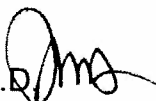


Memorandum

To: Research Personnel

From: Perrie M. Adams, Ph.D. 
Associate Dean for Research
UT Southwestern Medical Center at Dallas

Date: October 12, 2007

Re: Key Personnel and Budget Directive

Attached please find a descriptive table that defines who is and is NOT Key Personnel. This is a directive from NIH and supported by UT Southwestern. Please abide by this matrix for any sponsored research grant applications.

We appreciate your cooperation.

Key Personnel and Budget Guide

IMPORTANT NOTE - NOTICE OF AWARD (NoA): In addition to the PI, any absence, replacement, or substantial reduction in effort (25%) of key personnel requires the written prior approval from NIH. Requests should be co-signed by the Associate Dean for Research, routed through the Office of Grants Management. Please ensure that the calendar months effort of key personnel on your detailed budget is within NIH guidelines by referring to your grant or previous eSNAP report, *or report changes for approval on the eSNAP report.*

Email received 7/18/07 from:

Michael S. Zarkin
 Grants Management Specialist, Office of Grants Administration
 National Cancer Institute, NIH
 6120 Executive Boulevard, Suite 243
 Rockville, Md. 20892-7150
 301-496-2261 (tel) 301-496-8601 (fax)
 zarkinm@mail.nih.gov

Question		If....	Then...
1.	Can the person change the science?	Yes	Person is key
		No	Person is not key
2.	Does individual add prestige to the project, such that the biosketch is valuable but does not commit measurable effort?	Yes	Person is Other Significant Contributor
		No	Person is not key nor Other Significant Contributor
3.	Is this person's role on the project essential for the success of the project?	Yes	Person could be Key or Other Significant Contributor
4.	Is this person on the budget? NOTE: Only UTSW personnel should be listed in the detailed budget Personnel section. UTSW personnel should not be consultants. Non-UTSW personnel should be listed in the Consortium, Consultant or Other categories.	The person is paid	Person <i>must be</i> on the budget.
		The person <i>is not</i> paid but will be paid in the future, but not in the present year (let's say because of a K-award)	Person should be on the budget, but with zero dollars in the current year.
		The person <i>is not</i> paid and is purely involved as an OSC with no effort.	Person does not belong on the budget but should be listed in the budget justification.
5.	Is the person committing measurable effort?	Yes	Person maybe key personnel
		No	The person <i>cannot be key</i> . A person without measurable effort might be an Other Significant Contributor (such as a mentor), <i>but can never be key</i> .
6.	How is the person being paid or committing effort?	Person has a percentage of effort	The person belongs on the budget (usually)
		Person has a fee-for-service	It may be a commercial transaction that merits no further detail, or it could be a consultant. <i>Consultants are almost always from other institutions</i>

Who is Key Personnel?

	Question	If....	Then...
7.	What is the person's job description on the project?	<ul style="list-style-type: none"> • Principal Investigator • Project Lead • Multiple PIs (MPI) • Investigator • Co-Investigator • Faculty level Statistician • Collaborator (<i>usually involved because of ownership/authorship of clinical data or unusual expertise</i>) 	<p><i>These people are either going to be key personnel or other significant contributors, with collaborators/consultants being treated slightly different.</i></p> <p>These individuals are almost always independent level researchers with their own labs. They would be named at some level as authors of a published paper from this project.</p>
		<ul style="list-style-type: none"> • Research Scientist • Associate • Technician • Post-Doc • Graduate Student/any students • Technical Staff • Visiting Professors • Assistant Instructors 	<p><i>These people are not key, nor are they other significant contributors.</i></p>

Other Considerations:

The oddest case, which sometimes shows up, is the Clinical Coordinator or similar title, which is often an RN, who would meet the definition of other significant contributor without any authorship being expected. These would not be considered Key Personnel.

It is unusual for key personnel or other significant contributors not to be M.D.'s or Ph.D.'s but it isn't impossible.

Recommendations:

1. The budget page must describe all expenditures.
2. Key personnel can change the science and their other support is tracked.
3. Other significant personnel are people who cannot "easily" be replaced on the project and whose biosketches matter.
4. A person without measurable effort can never be key.