

*Final Document from the ICOC RFA Task Force and CIRM*

The ICOC RFA Task Force and CIRM management have had three productive discussions in April, June and August of 2008. The following captures our conclusions and summarizes our recommendations to the ICOC.

**Principal Investigator (PI) Eligibility**

- Goal: Be as inclusive as possible, while ensuring that personnel will be sufficiently engaged and responsible for grant performance and oversight. The scientific quality of the PI is a major factor in ensuring that the proposed research will be executed optimally.
- Exception: These criteria will define PI eligibility for most RFAs. There will be RFAs such as New Faculty where the eligibility criteria may be of a different stringency in order to fulfill the objectives of the particular RFA.
- The Task Force and CIRM agree that no changes will be made to the Grants Administration Policy (GAP) in order to maintain flexibility.

**PI Eligibility Definition:**

The PI must:

- hold an M.D. and/or Ph.D. or equivalent degree
- be authorized by the applicant institution to conduct the proposed research in California
- By the application deadline:
  - be an independent investigator at a non-profit applicant institution, or have an equivalent position and be an employee of a for-profit applicant institution
  - have documented authority from the applicant institution to staff the proposed project
  - have documented authority from the applicant institution for access to space and shared resources sufficient to carry out the proposed research.

**Co-Principal Investigators:**

The Task Force and CIRM agree on the importance of allowing for of Co-Principal Investigators (Co-PIs). The following is an update on implementing Co-PIs into CIRM's processes.

- Purpose: Recognition of leadership contributions of PI and Co-PIs to the project and recognition of the financial benefit each brings to their institution.
- CIRM requires that a single PI and a single institution (that PI's institution) be designated in each application. The single most important reason for this is scientific and financial accountability. Secondary considerations are the requirements of Grantium (allows only a single investigator to be designated as PI) and the impact on reviewers and staff.
  - The PI is the designated point of scientific contact for CIRM and is the person responsible and accountable to CIRM for scientific performance on the award.
  - The grantee institution is the designated contact institution for all financial and other administrative considerations.

- PI and Co-PI working parameters
  - PI and Co-PI(s) allowed on selected future RFAs
    - Co-PIs will be addressed in the context of the Concept Plan for the RFA
  - Budgeting Issues
    - Allow separate budgets for PI and each Co-PI
    - Award data reporting will be different from data on “where the actual check goes”
- CIRM is working to implement Co-PIs in Grantium for the Disease Team Research Awards.
- CIRM and the Task Force agree no changes be made to the GAP regarding Co-PIs.

### **Limits on Percent Effort**

CIRM, in contrast to the NIH, has a limited lifespan in which to accomplish its mission. Funding is commensurate with a sense of urgency to accomplish the mission that should be matched by a commensurate effort by key personnel, especially the PI and Co-PIs.

Therefore CIRM, mindful of the urgency of its mission, will require a minimum percent effort of the PI (and Co-PIs), typically 10%, where it deems such minimum effort is necessary to ensure PI (Co-PI) oversight and timely accomplishment of the proposed research. Extraordinary circumstances may be applied by CIRM, at the discretion of the President, to allow senior research scientists to have reduced percent effort commitment in the interests of obtaining the best outcomes for a research project. CIRM and the Task Force agree that no changes will be made to the GAP in order to maintain flexibility.

### **Limits on the Number of Applications**

CIRM and the Task Force agree that CIRM will place limits on the numbers of proposals from non-profit and for-profit institutions when governed by projected capacity limitations of the research management or scientific review groups. When limits to the number of applications are anticipated, CIRM will include the limits in the Concept Plan. CIRM and the Task Force agree that no changes will be made to the GAP to maintain flexibility.