

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

**COMPLIANCE / AWARD ACCEPTANCE**

**RESPONSIBILITIES OF PRINCIPAL INVESTIGATORS/PROJECT DIRECTORS AND NSU FOR SPONSORED AGREEMENTS**

**EFFECTIVE 12-01-08, 12-26-2014**

**POLICY #18**

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**PURPOSE:**

To establish policy and procedures which delineate the responsibilities, as it relates to sponsored projects, of:

- the university to the sponsor;
- the university to the Principal Investigator/Project Director (PI/PD); and
- the PI/PD to the university and sponsor.

**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.

Sponsored Project: A sponsored project, also referred to as a sponsored program, activity, account, or agreement, is an externally funded activity that has a defined scope of work or set of objectives and is governed by specific terms and conditions of the sponsoring organization. Sponsored project must be separately budgeted and accounted for, subject to the terms of the sponsoring organization. Sponsored projects may include: grants, cooperative agreements, contracts, or purchase orders (referred to as awards) for research, community service, and training. Sponsored projects include those programs where:

- the university accounts for and budgets separately for expenditures which are detailed by activity, function and project period, where such budgets must be adhered to as a condition of funding or where a detailed fiscal report is required at intervals during the course of the work or at the end of the project;
- any unexpended funds must be returned to the sponsor at the end of the project unless mutually agreed to in writing by both parties;
- the proposed agreement with the sponsor provides for the disposition of either tangible property (equipment, fixtures, furniture, machinery, vehicles, etc.), or intangible property (i.e., trademarks, copyrights, patents and patent applications and property, such as loans notes and other debt instruments, lease agreements stock and other instruments of property ownership) that may result from the project;

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- the project involves the acquisition of equipment or alteration or renovation of facilities or construction projects that are subject to any of the above requirements or conditions of funding;
- the proposed activity involves human subjects, laboratory animals, radiation hazards, biohazards, or recombinant DNA;
- a specific commitment is made regarding the level of personnel effort or items of output, or if achievement of specific performance targets is contemplated as a condition of funding; or
- the proposed work binds the university to a specific line of scholarly or scientific inquiry, teaching/training/technical assistance, and/or community/public service commitment that requires either a work statement or the testing of specific hypothesis, methodology, or validation of particular approaches.

**POLICY:**

The following are the responsibilities as they pertain to the indicated parties:

*The university's responsibilities to the sponsor:*

In accepting an award for a sponsored project, the university assumes all obligations specified in the proposal, specified in the award terms and conditions, and incorporated into the award document by reference. The university will comply with all applicable statutes, regulations, sponsor policies and procedures. In doing so, the university assumes general obligations to the sponsor, which include but are not limited to the following:

- The university will maintain sufficient staff, provide adequate administrative and fiscal management of all sponsored funding, including control over expenditures of award funds and property, and prepare and submit necessary fiscal reports as required by the sponsor.
- The university will ensure that personnel compensation and employee benefits paid from external funds will conform to university rates/standards and to the policies of the sponsor.
- The university will establish and maintain administrative mechanisms for compliance with specific sponsor and university requirements, such as those involving nondiscrimination in employment, the protection of human subjects in research, safety, and animal care.
- The university will provide, as committed to in an application for a sponsored program and agreed to in the award agreement, such items as facilities, space, professional assistance, and/or an appropriate portion of personnel. The university will not cancel or withdraw any such commitments unless it has been discussed with the PI/PD and, where advisable or required, with the sponsor.
- The university will engage in communication and negotiation with the sponsor in the event the university wishes to make certain adjustments to or terminate the project.

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The university will not discriminate in its policies and administrative controls between its own funds and those obtained from a sponsor. These policies and controls will include, but will not be limited to, maintenance of records and fiscal controls; purchasing procedures; provision for facilities; and property control.

