

## **Guidelines for the Management of Projects Funded through NUS Internal Grants**

### **Disbursement of funds**

- 1) A list of non-fundable direct cost items is provided in the Appendix 1. Only items specified in the approved budget will be funded.
- 2) All expenditure should be incurred (based on invoice date) before the end of the Term.
- 3) In general, prudence should be exercised for all project costs.
- 4) In general, all funding provided by the Grantor should be expended Singapore, unless exceptional approval is given in advance by the Grantor.

No part of the grant shall be:

- a) Spent by any members of the project on project conducted overseas; and/or,
  - b) Sub-awarded, sub-contracted or transferred to investigators outside of NUHS entities and/or local/overseas collaborators.
- 5) Grantor reserves the rights to reject any claims that have resulted from changes to Project without prior approval from Grantor and items found not to be fundable, not necessary, not reasonable, not relevant, or not used for the Project.

EOM

- 6) Funding of support staff under the grant must comply with prevailing and consistently applied human resource guidelines of NUS, regardless of the source of funds.
- 7) For manpower-related fund requisitions, update of all staff employed under the project must be provided, including those whose employment has ended.
- 8) All Teams must adhere to the Tripartite Guidelines on Fair Employment Practices.
- 9) Project Leads(s) are allowed to make manpower changes (i.e., increase/decrease in headcount, change in designation or scheme of hires, change in time commitment to the grant), as long as the changes are necessary for the Project, comply with the NUS's policies and does not exceed the approved EOM vote budget. Grantor must be informed of all changes approved by Project Leads-level in order for Grantor to update Finance of the relevant changes to the account.

Equipment and Other Operating Expenses (OOE)

- 10) Only items specified and approved in the Letter of Award will be funded.
- 11) All items claimed must comply with the NUS internal procurement processes, guidelines, and policies.
- 12) Approval from Grantor must be sought prior to purchasing new equipment item that is not in the approved budget.
- 13) The Grantor reserves the right to reject variation requests made retrospectively for equipment/OOE not listed in the Letter of Award.
- 14) Project Leads(s) are allowed to make changes within the OOE vote (i.e., changes in quantity and changes in OOE items), provided that these changes are (i) necessary, relevant, and used for the Project; (ii) do not constitute a change to the Project; and (iii) are kept within the approved OOE vote budget. Grantor must be informed of all changes approved by Project Leads-level in order for Grantor to update Finance of the relevant changes to the account.

Overseas Travel Related Expenses

- 15) It is the responsibility of the Project Leads to ensure that all travel expenses are in line with the NUS consistently applied policy on travel, regardless of the source of funds. The Institutions are to ensure that any travel undertaken is in relation to the grant only and for no other purpose.
- 16) Virement of Funds into the Overseas Travel vote is not allowed. Overspending will not be reimbursed.

### Indirect Costs

- 17) No indirect costs would be provided for projects funded through internal grants managed by the Grantor.

### **Requests for variations to the awarded grant**

- 18) All grant variations involving virement of funds across votes and extension requests should be submitted to Grantor.
- 19) Request for any variation (except for Grant Extension) should be made no later than three (3) months from the end of the Term. Retrospective variation requests will not be allowed, unless there is compelling justification for submission of a late variation request.
- 20) Inter-institutional virements within NUS, where applicable, require the Grantor's approval and acknowledgement from the Director of Project (or equivalent) for all Teams involved.
- 21) Virement of funds outside of NUS is not allowed.

### Grant Extension

- 22) Request for grant extension should be made before the last six (6) months of the original end of the Term. The Investigators must ensure sufficient funds in each vote to support the extension request. Any variation requests necessary to meet the extension period must be made known as part of the extension request.
- 23) A one-off project extension should not be more than a total of six (6) months. An extension beyond 6 months will require compelling justification. No additional funds would be given for any extensions.

### Change in Project Leads/Investigator

- 24) Request for a change in the Project Leads/Team Members must be made to the Grantor and be endorsed by the grant administrative office of the existing and new Host Institution (if applicable). The new Project Lead/Team Members must be an expert in that area and possess the necessary expertise to continue with the project work.

## **Progress Reports**

### Progress Report

- 25) For project more than 6 months, the Principal Investigator is required to submit a Progress Report a midpoint Progress Report within two (2) weeks from the midpoint. The following table illustrates:
- 26) Team Members may be required to give additional information about the progress of any grant if the information submitted is deemed to be inadequate.

### Final Progress Report

- 27) The Host Institution is required to submit a Final Progress Report within one (1) month following the end of the Term.

### Debarring of Investigators

- 28) Project Lead who fail to submit the Final Report and/or Final Statement of Account within the stipulated timelines will be debarred. Debarred Project Lead will not be eligible to submit new grant applications as Project Leads for a period starting from the final report submission, and ending one year from the date the overdue Final report and/or Final Statement of Account is received by Grantor.

