PROCEDURES FOR REVIEW AND SIGN-OFF ON PROPOSALS FOR SPONSORED AWARDS SUBMITTED FROM THE OFFICE OF THE PROVOST
(Including Proposals Submitted by Provostial Institutes and Administrative Units)

The following procedures apply to all proposals for sponsored awards, e.g., research and training, curriculum development, fellowships, visitors, conferences, program activities, equipment, etc. Typically, sponsored awards support activities with a defined scope and purpose, and bind the University to specific terms and conditions in conducting the activity and in budgeting, spending, and accounting for the award funds.¹

These procedures provide for review and approval by the head of the Institute or administrative unit; the Vice Provost/Vice President with oversight responsibility for the Institute or unit; the School Dean(s) where appropriate; the Provost’s Office; the Office of Sponsored Programs, and other University offices as necessary. The intent of the review is to ensure that relevant offices are engaged to help prepare the proposal, ensure compliance with University policies, and approve University commitments to the project.

University offices providing support for proposals and institutional clearance:
As per University policy, it is important to ensure that the Office of Sponsored Programs (OSP) reviews all requests for sponsored awards for compliance with University regulations and proposal requirements. OSP provides institutional sign-off and transmits grant proposals, coordinates negotiation of awards with sponsors, and guides investigators in funded project administration.²

In addition, University policy requires that units and individual investigators obtain clearance from the Corporate and Foundation Relations Department of the Office of University Development and Alumni Relations before approaching a foundation or corporation for support, unless an open invitation, such as a program solicitation, has been publicly extended. All proposals to corporations and private foundations, whether they are renewals, invited, or responses to public solicitations, should be brought to the attention of UDAR, which ensures that proposals are properly coordinated and tracked.

Proposals for corporate support (non-philanthropic) should be discussed with the Office of Industrial Liaison (OIL), which negotiates and signs research agreements with industry.³

¹ To understand the distinction between sponsored awards and gifts, see http://www.nyu.edu/osp/policies/giftsvsawards.php. The important at the proposal stage since the required approvals differ for the two types of resulting awards. Where the proposal leads to an award, it is necessary that funds be correctly identified as either gifts or sponsored activity both for audit and accounting purposes, and also because the offices that track them have different reporting and compliance requirements.

² For additional information about OSP, see http://www.nyu.edu/osp/

³ For additional information about Office of Industrial Liaison, see http://www.med.nyu.edu/oil/
Provost’s sign-off:
Proposals from Provostial institutes and administrative units that report to the Provost require the sign-off of the Associate Provost for Academic Operations Planning as the Provost’s designee. Institute proposals should have the prior approval of the Director, the applicable Vice Provost, and the Dean of the School(s) in which the Principal Investigator has a faculty appointment, where appropriate (typically, where there is a commitment of school resources). Proposals from administrative units should have the prior approval of the head of the unit and the applicable (Senior) Vice Provost or Vice President.

The Provost’s review will focus on institutional commitments, if any, for matching and cost-sharing funds, whether cash or in-kind; commitments for development of new programs, new hires, additional or specially allocated space or other resources; commitments that extend beyond the life of the grant; coordination with and approval from multiple units within NYU; collaboration with institutions outside of NYU; and departure from standard policy for indirect cost recovery. If your proposal involves these or other special issues, please bring them to attention as soon as possible.

Routing sheet:
To submit your proposal for Provost’s review, provide a complete copy of the proposal and application guidelines, along with the OSP routing sheet (OSP Synopsis Form) with all requested information and signatures. An email message verifying Synopsis Form approvals is acceptable if signatories are not available.

Disclosures:
In accordance with University procedure, the Principal Investigator should submit a ‘Researcher’s Disclosure Statement’ as required by the Supplemental Guidelines for Disclosure and Review of Conflicts of Interest in Research.

Each Principal Investigator should submit an Agreement to Disclose (Invention) on the occasion of submitting his or her first proposal.

Award Process and Documents:
While a sponsor may notify the Principal Investigator directly about an award, all official award documents should be sent to the Office of Sponsored Programs for review and distribution to appropriate University offices, including the University Contract Office. Sponsored award documents that require a signature for acceptance are to be signed by an authorized University official, usually the Contract Officer.

Issued: April 13, 2007; Revised: September 26, 2008

---

4 To access the OSP Synopsis Form, follow links from http://www.nyu.edu/osp/proposals/
5 To access the Researcher’s Disclosure Statement, follow links from http://www.nyu.edu/osp/proposals/
6 To access the Agreement to Disclose, follow links from http://www.nyu.edu/osp/proposals/
7 For further information about the sponsored award process, award documents, and university acceptance, see http://www.nyu.edu/osp/policies/piguide/sect5.php