

ELECTRONIC ROUTING OF PROPOSALS

Step 1

- The Principal Investigator (or designee) prepares the proposal in accordance with the sponsoring agency's solicitation instructions and within the appropriate electronic grant package (if applicable). It is understood that all required components of the grants package would be included.
- If a specific format (or electronic package) is not required by a sponsor, the minimum documents required for approval by the Office of Sponsored Programs (OSP) include a statement of work and complete project budget (if applicable, letters of collaboration/intent, cost share approvals, and subcontract information should also be included). It should be noted that approval of the department/dean's office may require additional documentation.

Step 2

- The Principal Investigator (or designee) completes the Auburn University Cover Form for Extramural Programs (which is a PDF-fillable form that can be found on the OSP web site).

Step 3

- The Principal Investigator (or designee) prepares an electronic mail message with the subject line containing the following information:
 - ✓ PI name
 - ✓ Sponsor name
 - ✓ Proposal due date

Example: **SUBJECT: James Doe, USDA, 9/15/10**

Step 4

- The Principal Investigator (or designee) attaches the necessary files/documents referenced in **Step 1** and **Step 2** above to the e-mail message and sends to the applicable department head(s) and dean(s) (with a cc to the departmental administrator(s) or office manager(s)) for their concurrence with the submission. This may be done in parallel or in series. The text of the e-mail message can contain whatever you wish. However, it should list all pertinent information that will assist the reviewers in their approvals, and should reference the documentation included. If applicable, a solicitation or reference to a sponsor web site where a solicitation can be located should also be included. Please note that OSP uses Microsoft Office products. We also use Adobe Acrobat. If the Investigator needs for us to assist in modification of documents during the review process, we should receive the documents in Word or Excel so OSP can make changes.

NOTE: Although in some cases parallel approvals may speed up the process, the Principal Investigator has more control over the process when the approvals occur in series. Each reviewer and/or approver has a better understanding of the opinions of others in the chain of approval if the proposal flows in series. The choice is strictly up to the department and college. OSP will not give final approval until all prerequisite approvals are received.

Step 5

- The department head(s) and dean(s) or whoever is the last in the chain to approve forwards the entire package to OSP at ospadmn@auburn.edu. Each reviewer must add a statement to the body of the e-mail as they forward it to the next person that they approve of and concur with the submission of the proposal to the sponsoring agency.

Step 6

- OSP will review and approve the application package and, if required, will print out only those original sponsor forms that require a formal signature of the Authorized Institutional Official. OSP will sign off on these forms and will contact the Principal Investigator (or their designee) to let them know the forms are available for pick-up to enable the Principal Investigator to complete the proposal package before submission to the sponsor. In the case of proposals to be submitted electronically by OSP, a copy of the AU Cover Form and sponsor face page (if applicable) will be sent to the Principal Investigator (or their designee) confirming submission. A copy of the approved electronic proposal will be maintained on a secure university server until awarded or two years after the original submission date.

Principal Investigators are encouraged to continue to utilize the assistance of their departmental administrators. These individuals are well-versed in the university rules and sponsor regulations. They can help prepare documents, control routing and approvals, and help Principal Investigators sidestep the inevitable potholes found in many administrative processes of large institutions.

NOTE: For those colleges/schools participating in the decentralized submission of proposals, Principal Investigators are encouraged to contact their college/school-level business office point of contact to find out about any deviations from these guidelines that may be applicable for submission.