



## RESEARCH POLICY 1 (RP-1)

### PROCEDURE FOR SUBMITTING EXTERNAL SPONSORED GRANTS AND AWARDS

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#### 1. Policy Scope

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This Research Policy provides guidelines for submitting proposals for external sponsored grants and awards. It is applicable to any proposal submitted by Duquesne through the Office of Research and Innovation, including all proposals submitted to federal, state, and local government agencies.

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#### 2. Policy Statement

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This Research Policy is based upon the following principles for faculty, students, and staff at Duquesne University:

1. Duquesne University is the institution submitting proposals for external funding on behalf of its faculty, students, and staff, and is responsible for oversight of such funding and compliance with all regulations.
2. The faculty or staff member submitting a proposal for external funding is also responsible for oversight of such funding and compliance with all regulations. Student applicants, while responsible for their research/scientific conduct and awarded activity content, must have a faculty mentor serve as a PI on a project to provide responsible oversight of funding and compliance regulations.
3. Duquesne University encourages faculty, students, and staff to seek external funding for their research, scholarship, or other activities, and requires budget for overhead costs, as allowed.
4. The Office of Research and Innovation supports all faculty, students, and staff submitting proposals for external funding.
5. The Office of Research and Innovation requires a Proposal Approval Form (PAF) for all proposals for external funding regardless of the amount of funding requested. The PAF must be submitted **three (3) weeks** prior to the submission deadline.
6. The Office of Research and Innovation requires faculty, students, and staff to submit all proposal materials **five (5) business days in advance** of the submission deadline to allow for thorough review of all documentation and attachments prior to submission.

All submissions must be compliant with the University, grantor, and federal compliance guidelines.

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#### 3. Definition of Terms

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

<b>Grants Officer</b>	A staff member in the Office of Research and Innovation who assists in developing and submitting proposals to funding agencies.
<b>Biographical Sketch or Biosketch</b>	Documents an individual's qualifications and experience for a specific role in a project.
<b>Principal Investigator (PI) or Project Director (PD)</b>	The faculty, student, or staff member who is designated as the contact point for the sponsoring entity and who is responsible for all conduct under the award, finances and budget, and all reporting and compliance.
<b>Proposal Approval Form (PAF)</b>	Document used to declare specific compliance issues related to a proposal for external funding and to obtain approvals from the administrators having supervisory responsibility for the employee. This form must be completed, signed by all required parties, and submitted to the Office of Research and Innovation prior to submitting the proposal.
<b>Request for Proposal (RFP) or Funding Opportunity Announcement (FOA)</b>	Announcement by a sponsoring entity of a funding opportunity including the requirements for proposals for that opportunity. The RFP or FOA typically provides information regarding eligibility, sponsoring entity requirements, contact information for program officers, and specific requirements for the proposal, the PI/PD, and their institution.
<b>University</b>	Duquesne University

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#### 4. Procedures

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##### Notification Deadline

PI/PDs intending to submit a proposal for external funding must contact the Office of Research and Innovation to notify the Office of their intent to submit a proposal and to submit a PAF by the deadlines established in this Research Policy. The intent to submit may be in the form of a simple email to any member of the Office of Research and Innovation staff. This will permit the Office of Research and Innovation staff to:

1. Assign a Grants Officer who will work with the PI/PD on preparation and submission of the proposal.

2. Allow the Grants Officer time to read the RFP or FOA and determine any specific requirements related to that request.
3. Assist with budget preparation and any external contracts 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 and Innovation at least **three (3) weeks** prior to a submission deadline may result in the proposal **not being submitted**.

### Submission Deadline

All documents, supporting materials (including CVs or Biosketches, if required), budgets, and approval forms must be submitted to the Office of Research and Innovation, no less than **five (5) business days** prior to a submission deadline. This will permit the Grants Officer time to read the proposal for mistakes related to submission, review the budget for errors, and allow for corrections if necessary.

Failure to submit all required documents at least **five (5) working days** prior to a deadline may result in the proposal **not being submitted**.

## 5. Exceptions

Exceptions to this Research policy and procedures require approval from the Vice Provost for Research and normally will be made with the agreement of the administrators having supervisory responsibility for the employee. Any exceptions must be in full accordance with the regulations of the sponsoring entity.

## 6. Related Documents

This Research Policy works in conjunction with the following Research and University Policies, which are fully applicable. To the extent there is any conflict between this Research Policy and any of the Research or University Policies listed below, the University retains the sole discretion to determine which takes precedent.

Research Policy	Title	Web Address
RP-2	The Use of Human Subjects in Research	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-3	Effort Reporting on Sponsored Grants and Awards	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>

RP-4	Governmental, Corporate, Foundation and Privately Sponsored Grants and Awards	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-5	Intellectual Property	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-6	Research Integrity	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-7	Conflicts of Interest in Sponsored Grants and Awards	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
RP-8	Research Agreements and Private Business Use	<a href="https://www.duq.edu/research/research-conduct">https://www.duq.edu/research/research-conduct</a>
TAP-33	Conflict of Interest	<a href="https://www.duq.edu/work-at-du/human-resources-home/the-administrative-policies-(taps)/33-conflict-of-interest">https://www.duq.edu/work-at-du/human-resources-home/the-administrative-policies-(taps)/33-conflict-of-interest</a>
RP-9	Participation in Commercial Entities	<a href="https://www.duq.edu/work-at-du/human-resources-home/the-administrative-policies-(taps)/46-commercial-entities%E2%80%94faculty-staff-and-student-participation">https://www.duq.edu/work-at-du/human-resources-home/the-administrative-policies-(taps)/46-commercial-entities%E2%80%94faculty-staff-and-student-participation</a>

## 6. Contacts

Office	Telephone Number	Email Address and/or URL
Office of Research and Innovation	412-396-6326	duq.edu/research <a href="mailto:ORI@duq.edu">ORI@duq.edu</a>

Web Address for this Research Policy: <https://www.duq.edu/research/research-conduct>

## 7. Effective Date and Revision History

This Research Policy is subject to periodic review and update by the Office of the Provost and the Vice Provost for Research.

09/12/22 (Previous revision was dated 02/18)