I. PURPOSE

The purpose of this SOP is to describe the process for making changes in effort for personnel whose effort is supported on sponsored projects or contracts.

II. INTRODUCTION

The National Institutes for Health (NIH) and other sponsoring agencies generally classify changes in effort for Key Personnel as either non-significant (less than 25% reduction) or significant (25% or greater reduction). In instances of non-significant changes, no prior approval is required. However, for significant changes, prior approval is generally required from the sponsor. If the change in effort begets any other changes to the award, please reference the appropriate SOPs for an explanation of how to request those changes.

Note: prior to making reductions in effort it is important to review sponsor specific guidelines concerning effort. If there is any doubt as to the effect a change in effort will make please consult with Office of Sponsored Programs (OSP).

If the effort change is a reduction, the Principal Investigator (PI) must determine which of the other projects can accommodate an increase in effort. If there are none, the PI must work with the Department Administrator, Division Chief, or the Department Chair to find non-sponsored funding sources.

III. PROCEDURES

Changes in Effort under 25%

1. When the PI determines that a change in effort is required, he or she will communicate the change request to the Post Award Administrator via email or phone. If there is a reduction in effort, it is the PIs responsibility to work with the department administrator/chair to determine the alternate project and/or department account to which the adjusted PI’s salary should be transferred.
2. The Post Award Administrator will update the salary distribution in PeopleSoft HR.
3. Post Award Administrator will notify the PI via email when the updates have been completed.

Note: Changes in effort of 25% or greater are cumulative in any award year. It is important to review changes in effort so as not to cross this threshold unintentionally.
Changes in Effort 25% or greater

1. When the PI determines that a change in effort 25% or greater is required, he or she will communicate the change request to the Post Award Administrator via email or phone.
2. The PI will be responsible for completing a written justification for the change in effort and work with the department administrator/chair to identify the alternate project and/or department account to which the adjusted PI’s salary should be transferred.
3. The Post Award Administrator will complete and submit the Key Personnel Changes ≥ 25% in Effort Request Form via the SAM system. (See Associated Document 1. Key Personnel Changes ≥ 25% in Effort Request Form).
4. The Post Award Administrator will confirm the information on the form and contact the PI if any clarification and/or additional information is required.
   a. Note: If the change in effort necessitates a change in the scope of the project, see the Change Award SOP (#2020) to request the necessary changes.
5. The Post Award Administrator will send the completed form and all supplemental information to the OSP.
6. OSP will review the form and contact the Post Award Administrator if any additional information or changes are required.
7. The Post Award Administrator will respond to any requests for additional information/changes within two business days.
8. OSP will send the request to the sponsor who must approve the change.
9. OSP will notify the Post Award Administrator via email of receipt of sponsor approval or denial.
10. The Post Award Administrator will notify the PI via email of receipt of sponsor approval or denial.
11. The Post Award Administrator will update the salary distribution in PeopleSoft HR.
12. OSP/Data Management Group (DMG) will update the effort changes in Compass.

IV. ROLES AND RESPONSIBILITIES

Principal Investigator (PI):
- Initiating request for a change in effort.
- Provide written justification for changes in effort.
- Identify alternate project and/or department account to move the adjusted PI’s salary to (with approval from Department Administrator or Chair).

Post Award Administrator:
- Review effort change requests and work with the PI to facilitate changes.
- Submit requests to OSP.
- Notify PI of approval/denial of request.
- Update the salary distribution in PeopleSoft HR.

The Office of Sponsored Programs (OSP)/Finance, Grants and Contracts (FGC):
- Submitting requests to the sponsor.
- Notifying Post Award Administrator of approval/denial of request.
- Interpreting rules and regulations concerning effort vs. sponsor guidelines.
- Update effort changes in Compass.

************************************************************************ END OF SOP************************************************************************
KEY PERSONNEL EFFORT CHANGE ≥ 25% REQUEST FORM

This form is intended to identify information required by a sponsor. A letter drafted with a PI is an acceptable option for submitting requests to sponsors.

This enclosed information should be used to document requests to committed level of effort ≥ 25% for Key Personnel on active sponsored projects that have restrictions on the Notice of Award or by sponsor policies. Principal Investigators have the responsibility for managing effort levels of key personnel to accomplish the specific aims of the research project. This form should be completed by the RAS unit and submitted to OSP.

<table>
<thead>
<tr>
<th>Principal Investigator:</th>
<th>Budget Period:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant # (Sponsor ID):</td>
<td>Project:</td>
</tr>
<tr>
<td>Key Person:</td>
<td>Proposed Effort %</td>
</tr>
<tr>
<td>Role on Project:</td>
<td>% Change</td>
</tr>
<tr>
<td>Is this individual listed on the NOA?</td>
<td>☐ Yes ☐ No</td>
</tr>
<tr>
<td>Approved Effort*</td>
<td>Effective Date:</td>
</tr>
<tr>
<td>% *per original budget or subsequent approvals by sponsor</td>
<td>End Date:</td>
</tr>
</tbody>
</table>

Please provide a PROJECT-SPECIFIC JUSTIFICATION for the change in effort for the Key Person. Also explain how the funds released from this reduction will be used in this project.

If the effective date is retroactive, please explain the reason for the untimely processing of this request.

Will this change in effort create a Change in Scope of the project? ☐ Yes ☐ No

Will this change in effort negatively affect the ability of the PI to accomplish project objectives originally in the Specific Aims? ☐ Yes ☐ No

If YES to either of these questions, please provide a justification here:

SIGNATURES REQUIRED:

Key Person

Date

Principal Investigator

Date