Defining NIH Key Personnel

Distinct Categories of Significant Project Personnel
Research Grants and Contracts (RGC) regularly receives inquiries regarding the correct definitions for various categories of project personnel on NIH grants and the pre-award administrative requirements that pertain to them. NIH currently uses three categories of personnel for which there are differing administrative requirements:

- **Key Personnel**
- **Other Significant Contributors**
- **NGA-Specified Personnel**

### Key Personnel
The NIH Grants Policy Statement (12/03) defines Key Personnel as follows:
The 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 key personnel if their involvement meets this definition. Consultants also may be considered key personnel if they meet this definition.

"Zero percent" effort or "as needed" is not an acceptable level of involvement for key personnel.

### Other Significant Contributors
(From Public Health Service Grant Application (PHS 398)—September 2004)
Other Significant Contributors: This category identifies individuals who have committed to contribute to the scientific development...
opment or execution of the project, but are not committing any specified measurable effort to the project. These individuals are typically presented at “zero percent” effort or “as needed” (individuals with measurable effort cannot be listed as Other Significant contributors). Consultants should be included if they meet this definition. This would also be an appropriate designation for mentors on Career awards.

A biosketch, including Research Support information, will be required for these individuals as this highlights their accomplishments as scientists. Reviewers use these pages to address the “investigator” review criterion.

However, if an award is to be made, Other Support information will not be required or accepted since considerations of overlap do not apply to these individuals.

Should the level of involvement change for an individual listed in this category, they should be re-designated as “key personnel.” This change should be made before any compensation is charged to the project.

NGA-Specified Personnel
This category, referring to the PI or other personnel designated on the Notice of Grant Award (NGA*), is important to the required response to Streamline Non-Competing Award Procedure (SNAP) Question 2:

"Will there be, in the next budget period, a significant change in the level of effort for the PI or other personnel designated on the Notice of Grant Award from what was approved for this project?" (From Public Health Service Non-Competing Grant Progress Report (PHS 2590)—September 2004)

If yes, please explain (e.g., decreased level of effort from 40 to 30 percent); if no, so state. A significant change in level of effort is defined in Federal regulations as a 25 percent reduction in time devoted to the project. For example, if a NGA-specified person on the project is expected to reduce his/her effort from 40 percent to 30 percent, which represents a 25 percent reduction in the level of effort, an explanation must be provided at the beginning of the Progress Report Summary (Form Page 5).

*Note: While NOGA is a common acronym used at OHSU for the Notice of Grant Award, NIH abbreviates the term with the initials, NGA.

Administrative Requirements for Categories of Significant Personnel
• Key Personnel
  • Include biosketch with initial application
  • Provide Other Support Just-in-Time
  • Update Other Support on Non-Competing Progress Reports
  • Indicate annual effort on Non-Competing Progress Report Personnel Report (Form Page 7)

• Other Significant Contributors
  • Include biosketch with initial application
  • If status changes and measurable effort is committed, becomes Key Personnel which needs to be reported in SNAP Question 1 and Other Support provided

• NGA-Specified Personnel
  • Must report changes in level of effort in SNAP Question 2
Cost Sharing on Sponsored Accounts

If a department has an established Cost Sharing project set up in Oracle Grants Accounting (OGA) through Sponsored Projects Administration (SPA), this project account requires monitoring to ensure that commitments are being met by charging appropriate expenses to the cost sharing account. Expenses from the main project account will not automatically appear on the cost sharing account, but must be directed there by the responsible department. Payroll charged to a sponsored award that has a cost share commitment can be moved to the cost sharing account via a Labor Distribution adjustment.

OHSU maintains its compliance with federal and sponsor regulations and guidelines relating to cost sharing by adhering to the Cost Sharing Procedure developed by SPA. Following this procedure is the responsibility of all those involved in the management of sponsored projects — Principal Investigators, Unit Heads, and Unit Administrators, as well as those in central administration offices.

Find the OHSU Cost Sharing Procedure on the SPA website at:
http://www.ohsu.edu/research/rda/spa/docs/cost_share_proc.pdf

Those involved in the management of sponsored projects and especially those who currently deal with cost sharing issues are encouraged to become thoroughly familiar with this document.

Departments should direct any questions about the Cost Sharing Procedure or about a specific cost sharing account to their assigned SPA analyst. Find the appropriate analyst by reviewing the Account Distribution List posted on the SPA website: http://www.ohsu.edu/research/rda/spa/docs/account_distribution.pdf.

Pre-award Tips on Cost Sharing Accounts

GL FOMOPPL strings provided for cost sharing accounts

Please double-check the string provided to Research Grants & Contracts (RGC) for a cost sharing account. If there is a typo in the string or an incorrect number is provided and any activity hits the account, Sponsored Projects Administration (SPA) will later be unable to fix the fund or the org. The cost sharing award and project must be closed and the setup process begun again, with a new cost sharing award and project.

