I. PURPOSE

Throughout the life of an award, changes in project status, personnel, and scope occur. There may also be situations in which a grant must be transferred out of the University. This SOP outlines the process for Research Administration Services (RAS) units to facilitate these types of changes. These include:

- Put Project on Hold.
- Change in Principal Investigator (PI).
- Change in Scope Request.
- Transfer Grant out of University.

These will be initiated at the request of Principal Investigators (PI), Department Administrators (DA), or Department Chairs (DC).

II. INTRODUCTION

**Project Holds**
Project hold requests are usually made when the master department of an award needs to prevent further transactions from hitting a particular project, when any department needs to prevent further transactions from hitting one of their own projects, and/or when a research sponsor submits a “stop work order” on an award or a project within an award.

**Change in PI**
The circumstances in which a PI may change vary. A request may be made because a PI is either unwilling or unable to continue participation in the research project. Alternatively, some sponsors require the appointment of a permanent replacement PI or interim PI when the current PI’s effort is reduced by a specified percentage or when he/she will be absent for a specified period of time.

**Change in Scope**
A Change in Scope is a change in the direction, aims, objectives, purposes or type of research identified in the approved project. Some examples of changes that may impact the scope of the research are below. Note that this is not an exhaustive list.

- Changing specific aims.
Changes to Award
Version 4.0
August 1, 2016

• Any change pertaining to research animals or human subjects in a way other than approved.
• Shifting the research emphasis from one disease area to another.
• Using a new technology.

Transfer Grant out of the University
When an investigator wishes to transfer a previously approved project to a new location, most sponsoring agencies have a process by which this transfer must occur. In many cases, including with the National Institutes of Health, the transfer request will receive administrative review to determine if it is appropriate and to determine the level of funding. In addition, since grants are awarded to an institution and not an individual, it is ultimately the decision of Emory University to allow a grant to be transferred out of the institution. Preparations for transfers out of Emory University usually take several months and require significant input from departments, schools and the University. It is necessary to begin the planning on this activity as soon as the PI informs the Post Award Administrator of their decision to transfer the award.

III. PROCEDURE

Process for requesting a Project Hold

1. Post Award Administrator receives notification of a request to initiate a project hold request from one of the following parties:
   • Principal Investigator (PI).
   • Department Administrator (DA), Master department.
   • DA, Collaborative department.
   • Department Chair.
   • Central Research Administration.

2. The Post Award Administrator works with PI to ensure that the following have been completed:
   • All feeder systems (including but not limited to PeopleSoft HR, Emory Express, MySoft for IT expenses, etc.) that derive funding from this project have been notified and have been informed where future charges should be associated to a new SmartKey
     - Work with PI to determine which SmartKey (should be used to associate these charges.
     - The Post Award Administrator will verify with departmental or school human resources and other responsible groups (vet resources, hospital clinical research billing, etc) that the SmartKey has been updated within the PeopleSoft HR record or other applicable systems.
   • Any open Purchase Orders have been updated based on putting the project on hold.
     - The Post Award Administrator will verify with Purchasing.
   • Any Retro Salary Transfers (RSTs) submitted have been fully processed and posted to the appropriate SmartKey
     - Verify with Finance: Grants and Contracts (FGC) Cost Studies Group via email.
   • All collaborative departments have been notified of putting their project on hold.
     - The Post Award Administrator will verify with Post Award Administrator in the appropriate Collaborative Department to inform them of these changes.
   • Requesting department has obtained all appropriate approvals based on school level requirements
     - Verify with Department Chair and Administrator via email.

3. Once the completion of the above items has been verified, the Post Award Administrator will complete the “Request to Put Project On Hold for Sponsored Projects” (form can be found here: http://fgc.emory.edu/documents/forms/hold-projects.pdf) and email the form to FGC
4. The Post Award Administrator will setup new, or update existing non-financial milestones per Director’s discretion on the Milestones page and update any relevant financial milestones on the FSR Milestone page, as per the referenced job-aid, when a set of actions are completed.

5. The Post Award Administrator will respond to any requests from FGC for additional information within three business days.

6. FGC will notify the Post Award Administrator when the request has been approved / rejected and will make the necessary changes within Compass. The Post Award Administrator will notify the following parties via email, as appropriate:
   - PI.
   - Affected Co-Investigators.
   - DA, Master departments.
   - DA, Collaborative departments.
   - Director, Collaborative RAS.
   - Post Award Administrator, Collaborative RAS.
   - Appropriate school level official.

