

# POST-AWARD PROCEDURES

To initiate the post-award phase of the PRG (formerly known as PFRDG), awardees must meet with Dr. Gary Margules, Vice President for the Division of Research and Economic Development (VP-DoR) to discuss their research project (at the time of award notification, the applicants will be provided a list of comments from the reviewers regarding their project).

## COMPLIANCE PROCEDURES

Applicants who receive PRG awards are to follow the applicable policies and procedures for research compliance including the Institutional Review Board (IRB), the Institutional Animal Care and Use Committee (IACUC), the Institutional Biosafety Committee (IBC), Radiation Safety, or Export Control if applicable.

Information related to these policies and procedures are available at their respective websites:

- IRB [[www.nova.edu/irb](http://www.nova.edu/irb)] - Any questions regarding the IRB process should be directed to the PI's Center Representative, particularly if the IRB submission process has not yet been started.
- IACUC [[www.nova.edu/rtt/animal-subjects.html](http://www.nova.edu/rtt/animal-subjects.html)]
- IBC [[www.nova.edu/rtt/secure/all-users/ibc](http://www.nova.edu/rtt/secure/all-users/ibc)]
- Radiation Safety [[www.nova.edu/ehs/radiation](http://www.nova.edu/ehs/radiation)]
- Export Control [[www.nova.edu/osp/export-control/index.htm](http://www.nova.edu/osp/export-control/index.htm)]

The PI should verify with their Department Chair if there are any additional guidelines governing research projects in their academic unit that should be followed.

**Please note that no funding for research activity will be released for a PRG award until all applicable research compliance approvals have been obtained.** In addition, all PIs must notify the appropriate compliance area of any subsequent changes to the approved study protocol before the changes are put into effect. Further, if the PI requests a no-cost extension to the grant (see section below), they must also submit for continuing approval of the research protocol from the appropriate compliance area, as applicable.

In addition to research compliance policies, PRG projects are subject to other relevant NSU policies including but not limited to those related to procurement (<https://www.nova.edu/procurement/policies.html>), contracting (<https://www.nova.edu/risk/policies/index.html>), travel (<https://www.nova.edu/hr/policies/index.html>), finance and accounting (<https://www.nova.edu/fop/secure/all-users/forms/policies.pdf>) and information security (<https://www.nova.edu/portal/oiit/policies/index.html>).

## ACCOUNT SET-UP, PROJECT PERIOD AND EXTENSIONS

At the request of the OSP, each PRG project will be assigned a restricted account where revenue and expenses associated with the award will be posted. Once the restricted account is released by OSP and all research compliance approvals are in place, PI's may begin incurring expenses to the account. Revenue funds from the university (50%) and the appropriate academic units' (50%) will be transferred into the PRG restricted account for each award by Financial Operations; however, spending may occur prior to the revenue being transferred.

PRG projects will have a start date that coincides with the start date of the fiscal year (July 1) with a project period of 12 months, ending June 30.

Requests for no-cost extensions beyond the initial project year must be submitted to [prg@nova.edu](mailto:prg@nova.edu) no later than **10 days prior to the project end date**. Extensions may be granted for up to one year at the discretion of the VP-DoR. A second 12-month no-cost extension may be permissible with substantive justification. Third no-cost extensions will generally not be approved.

A *No-Cost Extension Form* can be downloaded from the PRG website [[www.nova.edu/prg](http://www.nova.edu/prg)], and must be submitted to [prg@nova.edu](mailto:prg@nova.edu) prior to the project end date for processing. Note that extensions will not confer any additional funds above and beyond the original award amount.

## **BUDGET SET-UP AND MODIFICATIONS**

After notification of award, the OSP will work with the PI to set up the project budget. Setting up the budget entails assigning line-item costs from the approved PRG application to the appropriate expense account codes listed in the NSU Income and Expense Code Directory, available at [<https://www.nova.edu/budget/forms/income-expense-code-directory.pdf>]. Once the appropriate expense account codes are identified, the OSP will email the Budget Office to set up the budget.

Once the budget has been set up, the established expense codes should be used when initiating purchases, travel reimbursements, and other transactions. However, during the course of the award, it may be necessary to spend funds differently than originally budgeted. If so, the PI must complete a *Rebudgeting Request Form*, which is available on the PRG website [[www.nova.edu/prg](http://www.nova.edu/prg)] and submit it to the OSP at [prg@nova.edu](mailto:prg@nova.edu). Rebudgeting Request Forms should be submitted to [prg@nova.edu](mailto:prg@nova.edu) for approval **before** incurring expenses for these new items/services.

If the rebudget is significant (i.e., 25% or more of the total award), it will be routed by the OSP for additional approval by the VP-DoR. For example, for a PRG award of \$15,000, if it becomes necessary to move an additional \$5,000 to supplies from the travel line to cover unanticipated additional supplies cost, this would represent a rebudget of 30% (\$5,000 is 33% of \$15,000) which would require additional approval of the VP-DoR.

Certain categories of expense may not be eligible for rebudgeting. For instance, the budget for conference travel for disseminating results is limited to no more than a total of \$3,500 per the PRG Application Guidelines. International conference travel will not be allowable for rebudgeting on the project unless it was already described in the project application and the total cost, including rebudgeting, will be no more than \$3,500.

