



Brown Bag Breakfast Briefing: Principal Investigator Transfers

Introduction

- Awards are made by sponsors, to institutions 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 carry out the project.
 - PI may have changed direction in research activity;
 - a temporary or permanent leave of absence may be necessary for health or other reasons;
 - PI may have accepted a position at another institution and is leaving the University.

Introduction

- The sponsor must be informed immediately in writing when such an event occurs. The sponsor will want to evaluate the circumstances and determine:
 - if another Rutgers University PI can meet the project goals,
 - if another institution will take up the work (leading to an early award termination for our institution)
 - if the project will be moved to another institution to follow the current PI should he/she be leaving.

Introduction

- All notifications to sponsors must be in writing and co-signed by an ORSP official.
 - Verbal conversations are not considered official notification.
- The RU department is advised to gauge spending carefully to avoid unallowable expenses during any transition
 - When the PI is not managing the project, continuing expenses will be questioned by the sponsor or by auditors.

Internal Changes in Principal Investigator

- In the event that a Rutgers University grant/contract must be transferred internally from one PI to another, please follow the procedure outlined below.
 - The Principal Investigators involved in a grant/contract transfer must notify their [ORSP Grant Specialist](#) of the intended transfer through submission of a completed ORSP [Internal Grant Transfer Request Memo](#). This document must be signed by the Relinquishing and Accepting PI's, as well as their respective Deans and Department Chairs.
 - A change of PI letter (or electronic system notification) must also be submitted to the Sponsor and co-signed by ORSP

For Transfer TO or FROM

- Grants are awarded to institutions, not individuals. For this reason, Rutgers must “relinquish” the grant and equipment (if any) to the new institution.
- The awarding agency must approve all grant transfers from one organization to another.

Transfer of a Grant/Contract Transfer To Rutgers

- Work with the grants officer at the grantee institution to contact the sponsor's grant officer assigned to the project and request the following items:
 - transfer/relinquishing forms
 - mailing address
 - special instructions specific to your situation (if any)
- Complete the necessary sponsor forms for award and/or equipment transfer.
 - The grantee institution is responsible for submitting final financial reports to the sponsor. Grants can not be transferred from one institution to another until the financial reports are submitted.
 - If transferring equipment, check with the grantee institution to determine its policy for transferring grant-related equipment.

Transfers to RU

- The following documents must be submitted to the Office of Research and Sponsored Programs (ORSP) in order for Rutgers to accept the grant transfer and for a grant account to be set up.
 - copy of any relinquishing statement signed by the grantee institution
 - a full proposal including:
 - completed and signed [RU Endorsement Form](#)
 - budget—should reflect the balance shown on the relinquishing statement and incorporate [RU F&A rates](#)
- Note: If there are carry forward balances or the grant is transferring mid-year and the sponsor will not adjust the F&A rates, please contact [ORSP](#) for consultation prior to the submission.
- After receiving approval from the [ORSP](#), mail the revised proposal, budget, and any additional forms directly to the program or grants officer assigned to the project. Warning: Do NOT mail the proposal to the general office where grant applications are received.

PIs leaving Rutgers and Transferring Grants to Another Institution

- Coordinate with the assigned Grants Specialist within ORSP to contact the sponsor's grant officer assigned to the project and request the following items:
 - transfer/relinquishing forms
 - mailing address
 - special instructions specific to your situation (if any)

Transfer Out of RU

- Complete the necessary sponsor forms for award and/or equipment transfer.
 - While completing forms, work in conjunction with the department to which the award was made and your [DGCA](#) accountant to determine and agree upon account balances. DGCA is responsible for submitting final financial reports to the sponsor. Grants can not be transferred from one institution to another until the financial reports are submitted.
 - Once a date of termination is determined between the sponsor and Rutgers these awards will follow the normal DGCA closeout policy and procedures
 - Route any documents requiring “institutional signatures” to ORSP for review and sign off—deans, department chairs, etc. are not authorized to relinquish grants or equipment on behalf of Rutgers University.
- Complete any additional requirements outlined by the agency or the institution to which the grant is transferred.

Reminders

- When a PI is leaving Rutgers don't only address active awards. Ensure for that all the paperwork on any expired award is also completed prior to the PI leaving Rutgers.
 - Technical Reports
 - Progress Reports
 - Invention Statements
 - Equipment Inventory Reports
 - Final Financial Closeout with your DGCA accountant
 - Assistance with the collection efforts for any outstanding receivables
 - Effort Reports
- Any ICR monies that the PI still has remains at Rutgers.