



Multiple Principal Investigators

Rebecca Claycamp
Chief Grants Management Officer
National Institute of Mental Health
National Institutes of Health

1

Multiple PI Initiative: Why?

- Recognition that a growing number of Principal Investigators (PIs) work in teams
- Many projects dependent on collaboration
- Growing consensus that team science is discouraged by recognition of only one PI.
- Other Federal agencies have recognized PIs and co-PIs for years

2

Multiple PI Initiative: Need for More than One PI?

- Need for change expressed in:
 - Recommendations from NIH Bioengineering Consortium (BECON) Symposium 2003
 - NIH Roadmap initiative to stimulate interdisciplinary science 2004
 - Directive from Office of Science and Technology Policy January 2005 (OSTP)

3

**Multiple PI Initiative:
Community Support?**

- Requests for Information (RFIs) issued by OSTP and NIH in July 2005
 - OSTP found overwhelming support for concept of listing more than one PI
 - NIH explored nuances including:
 - Apportionment to individual PIs
 - The use of linked awards for projects spanning more than one institution
 - Discontinuation of Departmental Ranking Tables
 - The NIH RFI also indicated strong support for the ability to recognize more than one PI.

4

Multiple PI Pilot

- Extensive NIH eRA system redesign to handle more than one PI
- Multiple PI offered as an option in 9 RFAs and PAs beginning in May 2006.
- More than 210 applications were received through the pilots; more than 60 named multiple PIs.
 - About 30% included multiple PIs
 - Expect lower usage rate.

5

Multiple PI Pilot (con't)

- Made small number of awards associated with first RFA (*some awards issued 9/2006, others to be issued from pilot in first half of 2007*)
- Interviewed PIs and Reviewers to finalize definitions, instructions to applicants, and review criteria
- Published in Notice that appeared in the NIH Guide on November 20, 2006
- Following Principles have emerged

6

Plans for Deployment of Multiple PI Option

- Begin with research grant applications submitted electronically on SF 424 R&R for February 2007 receipt dates
- MP permitted on applications for: R01, R03, R13/U13, R15, R18/U18, R21, R21/R33, R25, R34, R41, R42, R43, R44, and C06/UC6
- Will not apply to some awards like individual fellowships and career awards, dissertation grants (R36), Shared Instrumentation Grants (S10), or Pioneer Awards (DP1)

7

Plans for Deployment of Multiple PI Option (con't)

- In the future extend the multiple PI option to most other research grant applications when they transition to an electronic format.
- Some paper applications (PHS 398) will allow inclusion of more than one PI, but only when clearly indicated in the soliciting RFA or PA.
- See Notice published in the Guide on November 20, 2006.

8

Multiple PI: Grant Applications FOAs Using PHS 398 Forms

- RFAs and PARs using PHS398 forms will only use multiple PI option, if specifically designated
 - FOA must clearly state multiple PI option is available
- PHS398 instructions have been modified
 - Use "Face Page Continued" form to list additional PIs
 - Include Leadership Plan in new Section I
- Multi-project grant applications may include multiple PIs for subprojects as well as entire program
- For application submitted incorrectly, CSR will accept application but will send a letter advising applicant of the error

9

Core Principle #1 PIs are PIs

- The presence of more than one PI does not diminish the responsibility or accountability of any PI
- Definition of PI in all funding announcements, application packages and on the multiple PI website.
- To avoid confusion the term “Co-PI” will not be used by NIH

10

Core Principle #1: PIs are PIs (con't)

- PIs on a Multiple PI grant are designated by the applicant institution
- PIs have the authority and responsibility to direct the project and they work as a team to lead and direct the project.
- Each PI is accountable to the applicant organization for the proper conduct of the project.

11

Eligible Investigators NIH Definition for Principal Investigators

- “The individual(s) judged by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program supported by the grant. The applicant organization may designate multiple individuals as PIs who share the authority and responsibility for leading and directing the project, intellectually and logistically. Each PI is responsible and accountable to the applicant organization, or, as appropriate, to a collaborating organization, for the proper conduct of the project or program including the submission of all required reports.”

12

NIH Definition of Principal Investigator (cont.)

