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To: All Faculty, Department Chairpersons, and Administrators
From: Jessica Moise, Grants and Contracts
Date: December 2006
Subject: Multiple PI Guidance on NIH Applications

Dear Investigators and Administrators,

As many of you are aware, as of the February 5, 2007 submission date NIH will begin to allow grant applications with multiple PIs on grant mechanisms utilizing the SF 424 submission packet. NIH has a web-page devoted to this new policy which may be accessed at http://grants1.nih.gov/grants/multi_pi/index.htm.

High-lights of program:

1. Multiple PIs are all primary PIs - NIH has never formally recognized a Co-Principal Investigator designation, and this policy will continue. **Never use the term Co-Principal Investigator on an NIH grant.**
2. A substantial level of effort in itself does not qualify an investigator for PI status.
3. The PIs must share responsibility for the scientific and technical direction of the project as a whole and will remain accountable to the grantee organization and to the NIH for the proper conduct of the project or activity.
4. Inclusion of a "weak" or inappropriate PI will reflect negatively on both the "Approach" and "Investigators" review criteria and make the grant less competitive/less likely to be funded.
5. NIH is **not** requesting separate budgets at this time.
6. A contact PI will need to be designated. This is the person who will be allowed to speak to individuals at NIH regarding the grant. No other privileges are conferred.
7. A leadership plan is required of all grants proposing multiple PIs. This plan will be scored.
8. **MSSM has developed guidance and some required language for this section. Please see template at the end of this letter.**
9. NIH and Institutional prior approvals will require all PIs' signatures institutionally. All PIs will need to sign GCO page 8, PI assurance form.

Lessons from the Pilot Program - NIH piloted the program over the fall on a limited number of RFAs. The most common **errors** that they found were:

1. In some cases, applications described projects that included PIs that did not have an identified function within the leadership team based on their expertise and the nature of the project.
2. In some cases applications identified PIs who seemed too junior to function in a leadership role and in other cases it appeared that senior PIs were included in what might be a considered a "courtesy role".
3. In other cases, it appeared that the leadership team had been expanded only to justify additional salary support for involved personnel.

Please use the multiple PI option judiciously and contact GCO if you have additional questions or concerns.

Roles/Areas of responsibility of the Principal Investigators (PIs)

PIs' discretion with the following exceptions:

- where human subject or vertebrate animal research are involved , one PI will be the responsible PI of record for the compliance committees; and
- One PI will be the Contact PI for NIH.

Fiscal and management coordination:

PIs' discretion

Process for making decisions on scientific direction and allocation of resources:

PIs' discretion

Data sharing and communication among investigators:

PIs' discretion

Publication and intellectual property (if needed) policies:

Required Language:

Publication authorship will be based upon the relative scientific contributions of the PIs and key personnel, as is currently handled in any collaboration.

IP language should not be necessary unless PIs are at multiple institutions since patent ownership is determined by federal law. If there are multiple institutions involved, please contact the Office of Industrial Liaison for guidance since other IP determinations (filing, reporting etc.) must be determined prior to submission.

Procedures for resolving conflicts:

Required Language for Single Institution Applications:

If a potential conflict develops, the PIs shall meet and attempt to resolve the dispute. If they fail to resolve the dispute, the disagreement will be referred to a multiple PI arbitration committee composed of faculty of MSSM. Any Chairs, Institute Directors or Division Chiefs on the committee must recuse themselves if any of the PIs have appointments in their department, institute, or division, respectively. The committee will be co- chaired by the Deans for Basic Science and Translational Biomedical Research, and all PIs agree that any decisions made will be final and binding.

Alternate Language for Applications with a PI at a Sub-Award Site:

If a potential conflict develops, the PIs shall meet and attempt to resolve the dispute. If they fail to resolve the dispute, the disagreement will be referred to a multiple PI arbitration committee composed of faculty of MSSM. In addition, [Insert Name of Sub-Award Site] may elect to send a faculty member to serve on this committee. Any Chairs, Institute Directors or Division Chiefs on the committee must recuse themselves if any of the PIs have appointments in their department, institute, or division, respectively. The committee will be co- chaired by the Deans for Basic Science and Translational Biomedical Research, and all PIs agree that any decisions made will be final and binding.

Alternate Language for Applications with PIs at multiple Sub-Award Sites:

If a potential conflict develops, the PIs shall meet and attempt to resolve the dispute. If they fail to resolve the dispute, the disagreement will be referred to a multiple PI arbitration committee composed of faculty of MSSM. In addition, [Insert Name of first Sub-Award Site] and [Insert Name of second Sub-Award Site] may each elect to send a faculty member to serve on this committee. Any Chairs, Institute Directors or Division Chiefs on the committee must recuse themselves if any of the PIs have appointments in their department, institute, or division, respectively. The committee will be co- chaired by the Deans for Basic Science and Translational Biomedical Research, and all PIs agree that any decisions made will be final and binding.

