I. General Proposal Procedures and Guidelines

The appropriate chairperson, academic unit head or center director along with the director of sponsored research must review and endorse all proposals submitted on behalf of IIT campuses, colleges, departments, centers and individual faculty and staff for sponsored research, education or other projects to all government agencies, foundations or corporations, either directly or indirectly via subcontracts with other institutions. Under no circumstances is a proposal to be submitted without the signature of the director of sponsored research or a designated representative of this person.

In addition, every proposal must be accompanied by the form entitled Request for Review and Approval of Proposal, also referred to as the proposal routing form. The proposal routing form must be completed and signed by the department chair, academic unit head or center director, as applicable. The Office of Sponsored Research and Programs (“Sponsored Research”) provides the final signatory. These signatures are necessary to assure that all proposal commitments are acknowledged by those responsible for securing them and that those commitments conform to IIT academic and fiscal regulations and policies as well as to sponsor requirements.

After the appropriate individuals have endorsed the proposal routing form, Sponsored Research will process the proposal in accordance with IIT policies and procedures and sponsor requirements. This includes endorsement, duplication, binding and mailing to assure receipt or postmark by the deadline date. A copy of the proposal will be distributed to the principal investigator and any co-principal investigators, and a copy of notification of proposal submission is sent to the chair, academic unit head or center director and the dean of the Graduate College. At the principal investigator’s request, a limited number of additional copies may be made available for distribution to other key people.

The principal investigator has the responsibility for informing the Sponsored Research as soon as possible about his or her intent to submit a proposal and providing a draft budget for review along with any other administrative documents and sponsor guidelines. If there are cost-sharing requirements or if the principal investigator has reason to recommend that cost-sharing or matching funds be committed to enhance the proposal’s competitiveness, the principal investigator has the responsibility to gain the prior consent of the chair, academic unit head or center director and the dean of the Graduate College therefore. Commitment of IIT resources such as facilities, personnel and/or funds must be obtained before submitting a budget to the Sponsored Research, and an account numbers for cost-sharing must be listed on the routing sheet.
All signatories to the proposal routing form have the responsibility to identify any possible conflict of interest or overlapping commitment with existing sponsors, programs, collaborations or the like that may be contemplated or developed by others at IIT and directed to the same solicitation or sponsor. If such conflicts or overlapping commitments are identified, the respective chair, academic unit head or center director, dean of the Graduate College, director of Sponsored Research and any other affected IIT entity will review the matter. A suitable resolution will be coordinated through Sponsored Research.

The principal investigator has the responsibility to inform Sponsored Research of any proposal subcontractors to IIT, or in the role of IIT as a subcontractor to another institution, so that early contact can be established with the collaborating institution to obtain their commitment or provide them with our commitment, as appropriate, prior to the submittal of a proposal to the sponsor.

Sponsored Research has the responsibility for reviewing the budget to assure compliance with IIT and sponsor policies and requirements, including the use of approved fringe benefit and indirect cost rates. Sponsored Research also has responsibility to prepare and execute any representations, certifications and other administrative documentation that may be required as part of the proposal submission and to review any terms and conditions that may be offered for consideration by the sponsor as part of the solicitation. Any exceptions to the terms and conditions will be specifically identified in the proposal, as well as suggestions for alternate language that can be offered to the sponsor.

Completed proposals ready for copying are to be submitted to Sponsored Research no later than the close of business three business days prior to a proposal deadline in order to allow careful review of the proposal, including budget, assurance of compliance with sponsor requirements and the signature of Sponsored Research; however, completed proposals which required electronic submission must be submitted to the Sponsored Research no later than close of business two (2) business days prior to the agency deadline. In the case of complex proposals (e.g., those with multi-task, multi-year budgets; contracts requiring review; proposals involve multiple institutions), the principal investigator must provide sufficient lead-time (minimum of 10 business days) for the preparation of such proposals. The principal investigator is responsible for any unusually large or extraordinary expenses that may result from special publication or mailing, elaborate finding or same-day express mail delivery exceeding $100. Administrative portions of ALL proposals must be finalized a MINIMUM of five (5) business days before the agency deadline.

Proposals for research are expected to contribute to the educational mission of IIT by including provisions for the support of graduate students. This support should include stipend and tuition.

