

Principal Investigators absence from performance site or change in effort

NYU, as a member of the Federal Demonstration Partnership, is subject to FDP Terms and Conditions for grants from most of the major federal funding agencies. This set of T&Cs give considerable latitude to Principal Investigators (PIs) through their grantee institutions to make post-award changes. However, there is a list of changes which require prior written agency approval (www.nsf.gov/pubs/fdp/fdpmatrix.xls) of which changes in or absences of PI (and for NIH, other individuals named in the award) represent one such example.

The following text is from NSF's Grant Policy Manual, but generally applies to NYU's federal sponsors:

“Changes in PI/PD or Person-Months Devoted to the Project

312.1 Background

The NSF decision to support or not to support a proposed project is based to a considerable extent upon its evaluation of the proposed PI/PD knowledge of the field of study and his/her capabilities to conduct the project in an efficient and productive manner. This is reflected in the NSF criteria for the selection of projects for funding (see [GPG Chapter III](#)). The named PI/PD should be continuously responsible for the conduct of the project and be closely involved with the effort.

312.2 Basic Requirements

If the PI/PD plans to, or becomes aware that he/she will: (a) devote substantially less effort to the project than anticipated in the approved proposal; (b) sever his/her connection with the grantee organization; or (c) otherwise relinquish active direction of the project, he/she shall advise the appropriate official at the grantee organization, who shall initiate action appropriate to the situation under the guidelines that follow.

312.3 Short-Term Absence of PI/PD

If the PI/PD will be absent from the project for short periods of up to three months, he/she shall notify appropriate officials of the grantee organization. The grantee shall then notify the NSF Program Officer of arrangements for conduct of the project during the PI/PD's temporary absence.

312.4 Long-Term Absence of PI/PD

- a. 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 electronically to NSF for approval. This information must be provided at least 30 days before departure or as soon as practicable after the prospective absence is known. The NSF Program Officer will provide written approval to the grantee if the arrangements are satisfactory, but no formal amendment to the grant will be made.

- b. If the arrangements are not satisfactory to NSF, the grant may be terminated as prescribed in [GPM 910, "Suspension and Termination Procedures](#). If the PI/PD's temporary activities might constitute a conflict of interest (e.g., working for a Federal agency), a substitute PI/PD shall be appointed as described in [GPM 312.7, "Substitute PI/PD."](#)"

The process of requesting sponsor agency permission to be absent from NYU Washington Square should begin with a conversation between the PI and the sponsoring agency's Program Officer (PO). If the PI wishes to conduct some portion of the research at another location, a rationale should be provided to the PO which includes:

- How the project would benefit from conducting the research elsewhere, including any specific collaborators who would be accessible
- Whether or not any portion of the research team will be brought to the alternate location (federal funds should not be expended in a location other than that specified in the proposal without permission of the sponsor).
- An assurance that the facilities and resources are equal to or better than those at NYUWSQ
- An assurance that the progress of the grant will not be slowed
- A revised budget, if necessary (with an adjustment to indirect costs, as needed)

Alternatively, if the research is to remain at NYUWSQ for the PI's absence, a plan needs to be developed and the CV of a qualified person needs to be forwarded to the PO for review.

The written request should be approved by the Chair and the Dean and forwarded to the Office of Sponsored Programs at least 45 days before PI departure for transmittal to the agency. Such requests, while not uncommon, are considered individually and approvals are not pro forma.

See also <http://www.nyu.edu/research/resources-and-support-offices/getting-started-withyourresearch/office-of-sponsored-programs/forms-guides.html>, Prior approval system.