


Sponsored Programs Change in Effort or Status of Principal Investigator or Other Key Personnel	
Sponsored Programs SOP #8 Version 1.0 – June 29, 2021	

8. Sponsored Programs Change in Effort or Status of Principal Investigator or Other Key Personnel

8.1. Scope

This policy applies to all University of Missouri – Kansas City (UMKC) faculty and staff involved as Principal Investigator or other Key Personnel on sponsored projects.

8.2. Definitions

8.2.1. Principal Investigator (PI) – the PI is the individual designated by the grantee, and approved by the sponsoring agency, who will be responsible for the scientific or technical direction of the project.

8.2.2. Key Personnel – The PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant.

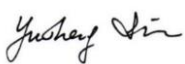
8.2.3. Sponsored Program – Any activity that receives funding from outside the University. Sponsored projects may also be known as sponsored programs or sponsored agreements.


8.3. Policy

Unless the sponsor's terms and conditions are MORE restrictive, the University follows the NIH Grants Policy Statement (NIHGPS) which requires PRIOR APPROVAL when there is a significant change in status, including absence, of the Principal Investigator and other Key Personnel. It is the policy of UMKC that any change in status or effort of the PI or other Key Personnel is in compliance with the sponsor's guidelines, terms of the award, 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 Services (ORS) – Sponsored Programs for review and transmission to the sponsor. In those cases where the PI, due to reasons for the change in status or effort, is unable to initiate such notification, the academic unit has the responsibility to notify Sponsored Programs.

Example for calculating significant reduction:

- PD/PI effort in – 01 - year award = 6 Calendar Months (CM)
- PD/PI effort in – 02 - year progress report = 5 CM (~16% reduction, not significant)
- PD/PI effort in – 03 - year progress report = 4 CM (~33% reduction from -01 year*, significant reduction which must be reported in budget justification)

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*While the reduction in effort from the - 02 year to the - 03 year in this example is only 20%, the reduction is calculated from the effort in initial competing year award.

Prior approval for a significant INCREASE in effort is not necessary unless the increase will result in a change of scope. However, any significant increase in effort must be documented and a notice sent to ORS – Sponsored Programs.

8.4. Purpose

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

8.5. Procedure

As the grant recipient, UMKC 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 Sponsored Programs for review, and approval, and transmission to the sponsor.

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


8.5.1. Changes in Committed Effort for the PI or Key Personnel


8.5.1.1. 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).

8.5.1.2. 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 scope of work of the project.

8.5.2. Changes in PI Status

When a PI plans to take a sabbatical, a leave of absence, or terminates his or her employment at UMKC, the sponsor of any active sponsored award should be notified of the change of status. Notification of

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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 ORS-Sponsored Programs

8.5.3. Short-term absence of PI

An absence of less than three (3) months may require agency notification with arrangement for conduct of the project during the PI’s temporary absence.

8.5.4. Long-term absence of PI

Generally, an absence of three (3) months or more will require agency notification and approval.


8.5.5. Withdrawal of PI


In cases where a faculty member is transferring to another institution, it is normally the decision of the department head (in cases where the PI is the department head, the decision should be made at the dean level) as to whether UMKC 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.

8.6. Process


1. Current PI and the new PI, if applicable, complete the Personnel Change Form
2. The request form along with the following documents are forwarded to the local administrative unit leader (Chairs or designee) for review and initial approval.
 - 2.1. Reason for the Change of PI request
 - 2.2. CV of the recommended PI
 - 2.3. Current and pending support of the new PI
 - 2.4. FCOI Certification
 - 2.5. Cost Share plan (if applicable)
3. The request form and any additional documents are forwarded to applicable Dean(s) for final review and approval.
4. The fully approved request form and additional documents are forwarded to the Office of Research – Sponsored Programs for submission to the Sponsor according to the Sponsor specific requirements and guidelines.

8.7. Related Information

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- 8.7.1. [OMB 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#)
- 8.7.2. [NIH Grants Policy Statement](#)
- 8.7.3. [NSF Proposal and Award Policies and Procedures Guide](#)
- 8.8. Forms
 - 8.8.1. [Personnel Change Form](#)

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