*The university's responsibilities to the PI/PD:*

Once the PI/PD's proposal to undertake a sponsored project has been approved by the department head and the academic dean or director (in the case of Health Professionals Division (HPD), the Chancellor) and the Director of the OSP, or other authorized signatory, the university will assume the following general obligations to the PI/PD:

- The university will make an appropriate and reasonable adjustment in teaching requirements, when permitted by circumstance, to allow the PI/PD to carry out a sponsored program.
- The university will provide administrative support to aid PI/PD's in the conduct of sponsored programs, including but not limited to, assistance with proposals, negotiations with sponsors, maintenance of adequate fiscal and property records and controls, purchasing services, and submission of administrative and financial reports as required.
- The university will ensure that the PI/PD's rights as a faculty member (i.e., contracted salary, advancement, promotion, etc.) will not be adversely affected by reason of involvement in sponsored programs.

The university has the right to terminate or to refuse to accept or renew a sponsored award, subject to sponsor terms and conditions.

*The PI/PD's responsibilities to the university and the sponsor:*

PI/PDs on will comply with the provisions of this policy statement and accept the following specific responsibilities and obligations:

- The proposed project will be carried out within the framework of an established department or division of the university or through the cooperation of several departments or divisions. Student involvement in sponsored projects will be under the direction of the PI/PD.
- A proposal for sponsored funding will have the approval of the appropriate Dean(s), director(s), or their designees indicating the proposal has been examined and meets the following qualifications:
  - the proposed sponsored project has academic merit;
  - the proposed sponsored project is consistent with the overall academic interests of the department(s);
  - the department has adequate facilities which have been approved and will be available for the successful conduct of the proposed project; and

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- there is reasonable assurance the technical or student assistance specified in the proposal will be available and the time and effort commitment of the PI/PD is acceptable.
  
- The budget for the proposed program will be adequate for the work proposed, including allowances for contingencies and salary increases (refer also to OSP Policy No. 4 – *Proposal Budget Preparation and Review*). Any university contribution, in the form of either direct or indirect expenses, will be specifically identified as to source at the time the proposal is submitted and must be approved by appropriate university officials (refer also to OSP Policy No. 36 – *Cost Sharing or Matching*).
- The proposed program will comply fully with university administrative regulations and academic policies, such as those regarding employment and employee relations, safety, safeguards to human subjects in research, fiscal and purchasing procedures, and animal care.
- The award will not interfere with academic freedom and responsibilities or with the normal prerogative to publish the results of properly conducted investigations. The PI/PD will not contract for or commit the utilization of university facilities, resources, or personnel without going through the prescribed university channels as detailed above.
- The PI/PD will comply with the university’s policy on Financial Conflicts of Interest in Sponsored Programs (OSP Policy No. 16).
- The PI/PD is responsible for the scientific, technical, or programmatic aspects of the grant and for day-to-day management of the project or program.
- The PI/PD is part of the university team responsible for ensuring compliance with the financial and administrative aspects of the award. This individual works closely with the Office of Sponsored Programs (OSP) and the Contract and Grant Accounting Department (CGA), and other administrative offices including Payroll, Procurement Management, Office of Human Resources, Office of Public Affairs, etc. to create and maintain necessary documentation, including technical, financial, and administrative reports; prepare justifications; appropriately acknowledge sponsor support; and ensure compliance with other sponsor requirements.

**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>

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**PROCEDURES:**

In order to properly fulfill the responsibilities to the sponsor, the university and the PI/PD will comply with the university's policies and procedures concerning sponsored projects. A proposal for external support and a resulting award which meets the definition of a sponsored project (See above under Definitions) should be processed through the OSP prior to the submission of an application for and acceptance of an award.

The PI/PD will review and sign the *PI/PD Responsibilities on Sponsored Projects* form to acknowledge and accept his/her responsibilities to both the sponsor and university.

Upon award, the PI/PD's signature on the *Award Review and Approval Form* (refer to OSP Policy No. 23 – *Notification and Acceptance of Award*) will indicate the PI/PD's and the Dean's agreement to comply with all policies or requirements of the supporting agency which are pertinent to the project, including the timely preparation and submission of all necessary reports and publications.