

## **Change in Principal Investigator (PI) or Other Key Personnel**

All external awards are made to Jackson State University and not to the individual investigator. Therefore, when a PI or key person leaves the University or must be removed from a project, he/she must notify other key personnel on the grant, contract or cooperative agreement, the department chair, the dean, the Unit of Sponsored Programs, and Provost Office in advance. Key Personnel are those considered to be of primary importance to the successful conduct of a research project. This policy also applies when a PI or key person must be removed from a grant, contract, or cooperative agreement due to issues such as suspension and debarment, and ethical and other research misconduct.

*To initiate a change in PI or other key personnel:*

- The PI, Key Person, College, School, or Department must inform the Unit of Sponsored Programs of the request for a change in PI or key personnel on a project, with a justification for this change.
- Any budgetary or scope of work changes, should also be communicated, along with a justification, to the Unit of Sponsored Programs.
- When (or just before) a PI or key person is replaced or moves to another institution, an IRB modification must be submitted when human subjects research is involved.
- The Department, School, or College must concur with the recommendation of the new PI or key person, prior to seeking approval from JSU's Authorizing Official.
- The biosketch of the replacement PI or key person must accompany the request. It is expected that the replacement PI or key person have the appropriate credentials and expertise to carry out the scope of work of the project.
- The concurrence of JSU's Authorizing Official is required prior to submission to the funding agency.
- The Unit of Sponsored Programs will submit the request to the funding agency, if required, and will update award file after the approval is obtained.

*If the PI steps down from the PI role and assigns a new PI from a different department:*

- The approval of both PIs and their respective Department Chairs and Deans must be obtained prior to receiving concurrence from JSU's Authorizing Official (all parties must be in agreement to the change and outcome of the change).
- The Unit of Sponsored Programs must request prior approval from the funding agency.

## **PI or Key Person Leaving the University**

- In cases where the PI or Key Person is leaving the institution:

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- The PI or key person must notify the Unit of Sponsored Programs of their pending departure as soon as possible to ensure proper funding agency notification.
  - Notification can either be a replacement investigator or termination of award, in cases where a suitable replacement is not readily available.
  - The exiting PI or key person, the new PI or key person, the Department Chair, and the Dean must sign the prior approval request. The concurrence of JSU's Authorizing Official is required prior to submission to the funding agency.
  - Only the Unit of Sponsored Programs, under the direction of JSU's Authorizing Official, can request such replacement or termination of award.
- If a PI wish to take the grant/contract with him/her to the new institution:
    - The PI must request and document written approval from his/her department chair and dean to have the project officially relinquished.
    - Should the chair and dean approve the transfer, the PI must provide the Unit of Sponsored Programs with a memo confirming agreement and provide other materials to process the transfer with the funding agency.
    - Final approval must be obtained from JSU's Authorizing Official.

### **Reduction In Effort**

If a PI plans to reduce the effort of key personnel named in a Notice of Award by 25% or more of their previously approved effort or will be absent from the project for more than three months, they must notify the Unit of Sponsored Programs and may need to write the program officer to request prior approval of the reduction. Such requests, with justification, should be sent in writing to the Unit of Sponsored Programs for review and approval before they are submitted to the sponsor.

If the PI has discussed the intended reduction in effort with the funding agency, they must provide any relevant correspondence to the Unit of Sponsored Programs. Any reduction in effort that is less than 25% of the previously approved effort may be reported in the next progress report, if required.

In addition, the Unit of Sponsored Programs will consider whether the intended change will have an impact on cost sharing commitments, if any, and will work with PIs to ensure that all required progress reports have been submitted to the sponsor prior to the departure of project personnel.

The grant award and grant policy of the specific sponsoring agency should be reviewed for any additional requirements.