Budgets

When a budget is not provided with the paperwork for a cost sharing account, SPA will assume that only salaries are being cost shared, based on expended effort. The current procedure is to multiply personnel costs by 25 percent to arrive at the Other Payroll Expenses (OPE) amount. This amount calculates to approximately 33.33 percent of the total salaries and wages. If SPA should use a different OPE rate, or if there are any other expenditure categories that will need to be included in the cost shared amount, a detailed cost sharing budget should be provided to RGC.

For more Research Grants & Contracts (RGC) information, please call 503-494-7784, or visit the RGC website:
http://www.ohsu.edu/research/rda/rgc/
New Fields in OGA Data Warehouse

The following five new data fields are now available in the Oracle Grants Accounting (OGA) Data Warehouse:

**Purchase Order and Invoice number**—available in the “OGA Expenditures (Actuals) Details” folder, and possible to add to the DISCODW.OGADW Expenditures query

**Institutional Review Board (IRB) Number at Project Level**—available in the “OGA Sponsored Projects Information” folder and possible to view at the project level

**Catalog of Federal Domestic Assistance (CFDA) Description**—available in the “OGA Award Information” folder, corresponding to the CFDA number

**Award Budgetary Control Flag**—also available in the “OGA Award Information” folder, and listed as either “none” or “absolute”

**Historic Mission**—available in the “OGA Sponsored Projects Information” folder

Both the Org Number and its related Org Name can be looked up in the OGA Data Warehouse using the DISCODW.OGADW Project Summary Query Project Listing Tab. By selecting this tab, Org Name and Number will be displayed for each project, which can be useful for determining fiscal authority on projects.

OGA Training

Those involved in sponsored projects management are invited to attend Oracle Grants Accounting (OGA) training classes. Classes explain available OGA Reports and demonstrate how to navigate through the OGA system to find extensive award and project information.

Contact Juris Solovjovs at 503.494.9806 or email solovjovs@ohsu.edu to register.

<table>
<thead>
<tr>
<th>OGA Training Classes</th>
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</thead>
<tbody>
<tr>
<td>Wednesday, Feb 16, 2005 9:00-Noon BICC 122</td>
</tr>
<tr>
<td>Monday, March 14, 2005 1:00-4:00 BICC 121</td>
</tr>
<tr>
<td>Wednesday, April 13, 2005, 1:00-4:00 BICC 121</td>
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Oracle Drop-In Sessions

Oracle Drop-In Sessions are an opportunity for end users who have already been trained in Oracle to get one-on-one help in the system. Several Oracle Trainers will be present at each of these sessions to answer any specific OGA questions or to provide help designing your reports.

<table>
<thead>
<tr>
<th>Oracle Drop-In Sessions</th>
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</thead>
<tbody>
<tr>
<td>Thursday, Feb 10, 2005  1:00-4:00 WCC 371</td>
</tr>
<tr>
<td>Thursday, Feb 17, 2005  1:00-4:00 BICC 121</td>
</tr>
<tr>
<td>Thursday, March 17, 2005  1:00-4:00 BICC 121</td>
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To learn the latest about Oracle at OHSU, visit the Administrative Information Systems (AIS) website: http://ozone.ohsu.edu/ais/index.shtml
Institutional Biosafety Committee (IBC) Website

Check out the Institutional Biosafety Committee (IBC) website to see some new updates and additions including:

- A revised Initial Recombinant DNA Research Classification form: [http://www.ohsu.edu/research/rda/forms.shtml#rdna](http://www.ohsu.edu/research/rda/forms.shtml#rdna)


- And an updated viral vector chart: [http://www.ohsu.edu/research/rda/ibc/docs/policies/vector_table.doc](http://www.ohsu.edu/research/rda/ibc/docs/policies/vector_table.doc)

Industry Sponsored Clinical Trial Contracts Coordination Moves to CRP

Effective January 1, 2005, the position of Contracts Coordinator for industry sponsored clinical trials has moved from the Research Grants & Contracts (RGC) office to the Clinical Research Program (CRP).

As a result of this move, Rose Fong, who has been handling industry clinical trials contracts for several years, has moved her office to Suite 240 in the ADP Building. Rose now reports to Darlene Kitterman, Director of the Clinical Research Program. In addition, two hours per day of administrative help was obtained to assist with the industry clinical trials contract process; Carolyn Jolly is the administrative assistant filling that role.

Rose’s phone number remains 503-494-4856 and her email address is still fongr@ohsu.edu. Rose’s new fax number is 503-494-1191, and her new mail code is AD240. Carolyn can be reached at 494-3900 or jollyca@ohsu.edu; her fax and mail code are the same as Rose’s.

You can still contact Rose directly with any questions you have about industry clinical trials contracts. Darlene and Carolyn are also available to answer questions.

New Analyst Supervisor in SPA

Sponsored Projects Administration (SPA) is pleased to announce that Beth Willis has accepted the position of Analyst Supervisor with SPA. Beth established herself as an excellent supervisor and monitor of institutional funds during her former role as OHSU’s Bursar in Corporate Financial Services (CFS), where she has worked since 1999.