- The presence of more than one identified PI on an application or award diminishes neither the responsibility nor the accountability of any individual PI
- **Note:** *In documents associated with electronic applications the PI is called the PD/PI (Project Director/Principal Investigator)*

13

Core Principle #2: Multiple PI is an Option not a Requirement

- The decision to apply with more than one PI is the responsibility of the investigators and the applicant institution.
- Decision must be consistent with the scientific goals of the project
- PIs on a Multiple PI grant are accountable for all aspects of the project.

14

Use of Multiple PI Option

- Use of Multiple PI option should be determined by the scientific goals of the project or program
- Projects involving “team science” approach are appropriate
 - Rationale should be provided for use of Multiple PI
 - Project would not be optimally served by the single-PI model
- Remember – PIs share responsibility for leading and directing project, intellectually and logistically

15

**Core Principle #3:
Multiple PIs Does Not Imply
More Than One Project**

- The application is the same as it would be for a single PI, with the exception of an expanded list of PIs and a Leadership Plan.
- The project is reviewed as a single project, regardless of the PI number.
- If PIs are at multiple institutions, project is managed using a consortium agreement or subaward.
 - Linked awards will be possible in the future, after the development of systems support.

16

**Core Principle #4:
All PIs will be Recognized
in NIH Reports**

- All PIs listed in all documents/databases
 - Applications
 - NIH eRA Database (IMPACII)
 - NIH Commons (all PIs must have PI Role-Type Commons account)
 - Summary statements
 - Notice of Grant Award
 - CRISP

17

**How will NIH interact with the PI
team?**

- Institution must designate a primary point of contact - a Contact PI.
 - This individual is listed first on the application and will be indicated on all documents.
 - The contact PI must be associated with the applicant/awardee institution.
- When requested by the grantee institution at the time of a non-competing application, another member of the leadership team may assume the role of contact PI.
- Contact PI has no extra authority or responsibility other than serving as a contact point for the project.

18

Submission Process Changes in Grant Application Instructions

- Eligible Individuals/Investigators
- Content and Form of Application Submission
 - Designation of Contact PI
 - Leadership Plan
 - Allocation of resources
- eRA Commons Registration
- Review Criteria

19

Eligible Investigators NIH Definition for Principal Investigators

- “The individual(s) judged by the applicant organization to have the appropriate level of authority and responsibility to direct the project or program supported by the grant. The applicant organization may designate multiple individuals as PIs who share the authority and responsibility for leading and directing the project, intellectually and logistically. Each PI is responsible and accountable to the applicant organization, or, as appropriate, to a collaborating organization, for the proper conduct of the project or program including the submission of all required reports.”

20

Special Instructions for SF424 (R&R)

- One of the PIs will be designated as “Contact” PI
 - Contact PI information will be listed as the PD/PI in the SF424(R&R) Cover component (Section 4.2.15)
 - Information automatically prepopulates the first Senior/Key Person profile record in this component
- All other PIs should be listed in the R&R Senior/Key Person component
 - List PIs first then other Senior/Key Persons
 - All PIs must be assigned the project role of “PI”
 - All must include Credential (eRA Commons UserID)
- NIH does not recognize the role of “co-PI” (*will get a warning when using this project role from the list*)

21

Multiple PI: Grant Application Contact Principal Investigator

- Contact PI must be from the applicant Institution if PIs are from more than one institution
- Contact PI is responsible for:
 - Communication between the PIs and the NIH
 - Assembling the application materials
 - Coordinating progress reports for the project
- On complex projects, Contact PI may request additional effort for coordination responsibilities

22

Multiple Principal Investigators

- No ceiling on number of PIs
 - Senior/Key person component expanded to collect data on up to 40 individuals
- Competitive renewal (type 2) applications may change from single to multiple PIs
 - Additional PIs can not be added to an existing award (type 5)
- No minimum person-months requirement for PIs; however, must still meet fundamental definitions

23

Multiple Principal Investigators “New Investigators”

- Multiple PI applications may include both senior and “new investigators”
- “New investigator” box only checked when ALL PIs are new investigators
- For purpose of classification as a New Investigator, serving as PI on multiple PI grant equivalent to serving as PI on single PI grant.
- If new investigator is funded on multiple PI grant, he/she no longer qualifies as new investigator on single PI grant application

