OSR Policy 300.1 — Shared Responsibilities for Proposal Review and Institutional Approval

Responsible Officer: Director
Responsible Unit: Proposal Management
Effective date: July 1, 2008
Last revised on: October 17, 2008

Policy Statement

The responsibility for final review and institutional signature research proposals and/or clinical trial proposals is divided among the Office of Sponsored Research (OSR), the Sponsored Program Office (SPO), and the Office of Clinical Trials (OCT), including divisions of responsibility regarding negotiations of terms and conditions prior to the acceptance of an award.

Once an electronic Internal Processing Form (eIPF) has been submitted and approved at the department level, the proposal is received for final review and approval by SPO, OSR, or OCT. The three units divide this responsibility as follows:

1. SPO reviews research proposals administered by the School of Medicine (SOM) for:
   - NIH grants and cooperative agreements (excluding those listed below for OSR)
   - Foundations (excluding those listed below for OSR)
   - Nonprofit organizations

2. The division of Proposal Management in OSR reviews and approves the following research proposals administered by SOM:
   - NIH contracts and SBIR/STTR
   - Federal agencies other than NIH
   - Foundations:
     - Kate B. Reynolds
     - Z. Smith Reynolds
     - The Duke Endowment
In addition, Proposal Management reviews and approves research proposals for those university departments, centers and institutes that are not primarily administered by SOM, including:

- State agencies
- Nonprofit organizations
- Industry sponsors
- All other non-clinical, industry-sponsored research agreements involving funding that require institutional review and signature.

3. **OCT** Proposal Management reviews and approves clinical trial proposals for:

- Contracts with private industry and other entities to perform clinical trials.

### Reason for Policy

Designating specific responsibilities regarding proposal review and approval prevents duplication of effort and helps maintain the flow of information for the entire proposal system.

### Exclusions/Exceptions

Proposals not administered by the School of Medicine that include SOM personnel are routed to OSR for review and authorization.

The [Corporate and Foundation Relations](#) division of the Office of University Development oversees partnerships with private corporations and foundations that offer support to the University in the form of gifts.

### Procedures and Related Policies

Section 300 provides the pertinent policies pertaining to proposal management. Specific procedures are located in the applicable policies and can also be viewed in the Table of Contents.

### Research Tool Kits

[Proposal Development and Submission](#)

### Contacts

Questions and concerns can be submitted online at [Ask OSR](#) or by using the [OSR staff directory](#). Within [RAMSeS](#), the “Speak to Someone” option assists in locating the staff member best suited to address project-specific issues.
References

Research Administration Glossary at Carolina

1. OSR Proposal Management Responsibilities.
2. OSR Award Management Responsibilities.

History

Prior Revisions: The policies in the Office of Sponsored Research Policies & Procedures Manual supersede any OSR policies, procedures and appendices previously included in the University Business Manual, a publication of UNC Chapel Hill’s Division of Finance.