

POLICY MEMORANDUM
Office of Sponsored Programs
Policy for the Utilization of the Proposal Approval Record

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

From: Director, Office of Sponsored Programs

Date: Revised February 10, 2016

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 is not included in this grouping.**

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 Sponsored Programs (OSP) 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 Organizations**, the name and contact party is requested if a substantial portion of the proposed work will be conducted by the collaborating organization and may result in a subgrant or subcontract
- C. Under **Section I-B, Proposal Financial Data**, indicate the funding requested in a total cost format. Note: Commitment of cost share by NSU, or waiver of F&A costs, will require additional internal forms to be completed, as outlined.
- D. Under **Section I-C, Proposal Compliance Data**, indicate, as appropriate, which compliance areas are applicable. This will aid in the review process and alert OSP as to what assurances/certifications are required in order to submit the proposal. Note: It is the responsibility of the PI to ensure all necessary approvals are obtained prior to engaging in work on the sponsored project, if funded.
- 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 OSP.



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 Sponsored Programs (OSP) at least **FIVE BUSINESS 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, OSP will complete final processing.

SECTION I – Proposal Data

A. Proposal Programmatic Data

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

PI Proposed Effort: _____ %

Other Named Personnel Committing Effort to the Project (NSU employees only)

Note: An effort commitment, expressed as a percentage of total effort, is the time a person has agreed to work on a sponsored project, regardless if the time is compensated from the sponsored project or cost shared by the university. If a person is named in the proposal as committing effort but that effort is not quantified, please note.

Name	Role	Effort	College/Center/ Dept	Key Personnel Initials & Date	Dean's Initials & Date*
		%			
		%			
		%			
		%			
		%			

*Obtain Dean's initials ONLY when faculty/staff outside the PI's College/Center are involved.

Agency Due Date: _____ Hard Copy required? OR e-Submission? Method: _____

Proposal Title: _____

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

Instrument of Award (if funded): Grant Contract Subcontract Cooperative Agreement

Proposal Type: New Renewal (Competing Continuation) Supplemental Revision

EXTERNAL SPONSOR (Entity issuing the award to NSU, if funded):

PRIME SPONSOR (Only if NSU will be receiving the award through a subcontract from a pass-through entity):

Funding Source: Federal Provide CFDA#: _____ State Provide CSFA#: _____
 Local Government Private (Corporate/Foundation)

Funding Allocation: Research (see Section I(C) below) Teaching/Training/Technology
 Community Service Equipment Fellowship Facilities

Is this project being submitted to another sponsoring agency? YES NO

If yes, please list the agency or agencies: _____

COLLABORATING/SUBRECIPIENT ORGANIZATION #1 (if applicable): _____

Contact Person: _____ Phone: _____ Ext. _____

Does the budget include a subaward to this organization? YES NO

COLLABORATING/SUBRECIPIENT ORGANIZATION #2 (if applicable): _____

Contact Person: _____ Phone: _____ Ext. _____

Does the budget include a subaward to this organization? YES NO

B. Proposal Financial Data

1. Total Project Funding

	External Sponsor	NSU Cost-Share*	Other Source
Total Direct Costs			
Total Indirect Costs			
Total Project Costs			
Indirect (F&A) Cost Rate**		<input type="checkbox"/> S & W <input type="checkbox"/> MTDC <input type="checkbox"/> TDC	

**If any NSU cost sharing will be required on this proposal, the PI/PD must also complete the Cost Sharing Approval form (see www.nova.edu/osp/forms.html)*

***If indirect (F&A) costs are waived, the PI/PD must also complete the F&A Waiver Form (see www.nova.edu/osp/forms.html)*

2. Are any faculty/staff included in the proposed budget subject to federal salary cap limitations? YES NO
If yes, the proportional amount of salary (based on proposed effort) of each faculty/staff member in excess of the cap must be covered by the College/Center. Note: This applies, but is not exclusive to: NIH, SAMHSA, AHRQ, CDC and HRSA. The current cap is \$185,100.