**Process for Requesting a Change in PI:**

1. Post Award Administrator receives notification of a request to initiate a change in PI from one of the following parties:
   - Current PI.
   - DA from Prime PI’s department.
   - DC from Prime PI’s department.
   - Central Research Administration (e.g., Office of Sponsored Programs (OSP), VP for Research, etc).

2. If not provided along with the request, the Post Award Administrator obtains the following (please note, no forms exist for this request):
   - Written notification and approval of the change from the current PI (unless circumstances render this impossible then work with Department Chair to arrange how to provide this), the Department Chair, and the appropriate School/Unit business office.
   - Written notification and approval from the proposed replacement PI, the Department Chair, and the School/Unit business office.
   - If the PI and the replacement PI are in the same department and/or school/unit, these approvals can be obtained simultaneously. If the new PI will be in a different department and/or school, separate approvals will be needed from each.

3. Post Award Administrator enters the PI Change request documentation and route to the Office of Sponsored Programs (OSP) via the SAM system.

4. Post Award Administrator will update milestones as appropriate per Director’s discretion.

5. Post Award Administrator will respond to requests from OSP for additional documentation within two business days. Common requested documents include, but are not limited to:
   - Biosketch for the proposed new PI.
   - Description of budget changes resulting from the proposed change.
   - Confirmation of the effective date of the change.
   - Confirmation of any changes in the existing PI’s effort prior to the date of the change.
   - Confirmation of the effort level for the proposed new PI.
6. OSP will submit the request to the sponsor and will notify the Post Award Administrator of the approval/denial of the request and will make the necessary changes within Compass. The Post Award Administrator will notify the following parties via email:
   • Old PI, as appropriate.
   • New PI.
   • Affected departments, schools and RAS Directors.

7. The PI and/or study coordinator may need to provide the following information before the creation of a new electronic Notice of Award (eNOA), as requested:
   • Submit an amendment to change the PI to the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), and/or the Environmental Health and Safety Office (EHSO) Radiation Safety Board and VA MOU. Contact those offices for additional guidance on this process.
   • Update FDA Form 1572 (drug studies) or the Investigator Agreement (device studies).
   • Updated Delegation of Authority Log (DOA).
   • Ensure the new PI has completed the Emory required training and study-specific training.

8. Note that if the grant is changing departments and/or schools, a revised budget may be requested, as this change will necessitate a change in the project/SmartKey. Data Management Group (DMG) will issue a new eNOA once the change in PI has been approved by the sponsor. Budgets are provided by the Post Award Administrator in collaboration with the PI.

**Process for Requesting a Change in Scope:**

1. Post Award Administrator receives notification of a request to initiate a change in scope request via email from the PI.
2. If not provided along with the request, the Post Award Administrator obtains the following (please note, no forms exist for this request):
   • An explanation and justification for the change in scope.
   • A change in budget, if any.
   • A change in time period, if any.
   • A change in listed Key Personnel (listed on eNOA), if any.
   • Any changes in compliance documentation (e.g., change in Institutional Animal Care and Use Committee (IACUC) or Institutional Review Board (IRB) protocols).
   • Any updates to Conflict of Interest (COI) documentation.
   • Any changes to the hazardous or radiological material approvals.
   • Any changes to the VA MOU if appropriate.
3. Post Award Administrator sends the Change in Scope request documentation to OSP via the SAM System.
4. Post Award Administrator will update milestones as appropriate.
5. Post Award Administrator will respond to requests from OSP for additional documentation within two business days.
6. OSP will submit the request to the sponsor and will notify the Post Award Administrator of the approval/denial of the request. The Post Award Administrator will notify the Principal Investigator via email.
Process for Requesting to Transfer a Grant out of the University:

1. Post Award Administrator receives notification from the PI to initiate a grant transfer request.
2. Post Award Administrator reviews the agency guidelines for transferring the grant to assist the PI in preparing the grant transfer request. In consultation with the PI, the new host institution should verify that transfers are possible and how to reapply for these funds at his/her new institution (i.e., NIH will require the PI to complete at PHS 398 or PHS 2590 with the new institution’s signature).
3. The RAS Post Award Administrator will complete the appropriate institutional documentation via SAM Kiosk.
4. FGC will provide feedback and request additional documents within five business days.
5. Post Award Administrator will respond to requests from OSP for additional documentation within two business days.
6. Post Award Administrator will determine the final amount remaining in the award budget.
7. FGC will prepare a relinquishing statement (for federal grants) to be sent to the sponsoring agency.
8. FGC will submit the request to the sponsor. The sponsoring agency will forward a revised Notice of Grant Award (NGA) to Emory, indicating the revised award end date.
9. OSP will reissue the eNOA with the new and corrected end date and distribute to RAS and PI.
10. The RAS will file the final Financial Status Report (FSR) within 90 days of the receipt of the revised NGA.
11. FGC will notify the Post Award Administrator of the receipt of the revised Notice of Grant Award (NGA). The Post Award Administrator will notify the following parties via email:
   - PI
   - DA
   - School/Unit
12. Throughout this process, Post Award Administrator will update milestones as appropriate.

