OBTAINING COLLEGE AUTHORIZATION FOR THE SUBMISSION OF SPONSORED PROGRAM APPLICATIONS

Many Loyola faculty members seek external funding for research, service, and education projects, bringing vibrancy to their professional lives and classrooms. At the heart of this scholarship is Loyola's strong respect for and commitment to academic freedom. Because academic freedom is a fundamental value, the Faculty Handbook states: "Loyola College, as an institution, and every one of its officers, instructional or administrative, is committed to upholding and promoting academic freedom." Through encouraging rich scholarly pursuit in an environment of academic freedom, Loyola enhances academic excellence and enriches the learning experience for students.

External funding agencies usually award funds to institutions rather than individual investigators, meaning that the College is ultimately responsible for the conduct of the project. Funding agencies require the College to complete the project as described in the proposal and/or award documents in accordance with all applicable regulations. Because of this**, proposals must follow Loyola's routing procedure before being sent to a prospective funding agency**. For detailed information, see the appropriate topic below.

Who Can Submit a Grant on Behalf of Loyola College?

All full-time contractual faculty members may submit proposals to funding agencies on behalf of Loyola College. Many programs limit eligibility (for example to junior faculty who have not yet received tenure, etc.), therefore, program guidelines should always be reviewed to ensure eligibility for a program.

Adjunct faculty who are interested in submitting a proposal on behalf of Loyola College must work with a Loyola faculty member who has full-time contractual status and agrees to serve as the Principal Investigator (PI) for a prospective award. The adjunct would be the Co-Principal Investigator (Co-PI) for the project. The OGS should be contacted at the early stages of proposal development so that they can provide more information on this arrangement.

What Is the Routing Process?

Routing is the process by which the faculty member submitting an application (the PI) circulates the application, budget and any addenda as required by the funding agency with a cover (routing) form to his or her Department Chair, Dean, and other Loyola administrators. This process provides a streamlined and efficient method to facilitate the review of the proposed project and authorizes the PI to submit the application.

Routing a proposal ensures that:

1. Loyola's academic administration is aware of the project and agrees to administer the award if received;
2. Institutional commitments are planned for and can be met upon award;
3. Costs included in the budget are chargeable and calculated according to Loyola and sponsor policy (such as fringe benefits, indirect costs, etc.);

4. Institutional information is accurate (e.g. appropriate authorized representatives have signed, etc.);
5. All space and facility needs can be accommodated upon award;
6. Conflict of interest or ethical concerns are addressed;
7. Human and animal subjects issues are addressed; and
8. Multiple applications are not submitted if agency rules prohibit more than one institutional submission per funding cycle.

When Must a Proposal Be Routed?

If a proposal will result in a contract, grant, cooperative agreement, or fellowship to the College upon award, then it must be routed before being submitted to a funding agency. Additionally, a proposal that meets any of the following conditions must be routed:

1. The project involves Loyola faculty, administration, staff or students, either as research subjects or as program participants;
2. The project uses any Loyola College facilities;
3. The Loyola Disbursements Office is expected to manage project funds;
4. Loyola College is expected to provide any cost-sharing, matching funds or cash outlay; absorb or waive indirect costs; and/or provide release time or authorize course overloads;
5. Loyola College will be associated publicly with the project in any way;
6. The proposal requests support for equipment, computers, library acquisitions, student-support, workshops, the development of curricular materials or other instructional devices;
7. The project involves the use of animals;
8. The project involves faculty, administration, staff or students with federal, state, private business or non-profit organizations; and
9. The proposal seeks support to acquire books, manuscripts, or objects of art, or to sponsor an academic, musical, cultural or artistic event.

What Does Not Require Routing?

Proposals that will result in private agreements or awards that require no institutional resources and when the award is to an individual rather than to the institution do not require routing. In general, this includes:

1. Book contracts;
2. Submissions to scholarly journals or other publications; and
3. Fellowships that are awarded directly to the applicant and do not require release time or other institutional resources.

