

# **GRANTEE STAFF**

## **PRINCIPAL INVESTIGATOR**

DEFINITION - Principal Investigator/Program Director/Project Director: An individual designated by the grantee to direct the project or activity being supported by the grant. He or she is responsible and accountable to the grantee for the proper conduct of the project or activity.

RESPONSIBILITIES - Principal Investigator: The principal investigator (PI) (may also be known as "program director" or "project director") is the individual, designated by the grantee, responsible for the scientific or technical aspects of the grant and day-to-day management of the project. The PI must have a formal written appointment with the applicant organization, which must be in the form of an official relationship between the parties, but need not involve a salary or other form of remuneration. The PI is a member of the grantee team responsible for ensuring compliance with the financial and administrative aspects of the award. He or she works closely with designated officials within the grantee organization to create and maintain necessary documentation, including both technical and administrative reports; prepare justifications; ensure that Federal support of research findings is appropriately acknowledged in publications, announcements, news programs, etc. (see "Administrative Requirements Availability of Research Results: Publications and Intellectual Property, Including Unique Research Resources"); and comply with organizational as well as Federal requirements. NIH encourages the PI to maintain contact with the NIH Program Official with respect to the scientific aspects of the project. NIH also encourages the PI to maintain contact with the IC GMO concerning the business and administrative aspects of the award.

## **AUTHORIZED INSTITUTIONAL OFFICIAL**

DEFINITION - Authorized Institutional Official: The individual, named by the applicant organization, who is authorized to act for the applicant and to assume the obligations imposed by the Federal laws, regulations, requirements, and conditions that apply to grant applications or grant awards.

RESPONSIBILITIES - Authorized Institutional Official: This official is the designated representative of the grantee organization in matters related to the award and administration of its NIH grants, including those that require NIH approval or changes in award terms and conditions. In signing a grant application, this individual indicates the applicant organization's intent to comply with all applicable terms and conditions of award, including assurances and certifications referenced in the application, and attests to the fact that the administrative, fiscal, and scientific information in the application is true and complete and in conformance with governing Federal and organizational requirements. This individual's signature on the grant application further assures that the applicant organization will be accountable both for the appropriate use of funds awarded and for the performance of the grant-supported project or activities resulting from the application. (See also "Legal Implication of Application".) This individual is also responsible to NIH for ensuring that the organization complies with the terms and conditions of individual awards and organization-wide requirements, such as financial management and property management requirements. NIH does not specify the organizational location or full set of responsibilities for such an official; however, it requires the designation of such an official as the focal point for the organization's responsibilities as the grantee.

### Legal Implication of Application

The signature of an authorized institutional official on the application indicates the organization's intent to comply with the laws, regulations, and policies to which a grant is subject, including applicable public policy requirements (see "Public Policy Requirements and Objectives" in Part II). That official is also attesting to the fact that the information contained in the application is true and complete, and in conformance with Federal requirements and the organization's own policies and requirements. Applicants for and recipients of NIH grant funds, whether such funds are received directly from NIH, indirectly under a contract or consortium agreement, or as student assistance under a training grant, are responsible for and must adhere to all applicable Federal statutes, regulations, and policies, including income tax regulations. Questions concerning the applicability of income tax regulations to grant funds should be directed to the Internal Revenue Service (IRS). The applicant is also expected to be in compliance with applicable State and local laws and ordinances.

## **OTHER PARTICIPANTS**

**Collaborator:** An individual involved with the principal investigator in the scientific development or execution of the project. These individuals would typically devote a specific percent of effort to the project and would be identified as key personnel. The collaborator may be employed by, or affiliated with, either the grantee organization or an organization participating in the project under a consortium or contractual agreement.

**Consortium or Contractual Agreement:** An agreement whereby a research project is carried out by the grantee and one or more other organizations that are separate legal entities. In this arrangement, the grantee contracts for the performance of a substantial and/or a significant portion of the activities to be conducted under the grant. These agreements typically involve a specific percent of effort from the consortium organization's principal investigator and a categorical breakdown of costs, such as personnel, supplies, and other allowable expenses, including Facilities and Administration costs.

**Consultant:** An individual hired to give professional advice or services for a fee, normally not as an employee of the hiring party. In unusual situations, a person may be both a consultant and an employee of the same party, receiving compensation for some services as a consultant and for other work as a salaried employee. In order to prevent apparent or actual conflicts of interest, grantees and consultants must establish written guidelines indicating the conditions of payment of consulting fees. Consultants may also include firms that provide paid professional advice or services.

Consulting fees paid by an educational institution to a salaried member of its faculty are allowable only in unusual cases and only if both of the following conditions exist: (1) the consultation is across departmental lines or involves a separate operation; or (2) the work performed by the consultant is in addition to his or her regular workload. This practice must also be within the institution's policy.

In all other cases, consulting fees paid to employees of recipient or cost-type contractor organizations in addition to salary may be charged to PHS grant-supported projects only in unusual situations and when all of the following conditions exist: (1) the policies of the recipient or contractor permit such consulting fee payments to its own employees regardless of whether Federal grant funds are received; (2) the consulting services are clearly outside the scope of the individual's salaried employment; and (3) it would be inappropriate or not feasible to compensate the individual for these services through payment of additional salary.