

Nova Southeastern University

**FY2009 President's Faculty
Research and Development Grant**

Post-Award Procedures

TABLE OF CONTENTS

INTRODUCTION.....	2
REQUIRED ACADEMIC UNIT DOLLAR MATCH.....	2
ACTIVITIES ELIGIBLE/INELIGIBLE FOR FUNDING	3
POST-AWARD PROCEDURES	4
COMPLIANCE PROCEDURES	4
PROJECT PERIOD AND EXTENSIONS.....	4
CREATING AND MODIFYING A BUDGET.....	5
EXPENSES AND PROGRAM INCOME	5
FINAL REPORT	6
CONTACT INFORMATION	7

INTRODUCTION

Congratulations on being awarded a FY2009 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 Barbara Sterry in 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

Faculty submissions must be endorsed by at least the dean of the academic unit in which the project will be administratively housed (the principal investigator's unit). Each additional 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**. The form must include the principal investigator/co-principal investigator (PI/co-PI) name, proposal title, and type of commitment (if applicable). This endorsement must include a commitment from at least the principal investigator's dean 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) for any other resources necessary to carry out the project must be included. For example, if six faculty members from six different academic units are applying together, six separate deans' signatures are required. The *Dean's Commitment Form* is available on the PFRDG website [www.nova.edu/cwis/vpaa/facscholar].

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."

FY2009 PFRDG Post-Award Procedures

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 Margules, Vice President for Research & Technology 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 of acceptable expenditures for PFRDG awards:

- Work Study assistance (student employees)¹
- Other temporary employee assistance
- Equipment to become university property
- Instruments, including test materials or other specialized materials
- Incentive payment to human subjects involved in the research (Incentive payments normally do not exceed \$20.00 per visit.)
- Special promotional activities (e.g., advertising for special clients' or students' participation, special seminars or conferences to promote activities, etc.)
- Focused faculty travel for specific consultations/collaborations
- Travel for formal presentation of scholarly work based upon PFRDG funded research in professional venues
- Travel to collect data

The following activities **will not be** supported through a PFRDG award:

- Faculty development travel (i.e., attendance at professional meetings when not presenting)
- Faculty release time
- Payment of regular full-time or part-time employees
- Any other enhancement of full-time or part-time faculty wages

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, faculty awardees must contact Dr. Margules (Vice President for Research & Technology Transfer, to schedule a meeting to discuss their research project. At the time of award notification, the principal investigator was provided a list of comments from the reviewers regarding his/her project. Before the meeting, a written report of detailed responses to the reviewers' comments should be prepared and sent via email to Dr. Margules. A meeting may be scheduled to discuss the report and what revisions, if any, need to be made to the project.

COMPLIANCE PROCEDURES

Faculty 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 [hpd.nova.edu/hpdresearch].

Any questions regarding the IRB process should be directed to the appropriate Center Representative, particularly if the IRB submission process for the project has not been initiated. Also, faculty should contact their dean to learn if there are any additional guidelines governing research projects in their academic unit. **Please note that no funding will be released for a PFRDG award until all applicable university approvals have been obtained.**

After receipt of IRB approval, faculty may contact their Center Representative or the OGC with any questions. **Please note that the IRB office must be notified of any changes to the study before the changes are put in to effect. In addition, if an extension to the grant period is authorized, an extension of IRB approval will also be required.**

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. Once all award requirements have been satisfied, the accounts will be accessible starting June 1, 2008 and will run until June 30, 2009, or later if an extension of time is granted for completing the project. Requests for extensions beyond June 30, 2009 must be submitted to Dr. Margules at least 60 days before the original project end date (by April 30, 2009). Extensions may be granted for up to one year, at the discretion of Dr. Margules; extensions beyond

June 30, 2010 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/cwis/vpaa/facscholar], and must be submitted to Dr. Margules for approval.

CREATING AND MODIFYING A BUDGET

Barbara Sterry is available to provide guidance in using the correct budget codes to avoid confusion or problems accessing the award funds. The Income & Expense Codes provided by NSU's Financial Operations unit should be used when preparing the final budget, and are available at their website [www.nova.edu/cwis/fop/budget/codes.html]. These codes are extremely important and will be used by the OGC and the Grants & Contracts Accounting unit 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/cwis/vpaa/facscholar]. Variances between budgeted and actual expenses of 25% or less cumulative do not require prior approval from Dr. Margules. 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 expenses will exceed 25% however, the *Rebudgeting Request Form* must be approved by Dr. Margules **before** the expense occurs.

For example, if on a \$10,000 award 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 (more than 25% of the \$10,000 award). The principal investigator would need to submit a *Rebudgeting Request Form* to Dr. Margules 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 allowability, reasonability, and allocability. All requests must include the principal investigator's approval signature. If omitted, the request 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 should work with the OGC to develop a plan to manage the income if it becomes necessary.

FINAL REPORT

The last part of the post-award phase is the completion of a final report. Within 90 days after the project end date (by September 28, 2008 unless a project extension has been granted by Dr. Margules), a written report is to be forwarded to Dr. Margules, 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 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 Dr. Margules and the OGC so work that results from these grants can be accurately documented.

In the event the principal investigator is unable to complete the final report within the allotted time frame, a written request for extension must be sent to Dr. Margules 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 following format should be used as a guide when creating the final report.

- I. *Project Title*
- II. *Key Personnel* – List the names of the principal investigator, co-principal investigator, and any 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.

FY2009 PFRDG Post-Award Procedures

- 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. Information regarding previous and potential grant submissions, publications and presentations should be included in this section. Any research or collaboration with outside agencies that was a direct result of the award should also be included here.
- VII. *Publications* – List the titles of publications, presentations, poster presentations, awards or other related activities resulting from the PFRDG award.

CONTACT INFORMATION

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

Dr. Gary S. Margules	Vice President for Research & Technology Transfer	margules@nsu.nova.edu ext. 7507
Barbara Sterry	Executive Director, Office of Grants and Contracts	sterry@nova.edu ext. 5365