The remainder of the document addresses specific aspects of the post-award phase that all projects have now entered.

Please don't hesitate to contact the Office of Grants & Contracts (OGC) with questions or requests for clarification that are not addressed on the following pages. Again, congratulations and best wishes for a successful project!

REQUIRED ACADEMIC UNIT DOLLAR MATCH

Submissions must be endorsed by the Dean(s) of the academic unit(s) in which the project will be administratively housed. Every academic unit participating in the collaboration must receive the respective Dean's signature on the *Dean's Commitment Form*, **whether or not the academic unit is providing dollar or resource support**. This form indicates the Dean(s)' approval for the faculty member to devote a portion of his/her non-sponsored effort to the project and must include the principal investigator/co-principal investigator's name, title of the proposal, and type of commitment (if applicable). This endorsement must include a commitment from the Dean(s) to fund the proposed work with at least a dollar for dollar match (must include the exact dollar amount match). Note: The matching dollars from the academic unit(s) must represent new allocations for faculty development and must not diminish existing resources for faculty support in the academic unit(s). Moreover, a commitment from the Dean(s) of all other resources (for example, space, equipment, etc.) necessary to carry out the project must be included. For example, if six faculty members from six different academic unit(s) are applying together, six separate Deans' signatures are required. The Dean's Commitment Form is available on the PFRDG website [www.nova.edu/PFRDG].

It is strongly suggested that participating Deans discuss their commitments prior to the proposal submission. However, if due to unforeseen reasons it is not possible to identify the exact match arrangements at the time of submission, the following statement should be included in the Dean's Commitment Form: "Should the proposal be awarded, the exact match will be determined as soon as possible after the award announcement." In addition, principal investigators who have applied for an external grant, which requires a match, and are awaiting disposition of their PFRDG award, may request consideration to use the pending PFRDG funds in order to meet the external grant match requirement. Such requests must be submitted to the Office of Grants and Contracts. The Office of Grants and Contracts will be responsible for obtaining approval from Dr. Gary S. Margules, Vice President for Research and Technology

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Transfer, prior to the PFRDG submission. If approved, the Dean must note on the Dean's Commitment Form, that in the event the external grant is not funded the Dean will assume responsibility for meeting the match requirement as outlined above.

ACTIVITIES ELIGIBLE/INELIGIBLE FOR FUNDING

The following activities are examples viewed to be acceptable expenditures for PFRDG awards:

- Work Study assistance¹
- Other temporary employee assistance.
- Equipment to be university property. Applicants are permitted to submit a brief quote (no more than one page) within their appendices to further justify their budget costs.
- Instruments, including test materials or other specialized materials.
- Incentive payment to human subjects involved in the research. This includes direct costs for items such as stipends, registration fees, travel allowances and/or other incentives (i.e. gift cards) paid to human subjects involved in the research project. An average incentive payment normally does not exceed \$20.00 per visit.
- Special promotional activities (i.e., advertising for special clients or student's participation, special seminars or conferences to promote activities, etc.).
- Focused travels for specific consultations/collaborations.
- Travel for formal presentation of scholarly work in professional venues.
- Travel to collect data.

The following activities **will not be** supported through the President's Faculty Research and Development Grant:

- Faculty development travel (i.e., attendance at professional meetings when not presenting).
- Faculty release time.
- Payment of regular full-time or part-time employees and/or enhancement of full-time or part-time faculty cannot be compensated. Student employees will be compensated through the work study program.
- Cash advances for any non-travel related expenses.
- Payments to collaborating institutions, which exceed 30% of the total project costs (i.e., if a project is awarded \$10,000 no more than \$3,000 may be awarded to a sub-recipient). This does not include payments to consultants and vendors.

¹“Student employees are permitted to work up to 20 hours a week when classes are in session and up to 37.5 hours a week when classes are not in session. The PI will determine the salary range which must be at least minimum wage. The PI must contact Patricia Chin in the Office of Student Employment after his/her account with OGC has been set up in order to create the student employment position for the award.”

POST-AWARD PROCEDURES

To initiate the post-award phase of the PFRDG, awardees must contact Dr. Gary S. Margules, Vice President for Research and Technology Transfer (VP-RTT) to schedule a meeting to discuss their research project. At the time of award notification, the applicants will be provided a list of comments from the Reviewer's regarding his/her project. Before meeting with Dr. Margules, a written report outlining in detail responses to the Reviewer's comments will be prepared and sent via an email attachment to margules@nsu.nova.edu. A meeting may be scheduled to discuss the report and what revision, if any, need to be made to the project.

COMPLIANCE PROCEDURES

Applicants who receive PFRDG awards are to follow the established procedures in their respective academic units concerning, but not limited to, the Institutional Review Board (IRB) and the Health Professions Division (HPD) Research Committee, if applicable. Information related to these policies and procedures are available at their respective websites: IRB [www.nova.edu/irb] and HPD Research Committee [www.hpd.nova.edu/hpdresearch].

