Meeting objectives

- Role of approvers
- Why submission deadlines are important
- What is the submission deadline policy
- Process for handling exceptions
- Communication and acceptance of exceptions
Role of Approvers

- Review and approve College and HBOI policies, personnel, space, equipment or other resources, scope of work;
- Review of FAU policies (PI eligibility, effort, tuition, indirect cost, cost sharing, cost accounting standards, foreign travel, export controls, subcontracts, consultants, gift versus sponsored funds);
- Special issues (funding agency limitation on number of proposals FAU may submit, sponsor conflict policies).
Why submission deadlines are important

- Allows for necessary time to correct mistakes before the sponsor’s deadline;
- Allows time for review of all aspects of the proposal;
- Allows for time to obtain necessary approvals for special circumstances;
- Provides a sense of professionalism and mutual respect for the important roles everyone has in the sponsored research process.
What is the deadline – current policy

Faculty are urged to submit proposals to Sponsored Programs in advance of deadlines to avoid delays.

All proposal material must be received by Sponsored Programs a full five (5) business days before established agency deadlines. Applicants are reminded that agency deadlines must be clearly indicated on the grantsERA file and a copy of the proposal or application guidelines should be attached.

When exceptional circumstances cause a delay in proposal submission beyond this deadline, the Sponsored Programs staff will continue to do everything possible to review and expedite all appropriately prepared materials. Faculty cooperation in observing this deadline will enable Sponsored Programs to complete the proposal review process, which will help insure that sponsors receive all the information they need in proper form.
Recent Trends of Submitted Proposals
January 1, 2012 to March 31, 2012

56 proposal submissions
50% submitted 1 day before or day of deadline
25% submitted 4 to 2 days before deadline
25% submitted 5 or more days before deadline
New Procedure to Accompany the Proposal Submission Policy

- No passive waiver of 5 business days deadline policy;
- Request exceptions 7 business days in advance of sponsor deadline;
- Carefully limit the number of exceptions;
- July 1 effective date.
Email from Approver to Sponsored Programs

Date: MM/DD/YY
To: Sponsored Programs Administrator
From: Name of Authorized Approver
Cc: PI
College:
RE: Exception to five (5) business day review policy

I have reviewed the Principal Investigator’s request for an exception to FAU’s five (5) business day review policy (please see attached request). Based on the explanation as to why the five (5) business day deadline cannot be met and the steps to be taken to meet the requested sponsor deadline, I have □ approved □ denied the request.

The proposal includes the following items which require additional documentation and approvals which may require extra time and effort during the review process.

Check All Applicable Items Below

( ) PI Eligibility special approval (attach request)
( ) Subcontracts
( ) Consultants
( ) Cost share
( ) CAS 502 items
( ) Indirect cost rate
( ) RFP, RFA or other special agreement (attach program announcement or other instructions)
Email from Sponsored Programs to Approver

Date: MM/DD/YY
To: Name of Authorized Approver
From: Sponsored Programs Administrator
Cc: PI
College:
RE: Exception to five (5) business day review policy

Sponsored Programs has reviewed the attached request for exception to five business day review policy and □ approved □ denied the request.

NEW DEADLINE DATE/TIME TO COMPLETE SUBMISSION TO SPONSORED PROGRAMS IS:
MM/DD/YY AT 12:00PM (Authorized Approvers may require additional time)

The following information must be provided as part of the submitted complete proposal.

( ) Subcontract proposal (letter of intent signed by institutional official, scope of work, budget, budget justification, and federal indirect cost rate agreement if indirect cost is requested).

( ) Consultant letters of commitment, description of role, and justification for proposed rate.

( ) Institutional Contribution Form for cost sharing.

( ) CAS 502 approval from Research Accounting.

( ) Indirect cost rate policy from sponsor supporting the proposed rate.

( ) RFP, RFA or other special agreement (attach program announcement or other instructions).

Reminder: a complete proposal must include all required FAU documents such as completed grantsERA forms, and Patent Policy and Disclosure of Financial Interest forms for the principal investigator/project director, co-principal investigator, and any other persons who are responsible for the design, conduct, or reporting of research, educational or service activities funded or proposed for funding by an external sponsor.
Approvers’ Responsibilities

- Partner with Sponsored Programs office to deal with exceptions;
- Communicate and enforce deadline in a consistent way;
- Limit exceptions to only those with exceptional circumstances;
- Limit the total number of exceptions per year;
- Agree to have authorized approvers and signers available during normal business hours (8am – 5pm).