



University Community (faculty, staff and students)

SUBJECT (R*)	EFFECTIVE DATE (R*)	POLICY NUMBER (O*)
INVESTIGATORS ON SPONSORED PROJECT PROPOSALS	May 11, 2011	2320.035

POLICY STATEMENT (R*)

Only Florida International University faculty in tenure or non-tenure-accruing track positions or personnel in an exempt position (subject to Office of Research and Economic Development approval) may submit a proposal as a principal investigator on behalf of Florida International University. Persons employed by the University as adjunct, courtesy or visiting faculty, lecturers, research assistants, postdoctoral employees, temporary personnel or graduate students are NOT eligible to submit proposals as principal investigators, but may serve as co-investigators if an eligible FIU employee serves as principal investigator on the proposal. Exceptions to this policy may be judged appropriate under particular circumstances and those exceptions shall be determined by the Office of Research and Economic Development in accordance with sponsor regulations and together with the appropriate department chair, dean or center director of the proposed PI. The PI must hold the required Florida International University appointment at the effective date for the award or the award must provide for their appointment with award funds.

Only one principal investigator may be listed on a proposal unless the sponsor allows additional principal investigators in which case the number of principal investigators permitted by the sponsor shall be allowed. If multiple PIs are permitted by the sponsor then the first PI listed on the application and Electronic Proposal Routing Approval Form (ePRAF) will serve as the contact PI. The contact PI will be responsible for technical / programmatic communication between the sponsor and the rest of the PI leadership team as well as serve as the fiscal and administrative contact with the Office of Research and Economic Development.

The principal investigator(s) must have substantive and measurable involvement in the project. Submission of a proposal in the name of a "nominal" PI who then delegates the primary responsibility to another person is not permitted. The Vice President for Research may determine that a nominal PI may be permitted on a case-by-case basis in unusual circumstances such as where the sponsor requires that a specific University representative must be named as the PI for the award. The naming of a nominal PI must be approved in writing by the Vice President for Research or his designee.

REASON FOR POLICY (O*)

To ensure awarded projects are properly supervised by University personnel.

RELATED INFORMATION (O*)

NIH Office of Extramural Research – FAQs regarding Multiple Principal Investigators.
http://grants.nih.gov/grants/multi_pi/faq.htm

ORED Policy - Personnel Effort Pledged on Proposal for Sponsored Projects.

DEFINITIONS (R*)

"CO-I" is a Co-Investigator and is an individual involved with the PI in the scientific development or execution of the project. The Co-I may be employed by, or be affiliated with, FIU or another organization participating in the project under a consortium agreement. A Co-I typically devotes a specified percentage of time to the project and is considered "key personnel." The designation of a Co-I does not affect the PI's roles and responsibilities on the project.

“ePRAF” is the ORED Electronic Proposal Routing Approval Form.

“ORED” is the Florida International University Office of Research and Economic Development.

“Key Personnel” are the PI(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. “Zero percent” effort or “as needed” is not an acceptable level of involvement for key personnel.

“NIH” is the National Institutes of Health.

“PI” is a principal investigator.

PROCEDURES (O*)

In all circumstances, an ePRAF must be completed for the proposal prior to submission of the proposal to the sponsor, which must be approved by the FIU Department Chair, Dean and/or Center Director who will supervise the PI and the Key Personnel in the event of an award. In completing the ePRAF, the PI must set forth his/her academic rank or title at FIU. In signing the ePRAF in approval of the project, the PI’s Department Chair is affirming, among other things, the PI’s faculty assignment. In signing the ePRAF in approval of the project, the PI’s Dean or Center/Institute Director is affirming, among other things, the PI’s eligibility to submit the proposal.

Postdoctoral employees are normally not permitted to serve as PI’s, but they may serve as Key Personnel. Pre-Award may permit a postdoctoral employee who is applying for support for research training and mentored training grants intended to enhance his/her professional skills and to prepare him/her for research independence to be the PI so long as the duration of the proposed grant does not exceed the period of the postdoctoral employee’s traineeship. Faculty advisors will typically be required to be designated as PIs for graduate student fellowships awarded as grants. Typically, postdoctoral employees and fellows may not apply as PIs other than as set forth above.

Typically, there is only one principal investigator on a proposal. However, if the sponsor allows more than one principal investigator, the number of principal investigators permitted by the sponsor shall be allowed. If multiple PIs are permitted by the sponsor then the first PI listed on the proposal and ePRAF will serve as the contact PI. The contact PI will be responsible for technical / programmatic communication between the sponsor and the rest of the PI leadership team as well as serve as the fiscal and administrative contact with the Office of Research and Economic Development. The Principal Investigator(s) bear(s) the primary responsibility for the scientific, technical and fiscal administration of the project in accordance with the sponsor’s guidelines, the award document, applicable federal, state and local laws and regulations and FIU’s policies and procedures. The presence of more than one PI on an application or award does not diminish the responsibility or the accountability of any individual PI. Each PI is responsible and accountable for all components of the project. Although a PI may delegate certain functions to others, he/she may not delegate the responsibility for proper completion of those functions.

RESPONSIBILITIES (O*)

PI – sets forth his/her academic rank or title in the ePRAF for the proposal.

PI’s Department Chair – signs the ePRAF as approving, among other things, the PI’s faculty assignment.

PI’s Dean or Center/Institute Director – signs the ePRAF as approving, among other things, the PI’s eligibility to submit the proposal.

HISTORY (R*)

Office of Sponsored Research Administration Faculty/Staff Guide for the Administration of Externally Funded Projects, INTERIM VERSION. Effective Date: February 11, 2004; Revision Dates: January 27, 2010, May 11, 2011 and October 4, 2012. [This last revision was non-substantive in nature: all references to the “Internal Clearance Form” in the policy document were revised to reflect that the form is now known as the “Electronic Proposal Routing Approval Form (ePRAF)”].

RESPONSIBLE UNIVERSITY DIVISION/DEPARTMENT (R*)

Office of Research and Economic Development
Florida International University

RESPONSIBLE ADMINISTRATIVE OVERSIGHT (R*)

Pre-Award
Florida International University
11200 S.W. Eighth Street – MARC 430
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Telephone: (305) 348-2494

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For any questions or comments, the “Document Details” view for this policy online provides complete contact information.

***R = Required *O = Optional**