Cost-sharing and/or matching may be considered on a case-by-case basis if the technical objectives are aligned with IIT’s interest and capabilities, if the sponsor requires it or if it enhances the prospect for securing funding from the sponsor. Cost-sharing may be proposed in various ways: in-kind contributions such as salary...
and associate benefits, funds for equipment purchases or a reduced indirect cost rate to meet sponsor’s limitations. Cost-sharing or matching commitments may be shared among the appropriate departments, centers, colleges and the Graduate College, with such commitments stated explicitly on the proposal routing form, along with the anticipated account to be used to meet this obligation. These commitments must be agreed to prior to submission of the proposal.

Proposals that involve the use of human subjects, animal subjects or select agents, are to be preceded by an application to the respective IIT compliance committees: the Institutional Review Board on Human Subjects, the Institutional Animal Care and Use Committee and the Institutional Biosafety Committee. The Office of Research Compliance and Proposal Development oversees these committees. The principal investigator is responsible for assuring that sufficient time is provided for submitting all documentation to ensure regulatory compliance is in place, convening an application review meeting and resolving any issues related to the use of human subjects, animal subjects or select agents prior to the submittal of a proposal.

The principal investigator is responsible for notifying Sponsored Research at the time a proposal is contemplated regarding the inclusion of any proprietary information related to an existing invention disclosure or patent application or a planned disclosure. Sponsored Research will assure that the appropriate safeguards are included in the proposal in the form of notices to the sponsor regarding the inclusion of proprietary information. In the case of proposals to federal agencies, specifically worded language must be included on the cover page to properly protect such proprietary information. Failure to include such notices may compromise the extent to which patent protection can be obtained.

The principal investigator is responsible for avoiding any conflicts of interests (as defined by the then-current IIT conflict of interest policy) and for bringing cases of potential conflict of interest to the attention of the General Counsel, Sponsored Research and any other appropriate IIT departments, centers and academic units so that any related issues can be resolved prior to submission of a proposal.

II. Pre-Proposals

Pre-proposals, preliminary applications or white papers may be requested or entertained by a sponsor in order to provide the principal investigator with an early indication of whether the concept to be proposed fits the sponsor’s interest and resources and is likely to merit consideration. Pre-proposals formally submitted to sponsors that require budgets and that commit institutional resources must follow the same procedures as full proposals (i.e., submission to Sponsored Research for review and endorsement).

III. Modifications to Proposals Already Submitted

All modifications to proposals, including budget revisions, institutional commitments, changes in key personnel and other critical factors must be reviewed and approved in the same way as new proposals.
IV. Joint Proposals with Other Institutions

Proposals involving other institutions must adhere to the same procedures as stated above and follow these principles:

A. The principal investigator must be a full-time member of the IIT faculty, and the face page and text should so indicate.

B. All personnel associated with the proposed project should be clearly identified with respect to institutional affiliation in all parts of the proposal submitted to the sponsor, including the face page, work plan, description of the project organization and the budget. There should be no ambiguity concerning the affiliation of personnel cited in the proposal.

C. The budget should detail the amounts to be spent at IIT. In the case of IIT as the lead institution, the total amount to be subcontracted to the cooperating institution(s) should be stated and backed up by separate budget detail supplied by the other institution(s). (Note, the subcontract budget should include direct and indirect costs.) In the case of IIT as the subcontracting institution, the approved budget is provided to the lead institution, consistent with sponsor and IIT policies and requirements. Appropriate indirect cost must be included on the submission.

D. In the case of IIT as the lead institution, an official authorized to commit the cooperating institution must sign its proposed budget and provide it to IIT via a cover letter or subcontract proposal. In the letter, the cooperating institution must agree to provide the resources necessary to accomplish the work and to comply with sponsor requirements.

E. The cooperating institution must identify a principal investigator who will be responsible for the conduct of the project at the cooperating institution.

F. In the case of other institutions with which the principal investigator or other IIT faculty or staff may have an ownership position, the principal investigator is required to disclose such information and affirm that there is no conflict of interest or address how any potential or perceived conflict of interest will be avoided in an acceptable fashion.

G. IITRI, as a separate corporation from IIT, shall be handled as a subcontracting arrangement subject to these principles.

V. Compliance

Sponsored Research has the right to refuse to sign off on proposals that fail to comport with the above policies and procedures.