Multiple Principal Investigators

Status Report

Daniel Sullivan
Walter Schaffer
Stolen by Tim Twomey
### 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?
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 a 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)
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
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
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.