



FLORIDA AGRICULTURAL AND MECHANICAL UNIVERSITY
Board of Trustees Policy

Board of Trustees Policy Number: 2005-09

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Subject	Principal Investigator Policy
Authority	1004.22, F.S.; BOG Regulation 1.001, Powers and duties of University BOT; FAMU Regulation 1.021 Authority of the President; FAMU Regulations 1.019 University Code of Conduct; 4.002 College and School Governance; and 1.020 Misconduct in Research
Applicability	All employees of the University

I. Policy Statement and Purpose

This document establishes the policy on who can qualify as a Principal Investigator/Program Director (PI/PD) or Co-Principal Investigator/Co-Investigator (Co-PI/Co-I) at Florida A&M University (FAMU). When a PI/PD accepts sponsored funding, the person does so on behalf of FAMU Board of Trustees under the terms and conditions of the award. Thus, we as an academic community must never take our responsibility for prudent stewardship of sponsored funding for granted. The status of PI/PD is granted as a matter of privilege to University personnel, and therefore certain procedures must be established to ensure that anyone granted such status clearly understands the University's expectations in the fulfillment of such a role.

II. Definitions

- A. Sponsored Projects**—projects funded with grants, contracts and cooperative agreements, including but not limited to training, public service, research and cooperative projects.
- B. Principal Investigator/Program Director (PI/PD)**—the primary individual responsible for the preparation, conduct, and administration of a research grant, cooperative agreement, training or public service project, contract, or other sponsored project(s) in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research. They also have the responsibility to maintain key personnel and maintain entry of researchers into secure enclaves.
- C. Co-Principal Investigator or Co-Investigator (Co-PI/Co-I)**—Co-PI(s)/Co-I(s) are key personnel who have responsibilities similar to that of a PI on research projects. While the PI has ultimate responsibility for the conduct of a research project, the Co-PI/Co-I is also obligated to ensure the project is conducted in compliance with applicable laws and regulations and institutional policy governing the conduct of sponsored research.

- D. Key Personnel**—the PI/PD(s) and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically, these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition.
- E. Regular Faculty**—includes all Assistant, Associate, and Full professors who have a full-time tenured or a tenure track appointment
- F. Professor Emeritus**—a retired professor who was granted the title as an honor. Emeriti professors may continue to work part-time following retirement and are in good standing.
- G. Faculty with Limited Appointments**—faculty member with an appointment for a specified time, including but not limited to non-tenure appointment, adjunct, visiting, or professor emeritus.

III. Eligibility and Responsibilities

A. Who can be a PI/PD or CO-PI/CO-I?

Persons holding the following positions may be designated as PI/PD or Co-PI/Co-I in applications for sponsored funding:

1. Regular faculty and Librarians.
2. All persons holding appointments as Research Assistant Professor, Research Associate Professor and Research Professor, Extension Specialists, and Professional Professors
3. Non-tenure track faculty.
4. Faculty with Limited Appointments
5. Graduate Students or students with professional training academic appointments are eligible to serve as principal investigators on sponsored projects that the funding agency has specified as programs for which students are eligible. The student must also have a PI as Faculty Advisor/mentor.

NOTE: In some instances, the student will be the key personnel, but a faculty member must be the PI.

6. Other Academic and Non-Academic Employees - under certain circumstances, employees holding non-academic titles may serve as principal investigators.

B. Eligibility

The Division of Research shall establish the procedure for eligibility. All persons granted PI/PD and Co-PI (Investigator(s)) authority must accept all of the responsibilities associated with the application for and administration of awarded sponsored projects. Eligibility is contingent on appropriate supervisory approval and the following understanding:

1. PI/PD and Co-PI status is a privilege granted to eligible University personnel, who must confirm the following:
 - i. he/she will comply with all regulatory compliance directives;

- ii. all information submitted within the proposal is true, complete, and accurate to the best of his/her knowledge;
- iii. any false, fictitious, or fraudulent statements or claims may subject the investigator(s) to criminal, civil, or administrative penalties; and,
- iv. the investigators(s) agree to accept responsibility for the conduct of the project and to provide all required reports as applicable if a project is awarded as a result of the proposal.

C. Award Acceptance

Upon accepting the award, each PI/PD, Co-PI and, if appropriate, each key personnel, must also confirm that he/she will be responsible for:

1. project management of the award,
2. carrying out the project with the highest professional standards and within the time period awarded,
3. reading, understanding, and complying with all of the terms and conditions contained in the award,
4. confirming that he/she understands his/her responsibility to abide by University and sponsor policies, procedures and directives for the proper administration of sponsored projects,
5. adhering to University's policies and procedures,
6. adhering to University's Intellectual Property and Conflict of Interest policies and procedures,
7. complying with University processes to protect data in compliance with state and federal law, including NIST 800-171,
8. ensuring that all employees working on a sponsored project also complies with University's policies and procedures, and
9. initiating disclosure process and complete Invention Disclosure Form as applicable.

D. Department Assurance

A request or approval should include an endorsement and an assurance that the department and college/school will assume responsibility for the conduct of grant or contract.

E. Principal Investigator Training

All PI's (existing and potential), shall attend a mandatory certification training course as a criterion for PI eligibility.

F. Relationships between PI/PD, University and Sponsored Projects

Sponsored projects and their funding are awarded to the University, rather than to PIs/PDs. If a PI/PD becomes ineligible or leaves the University prior to the completion of a sponsored project, the future of that project shall be governed by the terms of the sponsored agreement, the wishes of the sponsor, the University and the PI/PD, as is appropriate in the specific circumstances.

G. Relationship of PI/PD to University

The PI's/PD's relationship to the University is governed by the University's appointment/employment contract document. The approval of individuals as PI/PD or Co-PIs in no way affects the rights, claims and duties of such individuals as may be specified in the University's rules and other documents governing the individual's employment. In particular, responsibilities as PI/PD or co-PI do not imply any commitment on the part of the University to any subsequent appointment beyond the term of appointment in effect.

H. Rescinding Investigator Status

The University shall establish a process and procedure to rescind investigator status. An individual status as a PI/PD or Co-PI may be rescinded for just cause, but the individual may appeal the decision in accordance with applicable University policies and procedures.

Attachment(s)	N/A
Hyperlink Addresses	Florida BOG Active Regulations Florida Statute 1004.22 Division of Sponsored Research at State Universities