

Multiple Principal Investigators



Status Report

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Proposed NIH Models

■ Single PI

- PI
- Co-investigators
- Key Personnel
- Consultants
- Etc.

■ Multiple PI's

- 2 or More PI's
- Co-investigators
- Key Personnel
- Consultants
- Etc.

Note: For NIH, the "NSF Model" of a PI and one or more Co-PI's is NOT currently proposed.



Concepts

1. **Allow more than one Principal Investigator on grant applications and awards**
 - Definition in the GPS need not change
 - All Principal Investigators would share responsibility for the proper conduct of the project and all necessary requirements and reports
 - All Principal Investigators would be identified on notices of grant award and in NIH reports
2. **Recognize the contributions of PIs and other Key Personnel on the project**
 - The definition for Key Personnel and co-Investigator in the GPS need not change
 - Key Personnel and their roles would be identified in NIH reports



Issues to Consider

- 1) **Follow the lead of other Federal Agencies**
 - NSF and DOD permit a PI and Co-PIs
 - Capabilities to list PI and Co-PI built into the 424 Form
 - Does not preclude but does not specifically recognize multiple PIs with equivalent status
 - Directive from OSTP imminent
 - OSTP issuing an RFI to explore the concept on a fed-wide basis
- 2) **Contact or Corresponding PI**
 - Would not designate any leadership hierarchy or special privileges with respect to the project
 - The Contact PI would have the responsibility of keeping other PIs apprised of all correspondence from the NIH.
 - The Contact PI might have responsibility (along with the signing official) for approval of final submission of the application.



Issues to Consider

3) **Prior Approval Requirements**

- **Since all PIs would be listed on the NGA, changes would require prior approval from the awarding component**

4) **PIs at different institutions**

- **Awards will continue to be made to a single institution**
- **Normally, the contact PI will be located at the awardee institution (conference grants?)**
- **The awardee institution will continue to use subcontracts and other consortial arrangements to facilitate the partnership with other institutions**
- **Linked awards?**



Issues to Consider

5) **Management Plan**

- **Require a scientific management plan to describe the role, scientific and technical responsibility of each PI**
- **Consistent with current practice for certain NIH awards**
- **Plan for resolving disagreements**

6) **Effect on Department-Based NIH Reports**

- **Inclusion of multiple PIs from different departments will prevent assignment of the award to a specific department**
- **Departmental ranking tables may not longer be possible**
- **Department affiliation attached to PI but not to award**

7) **PI Signature Requirements**

- **Eliminate PI signature?**
- **Follow lead of other federal agencies**
- **Discuss with Legal**
- **Simplify electronic transmission**



Issues to Consider

8) **Co-Investigators**

- Co-Investigators recognized in reports
- Definition in GPS is adequate
- Normally not named in NGA
- Normally would not trigger prior approval requirement

9) **Regulatory Issues**

- PI defined as the single individual responsible for scientific and technical aspects of project – need for rule making?
- Elimination of signature requirement may require regulatory changes?

10) **eRA Issues** **(continued)**



eRA Issues 1

- Assumptions for Discussion - STATUS
 - Maintain “contact PI” model for most reports
 - Be able to search status for all PIs and Co-PIs
 - All PIs on application will be able to view record in Status (PI View)
 - All CO-PIs could be given AO View.
 - Notifications to only Contact PI
 - Access to PIs at other organizations



eRA Issues 2

- Assumptions for Discussion - eSNAP
 - Upload of progress report by any PI
 - Delegate PI from any PI
 - Delegation of Submission to one PI
 - Routing could include Co-PIs



eRA Issues 3

- Assumptions for Discussion - eGAP
 - Policy will not require PI validation
 - PIs will still desire to validate submission
 - PI (single/multiple) validation would be optional in Commons but not possible after SO sign-off.