



CHANGE OF PRINCIPAL INVESTIGATOR ON A SPONSORED PROJECT PROCEDURE

PURPOSE:

The purpose of this procedure is to establish the roles of responsible individuals in requesting a Change of Principal Investigator (PI)/Project Director (PD) on a Sponsored Project. This procedure establishes the guidelines for submitting a formal request to a sponsor to change a PI/PD either temporarily or permanently.

Occasionally, it is necessary to change the PI/PD of an awarded grant or contract. This may be the result of a PI/PD withdrawing completely from a project, taking a leave or sabbatical for a continuous period of three (3) months or more, or at the request of CSUSM leadership.

Any change in PI/PD must be done in accordance with the policies and procedures of the funding agency and the grant agreement. In almost all cases, the funding agency will require prior approval before a new PI/PD can be appointed. Colleges and Centers should refer to the terms and conditions of the award to determine if the sponsor will allow the award to be retained in the absence of the original PI/PD. Generally, sponsors reserve the right to terminate a grant if approval for a leave of absence has not been sought or if the replacement PI/PD or key personnel is not acceptable.

PROCEDURE:

When the sponsor requires prior approval, such requests should be sent in writing to the Office of Sponsored Projects for review and approval by the Authorized Organizational Representative (AOR) before they are submitted to the sponsor. Contact your assigned Sponsored Projects Analyst (SPA) for assistance.

I. Long-Term Absence of PI/PD

In the event the PI/PD will be away from the project for a period greater than three months (e.g. sabbatical leave) but intends to return, arrangements for oversight of the project shall be sent to the sponsor for approval.

- a. This information must be provided by the PI/PD to the Office of Sponsored Projects (OSP) at least 45 days before departure or as soon as practicable after the prospective absence is known.
- b. The Associate Executive Director, Administration will endorse the request and will submit to the sponsor, who will provide written approval to CSUSM Corp if the arrangements are satisfactory.
- c. If the arrangements are not satisfactory to the sponsor, a substitute PI/PD may need to be appointed as described by the sponsor.

II. Withdrawal of PI/PD

In the event the PI/PD severs his/her connection with CSUSM/Corp or otherwise relinquishes active direction of the project upon administrative approval, OSP must notify the sponsor and either:

- a. Initiate a grant transfer;
- b. Recommend a replacement PI/PD; or
- c. Initiate grant closeout procedures

III. Substitute PI/PD

In the event CSUSM/Corp decides to continue a project with a substitute PI/PD, the original PI/PD's department shall prepare a letter on departmental letter head with the PI/PD's signature addressed to the agency grant specialist. The letter shall request a PI/PD change with a detailed justification including the date, sponsor grant number, the effective date of the requested change (ideally the date should be 30 days or more beyond the date of the letter). Included with the letter should be the Biosketch of the recommended PI/PD.

- a. The Office of Sponsored Projects (OSP) will facilitate PI/PD changes in conjunction with the Office of Graduate Studies and Research (OGSR) and the original/recommended PI/PD.
- b. PI/PD's are required to follow the sponsor's specific guidelines for terminating or transferring sponsored projects as well as the policies of the institutions involved. This process requires combined efforts of the sponsor, the PI/PD, the PI/PD's department, OGSR, OSP, and the research administration office at the other institution, as applicable.
- c. The CSUSM Senior Research Officer is authorized to determine [PI eligibility](#), on behalf of CSUSM Corporation.
- d. CSUSM Corporation is the legal owner of all sponsored projects, research records/materials and supporting documentation unless otherwise specified by law, regulation, or agreement.
- e. The department will forward the letter to OSP who will review, route to the Associate Executive Director, Administration for signature, and forward to the agency for review and approval.
- f. Once the agency approves or disapproves the PI/PD change, they will issue a revised notice of award and the SPA/Pre-Award will process and update in PeopleSoft.
- g. If the agency disapproves the PI/PD change, OSP will work with the agency to formulate an alternative plan forward.

IV. Items to Update Internally by SPA:

- Change Folder name to the new PI/PD's name once it has been approved by the sponsor.
- All new documents should be stored in PI/PD Award document folders.
- If the change is a new PI/PD, a new PI/PD orientation needs to occur.
- Update Project Agreement and ensure all signatures are obtained.
- Add new PI/PD to CFS-Sponsor Program module.
- Confirm if a new COI Disclosure Form needs to be filled out by new PI/PD