Coffee with ORPA:
Proposing and Monitoring Key and Senior Personnel Effort Commitments
February 23, 2021

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Zack Davis-ORPA
Eszter Rudy-ORPA
Maureen Thompson-Siegel-ORPA
Julie Luster-SRA
Agenda

▷ Appointment Types and Available Research Time
▷ Inappropriate Foreign Influence and Effort Commitment
▷ Multiple Ways to Commit Effort
▷ Entering Various Types of Effort at Proposal Stage
▷ Relevant Policies and the Effort Life Cycle
▷ Reports Under Development on Committed Effort
▷ Key Personnel Procedures
▷ Entering Academic Effort into Labor Accounting
▷ Q&A
Effort Policies/Procedures Under Revision

- Effort Certification Policy
- Effort Certification Procedures
- Procedures for Documenting Academic Year Effort Commitment
- Cost Sharing Policy
Why Are We Discussing This Right Now?

- For a number of research-active faculty, 2.5 months during the summer is not enough total time to commit to sponsors; faculty have raised such concerns relative to proposal competitiveness to ORPA for some years.
- Many inappropriate foreign influence concerns relate to over-commitment; effort commitment data gives the University and sponsors a mechanism to track on the capacity of a researcher.
- Recent agency feedback on established practices at the University relating to committed effort.
- Princeton ERA has key/senior personnel and effort commitment tracking capabilities that were uncollected in Coeus.
- Effort commitments often *guide* paid effort, and they should; though effort commitments are distinct from budgeted or sponsor supported effort.
- Even if it takes some time and discussion, it’s important that we get on the same page! Let’s be patient with ourselves and each other, and dive in.
Appointment Types and Available Research Time
Total Professional Effort

- Teaching Admin
- Research
- Summer Effort
- Other
Different Types of Appointments

- 9 month appointments (tenure/tenure track)
  - Faculty Appointments consisting of research, teaching and service responsibilities
  - Academic Year time paid by the University
  - Summer salary up to 2.5 months

- 12 month appointments
  - Professional Research Staff Appointments, consisting of research responsibilities
    - Senior Research Scholar
    - Research Scholar
    - Associate Research Scholar
  - Typically paid with external sources
  - May be paid with internal sources

- Full Time Lecturers
- Instructors
- Emeritus
- Others: PI Status
9 Month Appointments

9 Month Academic Year

- **DOF:** Commitments to sponsored research programs normally may not entail more than 50 percent of a faculty member's duty time during the academic year and may not include any reduction of teaching, advising or service responsibilities.

- 4.5 months available for research during the AY
- Effort committed to sponsored programs during the AY tends to be paid from institutional funding during the AY

2.5 Month Summer Effort

- Internally funded (limited to 2 months)
- Externally funded
- Effort committed to sponsored programs during the summer tends to be paid from sponsored programs during the summer

- One AY month is equal to one Summer month and vice versa
12 Month Appointments

- Effort is apportioned or budgeted over the 12 month appointment to align with the time spent on specific activities
  - Sponsored programs
  - Internally or non-funded research programs
  - Proposal writing

Some issues that can come up
- Work on non-funded projects can create conflicts; if this is anticipated, the best practice is to fund some portion of the individual’s time with nonsponsored funding
- Extensions on sponsored programs without funding; the continued effort can create conflicts of time
Available Effort and Total Professional Time

- Effort commitments are ideally fulfilled by key and senior project personnel through the sponsored program lifecycle
  - Time/effort is promised or committed to sponsor
  - Effort commitments are tracked by the key/senior personnel and administration
  - Effort commitments guide key and senior personnel activity
  - Effort commitments inform payroll and effort certification
- Effort commitments are not tracked for non-key and non-senior personnel
- Internal and external commitments can impact total professional effort (i.e., sponsored programs including committed effort that the PI may have at an outside organization)
- All time commitments are reported to sponsors as part of total professional effort
Calculations For 9 Month Appointees

- AY salary equals $180,000 for 9 months
- $180,000/9 = $20,000 per month
- One month of effort is equal to $20,000 in salary; $20,000 is this individual’s monthly rate (whether an AY or summer month)
Calculations For 12 Month Appointees

- AY salary equals $180,000 for 12 months
- $180,000/12=$15,000 per month
- One month of effort is equal to $15,000 in salary; $15,000 is this individual’s monthly rate
Why Is This Important?

- Conflict of commitments
- Limited overall available time
- Accurately representing PI capacity to sponsors
- Managing inappropriate foreign influence
- Overlap
- Fulfillment of promises of time made to external sponsors
- Teaching and Administrative Duties of 9 month faculty also require effort, per DOF policies
Inappropriate Foreign Influence and Effort Commitment
Inappropriate Foreign Influence and Conflict of Commitment

Inappropriate foreign influence or interference relates to concerns of attempts by foreign governments and entities to take advantage of the open research enterprise in the US for their own national security or economic interest.