Note that the Department/PI will be responsible for any subsequent expenses posting to the award that were not identified prior to the relinquishment.

IV. LIMITATIONS

This SOP does not address PI changes for Clinical Trials.
V. RESPONSIBILITY

Project Holds

Principal Investigator (PI):
- Contacts the Post Award Administrator to initiate the project hold request, as appropriate.

Department Administrator:
- Prime Award PI’s department
  - Contacts Post Award Administrator to initiate the project hold request, as appropriate.
- Collaborative department
  - Contacts Post Award Administrator to initiate the project hold request, as appropriate.

Post Award Administrator:
- Processes the request internally and sends the request to SAM Kiosk.
- Responds to any requests from FGC for additional documentation.
- Notifies the impacted parties once the request has been approved or denied by FGC.
- Updating milestones after each activity.

Finance, Grants and Contracts (FGC):
- Processes the project hold request.
- Puts the project on hold in Compass.

Change in PI

Current Principal Investigator (PI):
- Contacts the Post Award Administrator to initiate the change in PI request, as appropriate.
- Provides written notification and approval for the change from the current PI, the department chair, and appropriate school business office.
- Provides additional documentation, as requested.

Proposed New Principal Investigator (PI):
- Provides written notification and approval from the proposed new PI, his/her department chair, and his/her school business office. Note that these department and school approvals will only be needed if the proposed new PI and the current PI are in different schools and/or departments.
- Provides additional documentation, as requested.

Primary Principal Investigator’s (PI) Department:
- Contacts the Post Award Administrator to initiate the change in PI request, as appropriate.
- If PI is unable, provides written notification and approval for the change from the department chair and the appropriate school business office.
- Provides additional documentation, as requested.

Post Award Administrator:
- Processes the request internally and sends the request via SAM Kiosk.
- Responds to any requests from OSP for additional documentation.
- Notifies the impacted parties once OSP has communicated the approval/denial of the request from the sponsor.
- Updating milestones after each activity.

Office of Sponsored Programs (OSP):
• Reviews the PI change request for completeness and requests additional documentation, as appropriate.
• Processes PI change in Compass.

**Change in Scope**

**Principal Investigator (PI):**
• Emails the change in scope request to the Post Award Administrator, as appropriate.
• Provides a written explanation and justification for the change in scope request.

**Post Award Administrator:**
• Processes the request internally and sends the request via SAM Kiosk
• Responds to any requests from OSP for additional documentation.
• Notifies the PI once OSP has communicated the approval/denial of the request from the sponsor.
• Updating milestones after each activity.

**Office of Sponsored Programs (OSP):**
• Reviews the change in scope request for completeness and requests additional documentation, as appropriate.
• Sends request to the sponsor.
• Communicates sponsor approval/denial of the request.

**Transfer Grant out of the University**

**Principal Investigator (PI):**
• Emails the grant transfer request to the Post Award Administrator.
• Provides Transfer Letter and Final Invention statement.

**Post Award Administrator**
• Obtains approval for the request from the department Chair and school/unit business office.
• Processes the request internally and sends the request via SAM Kiosk.
• Responds to any requests from OSP for additional documentation.
• Notifies the PI, school, and department once OSP has communicated the approval/denial of the request from the sponsor.
• Updating milestones after each activity.

**Office of Sponsored Programs (OSP):**
• Prepares the Relinquishing Statement.
• Reviews the grant transfer request for completeness and requests additional documentation, as appropriate.
• Sends request to the sponsor.
• Communicates sponsor approval/denial of the request to the Post Award Administrator.

