



KENTUCKY STATE UNIVERSITY

Policies and Regulations

PROCEDURE TITLE:

Change of Principal Investigator

APPLIES TO:

All principal investigators, departmental staff, and administrative units involved in managing externally 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:

PROCEDURE STATEMENT:

This procedure outlines the process for requesting a change of principal investigator (PI) on an active externally sponsored project. A change of PI is a significant modification that requires strong justification and the prior formal approval of the sponsoring agency. All requests must be submitted to the sponsor by KSU's authorized organizational representative (AOR) after a thorough institutional review.

DEFINITIONS:

Authorized Organizational Representative (AOR)

A designated official in the Office of Research & Innovation (ORI) who has the legal authority to act on behalf of KSU in matters related to sponsored projects.

Principal Investigator (PI)

The individual with the primary responsibility for the scientific and administrative leadership of a sponsored

project.

Sponsored Project

A research, training, or public service activity that receives funding from an external source through a grant, contract, or cooperative agreement.

PROCESS:

1. Justification for a Change of PI Request

A request to change the PI must be well-justified and based on unforeseen circumstances. KSU will not approve requests made for reasons of administrative convenience.

- **Valid Justifications:** Valid reasons for a change of PI request include the departure of the original PI from KSU, a long-term absence of the original PI due to illness or other personal circumstances, or a significant change in the original PI's responsibilities at KSU that prevents them from continuing to lead the project.
- **Invalid Justifications:** A change of PI will not be approved if requested solely because the original PI has taken on other projects or has an over-commitment of effort.

Only one (1) change of PI request will typically be approved for the life of an award.

2. Identifying a Successor PI

The proposed new PI must have the requisite qualifications, experience, and available effort to lead the project to a successful conclusion. The successor PI should typically be from the original PI's home college or department and must meet all KSU eligibility requirements to serve as a PI.

3. Submission Timeline and Required Documentation

The proposed new PI must submit a complete request package to the Office of Research & Innovation (ORI) within thirty (30) days of the event necessitating the change (e.g., the original PI's departure). The package must include:

- A formal request letter addressed to the sponsor's Program Officer, drafted by the proposed new PI, that justifies the change and describes their qualifications to lead the project.
- The proposed new PI's current, agency-specific biographical sketch.
- The proposed new PI's current and pending support documentation.
- A completed and signed conflict of interest (COI) disclosure form for the new PI.

4. Institutional Review and Submission

ORI will review the request package to ensure the justification is valid, the proposed new PI is eligible, and all documentation is complete and compliant.

The request will be routed for all required internal approvals, including from the relevant Department Chair and Dean.

The AOR in ORI will officially submit the approved request to the sponsoring agency. ORI will manage all communications with the sponsor regarding the request. The change of PI is not official until written approval is received from the sponsor.

Responsibilities

- **Proposed New Principal Investigator (PI):** Responsible for preparing the complete request package, including a strong justification, and submitting it to ORI in a timely manner.
- **Department Chair / Dean:** Responsible for reviewing the request, verifying the qualifications and available effort of the proposed new PI, and providing formal approval for the change.
- **Office of Research & Innovation (ORI):** Responsible for reviewing all change of PI requests for compliance with sponsor and institutional policies, providing guidance, obtaining institutional approvals, and officially submitting the request to the sponsor. ORI updates KSU records upon receipt of sponsor approval.

REFERENCES AND RELATED MATERIALS:

- Uniform Guidance, 2 CFR § 200.308, "Revision of budget and program plans"
- KSU No-Cost Extension for Sponsored Awards Procedure

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HISTORY:

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Issued (New Procedure)	June 2025	Dorothy Daley and Zach Atwell
