



Overview

This resource guide provides essential steps and requirements for faculty, staff, and department administrators handling changes to the Principal Investigator or transferring sponsored awards.

Important

Contact your Research and Sponsored Programs Grant Specialist if you require assistance.

General Requirements

- **Official Notification is Required:** The Sponsor must be informed immediately in writing when a PI is no longer available to manage the project. Verbal conversations are not considered official notification.
- **Role of the Grants Specialist:** All notifications and official documentation submitted to Sponsors must be reviewed by your Research and Sponsored Programs Grant Specialist
- **Avoid Costly Consequences:** The PI and department administrators must gauge spending carefully during these circumstances to avoid unallowable expenses, as continuing expenses will be questioned by the Sponsor or auditors when the PI is no longer managing the project.
- **Timing:** For internal changes, incoming transfers, and outgoing transfers, the PI and/or department administrator(s) involved should notify the Grant Specialist as soon as possible, preferably at least 90 days prior to the actual transfer date.

Internal Changes in Principal Investigator (Transfer within Rutgers)

When an existing Rutgers award must be transferred from one PI to another within the University:

1. **Notification:** Notify your Grant Specialist of the intended transfer, ideally at least 90 days in advance.
2. **Required Form:** Submit the completed and fully executed RU Departmental Grant Transfer Form to the Grant Specialist.
3. **Signatures:** The form requires signatures from the Relinquishing PI, the Accepting PI, their respective Department Chairs, and Deans.
4. **Sponsor Submission:** The Grants Specialist will submit a change of PI Letter or electronic system notification to the Sponsor for review and approval.
5. **Required Documentation:** Additional documents submitted to the Sponsor include (but are not limited to):
 - Biographical sketch of the Accepting PI.
 - Current and Pending (Other) support of the Accepting PI.
 - Justification for why the Relinquishing PI is letting go of the award and identification of the qualifications and capabilities of the Accepting PI.
 - Other requirements specified by the Sponsor's guidelines, Notice of Award or executed agreement.



Internal Changes in Principal Investigator (Transfer within Rutgers): continued

6. **System Tracking:** The transfer process is recorded in the respective RAPSS AWD record as an Award Modification, managed by the Grants Specialist and the Award Setup Team.
7. **Award Setup and Activation Partners:** Upon Sponsor approval, an Award Modification Request should be processed in RAPSS . This will result in Research Financial Services being notified to make necessary changes to the existing ORACLE award or create a new one.

System Notes:

- For NIH grants, the request is performed via eRA
- For NSF awards, the process is conducted through [research.gov](https://www.research.gov).

Transfer of Award(s) to Rutgers (Incoming Transfers)

The awarding agency must approve all grant transfers from one organization to another. Coordinate with your Grants Specialist to contact the Sponsor's awards officer.

1. **Notification:** Notify your Grant Specialist of the intended incoming transfer, preferably at least three months prior to the transfer date.
2. **Relinquishing Institution Coordination:** Work with the Office of Sponsored Research at the Relinquishing Institution and request the following items:
 - Copy of the relinquishing form submitted to the Sponsor.
 - Sponsor's Contact information.
 - Sponsor's approval of the transfer (depending on the Sponsor).
 - Special instructions specific to your situation (if any).
3. **Financial Reporting:** The Relinquishing Institution is responsible for submitting the Relinquishment form (if applicable) and the Final Financial Reports (or Final Invoice) to the Sponsor. Awards cannot be transferred until these reports are submitted.
4. **Rutgers Proposal Submission:** Prepare and submit the necessary Sponsor forms for award and/or equipment transfer to the Grant Specialist via RAPSS (a RAPSS FP must be created).
5. **Budget Requirements:** The Rutgers budget must reflect the unspent/unobligated balance agreed upon by the Relinquishing Institution and the Sponsor and must incorporate Rutgers' F&A rates and Fringe Benefit Rates. Contact your Grant Specialist prior to submission if there are carry forward balances or if the grant is transferring mid-year and the Sponsor will not adjust F&A rates.
6. **Award Setup and Activation Partners:** Upon receipt of the Sponsor's NOA/Award document, the grant transfer is accepted, and Research Financial Services is notified to create the ORACLE award.



System Notes:

- For NIH, the request is typically a transfer proposal (SF424 application) or via email (see Type 7 instructions).
- For NSF, the transfer process is conducted via research.gov.

Transfer of Award(s) to a Different Institution (Outgoing Transfers)

The awarding agency must approve all grant transfers from Rutgers to another organization. Coordinate with your Grants Specialist to contact the Sponsor's awards officer.

1. **Notification:** Notify your Grant Specialist of the intended outgoing transfer, preferably at least 90 days prior to the actual transfer date.
2. **Required Information:** Prepare and submit the following to your Grant Specialist:
 - Estimated unspent / unobligated balance (recommended to double-check with Research Financial Services).
 - End date of the PI's employment at Rutgers, OR recommended revised end date of the award.
3. **Final Financial Reporting:** The Research and Financial Services team is responsible for submitting final financial reports (or final invoices) to the Sponsor. Grants cannot be transferred until these reports are submitted.
4. **Institutional Authority:** Deans, Department Chairs, etc., are not authorized to relinquish grants or equipment on behalf of Rutgers.
5. **Submission and Recording:** After review and approval, the Grant Specialist submits the documentation to the Sponsor. The relinquishment process is recorded in the respective RAPSS AWD record as an Award Modification.

System Notes:

- For NIH, refer to the [Change of Institution Request \(Type 7\)](#) for NIH instructions and forms.
- For NSF refer to [Disposition of a grant when a PI/PD transfers from one Organization to Another Organization](#)