

INTERNAL OPERATING MEMORANDUM NO. 16A.007

Signature of Authorizing Authority _____

Florida Agricultural and Mechanical University (FAMU)

Research Roles and Responsibilities

Executive Summary: The Roles and Responsibilities document outlines the responsibilities of individuals and organizational units that conduct or support research at Florida A&M University.

- PI = Principal Investigator**
- CH = Department Chair or Director**
- DN = Dean**
- PV = Provost and Vice President of Academic Affairs**
- VPA = Vice President for Administrative and Financial Affairs**

Accounts Payable
Human Resources
Payroll
Procurement
Training
Travel

- VPR = Vice President for Research**
- Animal Welfare and Research Integrity*
- Contracts and Grants*
- Sponsored Programs*
- Export Control and Technology Transfer*

PI	CH	DN	PV	VPA	VPR	
	X	X			X	Proposal- PI Eligibility
	X					If not regular faculty, submits request for PI eligibility
		X				Reviews and endorses requests for PI eligibility to Vice President for Research
					X	Approves requests for PI eligibility
PI	CH	DN	PV	VPA	VPR	
X	X	X	X		X	Proposal- General
					X	Verifies PI eligibility
					X	Develops marketing plan for FAMU
X	X	X	X		X	Markets capabilities of FAMU to relevant agencies
X					X	Obtains copy of current RFP or other proposal submission requirements and monitors sponsor for updates, corrections, or addenda
X						Discloses any potential conflicts of interest
X						Prepares and revises the proposal including technical portion, budget and other related matters
	X	X			X	Provides administrative support for proposal preparation for PIs
PI	CH	DN	PV	VPA	VPR	
X	X	X	X		X	Proposal- Technical
X						Request space and facilities for project
X						Proposes the proper use of human subjects, live animals as subjects, recombinant DNA, infectious agents, narcotics or biological toxins, human blood or body fluids, radioactive materials and/or ionizing or nonionizing radiation-producing equipment, and/or hazardous materials
	X					Approves department space and facilities commitments
		X				Approves college's or school's space and facilities commitments

			X			Approves University space and facilities commitments
					X	Sends to appropriate oversight committee for approval of the proper use of human subjects, live animals as subjects, recombinant DNA, infectious agents, narcotics or biological toxins, human blood or body fluids, radioactive materials and/or ionizing or nonionizing radiation-producing equipment and/or hazardous materials
PI	CH	DN	PV	VPA	VPR	
X	X	X	X		X	Proposal- Budget
X						Prepares proposal budget
					X	Provides guidance on budget proposal preparation
					X	Provides University negotiated indirect costs rates
X						Uses appropriate indirect cost rate and requests waivers, if appropriate
					X	Reviews indirect costs rates and approves indirect cost waivers
	X	X	X			Provides PI appropriate salary rates
X						Calculates budget amounts from salary rates
	X	X				Endorses the salary rates
			X			Approves salary rates
					X	Verifies salary rates
					X	Approves proposal budgets to ensure compliance with federal, sponsoring agency, state, and University regulations
PI	CH	DN	PV	VPA	VPR	
X					X	Proposal- Budget- Consultant Services
X						Determines the need for consultant services to meet the requirements of the sponsored project and proposes such services
					X	Reviews and approves of consulting services to be included in the proposal
PI	CH	DN	PV	VPA	VPR	
X	X	X			X	Proposal- Budget- Sub procurement
X						Determines when necessary to subcontract with another entity to perform a portion of the effort under an award and proposes such subcontract
X						Obtains necessary information from subrecipient to be included in the subcontract document and reviews and approves subrecipient's proposed budget and scope of work
X						Discloses any potential conflicts of interest
X					X	Assist with obtaining the sub-recipients certification completed form and assessment
X						Collects relevant cost matching information from subrecipient and incorporates in the proposed budget, if necessary
X	X	X			X	Reviews and endorses use of consultants and sub-recipients
					X	Obtains consent for sub-recipients participation from their designated research office and approves subrecipient budget including negotiated indirect cost rate
					X	Determines that the required flow-through clauses are included in the subrecipient's proposal to the University
					X	Reviews all documents from the subrecipient to be incorporated in the proposal
PI	CH	DN	PV	VPA	VPR	
X	X	X	X			Proposal- Budget- Time and Effort
X						Proposes time and effort of personnel
	X					Reviews and endorses proposed time and effort of personnel
		X				Documents and approves proposed time and effort of personnel
			X			Monitors proposed time and effort of personnel and other related matters as approved by dean
PI	CH	DN	PV	VPA	VPR	
X	X	X	X		X	Proposal- Budget- Cost Sharing
X						Proposes cost sharing
	X					Reviews and endorses cost sharing if from department funds
		X				Reviews and endorses cost sharing if from college or school funds
		X	X			Reviews and endorses other cost sharing
		X	X			Reviews and endorses cost sharing if from University funds
		X			X	Ensures cost sharing is properly reflected in the proposal
		X	X		X	Approves cost sharing commitment

