

The Administrative Policies

TAP NO. 44: RESEARCH PROPOSALS TO GOVERNMENTAL, CORPORATE, FOUNDATION AND PRIVATE SOURCES

Duquesne faculty members are expected to engage in the traditional scholarly pursuit of research. Moreover, all faculty members have a responsibility for the improvement of their own professional development as scholars at the University and are encouraged to seek outside support for their research and program development. Research proposals must be consistent with the goals and objectives of the University.

A. SUBMISSION OF PROPOSALS TO GOVERNMENTAL AGENCIES

Requests for proposals of faculty who are seeking external research grants from federal, state or local government agencies should be directed to the Office of Research. The Office administers and approves all pre- and post-award grant activities, including grant budgets. All proposals must be done in accordance with policies and procedures established by the University and must receive final approval from the Associate Academic Vice President for Research.

1. Protection from Research Risks

Duquesne University adheres to all federal regulations, policies, and guidelines for the conduct of safe, ethical research. Accordingly, the following University-wide Institutional Research Committees must approve and monitor certain research activities conducted by University personnel:

- a. Institutional Review Board for the Protection of Human Subjects (IRB): All research conducted at or sponsored by Duquesne University that involves human subjects must be approved by the IRB before the research begins and, when necessary, reviewed periodically during the course of the project (TAP #41, The Use of Human Subjects in Research).
- b. Institutional Animal Care and Use Committee (IACUC): All research conducted at or sponsored by Duquesne University that involves live vertebrate animals must be approved by the IACUC before the research begins.
- c. Institutional Biosafety Committee: All research conducted at Duquesne University that involves recombinant DNA molecules that are covered by federal regulations must be approved by this committee before the research begins.
- d. Radiation Safety: Research involving radioisotopes and other radioactive substances must be approved in advance by the Radiation Safety Committee, which also monitors radioactive waste containment and disposal.

2. Required Signatures and Approvals

The Office of Research provides an Internal Transmittal Form on which to collect approval signatures for all proposals. University policy requires that all proposals be approved by the Department Chair or Program Director, the Dean, the Grant Budget Administrator, and the Associate Academic Vice President for Research.

3. Cost Sharing and Matching Funds

If an application requires matching funds or a University cost share, the terms of the agreement must be documented in writing and approved by the Principal Investigator's Department Chair, Dean, Associate Academic Vice President for Research or Provost in advance.

4. Conflict of Interest

Duquesne University TAP #45, Conflict of Interest in Grants and Sponsored Research Projects, sets forth procedures and guidelines to be followed in resolving actual and potential grant applicant's conflicts of financial interests pertaining to grants and sponsored research projects. To comply with this administrative policy, the conflict of interest section on the required internal form must be completed and the form signed by the Principal Investigator for all proposals sent to government agencies.

5. Personnel

All personnel requests must be in compliance with the sponsoring agency, Duquesne University policy, and Internal Revenue Service regulations. Allowable stipends for Principal Investigator or other exempt or non-exempt University personnel may be restricted and subject to certain conditions.

6. Principal Investigator's Responsibilities

Duquesne University is the official recipient of all grants and is, therefore, legally accountable to the sponsor. The Principal Investigator or Project Director is responsible for the proper fiscal management and conduct of the project, and complying with all terms, conditions, legal requirements, and University policies. For the employment of Research Associates (postdoctoral fellows) or other salaried personnel funded by research grants, a contractual agreement signed by the respective Dean is required.

In addition, the Principal Investigator must ensure that all project members are familiar with and abide by the intellectual property and publication clauses of the grant. Inventions and copyrightable material produced under sponsored projects must be governed by the specific terms of the award received from the sponsor and must be handled in accordance with University policy.

The Principal Investigator is responsible for the timely submittal of a final project report, if required by the funding source or agency. A copy of the report should be submitted to the Office of Research and the Office of Corporate and Foundation Relations, respectively.

7. Official Notification of Award

Principal Investigators receiving notice of a grant award are required to notify the Office of Research. The Office administers all grant budgets, assists with preparation of required reports and final close-out activities, and implements approved changes in budgets, project period, etc. Notices of acceptance or rejection may be received by the Principal Investigator directly, or the Office of Research, the President or the Provost; therefore, it is critical that Principal Investigators take the initiative to contact the Office of Research when a notice has been received.

8. Opening and Closing a University Account

Upon receiving official notification that funding has been secured, the Office of Research will secure a University account with line item budget categories matching the budget approved by the granting agency. The Office of Research will inform appropriate members of the University community, via an award letter, that an account has been activated and provide the name of the authorized signer(s), usually the Principal Investigator(s), on this account.

9. Budget Monitoring and Revisions

Research Accounting administers, monitors, and approves all changes to budgets or project periods for grants awards. On-line password protected access to grant budgets is available to Principal Investigators via the Banner G/L system. During the period of performance, the Office of Research will provide financial and administrative assistance to the Principal Investigator and will be responsible for the submission of all financial and administrative reports to all interested parties.

10. Grant Overhead Sharing

- a. Overhead on Research Grants in Excess of \$10,000 Thirty-three percent (33%) of the Facilities and Administrative Costs (F&A Costs; “grant overhead”) will be returned to the School of the Principal Investigator. All funds will be administered by the Dean of the School or College. The Dean will be responsible for developing a procedure for allocating such funds within the School. All funds must be used in support or development of further research. Thirty-three percent (33%) of the Facilities and Administrative Costs (F&A Costs; “grant overhead”) will be returned to the Provost for discretionary use in support of faculty start-up funding, research and scholarship.
- b. Overhead on Research Grants of \$10,000 or Less All F&A costs will be made fully available to the originating College or School. Funds must be used to support additional research or to supplement the funds awarded to the proposal author.
- c. Implementation The Office of Research administers F&A Costs received and transfers the appropriate share to restricted School accounts quarterly.

B. SUBMISSION OF PROPOSALS TO FOUNDATIONS, CORPORATE OR PRIVATE SOURCES

Requests for proposals to foundations, corporate or private sources should be directed to the Office of Corporate and Foundation Relations for assistance. The Office of Research may also assist faculty in preparing and submitting proposals to these organizations; however, all such requests must be approved in advance by the Office of Corporate and Foundation Relations, which has the responsibility for assuring that all such requests reflect the University’s priorities (TAP #35, University Advancement), conform to TAP #45, Conflicts of Interest in Grants and Sponsored Research Projects, Duquesne University personnel policies and Internal Revenue Service regulations.

REV 3/2014

[Download pdf version \(http://www.duq.edu/assets/Documents/shared/shared_hr/_pdf/admin-policies/TAP_44_revised_3-14.pdf\)](http://www.duq.edu/assets/Documents/shared/shared_hr/_pdf/admin-policies/TAP_44_revised_3-14.pdf)