



## **Research and Sponsored Programs Procedure**

### **Change In Principal Investigator and Award Transfers**

---

#### 1. Overview

Grants and Contracts are awarded to Rutgers, The State University of New Jersey in full consideration of the skills and talents of the Principal Investigator (PI) managing the project. Periodically, situations arise when a PI is no longer available to continue the project. For example, a PI may have changed direction in research activity, require a temporary or permanent leave of absence, or have accepted another position and is leaving Rutgers. The University will determine whether to retain or transfer the award/contract to the PI's new institution and will work with the sponsor to gain necessary approvals.

The sponsor and department Chair or Dean must be informed immediately when such an event occurs. All notifications to sponsors must be in writing and submitted by the Research and Sponsored Programs (RSP) Grants Specialist. Verbal conversations with the sponsor are not considered official notification. Some agencies, such as the National Institutes of Health (NIH) and the National Science Foundation (NSF), have standardized this procedure and require submission of specific documentation bearing institutional signatures through the Sponsor's electronic systems.

Once a decision to transfer an award from one PI to another or from one institution to another is made, the PI and the department administrator(s) must continue to carefully monitor spending to avoid unallowable expenses during the transfer period. When the PI is no longer managing the project, continued expenditures by the PI will be questioned by the Sponsor or by the auditors. Inappropriate spending or failure to inform the Sponsor of a PI change can have significant financial consequences for the Department and University.

#### 2. Purpose

To outline expectations and procedures for 1) requesting an Internal Transfer (Change in Principal Investigator/Project Director of a sponsored award) or 2) transferring a sponsored award to or from Rutgers University.

#### 3. Who Must Comply

This policy applies to all members of the University community involved in sponsored projects that include or may include fabricated equipment, including:

- Principal Investigators
- Project Personnel/Staff Department Personnel
- School/Institute/Center leadership
- Research Financial Services (RFS)
- Research and Sponsored Programs (RSP)
- Office for Research

#### 4. Definitions

Internal Transfer:                   The award or contract will remain at Rutgers and will be managed by the new Rutgers PI.



Relinquishment: A formal process of transferring the rights of a sponsored award to another Institution.

---

Sponsored Award A grant or contract that binds the University to a set of specific terms and conditions

## 5. Procedure

### A. Internal Transfer – Change in Principal Investigator or Program Director

When a Rutgers award/contract must be transferred internally from one PI to another, please follow the procedure outlined below:

- a. The PI(s) and/or department administrator(s) involved in award transfer must notify the RSP Grant Specialist of the intended transfer as soon as possible, preferably at least three 90 days prior to the actual transfer date of the award.
- b. The completed and fully executed Rutgers Departmental Grant Transfer Form must be submitted to the RSP Grants Specialist and must be signed by the Relinquishing and Accepting PIs, as well as their respective Department Chairs and Deans.
- c. A Change of PI Letter (or electronic system Notification) Request will be submitted to the Sponsor by the RSP Grant Specialist for review and approval. Additional documentation required to be submitted to the Sponsor includes, but is not limited to:
  - Biographical sketch of the Accepting PI
  - Current and Pending (Other) support of the Accepting PI
  - Justification of why the Relinquishing PI is letting go of the award and identification of the qualifications and capabilities of the Accepting PI to take over the award
  - Other, as specified by the Sponsor's guidelines and/or the Notice of Award
  - (NOA)/executed agreement.

Note: For NIH grants, the request for PI Change is performed via eRA Commons (see [Requesting a Change of PI/PI on a Grant for NIH](#) instructions). For NSF awards, the process is conducted via Research.gov (see [e. Substitute \(Change\) PI/PD or Co-PI/co-PD for NSF](#) instructions)

The entire award transfer process will be recorded in the respective RAPSS AWD record as an Award Modification, handled by the RSP Grants Specialist and the RSP Award Set Up Team.

Upon receipt of the Sponsor's approval, RFS will be notified by RSP for the necessary changes to the existing ORACLE award or the creation of a new ORACLE award.

Please refer to the [Roles and Responsibilities Matrix](#) for the roles and responsibilities of the various parties involved.

### B. Transfer of Awards from Rutgers to Another Institution

If the Department and School approve the transfer, the PI and the Department are responsible for initiating the transfer process, completing the sponsor requirements, and obtaining the appropriate institutional approvals.

To begin, provide RSP and RFS with a list of grants/contracts that will be transferred to another Institution. The following summarizes what information is needed:

Maintenance contract (First year only): If in place for a sub-component at the time the asset is initially put



into use.

- List of all sponsored awards to be transferred, including Title, Sponsor, and Project Account
- Effective date of transfer and last date of PI employment at Rutgers
- Name of new institution and contact information of the sponsored programs office at the new Institution
- List of equipment purchased on each grant award that is to be transferred to the new Institution
- Include a list of subawards for each grant award
- Provide estimated unexpended balance as of the effective date of transfer. Accuracy is critical. The sponsor will use this amount to de-obligate the Rutgers award and make an award to the new institution.
- Other, as specified by the Sponsor's guidelines and/or the Notice of Award (NOA)/executed agreement.

