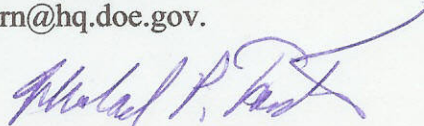# POLICY FLASH 2008-23

POLICY FLASH 2008-23

DATE: February 12, 2008
TO: Procurement Directors
FROM: Office of Procurement and Assistance Policy, MA-61
Office of Procurement and Assistance Management

SUBJECT: Multiple Principle Investigator Implementation Plan

SUMMARY: The Office of Science and Technology Policy (OSTP) and the Office of Management and Budget (OMB) have directed that federal research agencies recognize multiple principle investigators (PIs) in their research awards. Information on this policy can be found at http://a257.g.akamaitech.net/7/257/2422/01jan20071800/edocket.access.gpo.gov/2007/pdf/07-4638.pdf or http://rbm.nih.gov. Department of Energy (DOE) is implementing this policy by listing the names of all multiple PIs in its financial assistance agreements. STRIPES is being configured to allow for electronic tracking of the multiple PIs. The attached implementation plan provides language to be included in Funding Opportunity Announcements requiring applicants to provide information on the proposed PIs and a Coordination and Management Plan.

This Flash will be available online within a day, at the following website: http://www.management.energy.gov/policy_guidance/policy_flashes.htm.

Questions concerning this policy flash should be directed to Jackie Kniskern at (202) 287-1342 or Jacqueline.Kniskern@hq.doe.gov.

Michael P. Fischetti, Director
Office of Procurement and
Assistance Policy

Attachment

DOE Implementation Plan for the Recognition of Multiple Principal Investigators on Federally-Funded Research Projects
(February 5, 2008)

Implementation History: On January 4, 2005, the Office of Science and Technology Policy (OSTP) in the Executive Office of the President issued a memorandum to all Federal research agencies, requiring them to formally allow more than one Principal Investigator (PI) on individual research awards. This policy would enhance research performed by teams and fairly apportion credit if multiple individuals provide the intellectual leadership and direction of the team effort. A Request for Information (RFI) was issued by OSTP on July 18, 2005 requesting public comments in the implementation of this policy. Based on information gathered from the RFI, the Department of Energy developed this implementation plan.

Current Implementation Status:

DOE accepts applications with multiple PIs identified. DOE recognizes multiple PIs in the award document. The DOE Science Accelerator can search on all named authors of paper and reports allowing for recognition of multiple PIs.

More information on DOE policies and practices may be accessed here:
http://management.energy.gov/policy_guidance/financial_assistance.htm

(1) What Constitutes a Principal Investigator

Prior to this implementation plan, DOE had not formally defined what constitutes a PI. DOE is adopting a definition that does not differ in any material way from the Federal-wide definition identified in the RFI. As such, a PI is:

> A Principal Investigator is the individual(s) a research organization designates as having an appropriate level of authority and responsibility for the proper conduct of the research, including the appropriate use of funds and administrative requirements such as the submission of scientific progress reports to the agency. When an organization designates more than one PI, it identifies them as individuals who share the authority and responsibility for leading and directing the research, intellectually and logistically. The sponsoring agency does not infer any distinction in scientific stature among multiple PIs.

(2) Designation of Contact PI or Project Coordinator

To facilitate communication with DOE, the submitting entity will be asked to select a "Contact PI" or "Project Coordinator" at the time of application or proposal. The Contact PI/Project Coordinator will be responsible for relaying communications between all of the PIs and the DOE program officer. This designation, in and of itself, does not confer

any special authority or responsibility for the project. It is the applicant's responsibility to define the roles and responsibilities for this person and to provide this information to DOE. This designation may be rotated among the multiple PIs, with written notice to the DOE program officer and contracting officer of each change.

(3) Application Instructions

DOE's Funding Opportunity Announcements will specifically indicate that multiple PIs are allowed. The applicant, whether a single organization or team/partnership/consortium, must indicate in the application if the project will include multiple PIs. This decision is solely the responsibility of the applicant.

If multiple PIs will be designated, the application must identify in the application the Contact PI/Project Coordinator and provide a "Coordination and Management Plan" that describes the organization structure of the project as it pertains to the designation of multiple PIs. This plan should, at a minimum, include:

- o process for making decisions on scientific/technical direction;
- o publications;
- o intellectual property issues;
- o communication plans;
- o procedures for resolving conflicts; and
- o PIs' roles and administrative, technical, and scientific responsibilities for the project.

(4) PIs at Different Organizations

DOE supports collaborations, consortiums, teams, partnerships and other multiple organization arrangements in the performance research, development, demonstration and commercial application activities. Awards to such groups are made to a lead organization as designated by the group. If the Contact PI/Project Coordinator is not from the lead organization, the Coordination and Management Plan will address interaction between the Contact PI/Project Coordinator and the lead organization.

(5) Access to Review and Award Information

DOE is currently installing an acquisition and grants management system. The requirement to allow multiple PIs access to review and award information is being considered as this system is implemented.

(6) Identification of All PIs in Public Data Systems

DOE is currently installing an acquisition and grants management system. The requirement to identify all PIs is being considered as this system is implemented.