

## Summary of NIH Policy Regarding Senior/Key Personnel and Key Investigator

Stage	Senior/Key Personnel Definition	Who Designates	Requirements	Reference
New Award	The program director/principal investigator (PD/PI) and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they request salaries or compensation.	The applicant organization	<ul style="list-style-type: none"> <li>Biosketch for All Key Personnel Research Support Sections:                             <ul style="list-style-type: none"> <li>Ongoing</li> <li>Completed (last 3 years)</li> </ul>                             Include Project Role                         </li> </ul>	<ul style="list-style-type: none"> <li><a href="#">SF424 Pg. G-81</a></li> <li><a href="#">NIH Senior/Key Personnel FAQs</a></li> </ul>
JIT	All Key Personnel named in the application	The applicant organization	<ul style="list-style-type: none"> <li>Other Support for All Key Personnel Sections:                             <ul style="list-style-type: none"> <li>Active</li> <li>Pending</li> <li>Overlap</li> </ul>                             Include Annual DC and Person Months                         </li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Supplement Instructions PDF pg. 36, Document Pg. III-7</a></li> <li><a href="#">NIH Senior/Key Personnel FAQs</a></li> <li><a href="#">NIH OS Page</a></li> </ul>
RPPR	Senior/key personnel are defined as individuals who contribute in a substantive measurable way to the scientific development or execution of the project, whether or not a salary is requested.	The applicant organization	<ul style="list-style-type: none"> <li>Other Support for New Key Personnel and Key Personnel with changes in other support. Sections:                             <ul style="list-style-type: none"> <li>Active</li> <li>Inactive (Last Year)</li> <li>Overlap</li> </ul>                             Include Annual DC and Person Months                         </li> </ul>	<ul style="list-style-type: none"> <li><a href="#">RPPR instructions PDF Pg. 92, Document Pg. 85</a></li> <li><a href="#">NIH Senior/Key Personnel FAQs</a></li> </ul>
Prior Approval for Reduced effort for the <b>current</b> budget year	Key Personnel named in the Notice of Award (NOA)	NIH	<ul style="list-style-type: none"> <li>Submit a Prior Approval request to GMO signed by AOR</li> <li>GMO will provide approval in writing</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">NIH GPS Chap. 8.1.2.6</a></li> <li><a href="#">NIH Senior/Key Personnel FAQs</a></li> </ul>
Prior Approval for Reduced effort for the <b>next budget</b> year	Key Personnel named in the Notice of Award (NOA)	NIH	<ul style="list-style-type: none"> <li>In the RPPR report, answer Yes to question D.2.a</li> <li>Issuance of subsequent year of funding constitutes agency approval</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">RPPR instructions PDF Pg. 92, Document Pg. 85</a></li> </ul>
COI	<b>Key Investigator</b> (Not Key Personnel): the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS (e.g., NIH), or proposed for such funding, which may include, for example, collaborators or consultants.	The applicant organization	<ul style="list-style-type: none"> <li>Provide financial disclosures at least annually, no later than the time of proposal submission and be updated within 30 days using UCSF Internal COI-Smart system</li> <li>Complete Conflict of Interest Training using UC Learning Center every three years</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">NIH COI FAQs</a></li> <li><a href="#">UCSF COI website</a></li> </ul>