

80.2 Research Proposal Submission

Policy Name: RESEARCH PROPOSAL SUBMISSION
Approval Authority: PROVOST AND ACADEMIC VICE PRESIDENT
Responsible Executive: EXECUTIVE DIRECTOR OF THE OFFICE OF SPONSORED RESEARCH
Responsible Office: OFFICE OF SPONSORED RESEARCH
Effective Date: 6 October 2008

1. Policy Statement

This policy describes the circumstances that apply to the submission of proposals to potential sponsors, as well as who may serve as a Principal Investigator. This policy applies to all faculty and staff of the Institute.

2. Reason/Purpose for the Policy

Instruction, academic research and public service at Stevens are considered the three integral, core missions that benefit the local and national communities of which the Institute is a part. In order to further these missions, our faculty and research staff is encouraged to actively seek externally funded research opportunities.

3. Policy Applies To

This policy applies to all proposals submitted by Stevens' faculty and staff to secure funding for sponsored projects, including other organizations from which Stevens would be receiving a subcontract as the result of federal, or non-federal, flow-through.

4. Contacts

Office of Sponsored Research

5. The Policy

Authority to submit

Proposals for externally funded projects (i.e., grants or contracts) must be submitted by SIT's Office of Sponsored Research [OSR] on behalf of an eligible Principal Investigator. Neither an individual PI nor other campus units/offices have authority to negotiate, or submit a proposal on behalf of SIT outside the process described herein. Proposals that are funded without proper OSR review and necessary approvals could be declined.

Timeline of Activities Prior to Sponsor Deadline

NOTE: Effective September 2008, all proposals must be initially routed through the [Faculty Support Center \(FSC\)](#) and PIs are required to notify the FSC of pending proposal activity by logging into the [Proposal Management System](#). This gives FSC time to ensure adequate staffing is in place to accommodate deadlines. The Stevens [Proposal Routing Form](#) should accompany every proposal to FSC. All proposals should be submitted to FSC five (5) working days before the deadline.

Because OSR has sole responsibility to submit proposals for externally sponsored projects, PI's need to ensure adequate time is provided to that office in order to review the proposal for acceptable budgetary

presentation, possible export control issues, implications of potential intellectual property, conformance to sponsor guidelines, and the presence of institutional commitments such as cost-share or other items. Additionally, thought should be given to the fact that sponsor's electronic submission portals may not be reliable because of submission overload or be running slower than normal. An agency's deadline is not a reflection of the institutional deadline for submitting proposals. Proposals that contain proprietary information or potentially disclose intellectual property should contact the Office of Academic Entrepreneurship to obtain guidelines and approval. The FINAL version of all materials must be received by OSR from the FSC at least (3) days before the agency deadline.

Authorized to serve as Principal Investigator [PI] or Co-Principal Investigator [Co-PI]

Once the award is received by the institution, the PI is responsible for proper performance, fiscal management, and ensuring that the sponsor's guidelines are followed. Reflecting this level of responsibility, the following individuals are authorized by SIT to be PI's or co-PIs on sponsored projects:

- Tenure or Tenure-track faculty (Professor, Associate Professor, Assistant Professor, and Instructor)
- Research faculty (Research Professor, Research Associate Professor, and Research Assistant Professor)
- Any other Stevens employee , provided they have written authorization from their department supervisor or Dean

Awarded Proposals

Proposals to sponsor agencies are submitted by SIT on behalf of a PI. Awards are not made to individual PIs, but rather to the institution. Upon notification that an award has been issued based on a submitted proposal, an OSR representative will review the documentation and submit to the ED to sign on behalf of the institution. Only the ED has the authority to legally bind SIT to the terms and conditions of the award and by signing, the award becomes legally binding between the sponsor and SIT.