



Policy Name	Change in Principal Investigator or Other Key Personnel Policy
Policy Number	120010.025
Effective Date	January 15, 2022
Administrative Division	Division of Research and Economic Development
Unit	Sponsored Programs
Revised Date	N/A

1.0 Policy Statement

All external awards are made to Jackson State University (JSU) and not to an individual investigator. Therefore, when a PI or key person leaves the University, is absent from a project for three or more consecutive months, or otherwise reduces effort on the project below 25 percent or more, JSU must initiate a change in PI or key personnel. 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/or ethical and other research misconduct. Thus, it is important that policies and procedures are established to govern such changes.

2.0 Purpose

The purpose of this policy is to define, and educate the University administration, faculty and staff, on the criteria and formal process for changing principal investigators or key personnel on externally funded/sponsored projects at Jackson State University.

3.0 Definitions

Principal Investigator. Individual primarily responsible for the scientific, technical, administrative and financial activity for externally funded projects.

Other Key Personnel. Individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. This includes co-principal investigators: individuals who shares or assumes responsibility for the scientific, technical, administrative and financial activity for externally funded projects or leads on a subproject contained in the larger proposed project.

4.0 Process

A. To initiate a change in Principal Investigator or Other Key Personnel:

1. The PI, Key Person, College, School, or Department must inform the Unit of Sponsored Programs and submit a request for a change in PI or key personnel on a project, with a justification for this change.
2. Any budgetary or scope of work changes, should also be communicated, along with a justification, to the Unit of Sponsored Programs.
3. When (or just before) a PI or key person is replaced or moves to another institution, an IRB or IACUC modification must be submitted when human subjects or animals research are involved, respectively.

4. 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.
5. 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.
6. The concurrence of JSU's Authorizing Official is required prior to submission to the funding agency.
7. The Unit of Sponsored Programs will submit the request to the funding agency, as required, and will update award file after the approval is obtained.

B. If the PI steps down from the PI role and wants to assign a new PI from a different department:

1. 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 agree with the change and outcome of the change).
2. The Unit of Sponsored Programs must request approval from the funding agency.

C. If the PI or Key Person is leaving the University and a new PI:

1. The PI or key person or department chair or dean must notify the Unit of Sponsored Programs of their pending departure as soon as possible to ensure proper funding agency notification.
2. Notification can either be a replacement investigator or termination of award, in cases where a suitable replacement is not readily available.
3. 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.
4. Only the Unit of Sponsored Programs, under the direction of JSU's Authorizing Official, can request such replacement or termination of award.

D. If the PI or Key Person is leaving the University and wish to take the grant/contract with them to the new institution:

1. The PI must request and document written approval from his/her department chair and dean to have the project officially relinquished.
2. Should the chair and dean approve the transfer, the Dean must provide the Unit of Sponsored Programs with a memo confirming agreement and provide other materials to process the transfer with the funding agency.
3. Final approval must be obtained from JSU's Authorizing Official.

5.0 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.

6.0 Reinstatement of PI and Other Key Personnel

When a PI or key person returns to the University after being absent from a project for three or more consecutive months or reduce effort by 25 percent or more, and desires to be reinstated as the PI, the Department Chair or College/School Dean must send written notice to the Authorizing Official and Vice President for Research and Economic Development. The Vice President for Research and Economic Development will review the circumstances for the reinstatement and notify all parties of the decision. If it is deemed that reinstatement will impede the progress of the project, the VP for Research and Economic Development will meet with the responsible department chair or Dean, and the key personnel to discuss and arrive at an amicable decision.




7.0 Employee Adherence

Employees are required to adhere to these guidelines. Willful disregard of this policy shall be considered non-compliance and may result in a formal reprimand up to and including termination. The information stated in this policy pertains and applies to applicable employees, departments and funding sources of the University.

Certification of Policy Approval

This policy is hereby approved as the University official policy on the subject of Accounting for Federal Allowable Cost and should be used as the appropriate source of guidance and adherence of this subject. All previous policies on this subject are rescinded.

8.0 CERTIFICATE OF APPROVAL / SIGNATURE

Policy Name	Change in Principal Investigator or Other Key Personnel Policy	
Policy Number	120010.025	
Administrative Division	Division of Research and Economic Development	
<u>Approved By:</u>	<u>Signature</u>	<u>Date</u>
President		
General Counsel		1/11/2022
VP/Provost		1/11/2022
Director		

9.0 REVIEW AND REVISION HISTORY - Update Review/Revised as needed.

<u>Example:</u>	
CREATED	January 15, 2022
REVISED	
REVIEWED	
REVIEWED	
REVISED	