Conflict of Commitment in this arena refers to researchers whose time may be significantly committed to their university and federal research projects, but who also have a significant obligation of their time to a foreign entity that is not disclosed or managed.
Identifying/Mitigating Risks

› Be transparent, thorough, and complete.
› Disclose all sources of funding and all positions, affiliations, and commitments of PIs and other senior/key personnel.
Are We Harmonizing?

**NASA**
- Table of Personnel and Work Effort lists names and titles, and total person months of all personnel that will work on the project, whether or not funded by NASA.

**NIH**
- 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.

**NSF**
- Senior personnel required to provide the number of person months devoted to the project.
- Person-month information on current and pending support is separate and distinct from person-months requested on the budget.
- If an individual is not requesting salary for a project, then no-person-months would be shown on the budget. They would, however, be expending effort on the project and therefore a number greater than zero must be entered in current and pending support.
Multiple Ways to Commit Effort
When Committed Effort and Budgeted Salary Match

This type of effort commitment:
- May be the most straightforward!
- Is represented in a project budget within a proposal
- Comes with a commensurate salary funding request
- Is described in the budget justification

For faculty key personnel, this type of effort commitment is typically made, with funding is requested to cover summer salary

This type of effort commitment signifies a formal commitment to the sponsor which we track and report
## Committing Budgeted Effort

<table>
<thead>
<tr>
<th>Budget</th>
<th>Budget Justification</th>
<th>Current &amp; Pending or Other Support</th>
<th>Facilities and Other Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Requested salary matches total effort committed to the project</td>
<td>• Describe total effort committed to the project</td>
<td>• List total effort committed to the project</td>
<td>• No additional effort commitment is made or described</td>
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<tr>
<td>(subject to any salary caps)</td>
<td>• This effort level matches the budgeted salary</td>
<td>• Matches salary requested in the budget and described in the budget justification</td>
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When Committed Effort and Budgeted Salary Do Not Match

Effort may be committed to a sponsor without inclusion in the budget in the event that:

- Sponsor mandates in the solicitation a minimum level of effort exceeding available time in the summer
- PI confirms that the effort necessary to carry out the project exceeds available time in the summer
  - Note that effort commitments can be part of a proposal’s competitive review criteria

This type of effort commitment signifies a formal commitment to the sponsor which we track and report.
## Committing Effort Not In The Budget

<table>
<thead>
<tr>
<th>Budget</th>
<th>Budget Justification</th>
<th>Current &amp; Pending or Other Support</th>
<th>Facilities and Other Resources</th>
</tr>
</thead>
</table>
| • Requested salary may be less than necessary to support total effort committed to the project  
• Describe only what the funding request will support | • Describe only salary & effort charged to the project  
• This effort level matches the budgeted salary | • List total effort committed to the project  
• May not match salary requested in the budget and described in the budget justification | • May describe the effort for which no salary is requested (required for NSF)  
• Effort level may be quantified without a corresponding salary amount |
Summary

Effort commitments signify a formal commitment to the sponsor that we must track and report, whether or not commensurate salary is budgeted for the effort.

For faculty key personnel effort commitments can be made:

- Only for the summer months and requested to be fully supported by the sponsor (subject to any salary caps).
- For a combination of summer and academic effort with only the summer months supported by the sponsor.
- During the academic year only with no salary request from the sponsor at all.
Summary, Continued

› Sponsors tend to track committed effort on a grant-year-by-grant-year basis (i.e., via RPPRs), and tend to be less concerned with academic year and summer periods of time, assuming overcommitment in such periods is being managed by the institution

› Note that at award stage, summer effort commitments sometimes must be reallocated to the AY in order to manage periodic overcommitment

› Proposed effort commitments should be reasonable and realistic, grounded in the true time commitment necessary for carrying out the goals of the project, as well as taking into account other existing and likely commitments
Entering Various Types of Effort at Proposal Stage
**Princeton ERA: When Committed Effort and Budgeted Salary Match**

<table>
<thead>
<tr>
<th>Personnel Costs</th>
<th>Period 1</th>
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<tbody>
<tr>
<td><strong>Person:</strong> Francine Taylor</td>
<td><strong>Effort:</strong> 11.111%</td>
</tr>
<tr>
<td><strong>Role:</strong> PD/PI</td>
<td><strong>Sal Req:</strong> 11.111%</td>
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<tr>
<td></td>
<td><strong>FB Rate:</strong> 35.6%</td>
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<tr>
<td></td>
<td><strong>Base:</strong> $125,000.00</td>
</tr>
</tbody>
</table>

