

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

**COMPLIANCE / AWARD ACCEPTANCE
SPONSORED AGENCY COMPLIANCE
EFFECTIVE 12-01-08, REVISED 12-26-2014
POLICY #11
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PURPOSE:

To establish the Office of Sponsored Programs (OSP) as the primary responsible office for compliance with and dissemination of sponsored agency policies, terms and conditions, guidelines, rules, and regulations. In accepting awards from federal and nonfederal sponsors, the university agrees to abide by the policies, terms and conditions, guidelines, rules and regulations that are given by the sponsor and by the federal and state governments and to ensure that the university community is informed and knowledgeable of them.

DEFINITIONS:

None

POLICY:

The university will comply with the policies established by the sponsor and with all terms and special conditions given for a specific award. In addition the university will comply with any federal and state statutes and regulations which govern the management of sponsored projects. These include, but are not limited to Title 45 CFR Part 74; *OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*; Federal Acquisition Regulations (FAR); Florida Statutes; other state and local government contract/grant regulations; the sponsoring agency rules and regulations; the award terms and conditions; and university policies. Whenever a conflict with any of these rules and regulations exists, the “stricter rule must apply.” The university will also ensure that these policies, states and/or regulations are disseminated to Principal Investigators/Project Directors (PIs/PDs) and/or their designees.

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.

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PROCEDURES:

Compliance with Sponsor Regulations

1. When the university accepts an award from a sponsor (refer to OSP Policy No. 23 – *Notification and Acceptance of Award*), it becomes bound by the policies, rules and regulations, and terms and conditions of the sponsor. In addition, the university becomes bound to any terms and special conditions of the specific award.
2. The university is also responsible for ensuring that its subrecipient agreements comply with the terms and conditions of the prime award. As prime recipient, the university is responsible for monitoring the compliance of the subrecipient (also refer to OSP Policy No. 34 – *Subcontracts/Subgrants*).
3. The OSP, PI/PD, and, if applicable, legal counsel, are responsible to ensure that all awards undertaken contain only policies, terms, and conditions with which the university can comply (refer to OSP Policy No. 23 – *Negotiations*).
4. Compliance with sponsor policies is the responsibility of the PI/PD. The PI/PD is supported by the OSP and the Contract and Grant Accounting Office (CGA), who are responsible for assisting the PI/PD's administrative efforts in complying with all policies, terms and conditions.
5. The OSP is responsible for monitoring and assimilating all policies related to sponsored projects, as well as obtaining clarification or interpretation of these policies. The PI/PD must always request interpretations of the sponsor's terms and conditions through OSP.
6. The OSP is the university's primary contact for all administrative business related to sponsored funding. The CGA is responsible for all financial business related to sponsored funding.

Dissemination of Sponsor Regulations

1. The OSP will disseminate sponsor terms, conditions, regulations and requirements to the PI/PD, the College/Center departmental contact, and the CGA via the Project Digest, the document developed and distributed at award set-up by the OSP that includes a summary of award information, award documents, administrative requirements, and a budget with university expense account codes.
2. The OSP will maintain an electronic library of all necessary sponsor policies, rules and regulations. This office will also ensure receipt of updates to manuals, publications, and notifications from sponsors.
3. The Director of the OSP or designee will communicate directly with the sponsor when a specific policy is subject to interpretation and requires clarification to enable the university to comply. The

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Director is responsible for recommending a course of action to be followed that is consistent with the policy.

4. When the sponsor or other sources have indicated a policy is in the process of change, the Director of the OSP will involve other university offices as applicable to evaluate the impact of the proposed change and communicate the change and its impacts, to the university community.
5. The Director of the OSP and Vice President for Research and Technology Transfer are responsible for maintaining the OSP policies and procedures to ensure they are up to date and consistent with the federal, state and sponsor rules and regulations.