

**NOVA SOUTHEASTERN UNIVERSITY
OFFICE OF SPONSORED PROGRAMS
POLICIES AND PROCEDURES**

**PROPOSAL PREPARATION
PROPOSAL REVIEW, APPROVAL, SIGNATURE,
AND SUBMISSION ON BEHALF OF NSU
EFFECTIVE 12-01-08, REVISED 12-26-2014
POLICY #7
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PURPOSE:

To establish policies and procedures for the review, approval, signature, and submission of sponsored project proposals to federal and nonfederal sponsors.

DEFINITIONS:

Authorized Nova Southeastern University Official: The individual who has been specifically designated by the Board of Trustees as authorized to sign proposals on behalf of the university. The Director of the OSP is an authorized Nova Southeastern University Official.

Dean: The Dean of the College/Center or, for the purpose of these policies, the head of the non-academic divisions at the university.

Office of Sponsored Programs (OSP): The office responsible for coordinating the review, and approval, of sponsored project proposals.

Principal Investigator (PI): The individual whom the university designates to direct the scientific, technical, or programmatic aspects of a sponsored program, project, or activity. The PI is responsible and accountable to the university and the sponsor for the proper conduct of the project or activity. In addition to accepting the overall responsibility for directing the research or program activities, the PI also accepts primary responsibility for administrative/financial oversight of the award and for compliance with relevant university policies, federal regulations, and sponsor terms and conditions.

Project Director (PD): For the purposes of these policies, Project Director is a title synonymous with Principal Investigator for a non-research program.

Proposal: A formal request for financial support of a project or activity submitted to an external sponsor on specified forms (as applicable) and in accordance with sponsor instructions submitted through prescribed channels and signed on behalf of the university by an official authorized by the university.

Proposal Approval Record (PAR) form: The form that provides general information concerning the proposal and is signed by certain university officials to indicate their review and approval of the proposal for their area of responsibility.

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POLICY:

The PAR assists the PI/PD, university administration, and the OSP in evaluating the administrative, budgetary, and compliance aspects of the proposal.

A PAR form must accompany every proposal throughout the approval process. The following individuals must approve the proposal before it can be submitted to the sponsor:

- PI/PD and any co-PI/PD
- Dean (or their designees) of every faculty member named in the proposal
- Health Professions Division (HPD) Chancellor, for proposals from PIs/PDs under the HPD only
- Director of the OSP

The OSP is responsible for determining that all appropriate proposal approval procedures have been followed; the required authorized signatures are present; the proposal package is complete; and the proposal is submitted on a timely basis.

REFERENCES:

None.

PROCEDURES:

Proposal Approval

1. The PI/PD is responsible for the initiation and completion of the PAR. The signature of the PI/PD certifies authorship of the proposal and that the time, facilities, equipment and funding are sufficient to accomplish the activities identified in the proposal. By signing the PAR, the PI/PD attests to his/her commitment to executing the project in compliance with university and funding agency rules and requirements. The OSP will assist in completing the form, if needed. The PAR form will be routed for approval from the PI/PD to the Dean(s), and, in the case of HPD, to the Chancellor of HPD, and the OSP.
2. Each individual who reviews and approves the PAR must give special attention to the following areas:
 - The PI/PD assumes responsibility for the scope and worth of the scientific, technical, or educational effort. The PI/PD is also responsible for ensuring the budget reflects all appropriate

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expense items, and certifies the project will be performed in compliance with university and sponsor policy.

- The Dean certifies the project is appropriate to the College/Center; the proposed staff is available and willing to conduct the project; space is adequate, facilities, and personnel are available; and the technical portion of the proposal has merit.
 - The HPD Chancellor certifies that the proposed activity is compatible with the mission, goals, and objectives of the HPD.
 - The OSP certifies the proposal has been reviewed and 1) meets the administrative, fiscal, and compliance requirements as stated by the sponsoring agency, and 2) meets the university's policies and procedures for proposal submission to external funding sources.
3. The completed PAR, along with a final, complete copy of the proposal, should be submitted to the OSP at least five (5) business days prior to the agency due date. No proposals will be submitted to any sponsoring agency without appropriate review and approval.
 4. The PI/PD should allow ample time in advance of the proposal deadline for the review/coordination of the proposal and for obtaining the necessary approvals on the PAR form. This requires prompt notification to and coordination with the OSP during proposal development and preparation.

Proposal Submission

1. In accordance with this policy, all proposals will be submitted following sponsor's established deadlines. It is the PI/PD's (or his/her designee's) responsibility to ensure that this occurs. Unsolicited proposals must be submitted in accordance with the deadlines set by each sponsor; the OSP should be consulted regarding these dates.
2. After the appropriate university officials have approved and signed the PAR form, any required agency forms, and other assurances identified in the proposal, the proposal may be submitted to the sponsor.
3. The proposal package must be duplicated for internal university use and in compliance with sponsor requirements, if proposals are not submitted electronically (see #7 – 9 below). The OSP can assist with this activity. The number of copies required by each sponsor varies. Each sponsor's guidelines should be reviewed for this information.

If proposals are not submitted electronically (see #7-9 below), the number of copies for internal university use will vary with the PI/PD and/or the project requirements, but most situations require at least two copies. These copies are distributed as follows:

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- Office of Sponsored Programs
 - PI/PD
4. A brief transmittal letter may be prepared, if necessary, to accompany the proposal. The transmittal letter may introduce the sponsor to the proposed program, emphasizing key points and their impact. It may also identify the appropriate university offices or personnel to contact for specific matters (i.e., scope of work, negotiations, administrative matters and fiscal matters).
 5. The sponsor guidelines should be reviewed to ensure the correct address is used to transmit the proposal, when hardcopy submission is required.
 6. The letter of transmittal, the original signed proposal, and all required copies are mailed or submitted electronically (see # 7 - 9 below) to the sponsor in accordance with sponsor requirements. The OSP can assist if necessary when hardcopy submissions are required.
 7. Many sponsors require applications be submitted electronically via the sponsor's electronic submission mechanism (i.e., Grants.gov, Fastlane, etc.). In these instances, the OSP is responsible for the electronic submission of the application, with the assistance of the PI/PD and the College/Center as appropriate. The electronic submission does not eliminate the need for a hardcopy or pdf version of the application and the PAR. The university requires that the hardcopy or pdf file and accompanying signatures remain on file within the university for audit purposes. OSP maintains the university's official grant file for audit purposes (refer to OSP Policy No. 26 – *Official Award File and Records Retention*, and OSP Policy No. 10 – *Electronic Research Administration*).
 8. Because delays or technology issues may be encountered with electronic submissions, PIs/PDs and College/Centers are encouraged to contact OSP as early as possible, but no later than at least five (5) business days prior to the submission due date. This advanced notice will enable the PI/PD, College/Center, and OSP to have sufficient time to ensure a proper proposal review and smooth electronic submission.
 9. When submitting proposals electronically via Grants.gov, the PI/PD is encouraged to be in close contact with the OSP for a period of time following the successful electronic submission. Grants.gov and, in some cases, the sponsor have a verification and validation process prior to successful acceptance of the application. Errors and/or warnings may be identified during these processes which will require immediate attention by the PI/PD and OSP. Some errors and warnings cannot be fixed solely by the OSP, rather, they require correction by the PI/PD; therefore, it is imperative that the PI/PD be available to ensure successful acceptance of his/her application.