
I. General Proposal Procedures and Guidelines

The appropriate chairperson, academic unit head or institute director along with the academic dean and director of the Office of Sponsored Research (“OSRP”) must review and endorse all proposals to be submitted on behalf of any IIT campuses, colleges, departments, institutes and/or individual faculty and staff. This review and endorsement must occur prior to the submission of any such proposal. This prior review and endorsement requirement applies to all proposals for sponsored research, education-related projects and/or other academic or scientific programs, regardless of whether the submission is (i) to a government agency, foundation, institution of higher education, research institute or corporation, or (ii) intended as a prime proposal made directly to such entity or indirectly via a subcontract with another institution. Under no circumstances is a proposal to be submitted to an outside entity without the signature of the director of OSRP or a designated representative of this person.

In addition, every proposal must be accompanied by a Cayuse SP record (also referred to as the proposal routing form). This record must be certified by the lead principal investigator, principal investigators and other key personnel as applicable. The Cayuse SP record must also be approved and submitted by the department chair, academic unit head or institute director, as applicable, and academic dean. OSRP 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, OSRP will process the proposal in accordance with IIT policies and procedures and sponsor requirements. This includes endorsement, duplication, binding and mailing or electronic submission to assure receipt or postmark by the deadline date. A copy of the proposal will also be uploaded into the Cayuse system.

The principal investigator has the responsibility for informing OSRP 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 the principal investigator has the responsibility to gain the prior consent of the chair, academic unit head or institute director and the dean of the appropriate college via the Cayuse SP record. Commitment of IIT resources such as facilities, personnel and/or funds must be obtained before submitting a budget to OSRP, and 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, Vice Provost for Research, director of OSRP and any other affected IIT entity will review the matter. A suitable resolution will be coordinated through OSRP.

The principal investigator has the responsibility to inform OSRP 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.

OSRP 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. OSRP also has the 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.

To guarantee submission, completed proposals (regardless of the submission method) are to be submitted to OSRP no later than the close of business two (2) business days prior to the agency deadline in order to allow careful review of the proposal, including budget, assurance of compliance with sponsor requirements and the signature of OSRP. 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 to OSRP the completed proposal (regardless of the submission method) no later than five (5) business days prior to 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.

Whenever possible, cost sharing should be limited only to those situations where it is mandated by a sponsor. 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.

Additional information regarding cost sharing can be found in IIT's cost sharing policy (GCA 701). Cost-sharing or matching commitments may be shared among the appropriate departments, centers, and/or colleges 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/or 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 OSRP 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. OSRP will assure that the appropriate safeguards are included in the proposal in the form of notices to the sponsor regarding the inclusion of such proprietary information. In the case of proposals to federal agencies, specifically worded language will be included on the cover page and within the proposal 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 disclosing cases of potential conflict of interest to the attention of the General Counsel, OSRP and any other appropriate IIT departments, centers and academic units so that any related issues can be resolved prior to submission of a proposal. At a minimum, all investigators and senior/key personnel (as such terms are defined in IIT's Investigator Conflict of Interest and Conflict of Commitment Policy (Procedure No.P-2) (the "Conflicts Policy")) associated with a proposal must have completed and submitted their respective disclosure forms as and in accordance with the Conflicts Policy. OSRP will not submit any proposal in the event any such individual has not submitted his or her disclosure forms.

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 OSRP and the other individuals referenced herein) for review and endorsement). However, a Cayuse record will not be required for pre-proposals that do not require a budget.

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 is the financial expression of the scope of work on the project. 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, subcontract proposal and any other documents required by sponsor or regulatory agencies. 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 joint proposals involving one or more other entities with which the principal investigator or other IIT faculty or staff may have a significant financial interest, as defined in the Conflicts Policy, the principal investigator is required to ensure that such interest has been disclosed as and in accordance with the Conflicts Policy 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. OSRP may contact the Office of General Counsel for assistance as needed.
- G. IITRI, as a separate corporation from IIT, shall be handled as a subcontracting arrangement subject to these principles.

V. Compliance

OSRP, acting through its director or a designated representative thereof, reserves the right to refuse to submit on proposals that fail to comply with the above policies and procedures.