Key Personnel Effort
Outreach and Education
Session
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Office for Sponsored Research and Award Administration
Zach Gill - Director, Proposal and Award Management
(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.