

**NOVA SOUTHEASTERN UNIVERSITY
OFFICE OF SPONSORED PROGRAMS
POLICIES AND PROCEDURES**

**AWARD MAINTENANCE
PERSONNEL CHANGES
EFFECTIVE 12-01-08, REVISED 12-26-2014
POLICY #29
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PURPOSE:

To establish policy and procedures for the temporary absence or removal of key personnel on sponsored projects.

DEFINITIONS:

Principal Investigator (PI): The individual whom the university designates to direct the scientific, technical, or programmatic aspects of a sponsored program, project, or activity. The PI is responsible and accountable to the university and the sponsor for the proper conduct of the project or activity. In addition to accepting the overall responsibility for directing the research or program activities, the PI also accepts primary responsibility for administrative/financial oversight of the award and for compliance with relevant university policies, federal regulations, and sponsor terms and conditions.

Project Director (PD): For the purposes of these policies, Project Director is a title synonymous with Principal Investigator for a non-research program.

POLICY:

The Principal Investigator/Project Director (PI/PD) is responsible for notifying all appropriate parties of any changes in key personnel due to a temporary absence or inability to continue on the sponsored project. The university will allow personnel changes on sponsored projects as deemed necessary and proper and as permitted by the sponsoring agencies guidelines.

REFERENCES:

- OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200, <https://federalregister.gov/a/2013-30465>
- OMB Federal Awarding Agency Regulatory Implementation of Office of Management and Budget's Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, <https://www.federalregister.gov/articles/2014/12/19/2014-28697/federal-awarding-agency-regulatory-implementation-of-office-of-management-and-budgets-uniform>
- NIH Grants Policy Statement, <http://grants.nih.gov/grants/policy/policy.htm#gps>
- NSF Proposal and Award Policies and Procedures Guide, <http://www.nsf.gov/bfa/dias/policy/>
- HHS Grants Policy Statement, <http://www.hhs.gov/grants/grants/policies-regulations/index.html>
- Federal Acquisition Regulations (FAR), Title 48 C.F.R.
- NSU Accounting & Financial Policies and Procedures Manual, Finance Policy 127 – *Administration of Sponsored Programs/Projects*, <http://www.nova.edu/fop/forms/policies.pdf>

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PROCEDURES:

1. If a temporary absence by the PI/PD, or other key personnel devoted to the project, will exceed a continuous period of three months, or reduce time devoted to the project by 25 percent or more, the justification and the plans for conducting the project during their absence must be sent to the sponsor for written prior approval, if required by the award. Most sponsors require approval of any changes in the PI/PD.
2. If the PI/PD or other key personnel (as defined in the award terms and conditions) relinquish or expect to relinquish direction or involvement in the project, the sponsor must be notified immediately. If the university wishes to terminate the project, the sponsor will forward procedural instructions upon receipt of written notice of this intent. If the university wishes to continue the project, the university must select a replacement PI/PD and, where required by the award, obtain the sponsor's written prior approval of the replacement.
3. In the case of temporary absence or relinquishment, the award may be terminated if the arrangements made by the university are not approved by the sponsor.
4. OSP must be notified in advance by the PI/PD of any key personnel changes, absences, or relinquishment of an award. OSP will be responsible for working with all appropriate parties to ensure compliance with sponsor policies and procedures relating to key personnel's temporary absence from, or relinquishment of, sponsored awards.