

Research Administration Reference Guide

PI Departure / Sponsored Program Relinquishment

When a Principal Investigator (PI) terminates their employment relationship with Rutgers (i.e. transfers to a new institution), they may choose to retain the role of PI and transfer their sponsored award to their new institution or they may choose to relinquish the role of PI and transfer their award to an alternate Rutgers PI.

Sponsored awards must have written sponsor approval in order to be transferred to a new institution or to remain at Rutgers under the direction of a new PI. Sponsored awards are issued to the University and not to an individual PI. Non-sponsored awards may not be transferred to a new institution. This includes gifts, non-budgetary accounts, residual balances, and discretionary funds.

This guide can be used by Research Financial Services (RFS), Research & Sponsored Programs (RSP), PIs, and supporting staff to support the compliant and efficient transfer (relinquishment) of sponsored awards. It identifies the tasks required of each role throughout the stages of PI Departure.

PI / Department Personnel

- Notify Chair/Dean, Department Administrator (DA), RFS, and RSP in advance of plans for pending departure (termination of employment relationship with Rutgers).
- Provide written notification of departure date to RFS and RSP.
- Notify Chair/Dean, DA, RFS, and RSP of intent to transfer sponsored awards to a new institution, or to transfer to a Rutgers PI.
- Submit written Chair/Dean approval of award transfer to RFS and RSP.
- Coordinate with RSP to seek sponsor input regarding transfer.
- Prepare any required Technical/Progress Reports.
- Determine whether an Invention Statement is required.
- Certify all open effort reports.
- Identify sponsored equipment charged to the award and complete required actions per the RFS Procedure - *Sponsored Equipment*.
- Identify and resolve any overspending per the RFS Procedure - *Overspending on Sponsored Projects*.
- Notify and confirm next steps with relevant compliance units.

Research and Sponsored Projects

- Identify all active sponsored programs with the departing faculty member as the PI.
- Obtain input from the PI as to which award will remain with Rutgers and which will be relinquished.
- Prepare and submit official relinquishment statement (*this statement will identify the appropriate amount to be relinquished back to the sponsor, as identified by the PI, department and RFS*).
 - Communicate sponsor acceptance (or rejection) of relinquishment statement to Dean/Chair, PI, and RFS.
- Submit Technical Progress Report(s) (*for NIH only*).

Research Financial Services

- Identify all Rutgers' sponsored awards with the departing faculty member as PI.
- Determine whether sponsored award has associated subawards and/or cost sharing accounts; closeout per RFS Procedures - *Closeout of Sponsored Projects, Cost Share and Management of Subawards on Sponsored Projects*.
- Identify sponsored equipment charged to the award and complete required actions per the RFS Procedure - *Sponsored Equipment*.
- Generate effort report(s) for PI and any departing project staff.
- Obtain PI written approval of final expenses.
- Develop financial section of final relinquishment statement.
- Review and sign financial section of relinquishment statement.
- Perform final financial reconciliation.
- Identify and resolve any overspending per RFS Procedure - *Overspending*.
- Complete sponsored award closeout per RFS Procedure *Closeout of Sponsored Projects*.
- Prepare and submit final financial report (**should match relinquishing statement**).
- Submit Invention Statement.