

Standard Operating Protocol

Temporary De Facto Authorized Approval for Routing Levels within PINS

Research Administration

05/01/2008

Purpose: Establish who, when and how to assume De Facto Authority to approve subordinate levels within PINS

Steward: Associate Vice Chancellor for Research Administration

Related: Signature Authority SOP, PINS

Authorized Positions: Associate Vice Chancellor for Research Administration
Manager of Client Relations and Facilitations
Research Information Systems Coordinator

Using professional judgment, certain requests to approve a subordinate level can be made absent the protocol steps defined below. Anticipated circumstances include unnecessary routing steps associated with dual appointments where one route is not relevant in a particular circumstance. These are called “bypasses” but any other action is an approval on behalf of another person and represents a de factor authorization to approve and is a binding action.

The below procedures should be followed if a level should be approved but because of an excuse justified and supported by the College Research/Business office, on-line approval/certification through PINS cannot be made by the person(s) responsible for the cognizant level.

- Obtain authorization, via e-mail, from the College Research/Business office to assume de facto authorization to approve a routing level within their purview.
- Upload a PDF copy of the college’s request e-mail in the PINS record as a “Other/Correspondence”.
- Add a note to the comment field within the approval screen for the level being approved that states:

[SO AND SO from the College Research/Business Office] requested that SPARCS take temporary, de factor authorization to approve for this level because [REASON]. The [PERSON RESPONSIBLE FOR THE LEVEL] was notified by e-mail of the de facto approval and reminded that such action is representative of their personal attestation to the accuracy of the PINS record and the relevant representations and certifications.
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- E-mail the person for whom de facto authorization was executed with the following text

To: Approved level e-mail address
CC: Requester of de facto approval from SPARCS, supervisory level,
college research office

Subject: #XXXXXX - PINS Approval Exercised on Your Behalf

Dear Dr. X,

As requested by your College Research/Business Office, I have approved the above referenced PINS record on your behalf with the full force and effect as if you had approved the record personally. My approval represents your attestation to the accuracy of the PINS record and all of the relevant representations and certifications associated with submitting proposals through NC State University. Those representations and certifications are found at:

http://www.ncsu.edu/sparcs/pins/help/help_certification.html

If you object to the actions I've taken on your behalf, please notify me immediately (no later than 10 working days of the date of this e-mail) and working with your College Research/Business office or equivalent, we will collectively resolve your concerns.

Sincerely,