



Principal Investigators: Existing and Proposed Models

■ Single PI

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

■ Multiple PI's

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



Concepts

1. **Allow more than one Principal Investigator on grant applications and awards**
 - 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**
 - Key Personnel and their roles would be identified in NIH reports



Issues to Consider

1. **Follow the lead of other Federal Agencies**
2. **OSTP Directive**
3. **Contact or Corresponding PI**
4. **PIs at different institutions**
5. **Leadership Plan**
6. **Regulatory Issues**
7. **PI Signature Requirements**
8. **Data Issues**
 - Good data model
 - Current PI profile
 - multi-component grants
 - 424 Form – R&R dataset
 - Will require substantial modification of database, reports, and interfaces
9. **Apportionment of Credit or Levels of Support to Individual PIs**
10. **Effect on Department-Based NIH Reports**

NIH Request for Information

- Coordinate with OSTP
 - OSTP – Probe level of support for overall concept of Multiple-PIs across all federal agencies
- NIH
 - Issues specific to NIH
 - Collect information through website

NIH Draft - RFI

- Tentative Implementation Plan
 - Grant applications permitting more than one PI
 - Shared responsibility and accountability
 - Collect identifying information on PIs in databases and reflect in reports
 - Possibility of identifying “contact” PI
 - Leadership Plan
 - Like cooperative agreements
 - Define roles and responsibilities
 - Plans to resolve disagreements



NIH Draft - RFI

- Apportionment of funds to PIs
 - Linked to recognition in some institutions
 - May be quantitatively different from intellectual recognition
 - Potential impact on fluidity of funds within project
 - Potential for prior-approval
 - Neutral questions

NIH Draft - RFI

- Impact on Departmental Ranking Tables
 - Rank departments in medical schools according to awarded dollars
 - PIs from more than one department would make this difficult
 - RFI assess the value of the tables and how the tables are used
 - RFI assess the possibility that lists of awards with identified PIs and affiliated departments would satisfy the need for comparison

NIH Draft - RFI

- Linked awards
 - Collaboration between institutions normally managed using subcontracts or other consortial arrangements
 - Some cases where two or more awards are made
 - Linkage currently not possible but might be desirable
 - Concerns about affect on collaborative process
 - RFI assesses desirability of subcontracts relative to linked awards

Regulatory Change

- Regulations at 42 CFR 52.2
 - Current Definition
 - Principal investigator means a single individual designated by the grantee in the grant application and approved by the Secretary, who is responsible for the scientific and technical direction of the project.
 - Proposed Definition
 - Principal investigator means one or more individuals designated by the grantee in the grant application and approved by the Secretary, who is or are responsible for the scientific and technical direction of the project.



Proposed Workplan

1. Concept endorsement - **done**
2. Presentations at GMAC, POPOF, RPC, EPMC, ITWG, CWG, FDP - **done**
3. Approval at EAWG - **done**
4. Approval at Roadmap Interdisciplinary Working Group – **done**
5. Issue/coordinate NIH RFI with OSTP RFI – **nearly complete**
6. Incorporate comments from NIH and OSTP-RFI – **Summer 2005**
7. OGC opinion on signature/regulatory issues – **In process**
8. Begin formal eRA planning – **Summer 2005**
9. eRA design and development – **Fall 2005**
10. Pilot data collection for multi-PI using 424 R&R or revised 398/2590 - **Spring 2006**
11. Implement multi-PI reporting capability for Review, NGA, CRISP – **Summer/Fall 2006**
12. Full implementation with most research project grants – **Fall/Winter 2007**



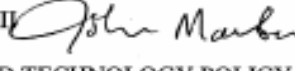
Workgroup on Co-Investigators and Co-PIs

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EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF SCIENCE AND TECHNOLOGY POLICY
WASHINGTON, D.C. 20502

January 4, 2005

MEMORANDUM TO ALL FEDERAL RESEARCH AGENCY HEADS

FROM: JOHN H. MARBURGER, III 
DIRECTOR
OFFICE OF SCIENCE AND TECHNOLOGY POLICY

SUBJECT: Policy concerning the treatment of Principal Investigators

Background: In 2003, the National Science and Technology Council, through the Committee on Science, Research Business Models (RBM) Subcommittee, collected public comment on policy implications of the changing nature of scientific research, particularly multidisciplinary and collaborative research. Among other issues, the public comments indicated that many scientific projects now involve more than a single contributing scientist and some have a compelling need for more than one principal investigator (PI) to manage the effort. Moreover, the collaborators are often from different institutions. Careers of these investigators are driven by credit for the work performed, and we should strive to recognize contributors across disciplines and institutions. Current policy at some agencies, however, prohibits multiple PIs, and therefore credit for work is not accurately reflected or assigned.

A working group of the RBM Subcommittee has deliberated this issue and recommended to the Committee on Science at their meeting on October 7 that it would be highly desirable to develop agency specific policy to acknowledge multiple investigators as appropriate on research awards (grants and contracts.) The following policy statement is consistent with this recommendation.

Policy: All federal research agencies should accommodate the recognition of two or more Principal Investigators on research projects (grants and contracts). This policy does not replace the use of a single Principal Investigator when that is most appropriate for the project. It establishes the appropriateness of multiple principal investigators in this era of complex multi-disciplinary research.

Next Steps: The RBM Subcommittee is establishing a working group of federal representatives appointed by each of its participating agencies (see attached.) The working group will develop an implementation strategy that meets the needs of both the research community and the funding agencies.

Progress in implementing this policy will be assessed by the rate of completion of agency specific policies and publication of that guidance in the RBM Toolkit.