Roles and Responsibilities

Electronic Routing via Banner
Instructions on how to approve a proposal in Banner

**Principal Investigator (PI)**
The PI is responsible for the overall development and content of the proposal; may delegate aspects of preparation to administrative and scientific staff, but remains ultimately responsible for all aspects of the proposal as submitted.

- Reviews sponsor requirements—both standard and non-standard
- Develops the scope of work and determines the resources necessary to complete the project
- Prepares the budget and justification in collaboration with the Office of Sponsored Programs, Contract Administrator or Contract and Grant Coordinator, including confirming allowable budgeted items and verifying time/effort commitments, salaries, salary caps, and rates (fringe benefits, F&A), tuition, cost sharing; etc.
- Communicate with OSP as early as possible during budget preparation regarding preparation of Small Business Subcontracting Plan, if required.
- Consults with the Department/Dean/Center Director regarding the use of space and personnel, cost sharing, international activities and other key issues, as needed.
- Secures all university commitments required for proposal. This includes Human and Animal subject protocol(s) or any other institute approval, i.e. biohazards, radioactivity, export controls, Foundation Relations, Fabricated Equipment approval and Subaward.
- Complies with all state and federal regulatory requirements.
- Completes Conflict of Interest information requests and submits Disclosure, if required; ensures all other Senior/Key Persons do the same.
- Complete required RCR training, if required; ensures all other personnel do the same.
- Provides ready to submit proposal to OSP representative in accordance with established policies and procedures.

**Office of Sponsored Programs (OSP)**
The Office of Sponsored Programs (OSP) prepares the budget, reviews the proposal, advises, provides institutional endorsement, and submits proposals.

- Oversees the routing and review within OSP
- Prepare the budget and supporting documentation for compliance with sponsor solicitation, federal and UAH policies, and reviews the proposal.
- Notifies the PI or designees of any changes required to make the proposal compliant
- Works with the PI and research staff in preparing the Small Business Subcontracting Plan, if required.
- Prepares and executes Non-disclosure Agreements (NDAs), Memorandum(a) of Understanding (MOUs), Teaming and Collaboration Agreements (consulting with other UAH offices as appropriate), if necessary.
- Drafts the response to anticipated sponsor terms or drafts the proposed agreement, as appropriate
- Ensures proper institutional sign-offs on proposals and financial commitments, such as F&A and university cost sharing
• Prepares supporting documents for proposal, including the transmittal letter, certifications, and response to terms and conditions, if necessary
• Submits proposals if not otherwise dictated by Sponsor solicitation (e.g. PI submittal via Sponsor Website)
• Notifies the PI when the proposal is ready for electronic routing.
• Logs and enters proposal data in the OSP database.
• Provide the PI with a copy of the agency’s acknowledgement of receipt and acceptance of proposal, if applicable.

**Deans, Center Directors, and/or Department Chairs**
The PI’s respective Dean, Department Chair and/or Center Director, review the proposal, advice and approves proposals.

• Review requests for space and other resource commitments, such as cost sharing required by the proposal.
• Approve university committed resources.
• Assures PI status
• Reviews Conflict of Interest Disclosure
• Approval proposal via electronic routing (Internal Coordination Sheet (ICS)).