- **For 9-month non-NIH cap faculty:**
- **Budgeted Effort:**
  - 11.111% is 1 Summer Month. This is described in the Budget Justification.
- **Total Effort:**
  - 11.111% is 1 Summer Month.
  - The Facilities page should not have any additional disclosure for effort.
Princeton ERA: When Committed Effort and Budgeted Salary Match

Current and Pending/OS

- Project/Proposal Title: Big Bang Theory (PI: XXXXX)
- Status of Support: Current
- Source of Support: Department of Energy - DOE
- Primary Place of Performance: Princeton University
- Project/Proposal Start Date (MM/YYYY): 04/2021
- Project/Proposal End Date (MM/YYYY): 03/2025
- Total Award Amount (including Indirect Costs): $82,805,840
- Person-Month(s) or Partial Person-Month(s) Per Year Committed to the Project:
  - Year (YYYY): 2021, Person Months: 1.00
  - Year (YYYY): 2022, Person Months: 1.00
  - Year (YYYY): 2023, Person Months: 1.00

Facilities & Other Resources

Facilities and Other Resources

The Princeton University Big Bang Theory Group has built up, with the strong support of the University, a powerful set of dedicated facilities for the design and construction of detectors and electronics, and to carry out basic detector R&D.
Princeton ERA: When Committed Effort is Not Budgeted

<table>
<thead>
<tr>
<th>Personnel Costs</th>
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<tbody>
<tr>
<td><strong>Person:</strong> Francine Taylor</td>
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<td><strong>Role:</strong> PD/PI</td>
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<tr>
<td><strong>Effort:</strong> 16.667%</td>
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<td><strong>Sal Req:</strong> 11.111%</td>
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<td><strong>FB Rate:</strong> 35.6%</td>
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<td><strong>Show Totals</strong></td>
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<tr>
<td>6/30/2022</td>
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</table>

- **Budgeted Effort:**
  - 11.111% is 1 Summer Month. This is described in the Budget Justification.

- **Total Effort:**
  - 16.667% is 1 Summer Month plus additional Academic Year Effort of 0.5 months which = Total Effort of 1.5 months. This is disclosed in the Current and Pending/Other Support.

- Ignore this Cost Share message in ERA: "This budget has a salary overage of $XXXX. Use the Create Cost Share creator to properly capture these costs.

- The Facilities page should describe the effort of 0.5 months for which $0 salary is requested, which may be quantified in time (not dollars).
Princeton ERA: When Committed Effort is Not Budgeted

Current and Pending/OS

Facilities and Other Resources

Facilities and Other Resources

The Princeton University Big Bang Theory Group has built up, with the strong support of the University, a powerful set of dedicated facilities for the design and construction of detectors and electronics, and to carry out basic detector R&D.

Senior Personnel: In addition to budgeted effort, PI XXX will devote .5 months Academic Year Time for the U.S. CMS resource needs and projections for HL-LHC and he will organize the development of an HL-LHC computing model for U.S. CMS.
Budget Justification: AY Effort Disclaimer

Our business environment and policies are evolving, and accordingly, the AY effort disclaimer that is in the F&T Cost Sharing Policy should no longer be included in a budget justification.

Princeton University fully supports the academic year salaries of Professors, Associate Professors, and Assistant Professors, but makes no specific commitment of time or salary to this particular research project.

For the reasons discussed at the outset of this presentation, we are now tracking AY effort commitments that are not budgeted.

These commitments are institutionally funded for the exclusive purpose of fulfilling the effort commitments; they are not considered cost sharing.
Relevant Policies and the Effort Life Cycle
Key Concepts

- **Committed effort** and **budgeted salary** are two distinct concepts.

- All types of effort commitment represent a formal, auditable promise to the sponsor, which:
  - Requires tracking
  - Requires reporting
  - Typically, sponsor approval is needed to decrease 25% or more

- Committed effort amounts should be consistent with the [DOF policy](#) regarding available research time.
Regulation Hierarchy

This pyramid represents the order of precedence of federal regulations for Awards.

The order starts from the top of the pyramid – the federal award itself – and flows down to the Code of Federal Regulations at the base of the pyramid.
Effort Lifecycle

- Proposal Submission
- Committed Effort (AKA Budgeted and Unbudgeted Effort Combined)
- Just in Time Other Support
- Award
- RPPR
Reports Under Development on Committed Effort
Key Personnel Committed vs Actuals Report

- Goal is to try to provide a report that will help Departments ensure that Key Personnel effort commitments at the proposal stage are met.

- Report is still in development (hopefully will be available in the Information Warehouse in June).