## **EXPENSES AND PROGRAM INCOME**

All project expenses should be charged to the established restricted account number. Purchase requisitions and check requests must be submitted in Ariba and routed to the OSP for oversight review. Employee travel reimbursements must be submitted in Concur and routed to the OSP for oversight review. All expenditures must contain the PI approval as an attestation that the cost is reasonable, necessary, and allocable to the PRG project. If PI approval is omitted from an Ariba or Concur request, the request will be returned to the PI, which may delay processing. Once a requisition, check request, or expense reimbursement has been approved by the OSP, it will route to for final processing via the Ariba or Concur system.

In addition, student employees performing work on PRG must be hired through the Office of Student Employment. Temporary employees, if applicable, must be processed working with the College's HR Contact.

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 PRG award should be used to further the work funded by the award. Most award recipients will not have any program income; if program income is anticipated, PIs must advise the OSP to develop a plan to manage the income if it becomes necessary.

## **REPORTING AND EXTERNAL SUBMISSION REQUIREMENTS**

**FINAL REPORT:** Within **90 days after the project end date**, the PI must submit a Final Report Form to [prg@nova.edu](mailto:prg@nova.edu) and the VP-DoR. The report must include a summary of the sponsored activities, a list of any papers, abstracts, chapters, etc., which were derived from the research conducted, and plans for development of any external funding applications. If, after submitting the report, new funding is secured or works published, updated information must be forwarded to [prg@nova.edu](mailto:prg@nova.edu) so outcomes that result from PRG funds can be accurately documented.

The Final Report Form can be found on the PRG website [[www.nova.edu/prg](http://www.nova.edu/prg)] under the "Post-Award" banner. If the PI fails to submit a final report without an approved extension, his/her project will be marked as delinquent. **The PI will not be eligible to submit to a subsequent funding cycle if the required Final Report has not been received.**

**Submitting external proposals is an eligibility requirement for future competitions** (see "OTHER" below and refer to the PRG Application Guidelines for more information). In addition, consistent with the purpose of PRG funds, PIs are expected to pursue development of an external proposal submission stemming *directly* from their PRG research, if preliminary results demonstrate viability. A description of outcomes from prior PRG funding, which includes external submissions, is incorporated into PRG review criteria and is a consideration in application scoring for past recipients. **The Grant Writing Laboratory is available to support the PI(s) in the development of funding searches and/or proposal action plans.**

NOTE: For any external proposals that are submitted in connection with a funded PRG project, this connection should be clearly indicated on the external submission's Cayuse Proposal Record by responding "Yes" to the question "Is this Submission Resulting from a PRG award?" and providing the index number for the PRG award. This information will be used by OSP for tracking purposes.

## **CLOSEOUT**

Within 90 days of the project end date, in addition to submission of the Final Report, all expenses on the PRG account should be posted, and cost transfers should be processed, and all encumbrances closed out. If there are residual funds remaining on the College's portion of the match, the associated Business Officer should submit an electronic Journal Transfer to move the residual funds from the PRG restricted account to the College's account(s) that originally funded the project.

Please note that any materials and/or equipment purchased are property of NSU and shall not be donated or given away without the express permission of the university.

## **OTHER**

FY2024 recipients may submit a proposal to the FY2025 competition, but ONLY if the project is to be completed, with final report signed and submitted to [prg@nova.edu](mailto:prg@nova.edu), no later than April 15, 2024; otherwise, the proposal will not move forward for funding consideration. Applicants with active awards that are in a no-cost extension period may be eligible to submit, but only in limited conditions (refer to the PRG application guidelines for details).

PIs on funded PRG awards will be asked to serve as reviewers to the PRG program in the following competition year.

Individuals who have been the lead PI on a previously funded PRG Research Development Track award within the past three years (i.e., awarded a PRG that started on 7/1/2021 or later) must have submitted at least one proposal for external funding as a PI or Co-I on or after 7/1/2021 (which must be on file and verifiable by the Office of Sponsored Programs) in order to be eligible to apply for a FY2025 PRG award. Past recipients with questions about the status of their reports should contact [prg@nova.edu](mailto:prg@nova.edu).

## **CONTACT INFORMATION**

Please feel free to contact the following individuals as identified below:

<b>Contact</b>	<b>Purpose</b>	<b>Contact Information</b>
Fatima Abu-Rumman/ Cathy Harlan, Office of Sponsored Programs	For general questions about PRG and for assistance with post- award actions (award set-up, rebudgeting, general questions)	<a href="mailto:prg@nova.edu">prg@nova.edu</a> (x25363)
College Business Officer or Departmental Contact	For questions about PRG account balances.	<a href="#">officers-list.pdf (nova.edu)</a>
Melanie Bauer, Manager, Grant Writing Laboratory	For help with external funding searches and development of grant proposal plan for External Funding Requirement.	<a href="mailto:grantlab@nova.edu">grantlab@nova.edu</a> (x24658)
Dr. Gary Margules, Vice President for the Division of Research and Economic Development	For initial meeting to discuss PRG project at set-up and for escalated matters.	Contact Saira Naraine Executive Assistant, at <a href="mailto:saira@nova.edu">saira@nova.edu</a>