# **NIH Multiple PD/PI Leadership Plan Guidelines**

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***Guidelines***

1. *Required when you designate multiple PDs/PIs on the Key Person Profile Expanded Form*
2. ***Format:***
   1. *No page limit*
   2. *Margins min. 0.5”*
   3. *NIH-recommended fonts: Arial, Georgia, Helvetica, Palatino Linotype*
3. ***Content:***
   1. *A rationale for choosing a multiple PD/PI approach*
   2. *Governance and organizational structure of the leadership including:*
      1. *The roles and administrative, technical, and other responsibilities of the PDs/PIs and collaborators*
      2. *Communication plans*
      3. *Processes for making decisions*
      4. *Procedures for resolving conflicts*
   3. *If budget allocation is planned, the distribution of resources to specific components of the project or the individual PD/PIs should be delineated*
4. *When form is complete:*
   1. *Remove this box*
   2. *Save file as “Multi PI Plan”*

**Rationale:**

1-2 sentences on assurance that each site and PI have requisite expertise and ability to execute the proposal. 1-2 sentences on assurance that sites and PIs have expertise and ability to work together seamlessly.

In 1-2 paragraphs each, describe each PI’s relevant experience, how they are distinctly different and how they will use their expertise to co-lead the project.

*Sample Language for Rationale:* This application involves XYZ. Because the integrated approaches of this study require specific expertise in XYZ, the multiple PI model has been chosen because a successful project requires equal input from each PI. PIs #1 and #2 are recognized leaders in their fields and are excellent choices to ensure that the goals of the project are carried out in the most effective manner possible. [insert each PI’s expertise, experience and ability to execute proposal]. Governance and organization falls naturally into the areas of expertise brought to the project by PI#1 and PI#2. [insert PI ability to work together seamlessly].

**Governance and Organizational Structure:**

**Roles and Responsibilities:**

Specify which areas of leadership each PI will be responsible for (Administration, communication, projects, and cores). Clarify who will be the contact PI.

*Sample Language for Roles and Responsibilities:* PI#1 at Institution A will be responsible for the oversight and coordination of project management for Aim X. PI#2 at Institution B will be responsible for Aims Y and Z. PI#1 will serve as contact PI and be responsible for submission of progress reports to NIH and all communication.

**Communication:**

1 paragraph detailing communication plan. Include particular emphasis on geographical distribution of PIs if they are at different sites.

*Sample Language for Communication:* The PIs will communicate weekly, either by phone, e-mail, or in person, to discuss experimental design, data analysis, and all administrative responsibilities. All PIs will share their respective research results with other PIs, key personnel, and other significant contributors. They will work together to discuss any changes in the direction of the research projects and the reprogramming of funds, if necessary. A publication policy will be established based on the relative scientific contributions of the PIs and key personnel.

**Process for Making Decisions on Scientific Direction**

Describe how PIs will make decisions on scientific direction (i.e. Steering Committee, relevant data available, etc.).

*Sample Language for Making Decisions on Scientific Direction:* The PIs will form a Steering Committee (membership may include PIs, key personnel, other significant contributors, etc.) that will manage the oversight and coordination of project management, research administration, publications and data sharing, and integration of all resources needed for the project. The Steering Committee will oversee decisions on minor changes in research direction and have the authority to reallocate funds and resources between PIs. PI#1 will serve as Chair of the Steering Committee and be responsible for communication among PIs, including meeting schedules and agendas. The position of Chair will rotate among the PIs on a yearly basis.

**Intellectual Property:**

1 paragraph about intellectual property and how it will be managed. Include particular emphasis on managing IP if PIs are from two different institutions.

*Sample IP Language for UCLA Multi PIs*: Though it is not anticipated as part of this project, if any intellectual property is developed, all PIs have agreed that UCLA Technology Development Group (TDG) will be responsible for preparing and negotiating any agreements about intellectual property resulting from this collaboration and will work with UCLA TDG to ensure that any IP resulting from this award is protected according to the policies established in the agreement and in accordance with University of California intellectual property policies.

**Dispute Resolution:**

1 sentence assurance that disputes are highly unlikely due to past experience of PIs working together collaboratively. Include 2-3 sentences on potential dispute resolution plan, should an issue occur.

*Sample Language for Dispute Resolution*: The PIs have been colleagues for over X years and have X publications together. [1 sentence description of each’s leadership expertise.] These experiences create a solid foundation for collaborative work, and thus no disputes that require resolution are anticipated. The PIs will discuss first and last authorship roles for publications. In the unlikely case of scientific or financial conflicts, the PIs will first attempt to resolve issues internally. If no agreement can be reached, they will resolve the conflict through arbitration by a mutually agreed upon senior person (or persons) in a leadership role at UCLA who is not directly involved in the disagreement. If this process is unsuccessful, additional appeal processes are available through PHS regulation 42 CFR Part 50, Subpart D and DHHS regulation 45 CFR Part 16.

**Change in PI Location:**

1 brief paragraph that PIs are unlikely to change location, but plans are in place in case this happens.

*Sample Language for Change in PI Location*: Both PIs have stable academic appointments and do not envision any relocation. However, in the unlikely event that a PI does relocate or is unable to carry out the PI’s duties, a new PI will be recruited as a replacement at one of the participating institutions subject to the approval of [Departmental Leadership, IAB/EAB Approval, and/or the NIH Program Officer].

**Distribution of Resources:**

Describe how resources will be distributed to specific components of the project or the individual PD/PIs.

*Sample Language for Distribution of Resources:* The Institution will subdivide the award funds and each PI will be responsible for his/her own budget. Resources will be evenly divided between the PIs in line with the methods indicated in the application.