- Will combine Princeton ERA, PeopleSoft and Labor Accounting data:
  - Princeton ERA will provide the Person, Role, Budget Periods, and Committed Effort
  - PeopleSoft will provide Award demographic information like Award ID, Award Department, etc.
  - Labor Accounting will provide months charged to the Award
Committed vs Actuals Report

Things to Note

- Princeton ERA data can only be changed up until the time the Funding Proposal is Awarded.
- Budget periods do not exist for all Sponsored Research Awards in PeopleSoft so the budget periods have to come from Princeton ERA.
- Committed effort will need to be entered into Princeton ERA even when Salary Requested is 0% and charged to the Project in Labor Accounting for report to be effective.
Key Personnel Procedures
Key/Senior Personnel Definition

National Science Foundation:

- NSF definition of senior personnel – (co) Principal Investigator/Project Director – the individual(s) designated by the proposer, and approved by NSF, who will be responsible for the scientific or technical direction of the project.

- Senior personnel are required to provide a biographical sketch and are subject to the NSF “Senior Personnel Salaries & Wages Policy” – which limits salary compensation from all NSF funded grants to no more than two months of regular salary in any one year (except changes made under normal rebudgeting authority).

Uniform Guidance:

- Recipients must request prior approvals from Federal awarding agencies for the following program or budget related reasons: Change in a key person specified in the application or the Federal award.

Princeton University:

- Key Personnel are: PI, Co-PI, and other research staff designated by the PI and/or Sponsor.

- Institutional Base Salary – the annual compensation the University pays for an employee’s base appointment, whether that employee’s time is spent on research, teaching, administration, or other activities. IBS excludes compensation for an employee’s outside consulting activities and other compensation received from an entity other than the university. IBS does not include supplemental pay on a separate appointment, or special pays, such as job-related allowances.
Key Personnel – Compliance Requirement

- Ensuring staff identified as Key Personnel meet the definition of key personnel
- Ensuring key personnel commitments are met and certified in the effort certification system
- Ensuring academic departments are reaching out to ORPA for sponsor approval when Key personnel (PI, Project Director) disengage from a project for more than three months or a 25% reduction in time is devoted to the project per 3 CFR 200.308
## Scenarios

<table>
<thead>
<tr>
<th>Scenario</th>
<th>Key Personnel Part of Proposal</th>
<th>Cost Share Commitment Form</th>
<th>NOA</th>
<th>AY Effort tracked &amp; certified</th>
<th>Notes</th>
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</thead>
<tbody>
<tr>
<td>Effort Commitments Originally Proposed in the Summer That Are Re-Allocated to the Academic Year</td>
<td>Yes</td>
<td>No</td>
<td>No cost share budget</td>
<td>Yes</td>
<td>AY time commitments may be necessary to meet required levels of effort for awards such as the NIH DP2 and R35 mechanisms.</td>
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<tr>
<td>Commitment of AY time at Proposal</td>
<td>Yes</td>
<td>No</td>
<td>AY time commitment but there will be no cost sharing budget reflected. This AY commitment must be entered into Princeton ERA</td>
<td>Yes</td>
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<tr>
<td>Mandatory Cost Share</td>
<td>Yes</td>
<td>Yes</td>
<td>Cost Share budget tracked and reported on financial reports</td>
<td>Yes</td>
<td>Cost shared amount may also include fringe benefit and unrecovered F&amp;A costs.</td>
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<tr>
<td>Voluntary Committed Cost Share (listed at time of proposal)</td>
<td>Yes</td>
<td>Yes</td>
<td>Cost Share budget tracked and reported on financial reports</td>
<td>Yes</td>
<td></td>
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</table>
1. Proposal identifies Senior Personnel and Salary Commitment

### DETAILED BUDGET FOR INITIAL BUDGET PERIOD

**DIRECT COSTS ONLY**

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Application

- Utilizing these reference points, departments should monitor commitments being met
- Monitoring should occur through the life of the award
- Can utilize AY to meet commitment
Entering Academic Effort into Labor Accounting
Important Notes

By documenting key personnel effort in the LA system, departments will be able to use the effort certification system as a starting point for reporting effort on the annual RPPR/progress reports (best practice).

For teaching budget purposes, the A0000 needs to remain 100% on the faculty member’s home department IF the teaching budget support is provided by the faculty member’s home department.
Academic departments create distribution chartstrings that fund the key personnel salary commitments. Project and activity are required for effort certification purposes.

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<th>Earnings Code</th>
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Office of Research and Project Administration
The effort certification process serves as a key control in validating (after-the-fact) that commitments were fully met.

Department – Offline tracking of salary and effort commitment:

**Committed Effort:**

- PI: 3.00 FTEs

**Actual Effort for FY2020**

- PI: 3.19 FTEs