

Research Policy

RP1 – Procedure for Submitting External Grant Proposals

(Effective Date: 02/01/2018)

A. POLICY

The Policy is based upon the following principles relating faculty, students, and other personnel to the University:

1. The recognition of Duquesne as the institution submitting proposals for external funding on behalf of its faculty and the organization responsible for oversight of such funding and compliance with all regulations.
2. A University environment that encourages faculty to seek external funding for their research and scholarship.
3. A desire to facilitate the support of all faculty seeking grant funding.
4. That the Office of Research is a limited resource that seeks to support all faculty without undue delay in processing.
5. The Office of Research staff need a minimum time to review proposals, proposal narratives, budgets, and compliance issues for all faculty proposals without regard to the amount of funding requested.

B. DEFINITIONS

Certain terms are used in this document with specific meanings, as defined in this section. These definitions may not necessarily conform to customary usage.

Request for Proposal (RFP) is the announcement by a governmental or non-governmental agency of a funding opportunity and includes the requirements for proposals for that opportunity. The RFP will typically provide background information, agency information, identify the agency Program Officer and contact information along with any specific requirements for proposals, PIs and their institutions.

Principal Investigator (PI) is the individual responsible for the proposal and is the individual designated as a contact point for the external funding agency. The Principal Investigator (PI) will be the individual responsible for the conduct of the research, finances and budget, and all reporting and compliance. Duquesne University requires that this individual must be a full-time faculty or staff member. This requirement does not extend to Co-PIs, or students who might be involved with a research project.

Proposal Approval Form (PAF) This is the form (previously known as the [Transmittal Form](#) – see [Appendix](#)) which must accompany a proposal. This form is used to declare specific compliance issues related to a proposal for external funding and to obtain approvals from the PI's Department Chair and Dean.

C. PROCEDURE

Notification Deadline

Principal Investigators intending to submit a proposal for external grant funding must contact the Office of Research **no less than two weeks in advance** of a submission deadline. The intent to submit may be in the form of a simple email to any member of the Office of Research staff. This will permit the Office of Research to:

1. Assign a Grants Officer who will work with the Principal Investigator and any Co-PIs on preparation and submission of the proposal.
2. Allow the Grants Officer time to read the Request for Proposal and determine any specific requirements related to that Request.
3. Assign help with budget preparation and any external consulting which might be required.
4. Establish a schedule for collection of any documents which may be required for submission of the proposal.

Failure to inform the Office of Research at least two weeks prior to a submission deadline may result in the proposal **not being submitted**.

Submission Deadline

All documents, support materials (including CV's if required), budgets, and approval forms must be submitted electronically to the Office of Research, **no less than three (3) working days prior to a submission deadline**. This will permit the Grants Officers to read the proposal for errors related to submission, review the budget for errors, and allow for corrections if necessary for uploaded documents.

Failure to submit all required documents at least 3 days prior to a deadline may result in the proposal **not being submitted**.

All documents and the Proposal Approval Form (PAF) must be submitted electronically. Paper documents will no longer be accepted (unless required by a funder). The Proposal Approval Form is included at the end of this policy and is also available at the Office of Research web site <http://duq.edu/research/sponsored-research/proposal-development>.

Internal ID #

RESEARCH PROPOSAL APPROVAL FORM

Proposals must be ready to submit a minimum of 3 days prior to the deadline.
This form must be submitted electronically.

Principal Investigator: _____ Phone Ext. _____

School/Department: _____ Proposal Deadline: _____

Project Title:

Sponsoring Agency/Organization: _____

Project Period: From _____ To _____ Total \$ Request: _____

Percent Effort of PI: _____% Co-PI Name: _____ Percent Effort: _____%

Co-PI Name: _____ Percent Effort: _____%

Does this project involve any of the following?

A "yes" answer to any of these questions may require further action by you prior to submission.

	YES	NO
1. Matching Funds (Pages in the proposal that outline the match)		
2. Cost Sharing (Pages in the proposal that outline the cost share)		
3. Are you requesting course buyout?		
4. Human Subjects		
5. Laboratory animals		
6. Recombinant DNA		
7. Radio Active Materials		
8. USDA/CDC Select Agents		
9. Is there a Conflict of Interest as described in TAP #45? (If yes, complete disclosure form TAP #45)		

Will the project continue after the funding period? Yes _____ No _____

If so, what will be the estimated cost to Duquesne University? \$ _____

Certification of Principal Investigator(s):

(1) I (We) certify that the information submitted within this application is true, complete and accurate to the best of my (our) knowledge.

(2) I am (We are) aware that any false, fictitious, or fraudulent statements or claims may subject the PI(s) to criminal, civil, or administrative penalties.

(3) I (We) agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of the application.

Signature of Principal Investigator: _____
Principal Investigator _____ Date _____

Reviewed and Approved: _____
Department Chairperson/Director _____ Date _____

THESE THREE
SIGNATURES
TO BE
OBTAINED BY PI

Dean/Associate Dean _____ Date _____

Grants Officer, Office of Research _____ Date _____