



Research Administration
Contract & Grant Administration

Process for Requesting Relinquishments and PI Changes

September 8, 2022

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Summary

- 1. Grants and Contracts are issued to UCLA, not to individual PIs**
- 2. Significant changes to an award such as a relinquishment to another entity or a proposed change in PI must be supported in writing by the Department Chair or Dean**
- 3. Requests must be submitted promptly to the sponsor by the Authorized Organizational Representative (AOR) i.e., OCGA**

Relinquishment

- **EPASS is not required**
- **However, prior to processing the request, OCGA requires written confirmation from the Department Chair or Dean that they support the relinquishment**
- **Chair should be aware of the other options available**

NIH Relinquishing Statement

APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:

*In view of the fact that **we do not wish to nominate another program director/principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of [Requested Termination Date] and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.***

That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited

I certify that the statements herein are true, complete and accurate to the best of my knowledge and belief and accept the obligation to comply with Public Health Services terms and conditions if a grant is terminated as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

PI Change Request

- **EPASS required and must include Chair's or Dean's signature**
- **Additionally, if the sponsor requires a formal letter requesting a change in PI, the letter should be signed by:**
 - OCGA (Authorized Organizational Representative)
 - Department Chair, and
 - If required by the sponsor, the old and / or new PI

PI Change Additional Documentation

- **For the new PI:**
 - Biosketch
 - Other Support / Current & Pending report
 - Level of effort (person months)
 - Certification of human subjects training if the proposed new PI will be working with human subjects
- **Scientific Justification, including any proposed changes in scope**
- **Any budget changes resulting from the proposed change**
- **For a change to, from or within a multiple PD/PI model:**
 - A new or revised Leadership Plan

Process

- Email required documentation Award Intake (awards@research.ucla.edu) for assignment
- Only Signing Officials (OCGA) can submit the request for a change of PI/PD
- While some sponsors may not specifically require formal approval for a PI Change, best practice is that the sponsor be notified of changes to PI and other key personnel

Sponsor Actions

- **In response to a request for a PI change the sponsor may:**
 - Accept the change of PI request
 - Request additional information for further consideration
 - Suspend award
 - Terminate award

Additional NIH Institutional Reporting Requirements

- **NIH recipient institutions are expected to provide safe and healthful working conditions for their employees and foster work environments conducive to high-quality research**
- **Previously, when recipient institutions requested prior approval for changes in PD/PI or other Senior/Key personnel or for a change in recipient institution, requests had to indicate if the change was related to concerns about safety and/or work environments (e.g., due to concerns about harassment, bullying, retaliation, or hostile working conditions)**

- **Effective July 9th, 2022, Authorized Organization Representatives at NIH recipient institutions are required to notify NIH within 30 days when individuals identified as PD/PI or other Senior/Key personnel in an NIH notice of award are:**
 - Removed from their position, or
 - Otherwise disciplined by the recipient institution due to concerns about harassment, bullying, retaliation or hostile working conditions

Possible NIH OER Actions

- **Coordinate with funding NIH Institute on necessary grants management actions, which may include requesting the recipient institution identify a replacement principal investigator on the award**
- **Hold pending awards associated with the PI of concern while compliance issues are resolved**
- **Decline to approve requests to transfer grants involving the PI to another institution**
- **Require special reporting requirements from the institution**
- **Require follow-ups with institutions to ensure issues have been fully addressed**

Other News

Virtual PreCon Event:

August 25, 2022 / 2:00 – 3:30PM ET

NIH Loan Repayment Programs: Supporting the Next Generation of Researchers

Do you (or does someone you know) have student debt? If so, find out how you can get up to \$100,000 repaid towards your student loans with a two-year award from the NIH Loan Repayment Programs (LRPs).

This PreCon Event is designed for students, new researchers, and administrators/mentors who want to learn how biomedical and behavioral scientists with student debt can benefit from this program. In addition, participants will hear first-hand experiences from LRP Ambassadors on planning their grant applications.

Virtual PreCon Event:

September 15, 2022 / 1:00 – 3:30 PM ET

Navigating Early Career Funding Opportunities

The NIH is committed to investing in early-stage investigators who are focused on establishing themselves as experts in their chosen research areas.

With numerous Fellowships and Career Development Award types, how do you know which is the right one for your research and career goals? Our experts will provide an overview of opportunities, discuss how networking and mentoring can strengthen your chances for success, and show you where to find resources to help you along the way.

NIH Conference
Registration

Virtual PreCon Event:

October 14, 2022 / 2:00 - 4:00 PM ET

Research Misconduct & Detrimental Research Practices

What is research misconduct and what are some detrimental research practices? Research Integrity Officers from the Office of Research Integrity (ORI), HHS and NIH will help answer this question and more, as they discuss Public Health Service (PHS) regulations on handling research misconduct allegations, responsibilities of an institution receiving PHS funds, and red flags that may help to avoid misconduct in research. Experts will explore interpersonal, institutional, and professional responsibilities in the overall ethical conduct of research during presentations, case studies, and discussions with the audience.

Virtual PreCon Event:

November 9, 2022 / 1:00 – 3:30PM ET

International Collaborations: Policies, Processes, & Partnerships

Whether you are from a domestic institution considering partnering with an overseas research organization or you are an international researcher working through the grant application process, this event will provide you with valuable tools, policies, and guidance. Administrative and programmatic aspects of the application process will be shared, as well as considerations for building a partnership.

Any Questions?
