

B. Proposal Financial Data:

Total Project Funding

	Funding Source	NSU Funds	Other Source
Total Direct Costs:	\$ _____	\$ _____	\$ _____
Total Indirect Costs:	\$ _____	\$ _____	\$ _____
Total Project Costs:	\$ _____	\$ _____	\$ _____
Indirect Cost Rate:	_____ % (S&W, TDC, MTDC)		
Fringe Benefit Rate:	_____ %		
Other Project Costs:	If this project involves cost sharing, matching funds, or any other financial commitments, describe what is involved and the source of funds to be used. Please be specific.		
Amount of Commitment:	\$ _____	Required Cost Sharing: \$ _____/Percentage: _____%	Voluntary Cost Sharing: \$ _____/Percentage: _____%
In-Kind Contribution:	\$ _____	Required Matching Funds: \$ _____/Ratio: _____:_____; or, _____%	
Source of Funds:	NSU Account No: _____		

C. Proposal Compliance Concerns:

1. Does the project involve the use of human subjects? ____ Yes ____ No animal subjects? ____ Yes ____ No
2. Does the project require any special physical skills? ____ Yes ____ No
3. Does the project involve sources of ionizing radiation, physical, chemical, and/or biohazardous materials? ____ Yes ____ No
4. Is this project being submitted to another sponsoring agency? ____ Yes ____ No
If Yes, to whom: _____

Section II: AUTHORIZING APPROVALS: (#1 & #2 Required for Continued Processing).

1. I certify that the above information is accurate and complete as of this date. I ACCEPT the responsibility for conduct of this project and provision of required reports if an award is made as the result of this proposal:

Principal Investigator/Project Director/Director of Development Date: _____

2. The commitments to this project are acceptable. This proposal is APPROVED.

College/Center Dean Date: _____

3. I have reviewed this proposal and find it meets university goals and objectives.

Chancellor, Health Professions Division Date: _____

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4. I have reviewed the entire proposal and find (a) it meets programmatic, fiscal, and compliance requirements as stated by the sponsoring agency and (b) it meets Nova Southeastern University policies and procedures for proposal submission to external funding sources. I have this date signed the proposal and authorized its forwarding to the sponsoring agency.

Executive Director, Office of Grants and Contracts Date: _____

POLICY MEMORANDUM
Office of Grants and Contracts
Policy for the Utilization of the Proposal Approval Record

To: Vice-Presidents, Chancellor, Associate Vice-Presidents, Deans, Directors, Faculty, and Administrative Staff

From: Barbara Sterry, Executive Director

Date: Revised May 2006

This Policy Memorandum defines the policy and procedures concerning the **required** use of the Proposal Approval Record (PAR) in conjunction with **ALL** proposals seeking external funding in support of sponsored projects, regardless of funding source.

This policy is **effective immediately**.

I. Purpose

The utilization of the **Proposal Approval Record (PAR)** will formally standardize and document the review and approval of **ALL** proposals to external funding agencies which seek financial support for various research, training, and community service activities directly related to the University's mission and goals.

II. Scope

A. The **Proposal Approval Record (PAR)** is the official document that, when completed and executed, provides the necessary and formal documentation of University approval and authorization for **specific research, training, community service, or other similar proposals** for forwarding to potential sponsoring agencies in order to seek and obtain project external funding support. It is to be utilized by all schools/centers/departments throughout the University.

B. External funding support includes all external agencies, such as: federal, state, and local government; private and public corporations; and foundations. **Support for University development initiatives are not included in this grouping.**

[See reverse side, which defines proposals under this Policy Memorandum.]

III. General

A. The **Principal Investigator (PI)/Project Director (PD)/Director of Development** is responsible for the initiation and completion of the **PAR**. Each section is self-explanatory.

B. The **PI/PD/Director of Development** is to complete the **PAR**:

- (1) **Section I A: Proposal Programmatic Data,**
- (2) **Section I B: Proposal Financial Data,**
- (3) **Section I C: Proposal Compliance Data, and**
- (4) **Section II: Authorizing Approvals**
 - Item 1. **PI/PD/Director of Development signature**
 - Item 2. **College/Center Dean signature**
 - Item 3. **Chancellor, Health Professions Division signature**
 - Item 4. **Executive Director, Office of Grants and Contracts signature**

C. The **PAR** includes basic instructions for form completion. It must be noted that:

(1) **NO proposals** will be submitted to any sponsoring agencies without review and approval as provided by the **PAR**.

(2) **NO proposals** will be processed unless **both** the **PI/PD/Director of Development** and **Center Dean** signatures appear in Section II, items 1 and 2.

IV. Specific Provisions

A. **PIs/PDs/Directors of Development** are encouraged to call the **Office of Grants and Contracts (OGC)** if any questions arise in the completion of the **PAR**. The **PAR** was designed for ease of use in meeting the basic criteria for proposal review and approval.

B. Under **Section IA, Proposal Programmatic Data**, each of the requested items of information is self-explanatory.

Note that under **Collaborating Agency/Organization**, what is requested is name, address, and contact party if the proposal provides for a substantial portion of the proposed work that may result in a subgrant or subcontract, use of a major collaborator outside the university such as a consultant where more than 50 percent of the work proposed will be accomplished.

C. Under **Section IB, Proposal Financial Data**, indicate the funding requested in a total cost format.

Note that under **NSU Funds and/or Other Project Costs**, all cost-sharing and/or match-funding information is requested to include in-kind contributions. As necessary, provide on a separate sheet, details of these commitments. **Also, note that a funding source (NSU account number) is requested for ALL identified hard-dollar, cost-sharing, and/or matching requirements, as detailed in the sponsoring agency announcements, RFP, RFA, etc.**

D. Under **Section IC, Proposal Compliance Data**, indicate, as appropriate, which compliance concern is required by the sponsoring agency. This will aid in the review process and alert **OGC** as to what assurances/certifications are required in order to submit the proposal.

E. Under **Section II, Authorizing Approvals**, the **PI/PD/Director of Development** is **required** to complete items 1, 2, and 4. Item 3 will be completed by the **OGC**.

Guidelines for Proposals Resulting in Sponsored Projects

A proposal for external support should be processed through the Office of Grants and Contracts using a **Proposal Approval Record (PAR)** if any *one* of the following conditions is to be included in the terms of the award:

1. The proposed work binds the university to a specific line of scholarly or scientific inquiry, training, and/or public service commitments that requires either a work statement or the testing of specific hypothesis, methodology, or validation of particular approaches.
2. 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.
3. A line item budget detailing expenditures by activity, function, and project period must be adhered to as a condition of funding or a detailed fiscal report is required at intervals during the course of the work or at the end of the project.
4. Any unexpended funds must be returned to the sponsor at the end of the project.
5. The proposed activity involves human subjects, laboratory animals, radiation hazards, biohazards, or recombinant DNA.
6. The proposed agreement with the sponsor provides for the disposition of either tangible property, (e.g., technical reports, records, equipment, theses, or dissertations), or intangible property (e.g., rights in data, copyrights, or inventions) that may result from the project.
7. Acquisition of equipment or alteration or renovation of facilities or construction projects that are subject to any of the above requirements as a condition of funding.

[**NOTE:** Any proposals to external agencies that include any of the above conditions should be treated as sponsored projects. Awards containing only **item #5** with **none** of the remaining provisions may be treated as gifts rather than as sponsored projects. However, solicitation of gifts that support activities involving #5 also should be reviewed by the Office of Grants and Contracts for compliance with university policies and procedures and external awarding unit requirements.]