

April 20, 1995  
number 1669

THE UNIVERSITY OF NORTH CAROLINA AT CHAPEL HILL  
Office of the Chancellor

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April 17, 1995

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TO: Deans, Directors, and Department Chairs

FROM: Paul Hardin

SUBJECT: Routing of Gifts for Research, Sponsored Program Agreements and Service Contracts

I am pleased to provide you revised procedures for the routing of Gifts for Research, Sponsored Program Agreements and Service Contracts. These procedures supersede the "Routing of Research Proposals and Other Research Funding Arrangements" transmitted by Chancellor Fordham in 1986 and the procedures pertaining to the Special Contractual Action Form (C&G Form 1) transmitted by the Vice Chancellor for Business & Finance in 1987. I hope that you find that these changes will simplify and increase the timely processing of proposals and agreements.

These new routing procedures are intended to result in more timely processing of agreements by delineating routing paths, clarifying the gift/sponsored program definitions, and reducing the number of signatures required for routing. A flow chart is included with this packet to help in the implementation of the procedures (See Attachment 1). These procedures will become effective May 1, 1995. C&G Form 1, the Internal Processing Form (GA Form 3.81) and the Abstract Form (Form 2.81) for sponsored programs have been revised to reflect the changes in the procedures. The Laboratory Use of Hazardous Materials form has also been revised to collect current information. This form is utilized in those instances where a project involves radioactive materials, potential biological or chemical hazards. The Intent to Solicit Form should be used in connection with Gifts for Research. Copies of these forms are attached. Previous versions of these forms are obsolete on the effective date of these new procedures and should not be used after that date.

Please bring these revised procedures to the attention of those persons within your administrative area to whom such procedures are pertinent, and please take the necessary steps to assure that these procedures are followed. If there are questions concerning the procedures, please contact Mr. Jerry Fife, Director, Office of Contracts and Grants; Telephone 966-2542 or Dr. Robert Lowman, Associate Vice Chancellor for Research and Director, Office of Research Services; Telephone 966-5625. Thank you for your cooperation.

JGF/ncb

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**Routing Procedures**  
**For Gifts for Research.**  
**Sponsored Program Agreements and Service Contracts**  
**The University of North Carolina at Chapel Hill**  
**(effective May 1, 1995)**

I. Gifts for Research, Sponsored Program Agreements, and Service Contracts

A. Gifts for Research

Gifts for Research (sometimes called grants by the donor) are contributions by donors, usually non-profit or for profit organizations, to fund research. Funds that meet all of the following criteria will be considered "Gifts for Research" and should be processed through the University Development Office.

1. The funds are awarded irrevocably to the institution.
2. The donor does not impose restrictive contractual obligations. Examples of restrictive contractual obligations that would not be consistent with "research gifts" include but are not limited to the following:
  - a. Patent, copyright or other intellectual property provisions.
  - b. Detailed financial or technical reports.
  - c. Publication provisions.
  - d. Audit Requirements
3. There is no commitment of direct project personnel effort to accomplish project objectives.
4. Examples of gifts for research are those that are designated for certain types of scholarly endeavors but are otherwise free of the restrictions listed in A.2. above. Gifts for research would include, but are not limited to, the following:
  - a. A gift that is designated for the general support of a faculty member's particular research, e.g. Professor X's cystic fibrosis research.
  - b. A gift designated for a department, unit or school to support research in a general academic area, e.g. Asian history.

- c. A gift that is designated to support a particular study or activity, e.g. department X's organization and sponsorship of a professional symposium.

B. Sponsored Program Agreements

Sponsored Program Agreements refer to research, instruction and public service grants and contracts undertaken pursuant to a proposal submitted by the investigator that specifies the line of inquiry. Such arrangements require the prior approval of the University and the sponsoring agency. Such arrangements may be in response to a sponsoring organization's request for proposals or may be submitted at the initiative of the investigator. Sponsored Program Agreements include but are not limited to research grants and contracts, training grants, cooperative agreements, fellowships, clinical trial agreements, commercially sponsored grants and contracts, demonstration projects, and other instructional grants and contracts.