Each sponsor has different procedures/formats for transferring awards. Please consult the sponsor guidelines and reach out to RSP at least 90 days prior to the planned transfer date.

a. NIH Transfer Procedures

- The Principal Investigator and department initiate the Relinquishing Statement and complete the Final Invention Statement and Certification. Submit both forms to RSP & RFS for review and institutional approval.
- See the NIH Grants Policy Statement, Section entitled [Administrative-Change in Grantee](#), for more information.

b. NSF Transfer Procedures

- The Principal Investigator initiates the Fastlane request and forwards it to RSP & RFS for review and institutional approval.
- See NSF [Proposal and Award Policies and Procedures Guide \(PAPPG\)](#), Disposition of a Grant When PI/PD Transfers from One Organization to Another, for more information.

c. All Other Sponsors

- Sponsor approval is required for all grant/contract transfers. In the absence of specific guidelines for format, draft a letter to your sponsor requesting approval to transfer the award. The letter should contain identifying information about the award (PI Name, Title, Grant/Contract Number), the effective date of transfer, the new institution, unexpended balance (direct and F&A costs), justification for the request, and the list of equipment to be transferred, if any. Send the letter to RSP for review and institutional approval.

C. Transfer of Awards to Rutgers

When transferring award(s) from another University to Rutgers, please use the following guidelines to ease the transition of your award to Rutgers.

- a. Work with the grants officer at the grantee institution (i.e., the relinquishing institution) to contact the sponsor's grant officer assigned to the project and request the following items:
- Transfer/relinquishing forms
  - Contact Information
  - Special instructions specific to your situation (if any)



Example: For NIH grants, contact the NIH Grant Management Officer (GMO) named on the award document. For NSF grants, contact the Program Officer named on the award document. The NSF grant transfer process is conducted through Research.gov. All others follow sponsor guidelines.

- b. Step 2: Complete the necessary sponsor forms for award and/or equipment transfer.
  - The grantee (relinquishing) institution is responsible for submitting final progress reports and final financial reports to the sponsor. Grants cannot be transferred between institutions until the financial reports are submitted.
  - If transferring equipment is anticipated, check with the grantee institution to determine its policy for transferring grant-related equipment.
- c. The following documents must be submitted to Rutgers RSP for Rutgers to accept the grant transfer and create a project account for spending.
  - Copy of any relinquishing statement signed by the grantee (relinquishing) institution
  - A full proposal, completed and electronically endorsed in RAPSS
  - A budget reflecting the balance shown on the relinquishing statement and incorporating Rutgers F&A and Fringe rates.
- d. After receiving approval from the RSP, the transfer proposal/application is submitted directly to the sponsor by either the RSP Grants Specialist or the PI (per sponsor guidelines).

## 6. Roles and Responsibilities

### A. Internal Transfer – Change in Principal Investigator or Program Director

Department Personnel	<ul style="list-style-type: none"> <li>• Support the current PI in requesting a Change in PI. Assisting with obtaining department approval for the Alternate PI.</li> <li>• Assist the current PI in developing a request for a Change in PI. Provide guidance on the process and procedures for routing documentation required for RSP.</li> </ul>
Research and Sponsored Programs	<ul style="list-style-type: none"> <li>• Support the PI in the compliant development of a Change in PI request.</li> <li>• Review documentation to ensure compliance with University and Sponsor guidelines.</li> <li>• Submit a request for a Change in PI to the sponsor for prior approval via the sponsor-specific receipt mechanism.</li> <li>• Document approval in the University RAPSS system by processing an Award Modification (Administrative Update), attaching sponsor approval/acknowledgement, and related documentation.</li> </ul>
Award Setup and Activation Partners	<ul style="list-style-type: none"> <li>• Review Award Modification for completeness and accuracy.</li> <li>• Process to Post Award for RFS Oracle Account update.</li> </ul>



## B. Transfer of Awards from Rutgers to Another Institution

Department Personnel	<ul style="list-style-type: none"><li>• Support the current PI in formulating a list of awards/contracts to be transferred.</li><li>• Assist the transferring PI with obtaining Departmental approval for transfers</li><li>• Provide guidance on the process and procedures for routing required documentation to RSP.</li></ul>
Principal Investigators	<ul style="list-style-type: none"><li>• Notify the Department of the intent to move to another institution as soon as possible (at least 90 days in advance).</li><li>• Provide contact information for the RSP office at the New Institution and the last day of employment at Rutgers</li><li>• Provide a list of awards/contracts requesting to be transferred.</li><li>• Provide a list of equipment, requesting it to be transferred</li></ul>
Research and Sponsored Programs	<ul style="list-style-type: none"><li>• Support the PI in the compliant relinquishment of sponsored awards/contracts.</li><li>• Review documentation to make sure it is compliant with University and Sponsor guidelines</li><li>• Submit approved relinquishment statements or other required documents to the sponsor per guidelines.</li><li>• Document relinquishment in the University RAPSS system by processing an Award Modification (Administrative Update)</li><li>• attaching the relinquish statement, Final Progress Report, and Final Financial Report when received.</li></ul>
Award Setup and Activation Partners	<ul style="list-style-type: none"><li>• Review Award Modification for completeness and accuracy</li><li>• Process to Post Award for RFS Oracle Account update.</li></ul>

## 7. Resources

- [Research & Sponsored Programs website](#)
- [Departmental Sponsored Project Transfer Form](#)
- [PI Changes and Award Transfers](#)
- [FDP Prior Approval Matrix](#)
- [Roles and Responsibilities Matrix](#)
- [eRA Commons Change of Institution User Guide](#)

## 8. Contact

- [Research and Sponsored Programs](#)
- [Research Financial Services \(Award Setup and Activation Partners\)](#)