In her CFS position, Beth was responsible for directing all aspects of student billing, miscellaneous University billing, receivables and student loan collection and financial aid disbursement. She managed the cashiers office, accounts receivable and student loan departments, as well as system implementations and procedural improvements for Oracle AR and SCT Banner Student Information System.

Given Beth’s extensive experience overseeing federal compliance issues with student aid funds, she brings to SPA a strong base of understanding and complying with federal regulations.
F&A Rate Informational Sessions

First Session
UHS 8B-60
Thursday, March 10, 2005
1:00pm – 2:30pm
(pre-registration recommended)

Second Session
UHS 8B-60
Wednesday, March 16, 2005
2:00pm – 3:30pm
(pre-registration recommended)

Note: Both sessions cover the same material; there is no need to attend both.

Also known as “indirect” costs, Facilities & Administrative (F&A) costs represent OHSU’s project-related expenses that cannot be allocated to any single project. These expenses, which include buildings, equipment, maintenance, libraries, and administration, are reimbursed from project budgets according to approved, negotiated rates. At these informational sessions about OHSU’s most recent F&A rate negotiations with the federal agencies, presenters will include the following:

- Thomas Marcussen, Director, Research Grants & Contracts (RGC)
- Deborah Golden-Eppelein, Manager, Grants & Contracts, RGC
- Lynette Arias, Director, Sponsored Projects Administration (SPA)
- Sarah Corrigan, Cost Analyst Supervisor, Finance & Accounting, Corporate Financial Services (CFS)

Intended primarily for “department administrative staff” (including department administrators, division managers, department fiscal managers, department effort coordinators, etc.), these sessions will address not only the reasoning behind OHSU’s new institutional F&A rates but also a thorough discussion of implementation strategies. There will be time available to answer questions and help department administrative staff begin to deal with the financial management challenges inherent in adjusting to new F&A rates.

Pre-registration is recommended as workshop materials must be prepared in advance.

To register, please contact SPA Education at spaedu@ohsu.edu or 503-494-9063.

For more information on RDA, please visit the website at http://www.ohsu.edu/research/rda/

Please plan to attend the next Sponsored Projects Information Network (SPIN) Meeting:
Thursday, March 17, 2005
9:30am - 10:30am
UHS 8B-60
2005 SRA International Pacific Northwest Chapter Meeting

“Research at its Peak!”
February 27, 28, and March 1

Who will be there: Research professionals from Washington, Oregon, Idaho, Alaska, Montana, and Canada

What will be offered: 6 Workshops, 17+ Sessions. Covering research administration, compliance, technology, transfer, grant writing, and professional development.

When we will meet: February 27, 28, & March 1, 2005. Check in begins February 26th at 5pm with dinner groups offered each evening. Full and half-day workshops are offered on Sunday the 27th. Sunday night, beginning at 6:00pm, we will have our opening reception, a great opportunity to network with other conference participants. The General Session begins Monday the 28th at 8:30am and concludes at 5 pm, Tuesday the 1st.

Where we’ll be: Portland, Oregon
The Conference will be held in the historic downtown Embassy Suites Hotel. The group rate is $129/single, $129/ double, $159/triple or $189/quad occupancy. Limited space is available at this discount. Contact the hotel directly at 1-800-643-7892. Request the Society of Research Administrators rate (rate code SRA).

How much it will cost: Conference registration is $185.00. Workshops are additional.

How to sign up: Register online at www.ogrd.wsu.edu/sra Complete Program and Registration are now available through the above website.

Questions: Please call or email Bridget Nickerson-Robles at 503-494-2751 or nickersb@ohsu.edu

RFDS Brown Bag
Fundamentals of Foundation Funding, Feb. 11

Are you Hungry for Research Funds? Bring your lunch, listen, and learn about foundation grants and writing tools to improve your grantsmanship skills! Research Funding & Development Services (RFDS) is kicking off its first quarterly brown bag event – it will include a panel of experts who can help answer your questions on improving your chances for getting foundation grants. We’ll provide dessert and a special door prize!

Topic: Fundamentals of Foundation Funding
Date: Friday, February 11th
Time: 1:00 - 2:00pm
Location: School of Nursing, Room 364

Panel Participants:
• Cathy Kemmerer, MPA - Associate Director of Foundation Relations, OHSU Foundation
• Bonnie Schade – Program Manager, Research Funding & Development Services
• Bob Lowe, MD, MPH – Associate Professor & Director of the Center for Policy & Research in Emergency Medicine (CPR-EM)
• Dennis McCarty, PhD – Professor, Department of Public Health & Preventative Medicine

For more information about “Hungry for Research Funds” and/or the RFDS program, please visit: http://www.ohsu.edu/research/rda/rfds/events.shtml

For more information on education opportunities, meetings, and upcoming conferences, please visit the RDA Education Calendar at: http://sunweb1.ohsu.edu/research/rda/education/calendar/calendar.php