

OSRP Handbook - Section 10

Responsibilities of PI, Department Chair, and Dean

As each budget cycle begins with a multi-year grant or when a yearly contract is renewed, the PI must file a new routing form and Routing Form Supplement with OSRP. This provides an update of the grant budget status and personnel to be included on the grant as this information is entered in the OSRP database.

RESPONSIBILITIES OF THE PRINCIPAL INVESTIGATOR

The principal investigator has primary responsibility for the following:

- conceptualizing the project, selecting an appropriate sponsor, and developing the proposal narrative and project budget in accordance with the proposal guidelines or RFP;
- identifying the source(s) of any required matching funds and securing approval for that match from the department chair, dean, Provost, and/or other external funding sources;
- completing the External Funding Proposal Routing Form to accompany the proposal for the internal review process, which includes securing approvals of the department chair and dean, along with budget account codes for matching fund commitments, prior to submission of the proposal to OSRP;
- preparing the required number of photocopies and mailing or delivering the proposal to the agency;
- participating in negotiation of the grant award or contract with OSRP;
- maintaining satisfactory progress in the technical conduct of the project;
- complying with University policies and procedures including conflict of interest; misconduct in research and scholarship; the use of human participants in research; the care and use of animals used in research; and intellectual property;
- complying with state regulations and University policies and procedures including those related to human resource management, procurement, travel, and research safety;
- responsibly managing project funds including expending funds within the project period and within designated budget categories and requesting budget modifications and no-cost extensions through OSRP, as needed;
- completing and submitting technical reports according to established time schedules; and
- providing documentation of grant/contract expenditures and matching contributions to the

Grants Accounting Office in a timely manner including certification of time and effort.

RESPONSIBILITIES OF THE DEPARTMENT CHAIR

The department chair has primary responsibility for the following:

- encouraging faculty and staff to seek external funding for research, curriculum development, training, and community service projects in accordance with planning goals of the department;
- assisting the PI as necessary in preparing the proposal, with particular emphasis on technical aspects of the project and with special attention to proposed protocols involving human participants or the use of animals in research;
- assessing departmental personnel needs in light of grant and contract activity and approving faculty and staff effort and buy-out or release time proposed for the project;
- approving the overall purpose and scope of the project through signature on the Proposal Routing Form;
- assisting the PI in identifying sources of matching funds (cash and in-kind) if required by the sponsor and certifying the availability of such matching funds via account codes and signature on the Proposal Routing Form;
- participating in negotiation of the grant or contract, as necessary;
- consulting with the PI as appropriate to ensure that work on the sponsored project is progressing satisfactorily;
- for sponsored projects involving human participants, the use of animals in research, or the use of biohazards, providing sufficient oversight to ensure compliance with governmental regulations and University and professional standards and
- assisting the principal investigator/project director as necessary in solving technical problems, completing and submitting technical reports on time, managing project funds, and certifying time and effort reports.

RESPONSIBILITIES OF THE DEAN

The dean has general sponsored project oversight responsibilities. The dean's signature on the Proposal Routing Form indicates that the sponsored project is in accordance with the role and mission of the University.

The dean's signature also indicates approval of release time commitments and University cash and in-kind matches.