



**Office of Research and Economic Development Prior Approval of  
Sponsored Project Proposals # 2320.070**

<b>INITIAL EFFECTIVE DATE:</b>  February 11, 2004	<b>LAST REVISION DATE:</b>  March 28, 2022	<b>RESPONSIBLE UNIVERSITY DIVISION/DEPARTMENT</b>  Office of Research and Economic Development
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**POLICY STATEMENT**

All proposals to external sponsors for projects that will involve University faculty and/or staff must be reviewed and approved by ORED for compliance with federal and state statutes and regulations as well as sponsor and FIU guidelines, policies and procedures prior to forwarding the proposal to the prospective sponsor.

**SCOPE**

University Community (faculty, staff, and students)

**REASON FOR POLICY**

Prior ORED approval of proposals is required to ensure that the proposal is in compliance with laws and regulations, sponsor guidelines, and the University’s policies and procedures relative to externally funded projects.

<b>DEFINITIONS</b>	
<b>TERM</b>	<b>DEFINITIONS</b>
ePRAF	“ePRAF” is the Office of Research and Economic Development Electronic Proposal Routing Approval Form.
ORED	“ORED” is the Florida International University Office of Research and Economic Development.
PI	“PI” is the principal investigator.

**ROLES AND RESPONSIBILITIES**

PI - the PI is responsible to ensure that the proposal is not forwarded to a sponsor without prior ORED approval.



ORED is responsible for reviewing proposals to ensure that they are in compliance with applicable laws, regulations, policies and procedures.

#### RELATED RESOURCES

ORED Policy - Deadlines for Proposal Submissions for ORED Approval  
ORED Policy - Charging General Administrative and Clerical Costs on Federally Sponsored Projects  
ORED Policy - Identification of Special Handling Requirements for Proposal

#### CONTACTS

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#### HISTORY

**Initial Effective Date:** Office of Sponsored Research Administration Faculty/Staff Guide for the Administration of Externally Funded Projects, INTERIM VERSION; Effective Date: February 11, 2004;  
**Review Dates** (*review performed, no updates*): N/A  
**Revision Dates** (*updates made to document*): January 10, 2008; February 18, 2008 and 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 29, 2021; March 28, 2022



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**PROCEDURE STATEMENT**

ORED’s approval must be obtained prior to submission of the proposal to the external sponsor. The requirement for ORED review and approval of proposals does NOT apply to fellowships where the funding is being paid directly to the fellow (rather than through the University) and no University authorized signature is required by the sponsor.

Sponsors will sometimes request a preliminary or “white paper” proposal prior to submission of a full proposal. In those circumstances, approval from ORED prior to the PI’s submission of the “white paper” proposal to the sponsor is not required provided the white paper or preliminary proposal does NOT contain any of the following: (1) an institutional limit on the number of applications submitted; (2) commitment of University cost sharing; or (3) space additional to that already available to the PI;. If any of the foregoing items is included or required in the white paper or preliminary proposal, then the normal proposal approval process must be followed by the PI. However, for all white papers or preliminary proposals where ORED approval is not required, the PI should maintain a copy to be forward to ORED for its files in the event a full proposal is later submitted.

If an award is received for a proposal that was not approved by ORED, the award will NOT be processed until all required proposal paperwork (including the fully signed ePRAF, budget, signed Cost Sharing Form, if applicable) is received and approved by ORED. In such circumstance, the Vice President for Research or designee of ORED may determine that the award will not be accepted if the same is not in furtherance of the University's mission or if the project may not viably be performed at the University.

If Pre-Award determines that the proposal provides for a disproportionately large portion of the project or the proposed budget to be subawarded to another entity or person, then the proposal may be subject to further review by the Vice President for Research or designee in consultation with the PI’s Dean, to address matters including whether the work sought to be subawarded may be performed by University personnel and whether the work which is proposed to be done by the University in relation to the work that will be subawarded warrants approval of the proposal. After such consultation, the Vice President for Research or designee



shall determine whether the proposal will be approved, disapproved or must be revised in order for approval, including whether the subaward portion must be decreased.

Generally ORED does not request or collect the social security number of the persons to be working on the proposed project. However, in the rare instance where a proposed sponsor for the project requests such social security numbers, ORED shall notify the affected person(s) of such request, using the Notification of Social Security Number Collection and Usage form.