

FLORIDA A&M UNIVERSITY
DIVISION OF RESEARCH
OFFICE OF SPONSORED PROGRAMS

PRINCIPAL INVESTIGATOR
STARTER KIT

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PRINCIPAL INVESTIGATOR (PI) ROLES AND RESPONSIBILITIES

General

- The Principal Investigator is the primary individual in charge of and accountable for activities on a research project or activity, particularly those funded by a grant, a cooperative agreement, a training or public service project, a contract, or other sponsored mechanism.
- Normally reports to a College/School Unit Head (Chair/Division Director) or other designated official.
- PI must take part in, and ensure that his/her staff takes part in, required and voluntary education and training programs offered by the University Organizational Training and Development, other oversight units (RCR, IACUC, IRB, Biohazard) and regulatory agencies in order to be thoroughly knowledgeable about the conduct of research.

Proposal Preparation & Submission

- Contact the Division of Research (DoR), Office of Sponsored Programs (OSP) at the beginning stage of proposal preparation for assistance in adhering to guidelines, policies, and deadlines.
- Submit intent to submit form, proposal transmittal and other internal forms to the Unit Head (Chair, Director, Dean, Provost (if applicable) and DoR OSP for review and approval before submission to the agency/sponsor.
- Submit proposal to meet internal and external deadlines to allow for review and signature by Authorizing Officials and to avoid rejection by electronic submission portal.
- Ensure that the proposal meets the requirements outlined in the Request for Applications, Request for Proposals, or other application instructions (e.g., dollar limits, page limitations, font type and size, deadlines, and submission requirements (electronic portal, email or mailing)).

Technical Proposal Development

The PI is responsible for preparing the proposal and possibly collaborates with others in its preparation if required. The PI should identify if there is a need for subcontracts, consultants and space and facilities. PI should consult with his/her college/school regarding space and facilities need prior to proposal submission.

Proposal Budget Development

Prepare or directly supervise the preparation of the categorized budget and its justification. The DoR OSP will provide budgetary assistance, when requested, and will review the final budget before approving and submitting the proposal.

Apply the correct indirect cost rate and base (see University Fact Sheet)

Develop a financial plan to meet cost-sharing commitments and manage the project to assure that those commitments are met. Request cost share (matching funds or identifying in-kind contributions, if required).

Identify all available financial resources in direct support of this or other research endeavors (other support).

Provide required quotes for equipment and animal costs

Identify anticipated program income.

Proposal Regulatory Requirements

Participate in the awareness and training programs required by the University.

Fully disclose to the Unit Head financial interests that would reasonably appear to be directly or significantly affect the sponsored project and provide updates of such interests on an annual basis.

Prepare the appropriate forms and applications to applicable review boards/committees, if the proposal involves any of the following:

- Human subjects
- Live animals as subjects
- Recombinant DNA/RNA, infectious agents, narcotics/controlled substances, or biological toxins
- Human blood or body fluids
- Radioactive materials and/or ionizing or non-ionizing radiation-producing equipment
- Hazardous materials

Obtain additional approvals, for example, those by affiliated institutions or collaborating departments and colleges, when required.

Conduct of the Project

Although some tasks may be delegated, the *Principal Investigator is the accountable officer and bears responsibility for the overall scientific, fiscal, and administrative conduct of the project, for meeting the terms and conditions of the award, and for representing the project to the sponsor.*

Individual faculty, as Principal Investigators, research directors, and mentors, encourage students and other research personnel to participate in educational programs on the responsible conduct of research

Appropriate management of the scientific and programmatic aspects of the project

- Notify the DoR OSP with a contact person's name when planning to be absent from the project for more than 30 days.
- Initiate the personnel hiring or assignment process and approve the selection or appointment of individuals to the project, in collaboration with Human Resources and Equal Opportunity Affairs and in accordance with State law and FAMU policies and procedures.
- Ensure the integrity and protection of notebooks and scientific data.
- Ensure the completion, accuracy, and timeliness of programmatic (technical) reports to the sponsoring agency.
- Ensure that DoR OSP receive a copy of the letter of transmittal of any non-financial reports or correspondence with the sponsoring agency. (Financial reports should NOT be provided by Principal Investigators). Contracts and Grants is the only unit authorized to submit financial reports.
- Ensure continuation proposals, if any, are submitted on time.
- Notify the DoR OSP of the need for subcontracts; approve such after preparation and approval by DoR Vice President for Research.
- Ensure that subcontractors have complied with the appropriate programmatic work in a timely manner and in accordance with technical and financial terms and conditions of the award.

PRINCIPAL INVESTIGATOR STARTER KIT INFORMATION

Please review the attached documents and an explanation of information below for successfully submitting proposals. Please visit www.citiprogram.org to complete the following trainings.