PI	CH	DN	PV	VPA	VPR	
X					X	Proposal- Submission
X						Provides proposal submission information
					X	Completes required compliance documents and attaches same to proposal
					X	Submits final proposal to sponsor and sends copy to PI
PI	CH	DN	PV	VPA	VPR	
X					X	Project Management- Technical
X						Requests any changes in project scope
					X	Submits request for change in scope to sponsor if necessary
X						Conducts sponsored project in accordance with University and sponsor/award regulations and appropriateness
X						Requests approval from sponsor for use of consultants and subrecipients if necessary at the beginning of the proposal stage
X						Requests, receives and reviews proper technical reports to ensure quality and timeliness performance of consultants and sub-recipients
X						Conducts project properly as it relates to the use of human subjects, live animals as subjects, recombinant DNA, infectious agents, narcotics or biological toxins, human blood or body fluids, radioactive materials and/or ionizing or nonionizing radiation-producing equipment, and/or hazardous materials
					X	Monitors proper conduct of the project as it relates to the use of human subjects, live animals as subjects, recombinant DNA, infectious agents, narcotics or biological toxins, human blood or body fluids, radioactive materials and/or ionizing or nonionizing radiation-producing equipment, and/or hazardous materials
X						Prepare and submit project technical reports to sponsor and Vice President for Research
					X	Requests and receives technical reports from PI
X					X	Disclose inventions, patents and discovering improvements
					X	Provides assistance to capitalize on inventions and improvements. These services include securing patents, finding licensing partners, marketing innovations, and incubating new technologies into viable companies
X						Safeguards research technical data
					X	Maintains project files including technical reports
PI	CH	DN	PV	VPA	VPR	
X	X	X	X	X	X	Project Management- Training
				X		Approves all training activities, formulates training policies, assesses needs of University research personnel
				X		Develops programmatic and financial training templates
X				X	X	Provides subject matter experts for programmatic and financial training templates
				X	X	Conducts programmatic and financial training modules
X	X	X	X	X	X	Identifies faculty and staff needing training
X	X	X	X	X	X	Attends, participates and provided knowledge for programmatic and financial training modules
PI	CH	DN	PV	VPA	VPR	
X	X	X	X		X	Project Management- Programmatic
					X	Receives terms and conditions of an award/grant from sponsor and distributes as necessary
					X	Reviews, negotiates, and executes sponsored program agreements as the authorized signatory for sponsored program agreements. In addition, all proposed contracts and grants are forwarded to the General Counsel Office to be examined and approved or appropriateness and legal compliance prior to their execution.
X		X			X	Receives from VP for Research and reviews and understands the terms and conditions of an award/grant
X	X	X			X	Manages and monitors work of personnel as supervisor as appropriate
X	X	X				Requests extension if necessary to complete the project
					X	Approves request of extension and forwards to sponsor
X					X	Revises project effective dates
X	X	X	X		X	Proposes change in PI and/or recommends new PI if appropriate

					X	Reviews and submits request for change in PI to agency
					X	Reports new PI to all relevant offices
X	X	X	X		X	Changes relevant records to reflect new PI
	X	X			X	Provides administrative support for PIs
PI	CH	DN	PV	VPA	VPR	
X	X	X	X	X	X	Project Management- Financial- Administrative
				X	X	Creates and maintains financial management and oversight systems
X						Requests cost transfers
					X	Approves processes cost transfers
X						Initiates budget revisions
					X	Approves and revises budget revisions
X					X	Disclose any financial conflicts of interest.
X				X	X	Maintains records of financial transactions for grant and contract funded projects
X					X	Prepares/revises project financial reports
					X	Distributes project financial reports to PIs in a timely manner
X					X	Reviews financial reports. In certain cases the PI may also review and endorse financial report
					X	Submits request to sponsoring agency for reimbursement or payment
				X	X	Initiates internal audits of projects
X	X	X	X	X	X	Cooperates with all internal and external audits of project
PI	CH	DN	PV	VPA	VPR	
X	X	X	X	X	X	Project Management- Financial- Cost Sharing
				X	X	Establishes proper procedures for accounting and documenting cost sharing
					X	Ensures cost sharing is properly reflected in the award
	X	X	X		X	Provides proposed cost sharing, including commitment for in-kind cost share where appropriate
X					X	Uses and documents use of cost sharing
X					X	Monitors cost sharing expenditures in relation to cost sharing commitments
					X	Appropriately documents cost sharing in required agency fiscal reports
PI	CH	DN	PV	VPA	VPR	
X	X	X	X	X	X	Project Management- Financial- Payroll Charges
X						Determines need for personnel
X						Initiates and approves hiring of personnel
	X	X	X			Reviews and approves hiring of personnel for university appropriateness
					X	Reviews and approves proposed payroll costs according to the sponsoring agency's guidelines
				X	X	Reviews and processes all employment documents
X	X	X			X	Monitors effort of personnel
					X	Prepares necessary effort reporting certification statements and gives them to PI and/or department for distribution
X	X	X				Ensures personnel effort is satisfactory and completes necessary effort reporting certification statements
X	X	X				Requires personnel to complete time sheets if necessary and signs timesheets. All time should be entered into HCM System.
PI	CH	DN	PV	VPA	VPR	
X	X	X	X	X	X	Project Management- Financial- Travel
X						Determines need for travel to meet the requirements of the sponsored project
X						Initiates travel requests for project appropriateness
X	X	X	X			Endorses travel requests of personnel as supervisor where appropriate. PI/PD's can not approve own travel
	X	X	X		X	Approves international travel
					X	Approves travel requests for sponsor/proposal budget and university appropriateness
X						Initiates travel reimbursements project appropriateness
X	X	X	X			Endorses travel reimbursements of personnel as supervisor where appropriate
				X	X	Reviews and processes travel reimbursements subject to appropriate regulations
				X		Pays travel vendors