C. Proposal Compliance

1. Does the project involve research? YES (If "yes", complete 1a. below) NO
Research is defined as a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge. Some service/training projects may involve research. For additional guidance, contact the IRB office at x25369 or irb@nova.edu.
- 1a. Please identify the type of research (check one):
- Basic Research** – conducted to acquire new knowledge without any particular use or application in mind
- Applied Research** - conducted to gain the knowledge or understanding to meet a specific, recognized need
- Development** - systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods including the design and development of prototypes and processes
2. Does the project involve human subjects research? YES (If "yes", complete 2a. and b. below) NO
A human subject is a living individual about whom an investigator conducting research obtains (1) data or samples through intervention or interaction with individual(s), or (2) identifiable private information. Before beginning any activities involving human subjects research, you will need Institutional Review Board review and approval. For guidance, please contact the IRB office (x25369 or irb@nova.edu) or your center/college representative.
- 2a. Will the research project involve performing clinical procedures outside of routine care? YES NO
- 2b. Is this a federally-funded clinical trial? (For definitions, go to <http://grants.nih.gov/grants/glossary.htm>)
 Not a federally-funded clinical trial Phase I Phase II Phase III Phase IV
3. Does the project involve research using animals? YES NO
Before beginning any activities involving animal research, you must have IACUC review and approval. If "yes" above, please discuss your project with Dr. Appu Rathinavelu, IACUC Chair, at ext. 21382 or appu@nova.edu.

4. Does the project involve recombinant DNA and/or other biohazardous agents? YES NO
If yes, you will need appropriate Biosafety review/approval prior to beginning any activities involving these materials. Please contact Dr. Harold Laubach, Biosafety Officer, at ext. 21303 or harold@nova.edu for guidance.
5. Does the project involve use of radioactive materials? YES NO
If yes, you will need appropriate review/approval of the Radiation Safety Officer prior to beginning any activities involving these materials. Please contact Dr. Michelle Clark, Radiation Safety Officer, at ext. 21384 or miclark@nova.edu for guidance.
6. Will the project entail research involving Department of Defense funding or a military application? YES NO
 NO *If "yes", please contact Catherine Cassidy at x25378 or catherin@nova.edu.*
7. Will the project restrict the publication or dissemination of information? YES NO
If "yes", please contact Catherine Cassidy at x25378 or catherin@nova.edu.
8. Will research be performed at or involve collaboration with a foreign location? YES NO
If "yes", please contact Catherine Cassidy at x25378 or catherin@nova.edu.
9. Will the project prohibit or restrict participation by foreign nationals? YES NO
If "yes", please contact Catherine Cassidy at x25378 or catherin@nova.edu.
10. Will the project involve export of items to a foreign location? YES NO
If "yes", please contact Catherine Cassidy at x25378 or catherin@nova.edu.

SECTION II – Authorizing Approvals

PI/PD and Dean

1. I certify that the above information and content of the proposal are true, accurate and complete; that the budget reflects all appropriate expense items; and that the project will be performed in compliance with university and sponsor policies, if funded. I certify that I will obtain all necessary reviews and approvals related to human subjects, animals, biosafety, radiation safety, or export control if applicable to my project, prior to initiating any research activities.

 Signature, Principal Investigator/Project Director

Date: _____

2. The commitments to this project are acceptable. Personnel, space, and facilities are available to conduct/support the project as proposed. The project is appropriate to the goals and objectives of the college/center/department. This proposal is approved:

 Signature, Dean, College/Center/Department

Date: _____

Health Professions Division Applications Only

I have reviewed this proposal and find it meets university/HPD goals and objectives:

 Signature, Chancellor, Health Professions Division

Date: _____

Office of Sponsored Programs Use Only

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, Director, Office of Sponsored Programs

Date: _____