- **FCOI Disclosure Form**, to be completed by May of every year for the preceding calendar year. This is to be completed after you have taken the FCOI training (see instructions for training). Once the training is complete email the sign FCOI form to the Office of Sponsored Programs at sponsor@famuedu or fax to (850) 599-3952.
- **Responsible Conduct of Research (RCR)** is required to submit for most federal agencies.
- **Essentials of Research Administration Training** is required to provide PI's and staff with pre and post award administration and roles and responsibilities.
- **Essentials of Grant Proposal Development** is required for PI's, students and staff interested in submission of proposals to federal, state and private agencies.
- **Online Animal Care Training** is required if your project include conducting research or teaching activities that utilizes live, animal subjects or tissues derived from live animal subjects. Please contact Dr. Tanise Jackson at Tanise.jackson@famuedu or call (850) 412-5246 for questions and quotes.
- **IRB Online Training** is required if your project include conducting research with live human beings, human samples or with data derived from human beings. Please contact Dr. Tanise Jackson at Tanise.jackson@famuedu or call (850) 412-5246 for questions.

Other Access and Trainings

- **iRattler Form**, to be a Principal Investigator (PI), you will need to first be recommended by your department chair for PI status (**PI Eligibility**). This recommendation can be in the form of an email or letter from the department chair addressed to the Dean and copied to the Vice President for Research, and myself. You will also have to complete various institutional training including Procurement, travel training and other training based on your job description.
- **Intent to Submit Form**, once you know you will be submitting a proposal, complete this form and email it to the Office of Sponsored Programs at sponsor@famuedu or fax to (850) 599-3952.
- **FACT Sheet** contains fringe benefit rates, facilities and administrative (Indirect cost rates), DUN number, FEID number, and other pertinent information needed for the Proposal.
- **Proposal Review Transmittal Form**, this form must be completed and forwarded with or before the proposal. It must be signed by you, the department chair, and the Dean. If match and release time are required the Provost must also sign. We recommend that this be sent to the Provost via ImageNow system **ten (10)** days before the proposal submission date. Always send the funding guidelines or a link to them.
- **Subawards** require a scope of work, budget and budget justification, and a collaboration letter (OSP assist with development of letter). The guidelines and the name of the authorized organization representative at that university and the name and title of the PI are required. A risk assessment form should be completed for each proposed

subcontract. A subaward pre-qualification form may also be required if applicable. You also must complete a FCOI Subaward Disclosure Form for each subawardee and consulting firm (attached). A copy of the subaward DHHS approved rate agreement is also required.

- **E-registration Request for NSF/or NIH.** To submit grants to these agencies you need to be registered. Please visit NSF website to register and request affiliation to FAMU. For NIH, please contact the Office of Sponsored Programs at sponsor@famuedu.
- **FAMU DOR Helpful tips** (includes a sample budget justification format). **You don't have to wait for the full proposal to send the budget and budget justification. A budget is required for each year and a cumulative budget. Always send the funding guidelines or a link to them with an abstract or scope of work.**
 1. If salary is being increased each year; a statement must be added to the budget justification that the increase is based on university and legislative approval. Justification should include the role on the proposed project.
 2. For anyone who is being paid an hourly wage, the hourly rate, # of hours to be worked per week, and # of weeks to be worked per year must be included. Justification should include the role on the proposed project.
 3. For stipends, the qualification(s) to receive the stipend must be listed. This includes: the number of students; required classification; required major; required minimum GPA; amount to be paid each semester and when and the amount to be paid. The statement also should indicate that the student must be in good standings and must be enrolled at the beginning and end of each semester while participating on the assigned project.
 4. For equipment, quotes are required. **Please check with Procurement Office to determine if the proposed equipment requires bidding.** Please make sure the quote or budget includes dollars for shipping and handling. This also applies to Materials and Supplies.
 5. When listing Materials and Supplies in the budget justification include some specific items that will be purchased. For instance, if glassware is needed, list test tubes, beakers, graduated cylinders, as items that will be purchased. The same applies for chemicals or reagents list items that will be purchased as part of the research.
 6. Travel also needs to be broken down into each specific cost component and identification of specific conferences, workshops, foreign or domestic. The Travel Reference Guide list all travel expense related information.
 7. For Animal cost, quotes are required. Please contact Dr. Tanise Jackson at Tanise.jackson@famuedu or call (850) 412-5246 for questions and quotes. Animal protocol must match animal use section in proposed project.

Note: *All proposals are due to the Office of Sponsored Program in final form **five (5) days** before the proposal is due for one year of funding and **ten (10) days** before the proposal is due for multiple years of funding. If the proposal is not received within the timelines listed above by the submission date for review and approval by the VP for Research, this could result in the application*

not being submitted to the agency by the required deadline time. Further, technical issues or errors could arise during submission which could lead to the proposal being rejected by the electronic submission system. If at all possible, we would like to submit the proposal two days prior to the submission deadline date.

If you have any additional questions, please contact Ms. Shari Moore at (850) 599-3531 or email sponsor@famu.edu.