

PRINCIPAL INVESTIGATOR CHANGES OR ABSENCES

August 2008

Policy 2.1.11

Policy:

When the Principal Investigator (PI) who has been granted a sponsored award or is participating in other funded research including privately funded clinical trials is unavailable to fulfill his or her obligations to the award agreement, the sponsoring agency or the project sponsor, in collaboration with the University of Kansas Medical Center (KUMC) will decide the course of action for the remaining terms of the award.

Purpose:

Procedures must be followed to ensure the continuation of a project or to transfer a grant to another institution when a PI leaves KUMC for another university. The sponsoring agency and/or the project sponsor will make the determination as to whether the award or contract will remain with the University or be allowed to be transferred. If the sponsoring agency or the project sponsor, in collaboration with the University, accepts a substitute PI for the completion of the project at KUMC, the project will remain.

If the PI is taking a leave of absence from the project, the sponsoring agency requires advance notification so that a substitute PI may be approved, or a decision made to terminate the project early. For Federal projects, the Office of Management and Budget circular A-110 states that the absence of a PI for three (3) months or more, or for 25% of the project, requires prior approval from the federal sponsor. For non-federal projects, refer to the sponsoring agency as requirements may differ. Overall, the procedure will be the same.

Procedures:

I. Transferring an existing grant or contract to another institution:

The PI should contact the KUMC Research Institute Sponsored Programs Administration Post-Award Administrator regarding an intention to transfer the grant as the procedures for transferring a grant to another institution vary per sponsor.

Before a grant or contract can be transferred, KUMC/KUMC Research Institute must be able to "relinquish" the grant or contract. The applicable forms relating to early termination of a project should be completed and submitted to Post-Award at the KUMC Research Institute so that the award can be closed out: 6003 Wescoe Pavilion, MS 1039.

The PI should communicate with the equivalent Sponsored Programs Administration contact at the new institution regarding the new institution's requirements for submitting a grant or contract transfer.

II. Notification of change in primary Principal Investigator:

Notify your KUMC Research Institute Post-Award Administrator of a sabbatical or extended leave of absence that will affect the project. Post-Award changes of the PI require written approval from the sponsoring agency, including sponsor approval of the substitute PI.

Definitions:

Close Out: A procedure to officially conclude a grant. Institute staff must assure that necessary scientific, administrative, and financial reports have been received, implemented and documented in compliance with federal records management policy.

Grant: financial assistance mechanism providing money, property, or both to an eligible entity to carry out an approved project or activity.

Office of Management and Budget (OMB) A-110: Uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and non-profit organizations.

Responsible Parties:

This policy shall apply to all KUMC Research Institute staff, KUMC faculty, staff, postdoctoral fellows, students, trainees, and any other persons at KUMC, University of Kansas Physicians Incorporated and its affiliates, and KU Hospital staff involved in conducting and/or coordinating or managing research at KUMC.

Exemptions:

None

Related Policies and Links:

KUMC Research Institute NIH/DHHS Grant Transfer Guidelines

http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/steps_for_transferring_a_grant_to_another_institution.html

KUMC Research Institute Policy 1.1.01: Principal Investigator Eligibility

http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/PI%20Eligibility.pdf

KUMC Research Institute Policy 2.1.16: Close Out, http://www2.kumc.edu/researchinstitute/spa/SPA_Forms/Close_Out.pdf

Contacts:

Vice Chancellor for Research: 913-588-7068

Associate Vice Chancellor for Research Administration: 913-945-6636

Director of Sponsored Programs Administration: 913-588-1259

History:

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