C. Service Contracts

Service Contracts are also undertaken by the University and are not considered gifts or sponsored program agreements. An example of a service contract includes those agreements under which the University provides staffing to other medical facilities.

II. Routing

The determination of the appropriateness of the proposed activities and all programmatic responsibility for activities undertaken within the scope of this memorandum lies within the administrative reporting line of the unit up to and including the offices of the Dean and Vice Chancellor for Academic Affairs or Health Affairs, as appropriate. Responsibility for other University concerns includes other University offices in addition to the administrative reporting line. Deans and Directors or their delegates are hereby requested to evaluate activities to be undertaken pursuant to a Gift for Research, Sponsored Program Agreements or Service Contract according to these guidelines and to assure that documents are routed according to the channels prescribed herein. Attachment 1 presents the routing paths for these documents.

A. 1. Gifts for Research Proposals

Proposals for Gifts for Research, as defined by section I.A. above, will be directed to the Development Office from the proposing unit using an Intent to Solicit Form. The Development Office will contact the proposing unit upon receipt of the Intent to Solicit Form.

A.2. Gifts for Research Acknowledgements

Any documents accompanying the funded gift will be directed to the Development Office from the receiving unit. The Development Office will review the gift documents and will forward the documents to the Vice Chancellor for Development and University Relations to sign any necessary gift acknowledgements. An information copy of the document will be furnished to the Office of Research Services when appropriate

B. 1. Sponsored Program Proposals

Proposals (solicited or unsolicited) expected to result in a Sponsored Program Agreement (research grant, training grant, cooperative agreement or research contract) will be routed with an Internal Processing Form (GA Form 3.81) from the Dean's/Director's office to the Office of Contracts and Grants for fiscal and administrative review. The proposal will be forwarded to the Office of Research Services for review of academic matters, compliance review, signature and return to the unit for transmission to the sponsor.

Faculty members are encouraged to have preliminary discussions with sponsoring agencies during the development of grant applications. If preliminary discussions include the transmission of a budget, then this information is also to be routed as described in the above paragraph.

B. 2. Sponsored Program Agreements

Sponsored Program Agreements should be routed with an Internal Processing Form (GA Form 3.81) through the process shown on Attachment 1. This routing requirement includes agreements for which a proposal was not required (for example, a clinical trial protocol). If a proposal has previously been routed in accordance with paragraph B. 1. above, proceed to paragraph B.3.. below.

In order to expedite the review process, an advance copy of the agreement should be forwarded to Contracts & Grants. Contracts and Grants will forward advance copies to the Office of Research Services, University Counsel and the Office of Technology Development, as appropriate, to facilitate review and identification of any issues requiring negotiation with the sponsor. Contracts and Grants is responsible for review and negotiation of fiscal and administrative matters. The Office of Research Services is responsible for review and negotiation of academic and compliance matters. Upon completion of the negotiations and legal review, the agreement will be forwarded to the Office of Research Services for official University signature. The Office of Research Services will provide information copies of the agreement to the Development Office when appropriate and fulfill its reporting requirements to UNC General Administration.

- B. 3. Notwithstanding the above, if the sponsor forwards an agreement in response to a proposal that was routed with an Internal Processing Form then a new Internal Processing Form is not required. At this stage, the department only needs to provide the Office of Research Services with updated human subject approvals and lab animal or radiological materials approvals, if changes have occurred since the proposal was routed. The agreement should be forwarded to the Contracts and Grants office for further processing.

Agreements for which a proposal was previously routed with an internal processing form and which do not require University signature in order to accept the award, should be forwarded directly to the Office of Contracts and Grants for account establishment. Contracts & Grants will forward a copy of the agreement to the Office of Research Services.

C. Service Contracts

For Service Contracts, the contract will be routed with a C&G Form 1 from the Dean's Office to the Office of the Vice Chancellor for Business and Finance for legal review and signature.

### Routing Procedures Flow Chart For 1. Gifts for Research, 2. Sponsored Program Proposals and Agreements and, 3. Service Contracts