PI	CH	DN	PV	VPA	VPR	
X				X	X	Project Management- Financial- Purchasing
X						Determines that there is a need for goods, services and equipment to meet the requirements of the sponsored project
X						Initiates purchase of goods and/or service
				X	X	Provides PI with prompt feedback on purchase of goods and services
					X	Approves purchase requests for project budget appropriateness
				X		Encumbers funds and creates purchase orders
X				X		Confirms receipt of goods and/or services
				X		Pays vendors
X				X		Reports location of equipment as necessary
				X		Tags and tracks equipment as necessary
X						Requests disposal of equipment
				X	X	Approves disposal of equipment
				X		Disposes of equipment
PI	CH	DN	PV	VPA	VPR	
X	X	X			X	Project Management- Financial- Consultant Services
X						Determines the need for consultant services to meet the requirements of the sponsored project and proposes such services
X						Establishes deliverables to be included in the consultant agreement. The deliverables must include an explanation of the services and the dates the deliverables are due
	X	X			X	Advises PIs on the appropriate procedure and requirements for consultant services
X						Completes consultant agreement using the University form prior to the beginning date
					X	Reviews and approves request for the consultant agreement to determine that all required approvals have been received and the University and sponsoring agency guidelines have been followed; funds are available in the grant award to cover the entire cost of the agreement, the services are within the effective date of the sponsoring agreement and forwards proposed agreements to the General Counsel Office to ensure University compliance
X					X	Reviews and approves of consultant agreements being charged to a contract and grant account
				X		Determines that the consultant agreement conforms with the University's procedures and specifically to the procedures outlined in the Purchasing Department, Contractual Services Manual
				X		Procures consulting services
				X		Encumbers the funds for consulting services
X						Reviews and approves invoices to ensure compliance with the submission of reports as well as to determine if milestones are being met and delivered on a timely basis
				X		Processes consultant invoices for payment and costs transfers in accordance with University policies and procedures
PI	CH	DN	PV	VPA	VPR	
X	X	X			X	Project Management- Financial- Sub procurement
X						Requests approval of the sponsoring agency, when required, to subcontract a portion of the effort to another entity
X						Completes the Certification/Pre-Qualifying Form and submits the form to OSP
					X	Reviews and approves of Pre-Qualifying Form
					X	Reviews all documents from the subrecipient to be incorporated in the pre-award file
X						Assists with the execution of the subcontract
					X	Prepares and executes the subcontract between the University and the subrecipient with assistance from the General Counsel Office
					X	Reviews and approves budget revisions and program plans of subrecipients and ensuring compliance with university, state, and federal regulations governing subrecipient relationships
X						Initiates a purchase requisition to encumber the funds
				X		Assigns a control number to all subrecipient subcontracts. This enables the subcontract commitment to be encumbered in the University accounting system

X					X	Monitors subrecipient's performance to ensure proper and timely completion of activities, including but not limited to the completion of technical and fiscal reports
					X	Monitors the subrecipient's compliance with Uniform Guidance audit requirements
X						Reviews and approves invoices from the subrecipient for reasonableness and compliance with subcontract budget
					X	Processes the subrecipient invoices for payment in accordance with University policies and procedures
X					X	Verifies and certifies that subrecipient has provided the matching documentation to support the matching commitment, if necessary
					X	Reviews and approves of the sub contractual obligation
					X	Sends written notification to the PI and subrecipient indicating that the subcontract is expiring
PI	CH	DN	PV	VPA	VPR	
X	X	X	X	X	X	Project Management- Closeout
X						Prepares technical portion of the final closeout report
X						Prepares programmatic portion of the final closeout report
X					X	Reviews final closeout report
X					X	Submits final closeout report if PI/PD's requires assistance
					X	Sends appropriate closeout notice to relevant entities
X	X	X			X	Reviews closeout notice from VP or Research
X	X	X	X	X	X	Manages project documents to comply with document retention policies of the agency and University