## **Publication and Communication of Results and Findings**

- 29) Subject to this paragraph, the Investigators may publish, at any symposia, national, international, or regional professional meeting or in any journal, thesis, dissertation, newspaper or otherwise of its own choosing, the findings, methods and results derived from the Project. All clinical trials supported by funding from Grantor must be registered in the clinicaltrials.gov website.
- 30) All publications shall acknowledge the funding support according to the following:
- "This Project is supported by the GENESIS FUNDING SCHEME (Project ID) "
- 31) The Investigators shall submit one (1) copy of all such publications to the Grantor for record purposes within one month of being published.
- 32) The Investigator is required to inform the Grantor if the project (and relevant data including preliminary results) is to be presented or published in any newspaper or media coverage.

**Matters to resolve before proceeding with project**Approvals from Ethics Committees

- 1) A copy of the necessary approval from the relevant board and committees (OSHE, IRB, IACUC, GCP, etc.) must be sent to Grantor, where applicable. Failure to do so will delay the disbursement of funds.
- 2) In the case where IRB/IACUC approval is not required at the initial phase of the Project, it remains the responsibility of the Investigators to update the Grantor when the IRB/IACUC approval documents become available.

Project Collaboration Agreements

- 3) The Institutions may undertake work on the Project in collaboration with an external partner. Where and when this occurs, the Investigators are responsible for putting in place written agreements where and when applicable.

## Appendix 1

### NON-FUNDABLE DIRECT COSTS

#### 1. EOM Related Expenses

Type of Expenses	Description
General policy	<p>The general principle is that grants should support EOM costs and related benefits (as per employment contract) as long as it is in line with the consistently applied NUSHR policies.</p> <p>This will extend to NUS policies that govern staff recruitment and related costs (e.g., costs associated with the onboarding of staff, staff insurance, overtime claims, staff relocation, employment benefits, employment levy, employment pass, pre-examination medical check-up and housing allowance).</p> <p>All Manpower related costs that fall under Other Operating Costs (OOE) should be accurately reflected in the Budget. Fractional charging for staff costs based on time commitment to the project must be practised.</p>
Salaries of Lead PI / Investigators / Collaborators / general administrative support staff	Not allowable.
Project scholarship / stipend top-up for existing post-graduate scholarship holders	Not allowable.
Undergraduate stipend and tuition support	Not allowable.
Unconsumed leave	Provision for unconsumed leave is not allowable.

## 2. Equipment Related Expenses

Type of Expenses	Description
General policy	<p>No purchase of equipment is allowed unless specifically provided for in the grant proposal approved by the Grantor.</p> <p>The procurement of such equipment must be made according to the formal established and consistently applied policies of NUS.</p> <p>The invoices for all claims must be dated before the end of the Term.</p>
Cost of capital works, general infrastructure, general purpose IT and communication equipment, office equipment, and furniture and fittings	<p>Not allowable under direct costs, unless specifically provided for in the grant proposal and approved by the Grantor.</p> <p>Examples of such costs are computers, laptops, tablets, office productivity software, mobile phones, photocopier machines, printers, etc.</p>

### 3. OOE Related Expenses

Type of Expenses	Description
General policy	Not allowable for expenses that are not directly related to the Project.  All procurement of such items must be made according to the formal established and consistently applied policies of NUS.
Visiting Professors / Experts	Not allowable unless specifically provided for in the grant proposal and approved by the Grantor. The Visiting Professor must be identified, and his/her contribution to the project must be clearly defined and described in the proposal.
Audit fees	Not allowable. This includes both internal and external audit fees.
Entertainment & Refreshment	Not allowable unless specifically provided for in the grant proposal and approved by the Grantor.
Fines and Penalties	Not allowable
Legal Fees	Not allowable
Overhead Expenses	Not allowable unless specifically provided for in the grant proposal and approved by the Grantor based on the nature of the project. This includes rental, utilities, facilities management, telephone charges, internet charges, etc.
Patent Application (all patent-related expenses)	Not allowable.  This includes patent application filing, maintenance, and other related costs.
Professional Membership Fees	Not allowable.  This applies to Project Leads and Co- Investigators as well as all project staff funded from the grant.
Software	Not allowable, unless these are deemed essential to the project, specifically provided for in the grant and approved by the Grantor.
Professional fees (including fees to consultants)	Not allowable unless specifically provided for in the grant and approved by the Grantor.
Staff retreat	Not allowable.
Non-cash items such as depreciation cost, amortisation cost, loss on revaluation, etc.	Not allowable.

#### 4. Overseas Travel Related Expenses

Type of Expenses	Description
General policy	<p>Not allowable unless specifically provided for in the grant proposal and approved by the Grantor.</p> <p>Conference participation should be directly relevant to the project area outlined in the project and necessary to accomplish project objectives. PIs should furnish proof of participation or attendance of conferences to Grantor.</p> <p>All travel must align to the existing and consistently applied NUS institutions' travel policies regardless of the source of funds.</p>