

Most common personnel types in NIH grant applications.

Personnel Type	Key personnel	Works at WCM (appointment/ work contract)	Effort at WCM	Listed in the budget	Budget justification	Biosketch Required	Letter of Support	Listed in the Notice of Award (NOA)	Notes
PD/PI	✓	✓ The PD/PI has a primary appointment at WCM. If multiple PD/PI, at least one works at WCM	Max 98%	✓	✓	✓	✗	✓	Each PD/PI of a multiple PD/PI application is defined as PD/PI
co PD/PI	----- - NON VALID Personnel Type at the NIH - -----								
Co-Investigator	✓	✓ Or in a subrecipient institution	Usually less % effort than the PD/PI	✓ Unless cost sharing	✓	✓ If key personnel	Usually ✗	✓ Possible	If cost sharing, letter needed
Collaborator	----- Used to be a Co-Investigator with low % effort ----- ----- Status not USED any more at WCM -----						*unpaid collaborator = OSC *paid collaborator at WCM = Co-Investigator *paid collaborator in another institution = Co-Investigator or Subrecipient		
Other Significant Contributor (OSC)	✗	✓ Or in an external institution without a subcontract (because OSC are not paid)	0% Effort: "as needed"	✗	✓	✓ Required	✓ Recommended	✗	Will be listed after all key personnel in SF424(R&R) document.
Consultant	Usually ✗	✗	N/A	✓	With rate of compensation and anticipated time of consultation ✓	✓ If key personnel (rare)	✓	✗	An unpaid consultant should be listed as an OSC.
Post-doctoral Associate	✓ When post doc fellowship and possible otherwise	✓ Or in a subrecipient institution	Max 98%	✓	✓	✓ If key personnel (rare)	✗	✓ If F32 fellowship	
Graduate Student	✓ Rarely	✓ Or in a subrecipient institution	Max 98%	✓	✓	✓ If key personnel	✗	✓ If F30 and F31 fellowships	
Technician, Research Assistant, Research Coordinator	✗	✓ Or in a subrecipient institution	Max 100%	✓	✓	✗	✗	✗	
Career Development Award Applicant	✓	✓	Usually min 75%	✓	✓	✓	✗	✓	
Mentor of a Career Development Award Applicant	✓	✓ Or in an external institution without a subcontract (because mentors are not paid)	Usually 0%	✗	✗	✓	✓	✓ Possible	

□ Definitions of NIH Personnel (As of July 2015)

- **Program Director/Principal Investigator (PD/PI):** The individual(s) designated by the applicant organization to have the **appropriate level of authority and responsibility to direct the project** or program to be supported by the award. The applicant organization may designate **multiple individuals as program directors/principal investigators (PD/PIs) who share the authority and responsibility for leading and directing the project, intellectually and logistically**. When multiple PD/PIs are named, each 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. The presence of more than one PD/PI on an application or award diminishes neither the responsibility nor the accountability of any individual PD/PI.
- **Senior/Key Personnel:** The PD/PI and other individuals who **contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation** under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a post-doctoral role also may be considered senior/key personnel if they meet this definition. Senior/key personnel must devote measurable effort to the project whether or not salaries or compensation are requested. **"Zero percent" effort or "as needed" are not acceptable levels of involvement for those designated as Senior/Key Personnel.**
<http://grants.nih.gov/grants/glossary.htm#Senior/KeyPersonnel>.
Note: Key personnel always submit their bio-sketches.
- **Co-Investigator:** An individual involved with the PD/PI in the scientific development or execution of a project. The Co-Investigator (**collaborator**) may be employed by, or be affiliated with, the applicant/recipient organization or another organization participating in the project under a consortium agreement. A Co-Investigator typically **devotes a specified percentage of time to the project** and is considered [senior/key personnel](#). The designation of a Co-Investigator, if applicable, does not affect the PD/PI's roles and responsibilities as specified in the **NIH Grants Policy Statement**, nor is it a role implying multiple PD/PI.
- **Consultant:** An individual who **provides professional advice or services for a fee, but normally not as an employee of the engaging party**. In unusual situations, an individual 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. To prevent apparent or actual

conflicts of interest, recipients and consultants must establish **written guidelines indicating the conditions of payment of consulting fees**. Consultants also include firms that provide professional advice or services. (See [NIH Grants Policy Statement:Â 7 Cost ConsiderationsÂ 7.9 Allowability of Costs/ActivitiesÂ 7.9.1 Selected Items of CostÂ Consultant Services](#))

- ❑ [Other Significant Contributors \(OSCs\)](#): Individuals who have committed to contribute to the scientific development or execution of the project, but are not committing any specified measurable effort (i.e., person months) to the project. These individuals are typically presented at "effort of zero person months" or "as needed." **Individuals with measurable effort may not be listed as Other Significant Contributors (OSCs)**. Consultants should be included if they meet this definition.
<http://grants.nih.gov/grants/glossary.htm#OtherSignificantContributors%28OSCs%29>.
- ❑ [Other personnel](#): applies to post-doctoral associates, graduate students, undergraduate students and secretarial/clerical staff not already named in the key/personnel section.
- ❑ [Senior/key personnel named in NoA designated by NIH](#): PD/PI(s) are always considered senior/key personnel and are always named in the Notice of Award (NoA). NIH program officials use discretion in identifying in the NoA senior/key personnel other than the PD/PI(s), and may identify individuals that are considered critical to the project, i.e., their absence from the project would have a significant impact on the approved scope of the project. The prior approval requirement for changes in status of personnel applies only to those senior/key personnel named in the NoA. Limiting the number of individuals that are named in the NoA does not diminish the scientific contribution to the project of the senior/key personnel not named in the NoA; it does reduce the number of individuals subject to the prior approval requirement.
- ❑ **Check FAQ on Senior Key Personnel at**
http://grants.nih.gov/grants/policy/senior_key_personnel_faqs.htm#1667