

# Change in Effort or Status of Principal Investigator or Other Key Personnel

## Scope

This policy applies to all Alcorn State University faculty and staff involved as Principal Investigator or other Key Personnel on sponsored projects

## Policy Statement

It is the policy of Alcorn State University that any change in status or effort of the Principal Investigator (PI) or other Key Personnel is in compliance with the sponsor's guidelines and University policy. The PI, further, has the responsibility for initiating notification of any such change and all notifications should be routed to the Office of Research and Sponsored Programs for review and transmission to the sponsor. In those cases where the PI, due to the reasons for the change in status or effort, is unable to initiate such notification, the academic unit has the responsibility to notify ORSP.

## Reason for Policy

To establish guidelines and best practices for the timely notification of the change in effort or status of a Principal Investigator or other Key Personnel on a sponsored program and to permit University to fulfill its obligations to the sponsor and for the responsible conduct of research.

## Procedures

As grant recipient, Alcorn State University has the responsibility to notify sponsors of significant changes from the proposed PI or key personnel effort devoted to a project. Although the actual requirement may vary depending on the sponsor, normally a change of 25% or more from the committed effort of the PI or other key personnel on the proposal requires notification of the sponsor. The PI has the responsibility for initiating such notification and all notifications should be routed to the sponsored research office for review, approval, and transmission to the sponsor.

Sponsor notification and approval is normally required in the following instances:

- **Changes in Committed Effort for the PI or Key Personnel:**
  - Significant change in the level of effort of the PI or key personnel (generally defined as a reduction of 25% or more from the level anticipated in the approved application).
  - Change in the effort of the PI or key personnel of less than 25% from the level in the approved application, if the change reflects a change in the work scope of the project.
- **Changes in PI Status:** When a PI plans to take a sabbatical, a leave of absence, or terminates his or her employment at Alcorn State University, the sponsor of any active sponsored award should be notified of the change of status. Notification of changes in status should be done in advance whenever possible but in no case later than 30 days after a PI change in status. Notifications and requests for approval to the sponsor should be routed through the sponsored research office.
- **Short-term absence of PI:** An absence of less than three months may require agency notification with arrangements for conduct of the project during the PI's temporary absence.
- **Long-term absence of PI:** Generally an absence of three months or more will require agency notification and approval.

- **Withdrawal of PI:** In cases where a faculty member is transferring to another institution, it is normally the decision of the unit head (in cases where the PI is the unit head, the decision should be the unit head's supervisor) as to whether ASU will seek sponsor approval to retain the award and name a new PI or to seek sponsor approval to relinquish the award to the institution employing the transferring PI.

## **Sanctions**

Failure to adhere to this policy and procedures may result in the administrative suspension and/or termination of a sponsored program agreement and other actions.