Nevertheless, faculty members are encouraged to advise their Department Chair and Dean of any of the activities listed above and must follow approved Loyola policies found in the Faculty Handbook and elsewhere. Moreover, notifying the OGS provides an opportunity for the faculty member's efforts to be acknowledged in external and/or internal publications.

What About Letters of Inquiry?

Funding organizations sometimes require applicants to submit a letter of inquiry prior to accepting a full proposal. The letter provides an overview of the proposed project so that the prospective funder can evaluate whether the project fits with the organization's funding interests. Letters of inquiry and the proposed projects they describe typically include institutional commitments such as course release time, additional campus space, or matching cash or in-kind contributions (transportation, etc.). Prior to submitting a letter of inquiry, the PI should:

1. Discuss the proposed project and any possible institutional commitments with his/her Department Chair and Dean;
2. Discuss the funding source to which the letter will be written with the OGS. This will allow the OGS to determine whether or not the letter should be routed. The process will also bring your project to the attention of the OGS so it may search for other potential funding sources.
3. Note that if the letter of inquiry requires an authorized signature, it must be routed.

Seeking Funds From Private, Non-Government Funding Sources

Plans to submit a proposal to a private funding source (a non-governmental agency such as a corporation, foundation, or individual) need to be discussed with the OGS who will communicate with the Capital Program Office. Faculty members interested in private funding sources should alert the OGS well in advance of proposal deadlines so that solicitation efforts for individual faculty research projects and institutional projects may be coordinated. Proposals and other support requests submitted to an individual, corporation, foundation or other private organization also must be cleared with the Capital Programs Office. The OGS works closely with the Capital Programs Office.

The Routing Process

Routing requires the faculty member to complete several steps before submitting the proposal for signature. The OGS recommends that proposals be submitted two weeks prior to the receipt deadline to ensure that adequate time is available for the appropriate Dean(s) and College Authorizing Official to review the material. However, the minimum time necessary to route an application is **five working days** prior to the receipt deadline. The following outlines each step in the process.

Step One (To Be Completed by the PI)

The PI should meet with his/her Department Chair and Dean during the preliminary stages of proposal development. These meetings should provide some indication of a department's and the College's ability and willingness to meet the programmatic and financial requirements of the proposed project. Issues regarding time, course coverage, leave and facilities needed to complete the grant should be discussed before the proposal is fully developed.

Step Two (To Be Completed by the PI)

When the application nears submission, faculty should complete a routing form. The form can be accessed on-line at (http://www.lovola.edu/dept/sponsoredresearch/ROUTING.HTML). Copies are also available from the OGS (Humanities 165). If the form is not completed using the online version, it must be typed.

Step Three (To Be Completed by the PI)

The PI obtains the signature of his/her Department Chair and submits it to the OGS with along the guidelines, complete proposal, and any other forms requiring institutional signatures (usually a cover page). If the Department Chair is the PI, then he/she should sign the routing form as both Department Chair and the PI. The Chair's signature confirms that he/she is aware of and accepts responsibility to fulfill any institutional commitments made in the proposal (i.e. provide leave time, facilities, etc.).

Step Four (To Be Completed by the OGS)

The OGS reviews the application and budget to assure that both adhere to sponsor guidelines and institutional practices, making any adjustments that may need to be made in consultation with the

PI.

Step Five (To Be Completed by the OGS)

After the OGS completes its portion of the routing form, it sends the form to the appropriate Dean for review and signature. The OGS also facilitates further communication between the Dean and the PI, should it be needed.

Step Six (To Be Completed by the OGS)

After the Dean reviews and signs the routing form, the OGS completes the process by obtaining the signature of the Vice President for Development and College Relations, who serves as the College's Authorizing Official. If he is unavailable for signature, the Vice President for Academic Affairs also is authorized to sign the routing form.

Meeting the five working day deadline will provide sufficient time for the OGS to obtain the required signatures, copy and mail the proposal for the PI. If a proposal is received less than five working days prior to a submission deadline, the OGS will work jointly with the PI to try to ensure that the proposal is received by the funding agency deadline.

The PI receives a copy of the completed routing form and the original is kept on file in the OGS.