Clemson University
Research Division

Effective Date: January 28, 2004

Protocol: Proposal Review Responsibilities

The following overview outlines the routing procedure and associated responsibilities of the proposing and reviewing units prior to submission to the Research Division, Office for Sponsored Programs (OSP) to receive authorization for the Principal Investigator to forward the proposal to the sponsor. The responsibilities listed below are those of a general nature and are not meant to be an inclusive listing in all circumstances.

Purpose of Review and Approval
The principal investigator (PI) must channel the proposal through a series of officials whose review and approval are required in accordance with University policy and/or State or federal requirements. The review is concerned with:

- The substance, merit and suitability of the proposed project.
- The commitments of faculty and staff time, and possible effects on the teaching or other obligations of the personnel involved, as well as salary arrangements.
- Requirements for and availability of laboratory space and facilities.
- The proposed costs of the project and cost sharing that is anticipated and a determination that they have been realistically estimated for reimbursement purposes.
- Compliance with sponsor and appropriate federal requirements in addition to University policy and procedures.

A Shared Responsibility
Each individual noted below has a shared responsibility that should not be overlooked in the preparation and processing of a proposal.   This shared responsibility, which begins with the PI, must take into consideration the appropriate time that will be necessary to write, coordinate, review, approve and finally to submit the proposal to the intended sponsor. The sponsor's established deadline must be taken into account by each individual, but primarily with the PI, to allow each subsequent administrative office (e.g. chair, dean, OSP) within the proposal review process suitable opportunity to conduct a proper review according to their assigned responsibilities.   "Rush" proposals can reflect not only poor planning or preparation of the proposal, but inadequate - or the absence of - institutional and sponsor required examination prior to submission.

1. Project Director - Principal Investigator
- Plans, begins and completes the proposal in a time-frame to provide each required administrative office (e.g. chair, dean, OSP) suitable opportunity to conduct a proper evaluation of their review responsibilities.

- Develops a project proposal consistent with the academic mission of the submitting department or unit.

- Identifies and coordinates special needs, e.g. cost-sharing, laboratory space or other facilities, equipment, additional personnel that requires supervisory approval.

- Prepares the technical proposal and budget in a manner that meets university and sponsor policies, chief among which is that there is no material misrepresentation of facts, and that the individual listed as PI is aware of his/her obligations toward proper conduct of the project and submission of technical reports.

- In advance of proposal package submission through review offices, obtain approval from VPR for any voluntary waiver of F&A reimbursement (use of Cost Share Agreement Form is usually required).

- Prepares and obtains supervisory approvals on Cost Share Agreement form and includes the form as part of the proposal package.

- Coordinates commitment from any co-investigator(s) expected to participate, as well as associated academic supervisory approvals.

- Obtains from any collaborating subcontractor or consultant, a written proposal that includes their statement of work, cost estimate and their organization's "authorized approving" signature and includes such documents within Clemson University's proposal.

- Prepares and submits any necessary compliance protocol(s) for approval to appropriate compliance committee, e.g., animal welfare, human subjects, etc.

- Completes the Office for Sponsored Programs Proposal Processing Form (PPF) with special emphasis on "Yes/No" query section. Personally signs the certification/approvals section and obtains all other signatures required.

- Includes with routed proposal package a copy of any associated RFP or any terms and conditions imposed by the sponsor.

- Coordinates with unit's pre-award Grant Coordinator for assistance in procedural actions.

- Upon return of the proposal from OSP, prepares or ensures that necessary copies of the approved proposal are transmitted to sponsor. (Alterations are not authorized to the proposal as approved by VPR).

2. Department Chair/School Director (as appropriate under specific college guidelines)

- Reviews proposal for consistency with department's or school's mission and verifies proper functional classification (research, service, instruction) is assigned.

- Reviews proposed project's commitment of department's or school's staff services and operational support resources, including time, supplies, and finances.

- Ensures any necessary facility modifications are identified and clearly assigned to its funding source (sponsor or department).

- Assures all faculty and department/school performance obligations, as defined in the proposal, can be met.

- Approves departmental budget allocations described on Cost Sharing Agreement form, and endorses any appropriate written requests to VPR for F&A rate waivers.

- Reviews Proposal Processing Form, and provides special attention to "Yes/No" query section.

- Reviews proposal with respect to any reported or suspected conflicts of interest, and, if appropriate, ensures Institution's Protocol on Conflicts of Interest is adhered to and includes development of a required "management plan" for Dean's approval.

- Indicates concurrence with the proposal by signing the Proposal Processing Form.

- Transmits the proposal to the college dean.

3. Dean

- Reviews proposal for consistency with college mission, availability and commitment of college support services and resources, including time, space and finances.

- Assures all college obligations, as described or anticipated in the proposal, can be met.

- Indicates concurrence with the proposal by signing the Proposal Processing Form, Cost Share Agreement (if required) and F&A waiver request (if required).

- Reviews and acts on conflict of interest issues (if any noted) in conformance with University's Conflict of Interest Protocol.

- Transmits the proposal, and if required Conflict of Interest Management Plan, to the Research Division, Office for Sponsored Programs.

4. Grant Coordinator
- Assists project director/principal investigator with completion of sponsor's required application forms, budgetary details, Cost Share Agreement, etc.

- Confirms that appropriate documentation is included for use of consultants, collaborating institutions, subcontractors, cost share arrangements, VPR approved F&A waiver, etc.

- Reviews proposal format requirements and checks for general compliance.

- If needed, prints proposal and prepares, with necessary assistance from PI, the University's Proposal Processing Form. Provides special attention to documentation and/or verification of required signatures.

- Initiates proposal for internal reviews and institutional approval.

- Assists PI with submission of original proposal and required number of copies to sponsor.

5. Office of Sponsored Programs (OSP), or Certified Unit
- Provides review of technical proposal to confirm functional "Program" type conforms with scope of work.

- Reviews Proposal Processing Form for entries requiring attention or resolution.

- Reviews that associated necessary documents, e.g. Cost Share Agreement, F&A waiver, subcontractor proposal, etc. are attached.

- Checks status of any compliance protocol, if required.

- Confirm budget calculations are accurate and conform with University cost accounting standards, and that any necessary budget justification and/or internal budget sheet are provided.

- Determine whether review must include review or analysis of sponsor's program announcement or grant policies and if necessary follow through with any issue(s) for appropriate resolution.

- Obtain institutional signature authorization.

- Enter proposal into OSP database,

- Release proposal for submittal to sponsor by PI, or release under sponsor's e-grant protocol.

Approved: _____ Date _1/26/04_

Vice President for Research

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