



Form 1304 FR.06
Responsible Personnel Change Form

Revised 10/19/2021

The purpose of this form is to assist the University with its compliance obligations related to Conflict of Interest and effort commitment monitoring.

Instructions:

- Complete this form whenever Responsible Personnel identified by the Principal Investigator (PI) or Project Director (PD) are removed or added to an active sponsored award.
- If the completion of this form is due to a sponsor approved change in PI, please attach the PI's current and pending support document unless otherwise submitted by OSP to the sponsor.
- Submit the completed form (and current and pending support document, if applicable) to the appropriate Office of Sponsored Projects' (OSP) [GCAT mailbox](#).
Note: Provide effort information only for those individuals anticipated to be named in the award document. If the Responsible Personnel Effort section of this form is blank, OSP will ensure that a Current and Pending Support Page indicating effort for this award is attached or already on file for those individuals.

Reminders:

- The completion of this form will initiate the COI Office's External Interests Disclosure review process.
- Investigators must disclose their Significant Financial Interest(s) to the Conflict of Interest (COI) Office **prior** to participation in the project.
Note: "Responsible Personnel" include the Principal Investigator (PI) or Project Director (PD) and any other person (regardless of title or position) identified by the PI/PD as being responsible for the design, conduct, or reporting of research (this may include collaborators or consultants). Please review Yale's [Guidance for Identifying PHS Investigators](#) for additional information regarding Responsible Personnel.

Principal Investigator and Project/Award Information			
IRES Proposal #:		Sponsor:	
PI Name (Last, First, M.I.):		PI Title:	
Proposal Title:			
Lead Administrator:		Sponsor Award #:	

Responsible Personnel Data										
Add	Remove	Name (Last, First)	NetID	Cost Center	Role on Project	# of Person Months			% Effort	Effective Date Effort Committed to Project (mm/dd/yy)
						Calendar	Academic	Summer		

Comments/Notes

Authorizations & Approvals

PI Authorization: I have determined that the above change regarding responsible personnel(s) is in accordance with Yale policy and sponsor requirements. In addition, I confirm that for those newly added responsible personnel, the named individual(s) completed the following:

- External Interest Disclosure
- Yale faculty training, including Sponsored Projects Administration for Faculty, if applicable
- The Patent Policy Acknowledgement & Agreement form

If the above change includes a change of PI:

As the new PI of the above award:

- I agree to accept responsibility for the scientific and administrative conduct of the project and will provide the required reports as required by the sponsor;
- I completed all required Yale faculty training, including Sponsored Projects Administration for Faculty;
- I agree to comply with any conditions or restrictions imposed by Yale to manage, reduce or eliminate conflicts of interest;
- I completed the Patent Policy Acknowledgement & Agreement form and agree that if in the course of the research conducted under University auspices, as defined in the Patent Policy, I make any invention (whether or not patentable), I will provide to the Yale Office of Cooperative Research (OCR) a written disclosure of the invention,
- I will and hereby do assign to Yale my rights in that invention as provided by the Patent Policy and I will cooperate with OCR in the preparation of any patent applications;
- I agree that during the course of the award if I become aware of any Federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the award, I will contact, in a timely manner, the Office of Research Administration;
- If the award is federally funded, I have not used and will not use federally appropriated funds to pay any person for influencing or attempting to influence any officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress with respect to the award, continuation, renewal, amendment, or modification of any of these instruments.
- I agree that all potential environmental health and safety issues and hazards identified during the course of this award, will be disclosed to staff and students who will receive applicable training, authorizations and equipment necessary to perform this work safely;
- I have read and understand Yale's Guidelines on Export Controls and I will work with OSP to ensure this project complies with the USA export control laws and regulations.

If the award includes a clinical trial, Items identified in the award budget that will be paid by the sponsor will not be billed to the Study Subject or submitted for reimbursement to any third party.

Signature of Principal Investigator:		Date:	
Reviewed and Verified by Signature of Lead Administrator:		Date:	