

Principal Investigator (PI) Roles, Responsibilities, and Budget Information

(Taken from sections 2.0, 3.0, & 4.0 of the ORSP Policies & Procedures for Applying for and Managing Grants)

The following is a list of responsibilities for the Principal Investigator (PI). It also includes guidelines and information concerning the budget. More detailed information can be found in the ORSP Manual as well information about the Office of Research and Sponsored Program's role in the grant process. If you have any questions, please contact Rachel Heil (rachel.heil@cuw.edu) or Julie Dresen (julie.dresen@cuw.edu).

The PI:

- Is knowledgeable about sponsoring agency and Concordia University policies and procedures related to proposal preparation and processing, conducting research, instruction, and training under a sponsored program. This includes reading and being knowledgeable of the ORSP policies and procedures.
- Processes proposals and resulting awards through the ORSP and other appropriate administrative units.
- Obtains appropriate internal approvals required for the conduct of the sponsored program, such as use of human subjects, animals, bio hazardous materials, and/or recombinant DNA.
- Writing the technical proposal.
- Ensuring that the proposal meets the sponsor's requirements, including eligibility, format, and budget limitations or conditions.
- Ensuring that the information provided is clear, accurate, and compliant with the sponsor's instructions.
- Identifying other personnel, if any, needed to conduct the project.
- Identifying the need for subawards and subcontracts.
- Provide information for the budget. **Please note:** PIs will be asked to provide a percent of their research effort and those of other supporting faculty/staff members. This percentage is **not** an addition to their institutional base salaries. It is the amount that will be reimbursed to the University for grant staff's effort on the project. For example, if the PI requests \$6,000 in salary from the funding agency, that amount of their pay will come from the grant and not the University. It is not an additional \$6,000 on top of their base salary.
- The PI identifies his or her current and pending support.
- The PI identifies anticipated program income and notifies ORSP during budget development.
- The PI is responsible for securing letters of support as needed.
- Turning in all documents, completed and finalized, to the ORSP by the set deadline agreed upon for upload. Failure to turn in this paperwork to the ORSP by the appointed date and time may result in failure to submit the grant application.

Budget

The PI is responsible for the following parts of the budget:

- Estimating the costs and resources needed to conduct the project and for the justification of those items as they relate to the work. The PI must ensure that the costs are reasonable, allocable to the project, and allowable by the sponsor and the University.
- Strongly encouraged to consult with the department Chair and to work with ORSP to prepare the budget and budget justification. Alternatively, the PI may prepare the itemized budget and budget justification or supervise their preparation and submit them to ORSP for review at least one week (seven working days) prior to the sponsor's deadline.
- Identify CU project personnel and secure commitments from persons to be named in the proposal, including any outside letters of institutional support.

- Identify the need for consortium agreements, subawards, and subcontracts and works with ORSP to secure appropriate documentation from prospective collaborators, subrecipients, and subcontractors as needed. Secure Letters of Intent and budgets from collaborating institutions.
- If required, request in advance the approvals for cost-sharing and in-kind contributions from the Chair and/or Dean. Commitments are documented in the Summary form within Cayuse.
- Propose cost sharing through contributed effort, subject to the prior approval of the department Chair and Dean and documented on the Summary form within Cayuse.
- Identify current and pending support.
- Identify anticipated program income and notify ORSP during budget development.
- Obtain all internal approvals via the routing feature in Cayuse prior to grant submission.

The ORSP is responsible for the following parts of the budget:

- Provides guidance on sponsor and University policies related to budget preparation.
- Provides institutional oversight for documenting cost-sharing commitments with final approval from the Chief Operating Officer (COO) of Administration or DoF.
- Works with the PI to develop the project budget and budget justification.
- Works with the PI to obtain letters of intent and budgets from collaborating institutions.
- Serves as the Concordia University Authorized Organization Representative (AOR) with permission to submit all grants.

Please note, the PI must select one of the three options as it pertains to allocating effort in the proposal budget:

- Allocate a percent of your effort and it counts toward your scholarship requirement. The salary received is reimbursed to the University.
- Include a request for extra service pay in the grant budget and narrative. If this option is selected, the request must be approved by the funding agency, Dean, Chair, Provost's office, and the ORSP. Extra service pay cannot exceed 10% of the faculty or staff members Institutional Base Salary and the extra pay cannot put him or her outside of the pay range for the rank and position (also refer to the ORSP policy, Extra Service Pay, section 4.2.3).
- Include up to six credits (per year) of release time. If this option is selected, you must budget for an adjunct instructor to teach up to two courses per year. You will not receive additional pay, but you will receive release time from courses.

Extra Service Pay: Some sponsors allow the payment of extra service pay. Where the employee wishes to request such payment and where it is allowed by the sponsor, the employee's Chair, Dean, and Provost must explicitly approve the amount to be requested using the Additional Comments section of the Cayuse 424 Summary form. The PI must also include the request explicitly in the grant proposal narrative and budget narrative and receive approval from the funder. Simply receiving the grant does not imply approval.

Furthermore, if the PI wishes to receive extra service pay they must document that they are already meeting their scholarship obligation.

By signing this document, you agree to the terms presented in this document and the ORSP Manual and fully understand your role and responsibilities as the Principal Investigator.

Principal Investigator: _____ **Date:** _____