

Key Personnel Effort Outreach and Education Session

March 3, 2017

Office for Sponsored Research and Award Administration

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UG 200.308 (c)(1)(iii)

- ▶ (c)(1) For non-construction Federal awards, recipients must request prior approvals from Federal awarding agencies for one or more of the following program or budget-related reasons:
 - ▶ (i) Change in the scope or the objective of the project or program (even if there is no associated budget revision requiring prior written approval).
 - ▶ (ii) Change in a key person specified in the application or the Federal award.
 - ▶ (iii) The disengagement from the project for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

Let's work through some examples

Example #1

- ▶ Lead PI is David Hurtwitz
- ▶ Award is from the Oregon Department of Transportation
- ▶ Cayuse SP cover page indicates 8% effort, a total of 1.5 person months and 1 budget period; proposal budget lists funding for PI effort and justification lists 0.5 months of PI time
- ▶ Award document lists period of performance ending 1/15/19
- ▶ Award document does not specifically mention PI effort, but does reference period of performance through multiple fiscal years
- ▶ What would you expect to see as key personnel effort on the PI letter?

Example #1

- ▶ Key personnel effort would be listed as 0.5 month
- ▶ There is a graduate student budgeted for years 1 and 2
- ▶ What if David Hurwitz increases his paid effort on this project? What if David Hurwitz decreases his paid effort?

Example #2

- ▶ Lead PI is Travis Walker
- ▶ Award is from National Science Foundation
- ▶ Cayuse SP cover page indicates 8.33% effort, a total of 5 person months and 5 budget periods; proposal budget lists funding for 1 month PI effort each summer and justification also lists 1 summer month each year
- ▶ Award document period of performance as 4/1/17 - 3/31/22
- ▶ Award document does specifically mention PI effort in budget, and but does reference through multiple budget years
- ▶ What would you expect to see as key personnel effort on the PI letter?

Example #2

- ▶ Key personnel effort would be listed as 8 percent for each budget period
- ▶ There is a graduate student budgeted for years 1 and 2
- ▶ What if Travis Walker increases his paid effort on this project? What if Travis Walker decreases his paid effort?
- ▶ What if he reduces his effort to 4% in budget period 1 and indicates he is going to increase it to 12% in budget period 2?

Example #3

- ▶ Lead PI is Lisa Madsen
- ▶ Award is from U.S. Fish and Wildlife
- ▶ Cayuse SP cover page indicates 0.06% effort, a total of 0.072 person months and 1 budget period; proposal budget lists funding for PI effort at ~ 1 week and 2 days
- ▶ Award document lists period of performance as 9/16/16 - 9/15/17
- ▶ Award document does not specifically mention PI effort, but does require immediate communication with project officer if there are significant changes to the approved budget or project personnel
- ▶ What would you expect to see as key personnel effort on the PI letter?

Example #2

- ▶ Key personnel effort would be listed as 0.00522
- ▶ Virtually any change in Lisa Madsen's effort would be a significant change

Example 3 - A Labor Distribution Example

- ▶ Grant Index is S1442A and lead PI is James Lerczak
- ▶ Sponsor is National Science Foundation and award start date was 5/15/2012; award is now in its second no-cost extension and expires 4/30/2017; it is a collaborative project
- ▶ This is a pre-Cayuse proposal submission but the NSF proposal lists three months effort for three years
- ▶ What would you expect to see as an explanation on the labor distribution form?
- ▶ There are no other OSU key personnel

Example 3

- ▶ For no-cost extension #2, it is reasonable to presume that the lead PI would have a reduction of effort because the PI is likely just finishing up analysis and reporting

Example 4 - A Labor Distribution Example

- ▶ Grant Index is S1808A and S1808B, and lead PI is James Lerczak (note: 2 indices because of change in F&A rate to 47%)
- ▶ Sponsor is National Science Foundation and award performance period is 2/1/16 - 1/31/19; it is also a collaborative project
- ▶ Cayuse SP page lists sponsored effort at 16.7% and 6 person months; proposal budget lists 2 months effort annually
- ▶ The PI will need to increase his effort because he was unable to hire a postdoc; he was able to hire an FRA however
- ▶ What would you expect to see as an explanation on the labor distribution form?

Example 4

- ▶ The labor distribution correctly documented that the PI will need to increase effort since planned postdoc hire wasn't completed. A statement that the scope of work would not be affected by this increase.
- ▶ The PI signed the labor distribution form to confirm that statement.