******************************************************************************END OF SOP******************************************************************************
**PROJECT HOLD REQUEST**  
**PROCESS CHECKLIST**

This checklist is a supporting document for SOP #2020, Changes to Award and is to be used as a guide. The steps outlined below are a list of the procedures. Please review the SOP prior to completing this checklist for further information and clarification on this process.

|☐| 1. Receive notification to initiate a Project Hold Request. |
|☐| 2. Post Award Administrator ensures that the following have been completed: |
|☐| a. All feeder systems that derive funding from this project have been notified and have been informed where future charges should be associated to a new SmartKey |
|☐| i. Work with Departmental Administrator to determine which SmartKey(s)/ should be used to associate these charges |
|☐| ii. The Post Award Administrator will verify with departmental or school human resources and other responsible groups (vet resources, hospital clinical research billing, etc). |
|☐| b. Any open Purchase Orders have been updated based on putting the project on hold |
|☐| i. The Post Award Administrator will verify with Purchasing. |
|☐| c. Any RSTs submitted have been fully processed |
|☐| i. Verify with FGC (Finance: Grants and Contracts) Cost Studies Group via email |
|☐| d. All collaborative departments have been notified of putting their project on hold |
|☐| i. The Post Award Administrator will verify with Post Award Administrator in the appropriate local service center to inform them of these changes. |
|☐| e. Requesting department has obtained all appropriate approvals based on school level requirements |
|☐| i. Verify with Department Chair and Administrator via email |
|☐| 3. Once the completion of the above items has been verified, the Post Award Administrator will complete the “Request to Put Project On Hold for Sponsored Projects” (from can be found here: http://fgc.emory.edu/documents/forms/hold-projects.pdf) and email the form to FGC via PSGRANTS@emory.edu. |
|☐| 4. Update milestones as necessary. Setup new non-financial milestones if appropriate. |
|☐| 5. The Post Award Administrator will respond to any requests from FGC for additional information within two business days. |
|☐| 6. FGC will notify the Post Award Administrator when the request has been processed. The Post Award Administrator will notify the following parties via email, as appropriate: |
|☐| a. PI |
|☐| b. Affected Co-Investigators |
|☐| c. DA, Master departments |
|☐| d. DA, Collaborative departments |
|☐| e. Director, Collaborative RAS |
|☐| f. Post Award Administrator, Collaborative RAS |
## CHANGE IN PI REQUEST

**PROCESS CHECKLIST**

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<td>c. If the PI and the replacement PI are in the same department and/or school/unit, these approvals can be obtained simultaneously. If the new PI will be in a different department and/or school, separate approvals will be needed from each</td>
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<td>3. Post Award Administrator will send the PI Change request documentation to OSP.</td>
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<td>b. New PI</td>
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<tr>
<td>☐</td>
<td>c. Affected departments, school, and local service center Directors</td>
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## Change in Scope Request
### Process Checklist

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<td>f.</td>
<td>Any updates to COI documentation</td>
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<td>3.</td>
<td>Post Award Administrator sends the Change in Scope request documentation to OSP.</td>
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<td>Update milestones as appropriate</td>
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<td>5.</td>
<td>Post Award Administrator will respond to requests from OSP for additional documentation/changes within two business days.</td>
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<td>6.</td>
<td>OSP will submit the request to the sponsor and will notify the Post Award Administrator of the approval/denial of the request. The Post Award Administrator will notify the PI via email.</td>
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# TRANSFER A GRANT OUT OF THE UNIVERSITY

## PROCESS CHECKLIST

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<td>Review agency guidelines. With the PI, verify that transfers are possible and how to reapply for these funds at the new institution</td>
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</table>
| 2.   | Confirm that the PI has written a letter to OSP stating:  
   a. Title  
   b. Grant Number  
   c. Date of Transfer  
   d. Any equipment that the PI wished to take with him/her with chair, dean, and appropriate school official approval  
   e. For federal grants, PI must complete a Final Invention Statement |
| 3.   | Post Award Administrator will obtain counter-signatures from the Department Chair and the Dean. |
| 4.   | Post Award Administrator will send the signed letter and the Final Invention Statement, if applicable, to OSP. |
| 5.   | Update milestones as appropriate. |
| 6.   | Post Award Administrator will respond to any requests for changes/additional information from OSP within two business days. |
| 7.   | Post Award Administrator will determine final amount remaining in the award budget. |
| 8.   | OSP will submit the request to the sponsor. The sponsoring agency will forward a revised NGA to Emory, indicating the revised award end date. OSP will notify the Post Award Administrator of the receipt of the revised NGA. |
| 9.   | Upon receipt of the revised NGA from OSP, the Post Award Administrator will notify the following parties via email:  
   a. PI  
   b. Department Administrator  
   c. School/Unit |