



Items Requiring Prior Sponsor Approval # 2350.040

INITIAL EFFECTIVE DATE:	LAST REVISION DATE:	RESPONSIBLE UNIVERSITY DIVISION/DEPARTMENT
February 11, 2004	March 30, 2021	Office of Research and Economic Development/ Post-Award

POLICY STATEMENT

FIU must obtain the sponsor’s prior approval for any of the following:

- (1) Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).
- (2) Change in a key person specified in the application or award document.
- (3) The disengagement from the project for more than 3-months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.
- (4) The need for additional Federal funding.
- (5) The inclusion, unless waived by the Federal awarding agency, of costs that require prior approval in accordance with Subpart E-Cost Principles of this part or 48 CFR part 31, “Contract Cost Principles and Procedures,” as applicable.–The transfer of funds budgeted for participant support costs as defined in Uniform Guidance 200.75, Participant support costs, to any other categories of expense.
- (6) Unless described in the proposal and funded in the approved award, the sub-award, transfer or contracting out of any work under an award, including fixed amount sub-awards as described in Uniform Guidance 200.332, fixed amount sub-awards. This provision does not apply to the purchase of supplies, material, equipment or general support services.
- (7) Any other item contained in the sponsor award document for the project that requires prior sponsor approval.

Changes in the approved cost-sharing or matching provided by the non-federal entity.

SCOPE

N/A

REASON FOR POLICY

To comply with federal regulations.



DEFINITIONS	
TERM	DEFINITIONS
ORED	Office of Research and Economic Development
PI	Principal investigator

ROLES AND RESPONSIBILITIES
N/A

RELATED RESOURCES
Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 CFR Part 200 (the “Uniform Guidance”)

CONTACTS
Office of Research and Economic Development Florida International University 11200 S.W. Eighth Street - MARC 430 Miami, Florida 33199 Telephone: (305) 348-2494

HISTORY
Initial Effective Date: February 11, 2004; Office of Sponsored Research Administration Faculty/Staff Guide for the Administration of Externally Funded Projects, INTERIM VERSION Review Dates (<i>review performed, no updates</i>): N/A Revision Dates (<i>updates made to document</i>): October 4, 2012. [This last revision was non-substantive in nature: all references to the “Internal Clearance Form” in the policy document were revised to reflect that the form is now known as the “Electronic Proposal Routing Approval Form (ePRAF)”], March 23, 2017 and April 22, 2020; March 30, 2021.



Items Requiring Prior Sponsor Approval # 2350.040a

INITIAL EFFECTIVE DATE:	LAST REVISION DATE:	RESPONSIBLE UNIVERSITY DIVISION/DEPARTMENT
February 11, 2004	March 30, 2021	Office of Research and Economic Development/ Post-Award

PROCEDURE STATEMENT

ORED, in conjunction with the PI (and/or the proposed new PI, as applicable) will notify the sponsor in writing of the upcoming change. The PI (or the proposed new PI) should prepare a letter for signature by ORED to explain the situation and explain why the approval should be granted. This letter will be finalized by ORED, signed and forwarded to the sponsor. Depending on the project period and the date of proposed change of PI, the agency may issue a new award letter or merely confirm its agreement in writing. If requested by ORED, an updated proposal packet, including Electronic Proposal Routing Approval Form (ePRAF), budget, etc. may be also required from the PI (or the new proposed PI). In all instances where a change in scope of work and/or in PI is involved, an updated proposal packet will be required and all required approvals (e.g., IRB, IACUC, IBC) must be in place before the project, as revised, may continue.

For change in PI, the letter should also introduce the new PI, highlight his or her special qualifications which assure continuance of the project as originally approved, and attach the proposed new PI's curriculum vitae.

If the sponsor approves the change, ORED will make the necessary revisions to the ORED award database and forward the modification paperwork to the PI (or the new PI, if applicable), the research dean of the PI's college, and the PI's fiscal assistant, if any. If applicable, the research dean of the prior PI's college will also be informed of the change.