Any questions regarding the IRB process should be directed to your Center Representative, particularly if you have not yet started the IRB submission process for your study. Also, please contact your Dean to learn if there are any additional guidelines governing research projects in your academic unit. **Please note that no funding will be released for a PFRDG award until all applicable university approvals have been obtained.**

After you have received IRB approval, you may contact your Center Representative or the Office of Grants and Contracts with any questions. **Please note that you must notify the IRB office of any changes to the study before the changes are put into effect. In addition, if you request an extension to the grant next year you must also submit for an extension of IRB approval.**

PROJECT PERIOD AND EXTENSIONS

Funds from the PFRDG account and the appropriate academic units' budgets will be transferred into a restricted account for each award. The accounts will be accessible starting June 1, 2011 and will run until June 30, 2012, or later if an extension of time is granted for completing the project. Requests for extensions beyond June 30, 2012 must be submitted to the VP-RTT at least 60 days before the original project end date (by April 30, 2012). Extensions may be granted for up to one year, at the discretion of the VP-RTT; extensions beyond June 30, 2013 will not be allowed. Extensions will not confer any additional funds above and beyond the original award amount. A *No-Cost Extension Form* can be downloaded from the PFRDG website [www.nova.edu/PFRDG], and must be submitted to the VP-RTT for approval.

CREATING A BUDGET

It is suggested that the researcher contact the OGC immediately after receiving his/her award notice for assistance in finalizing the proposed budget. The OGC can provide guidance in using the correct budget codes to avoid confusion or problems accessing the award funds during the

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budget year. The Income/Expense Codes provided by Financial Operations should be used when preparing the post-award budget [www.nova.edu/cwis/fop/budget/codes.html]. These codes are extremely important and will be used by the OGC to administer the project.

During the course of the award, it may be necessary to spend funds differently than originally budgeted. If so, the principal investigator must complete a *Rebudgeting Request Form*, which is available at the PFRDG website [www.nova.edu/PFRDG]. Variances between budgeted and actual expenses of 25% or less cumulative do not require priori approval from the VP-RTT. In these cases, the *Rebudgeting Request Form* can be submitted to the OGC after the expense has occurred. If the cumulative variance between budgeted and actual expense will exceed 25%, however, the *Rebudgeting Request Form* must be approved by the VP-RTT before the expense occurs.

For example, if there is a \$10,000 award and it becomes necessary to spend \$4,000 on supplies instead of the \$1,000 originally budgeted for that category, that category would be exceeded by \$3,000, which is more than 25% of the \$10,000 award. The principal investigator would need to submit a *Rebudgeting Request Form* to the VP-RTT for approval before incurring expenses for these supplies.

EXPENSES AND PROGRAM INCOME

All requests for expenditures (purchase orders, travel requests, check requests, etc.) must be submitted to the OGC for review for allocability and allowability. All purchase orders and check requests must contain the Principal Investigator/Project Director approval signature. If omitted, the forms will be returned and will delay the payment process. Once approved, the OGC will forward the request to the appropriate department (e.g. check requests to Accounts Payable) for processing.

If any program income is generated during the award period, it must be used for the same purpose as the award. For example, any fees generated from services performed that had been made possible by the award should be used to further the work funded by the award. Most award recipients will not have any program income; principal investigators would work with the OGC to develop a plan to manage the income if it becomes necessary.

The accounts will be accessible starting June 1, 2011 and will run until June 30, 2012 or later if an extension of time is granted for conducting the research. **Please Note: Requests for no-cost project extensions must be submitted to the VP-RTT 60 days before the original project end date. Similarly, all purchase orders must be received by the OGC 60 days before the project end date and NSU must receive all merchandise by the project end date.**

FINAL REPORT

The last part of the formal post-award phase is the completion of a final report. Within 90 days after the project end date (September 30, 2012) unless a project extension has been granted by the VP-RTT, with a copy to the OGC. The report should include a summary of the sponsored activities. Any papers, abstracts, chapters, etc., which were derived from the research conducted

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should also be included. Moreover, if the project leads to the submission of any additional proposals for funding, that information should also be included in the report. If, after submitting the report, new funding is secured or works published, this updated information should be forwarded to the appropriate parties so work that results from these grants can be accurately documented.

In the event the researcher is unable to complete the final report within the allotted time frame, a written request for extension must be sent either by email or by a memorandum to the VP-RTT and copied to the OGC. The request should state in detail the circumstances that prevented completion of the written report as well as an anticipated receipt date of the final report.

The final report should be double-spaced and written in 12 point font with margin limitation of 1 inch all around. Although there is no page limitation on the written report, the final report should be brief and consist of pertinent information related to the project. The final report should be written within 90 days after the project end date. The report is to be forwarded to the VP-RTT, with a copy to the OGC. Please use the following format as a guide when creating your final report.

I. Project Title

II. Key Personnel – List the names of the principal investigator, co-principal investigator, and additional team members

III. Supporters - List all NSU Academic Units and external entities, if applicable, involved in the Project

IV. Introduction – Provide a detailed description of the background and purpose of the project.

V. Summary of the Project – Include a detailed summary of the work funded by the PFRDG award, as well as the significant findings or results of the project. This should also include a timeline of the significant award activities.

VI. Listing of Future Plans – Describe how the findings will be disseminated to external agencies or organizations. Possible grant submissions, publications and presentations information should be included in this section. Any research or collaboration with outside agencies that was a direct result of the PFRDG should also be included here.

VII. Publications – List the titles of publications, presentations, poster presentations, awards or other related activities resulting from the PFRDG.

CONTACT INFORMATION

Please feel free to contact the following individuals for information regarding the PFRDG process:

Dr. Gary S. Margules	Vice President for Research & Technology Transfer	margules@nova.edu (x7507)
Barbara Sterry	Executive Director, Office of Grants and Contracts	sterry@nova.edu (x5365)
Gerry McFarland	Budget (post-award)	gerry@nova.edu (x5250)
Jennifer Jones	PFRDG Representative, Office of Grants and Contracts	jj683@nova.edu (x25367)