

**East Tennessee State University**  
Office of Research and Sponsored Programs

<b>Change in Principal Investigator Guidance Statement</b>	
<p>It is the policy of East Tennessee State University that any change in status or effort of the Principal Investigator (PI) or other Key Personnel is in compliance with the sponsor's guidelines and University policy. The PI must meet the requirements in the PI Eligibility policy. The PI has the responsibility for initiating notification of any such change and all notifications should be routed to the Office of Research and Sponsored Programs Administration (ORSPA) for review and transmission to the sponsor. In those cases where the PI, due to the reasons for the change in status or effort, is unable to initiate such notification, the academic department has the responsibility to notify ORSPA. This policy applies to all East Tennessee State University faculty and staff involved as Principal Investigator or other Key Personnel on sponsored projects.</p>	
<b>Procedures</b>	
Changes in PI Status	When a PI plans to take a sabbatical, a leave of absence, or terminates his or her employment at East Tennessee State University, the sponsor of any active sponsored award should be notified of the change of status. Notification of 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 ORSPA using the Request to Change the Principal Investigator form.
Withdrawal of PI	In cases where a faculty member is transferring to another institution, it is normally the decision of the Department Chair (in cases where the PI is the Chair, the decision should be the Department's Dean) as to whether ETSU 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.
<b>Roles and Responsibilities</b>	
Current Principal Investigator	The current PI has the responsibility for initiating Change in PI Request should be routed to the sponsored research office for
New Principal Investigator	The new PI has the responsibility of determining if there is available effort to commit to the project.
New Department Chair and Dean	Department heads and deans shall carefully analyze the total professional commitments and confirm that the new PI has the available effort for the project. The Department Head and Dean must also confirm the facilities are available for the project.
ORSPA	Review of the Change of PI Request form and request approval from the sponsor.
<b>Related Forms</b>	
<a href="#">Request to Change PI Form</a>	