

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 **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 **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 colleges/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 page 2, which defines proposals under this Policy Memorandum.]

III. General

- A. The **Principal Investigator (PI) or Project Director (PD)** is responsible for the initiation and completion of the **PAR**. Each section is self-explanatory.
- B. The **PI/PD** is to complete the **PAR**:
 - Section I-A:** Proposal Programmatic Data,
 - Section I-B:** Proposal Financial Data,
 - Section I-C:** Proposal Compliance Data, and
 - Section II:** Authorizing Approvals
 - Item 1.** PI/PD signature
 - Item 2.** College/Center/Department dean signature
 - Item 3.** Chancellor, Health Professions Division signature (if applicable)
- C. The **PAR** includes basic instructions for form completion. It must be noted that:
 - (1) **NO proposal** will be submitted to any sponsoring agency without review and approval as provided by the **PAR**.
 - (2) **NO proposal** will be processed unless **both** the PI/PD and dean's signatures appear in Section II (as well as the HPD Chancellor's signature for all proposals from HPD).

IV. Specific Provisions

- A. PIs/PDs are encouraged to call the Office of Grants and Contracts (OGC) as 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 I-A, Proposal Programmatic Data**, each of the requested items of information is self-explanatory. Note that under **Collaborating Agency/Organization**, the name, address, and contact party is requested if a substantial portion of the proposed work may result in a subgrant or subcontract, or the use of a major collaborator **outside the university**, such as a consultant, where more than 50 percent of the work will be accomplished.
- C. Under **Section I-B, Proposal Financial Data**, indicate the funding requested in a total cost format.
- D. Under **Section I-C, 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 is **required** to complete items 1 and 2, as well as item 3 for proposals from HPD colleges. Item 4 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.]



PROPOSAL APPROVAL RECORD

INSTRUCTIONS

1. The Principal Investigator (PI) or Project Director (PD) is responsible for the completion of this form.
2. This form **MUST** be attached to the proposal along with any agency announcements, RFPs, RFAs, etc., and forwarded to the Office of Grants and Contracts (OGC) at least **FIVE WORKING DAYS PRIOR** to the agency due date.
3. This proposal **MUST** be reviewed by the College/Center/Department dean and approved by signature in Section II. [Note: NO FURTHER PROCESSING ACTION WILL BE TAKEN WITHOUT THIS APPROVAL.]
4. Upon proposal review and approval, OGC will complete final processing.

SECTION I – Proposal Data

A. Proposal Programmatic Data

PI/PD: _____ College/Center/Department: _____

Agency Due Date: _____ Postmarked? _____ Received? _____ # of Copies: _____
 e-Submission? Method: _____ Follow-Up Steps: _____

Proposal Title: _____

Type of Proposal: Grant Contract Subcontract Cooperative Agreement

Type of Project: Research Teaching/Training/Technology Community Service
 Equipment Fellowship Facilities

Nature of Funding: New Renewal Continuation Supplemental Revision

Source of Funding: Federal State Local Government Private (Corporate/Foundation)

Proposed Start Date: _____ **End Date:** _____ **Duration:** ___ Year(s) / ___ Month(s)

External Sponsor: _____

Address: _____

Contact Person: _____ **Phone:** _____ **Ext.** _____

Collaborating Agency/Organization: _____

Address: _____

Contact Person: _____ **Phone:** _____ **Ext.** _____

Project Site: Main Campus Oceanographic Center Off-Campus (specify address below)

Address: _____

B. Proposal Financial Data

Total Project Funding

	External Sponsor Funds	NSU Funds	Other Source
Total Direct Costs	_____	_____	_____
Total Indirect Costs	_____	_____	_____
Total Project Costs	_____	_____	_____
Indirect Cost Rate	_____	_____	_____
Fringe Benefit Rate	_____	_____	_____

If any cost sharing will be committed to this proposal, the PI/PD must also complete the Cost Sharing Approval form (see www.nova.edu/ogc/forms.html)

C. Proposal Compliance Concerns

Does the project involve the use of human subjects?

Does the project involve the use of animal subjects?

Does the project require any special physical skills?

Does the project involve sources of ionizing radiation, physical, chemical, and/or biohazardous materials?

Is this project being submitted to another sponsoring agency?

If yes, please list the agency or agencies: _____

Section II – Authorizing Approvals [1 & 2 required for continued processing, 3 for HPD]

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:

Signature, Principal Investigator/Project Director

Date: _____

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

Signature, Dean, College/Center/Department

Date: _____

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

Signature, Chancellor, Health Professions Division

Date: _____

Office of Grants & Contracts Use Only

4. To the best of my knowledge, this proposal meets programmatic, fiscal, and compliance requirements as stated by the sponsoring agency and 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:

Signature, Executive Director, Office of Grants & Contracts

Date: _____