



## KENTUCKY STATE UNIVERSITY

### Policies and Regulations

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#### **REGULATION TITLE:**

**Active Awards per Principal Investigator**

#### **APPLIES TO:**

**All faculty and staff eligible to serve as a principal investigator or co-principal investigator on sponsored projects**

#### **ADMINISTRATIVE AUTHORITY:**

**Office of Research & Innovation (ORI)**

**Sponsored Programs**

**Office of the Provost and Vice President of Academic & Student Affairs**

#### **APPROVED BY:**

#### **EFFECTIVE DATE:**

#### **NEXT REVIEW DATE:**

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#### **REGULATION STATEMENT:**

To promote the successful execution of sponsored projects, ensure responsible stewardship of external funds, and support faculty in balancing their research, teaching, and service obligations, this regulation establishes limits on the number of active awards an individual may lead concurrently.

#### **DEFINITIONS:**

##### **Active Award**

A sponsored project that is within its official period of performance. An award is no longer considered active once all final technical and financial reports have been submitted to the sponsor and the award has been formally closed in KSU's financial system.

##### **Co-Principal Investigator (Co-PI)**

An individual who shares significant scientific and administrative leadership of a sponsored project with the PI.

### **Principal Investigator (PI)**

The individual with the primary responsibility for the overall scientific, technical, and administrative leadership of a sponsored project.

## **PROCESS:**

### **A. Award Limits**

- **Principal Investigator Limit:** An individual may serve as the lead PI on no more than four (4) active externally funded awards at any one time.
- **Co-Principal Investigator Limit:** An individual may serve as a Co-PI on no more than six (6) active externally funded awards at any one time.

These limits apply to all types of externally funded sponsored projects, including those from federal, state, industry, and non-profit sponsors.

### **B. Exception Process**

An exception to these limits may be requested when warranted by special circumstances. All exception requests must be submitted in writing to the Office of Research & Innovation (ORI) at the time of proposal submission. The request must include a strong justification and a management plan that details how the PI's workload will be managed to ensure all projects are successful.

Approval for an exception requires the signature of the PI's Department Chair, Dean, and the Provost and Vice President for Academic & Student Affairs or a designee. Factors considered for an exception include:

- The nature and complexity of the projects (e.g., multiple small awards vs. large, complex awards).
- The PI's demonstrated history of successfully managing multiple awards.
- The presence of dedicated administrative support, such as a project manager, to assist the PI.

### **Responsibilities**

- **Principal Investigator (PI):** Responsible for being aware of their current active award load, proactively managing their project portfolio, and initiating an exception request when necessary.
- **Department Chair and Dean:** Responsible for reviewing and approving PI workloads at the time of proposal submission, ensuring that faculty have the capacity to take on new projects, and approving valid exception requests.
- **Office of Research & Innovation (ORI):** Responsible for monitoring the number of active awards per PI during the proposal review and award setup process, notifying PIs and departments when limits are approached, and managing the formal exception request process.

### **Enforcement**

Proposals that would cause a PI to exceed the limits established in this regulation will not be submitted by ORI without a fully approved exception request on file. Non-compliance with this regulation may result in the delayed submission of proposals or a restriction from serving as PI on new proposals until the active award load is within the established limits.

## REFERENCES AND RELATED MATERIALS:

- KSU Eligibility to Serve as Principal Investigator Regulation
- KSU Proposal Submission Procedure

## CONTACTS:

Subject	Office	Telephone	E-mail
General Questions	Sponsored Programs	(502) 597-5837	<a href="mailto:Dorothy.Daley@kysu.edu">Dorothy.Daley@kysu.edu</a>

## HISTORY:

Revision Type	Date of Issuance/Revision	Drafter(s)/Editor(s)
Issued (New Regulation)	June 2025	Dorothy Daley and Zach Atwell

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