24

eRA Commons Registration

- All PIs must be registered in the eRA Commons prior to submission
 - Commons ID of each PI must be included in the “Credential” field of the R&R Senior/Key Person component
 - PIs must have a “PI role” in the eRA Commons and be affiliated to their applicant institution
 - If all PIs are not registered, application will be rejected
- PIs at another institution (consortium/subaward) need only be affiliated to their own institution
- All PIs have same viewing privileges in eRA Commons (application, summary statement, etc)

25

New Section Multiple PD/PI Leadership Plan

- “Multiple PD/PI Leadership Plan” is required
 - Section 14 of the Research Plan
 - Does not count towards Research Plan page limitations
- Provide rationale/justification for choosing multiple PIs for the project or program
- Administrative, technical, and scientific responsibilities for the project described for each PI

26

Multiple PD/PI Leadership Plan (con’t)

- Governance and organizational structure of the leadership team including:
 - Process for making decisions on scientific direction
 - Information on the management of the research team
 - Communication plans
 - Procedures for resolving conflicts
- Application will be rejected if Leadership Plan missing (fails validation process if multiple PD/Pis are included)

27

Multiple PD/PI Leadership Plan (con't)

- PIs may request budget allocation to be included in Notice of Grant award
 - Leadership Plan should delineate distribution of resources if budget allocation is planned
- Recognition of Multiple PI should not increase the cost of the project

28

Changes in Review Criteria

- Applicants should address for all PIs
 - The relationship, roles, and responsibility of the collaborating PIs will be assessed as a part of the "Approach"
 - The qualification of all PIs will be assessed under "Investigators"
 - If multiple environments are employed the quality will be assessed under "Environment"
- The section on Review issues will cover this in considerable detail

29

Allocation of Budgets

- For now, budget allocations (when used) will be informal
 - based on decision by the PIs and the institution presented in the Leadership Plan (an option, not a requirement)
 - allocation request will be acknowledged in an NGA footnote
- More formal allocations that might include separate line items on the NGA or even separate awards to support specific components will be considered/developed based on the needs of the community.

30

When can applicants change from single PI to multiple PIs?

- Renewal or competing continuation (type 2) application
- Resubmission or amended application (A1, A2)
 - Discuss change in Introduction and include Leadership Plan
- Additional PIs can not be added at the time of the yearly continuation (type 5)

31

What is the same from a Grants Management perspective?

- Same general grants policy principles will apply
- A single Type 5 Progress Report will be submitted
- For the progress report and prior approvals, the signature of the PI is not required. Instead, the applicant organization agrees to secure and retain a written assurance from the PI for any submission: with multiple PIs, this means *all named PIs*.

32

More Post Award Considerations

- Ideally revision of Leadership Plan during the project period can be made via a joint decision of the PIs and the institution: the new 2590 checkbox
- As for single PI projects, non-competing progress reports and prior approval requests will permit NIH monitoring
- As for single PI projects, change of scope of the project and change in PI will still require NIH prior approval
- Other prior approvals still apply; e.g., change in status of PI applies to all

33

What if a PI withdraws from the grant?

- Is not a simple matter of a single change of PI request
- Request must be evaluated in consideration of the whole team project, including scope of work and leadership plan
- “One for all and all for one.”

34

What if the contact PI changes institution?

- Just because the contact PI moves, does **not** automatically mean we will transfer the grant.
- Remember the contact PI is only an informational liaison; s/he is otherwise equal to the other PI(s). The team of PIs and the grantee institution need to be involved in any such decision.

35

What are the options if a PI changes institution?

- The grantee can request a realignment of the budget to establish a consortium to the organization of the moving PI. If the Contact PI moves, the grantee can request a change in the Contact PI. (Remember, current policy is that the contact PI must be at the grantee organization.)
- The grantee can relinquish the grant to permit transfer. However, as PIs will still be at the original institution, even the transfer grant would need to be realigned to establish a consortium.

36

Changes in Ranking Tables

- Beginning with FY2007 data, NIH will no longer provide comparative ranking tables
- Major driver behind this change is Multiple PI
- Instead a web-based tool for determining dollars awarded to any one organization has been developed
- See January 2007 Nexus article and the new website:
<http://grants.nih.gov/grants/award/trends/FindOrq.cfm>
- Website includes e-mail address for questions

37

Questions?

http://grants2.nih.gov/grants/multi_pi/

Most Recent Implementing Guide Notice:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-07-017.html>

38
