

PROCEDURES

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Revised:

Contacts for questions about these procedures, [click here](#)

The following procedures are intended to address the transfer of sponsored awards to or from Georgia State typically when the Principal Investigator on the award requests such a transfer, but may also occur under other conditions. There are many other procedures and logistical issues that are involved in the transfer of a Principal Investigator or a lab to or from GSU, but those procedures are not addressed in this document.

General Guidelines

When a Principal Investigator (PI) leaves one university or non-profit institution to accept a position at another, he/she generally is allowed to take any active grant and/or pending proposal to the new institution. Since awards are made to the institution and not directly to the PIs, the transferring PI needs to review the award terms and conditions and sponsor policies concerning change of grantee and relocation of PI and then work with his/her grants administrator at the relinquishing institution to prepare the necessary paperwork and to obtain approval to relinquish the award to the new institution.

Sponsor prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). A change of grantee request normally will be permitted only when all of the permanent benefits attributable to the original grant can be transferred, including equipment purchased in whole or in part with grant funds. In reviewing a request to transfer a grant, the sponsor will consider whether there is a continued need for the grant-supported project or activity and the impact of any proposed changes in the scope of the project. A change may be made without peer review, provided the PI plans no significant changes in research objectives and the facilities and resources at the new organization will allow for successful performance of the project. If these conditions or other programmatic or administrative requirements are not met, the sponsor may require peer review or may disapprove the request and, if appropriate, terminate the award.

Most institutions should have in place a procedure for grant transfers. The sponsor and the relinquishing institution should agree to any transfers and the new institution should give written notice to the relinquishing institution that it will accept the transfer, usually with no changes to the scope of work or the budget, **before** the transfer paperwork is submitted. **Also, it is important to note that the start date of the PI at the new institution does not necessarily coincide with the transfer date of their grants.** There are often delays in transferring grants that will result in grant start dates later than the start date of the PI at the new institution.

Sometimes, in the best interest of the project, the decision is made for an institution to retain the award when the PI leaves. Leaving a grant at the PI's former institution may involve rebudgeting of funds to a

subcontract for the new institution for the PI's continued work and collaboration on the project. When this is the case, the PI must make arrangements in concurrence with his/her former institution's designated official to assign a new PI at his/her former institution and arrange for a subcontract to be issued to the new institution. In most cases the change of PI also has to be approved by the sponsor.

SPECIAL CIRCUMSTANCES:

- If a grant is scheduled to end near the estimated transfer date, it is recommended that the PI spend down and close-out the grant rather than transferring it.
- If a no-cost extension is going to be requested near the estimated transfer date (30 days or fewer), it is recommended that the PI discuss with the grants officer at his/her new institution to determine which institution should submit the no-cost extension request.
- If a progress or financial report for a grant is due before the estimated transfer date, it is recommended that the PI discuss with the grants officer at his/her new institution to determine which institution should submit the report.

DEFINITIONS

Term	Definition
Grantee	The organization or individual, awarded a grant or cooperative agreement by the sponsor, that is responsible and accountable for the use of the funds provided and for the performance of the grant-supported project or activities. The grantee is the single legal entity even if a particular component is designated for a subcontract in the award document. The grantee is legally responsible and accountable to the sponsor for the performance and financial aspects of the grant-supported project or activity.
Relinquishing Statement	Official statement relinquishing interests and rights in a federally funded public health service research grant.
Subawards / subcontracts	As it pertains to this policy, these terms mean an award of financial support subsidiary to a prime award (e.g., a grant, cooperative agreement, and other agreements) made by a prime award recipient to an eligible subrecipient. It also includes awards made by a subrecipient to a lower tier subrecipient. It does not include procurement of goods and services through the funds provided in a prime award.

Transferring Grants TO Georgia State University (GSU)

Below are the primary steps and a suggested timeline for transferring a grant from an institution to GSU. The timeline provided is only suggestive in order to minimize the time between the PI arriving at GSU and the transfer of the grant to GSU. The grant transfer process may take up to six months or longer depending on when the grant accounts can be closed at the relinquishing institution, when that institution submits their Financial Statement of Relinquishment to the grant's sponsor, and when the sponsor issues notice of award to GSU. Equipment purchased off of a grant can only be transferred with the grant with written approval of the sponsoring agency, the relinquishing institution, and the new institution (which must agree to any cost associated with housing and maintaining the equipment).

Timeline	Step
As soon as PI signs GSU offer letter	PI contacts the sponsor's program officer or representative for sponsor's approval to transfer a grant.
As soon as PI signs GSU offer letter	PI submits to their new department or college grants officer at GSU a list of all of the grants they plan to transfer to GSU (title, number, sponsor, agency contact, current institution grants manager contact, notice of award, contact information of person at current institution) along with the original NGA(s). Once GSU has this information, they can work directly with the current institution and sponsor on the transfer details.
As soon as PI signs GSU offer letter	Once verbal approval to transfer a grant is received from the sponsoring agency, PI contacts their current institution (department grants officer and/or institutional grants officer that they normally work with) to request approval to transfer a grant.
At least 3-4 months prior to GSU start date	Once approval to transfer a grant is received from the PI's current institution, the PI should set a date to stop all spending on each grant account and notify their department or college grants officer to begin to close these accounts on the set date(s). NOTE: Continued spending on a grant will delay this process. It can take 90 days or more to clear all encumbrances from a grant account before the institution may relinquish the grant back to the sponsor.
2-3 months prior to GSU start date	If applicable, the PI should submit all IRB, IACUC and/or Biosafety protocol applications to GSU's IRB, IACUC and Biosafety offices, respectively. Even if grants are transferred, research cannot begin until these protocols are approved through GSU.
1 month prior to GSU start date	For NIH grantees only: PI (or his/her new department grants manager at GSU) should complete and submit the eRA Commons Registration form to GSU's Office of Sponsored Programs to transfer the PI's eRA Commons affiliation from their prior institution to GSU. Please include the current eRA Commons ID on the registration form.
1 month prior to GSU start date	For NSF grantees only: PI (or his/her new department grants manager at GSU) should complete and submit the FASTLane Registration form to GSU's Office of Sponsored Programs to transfer the PI's FASTLane affiliation from his/her prior institution to GSU. Please include the current FASTLane ID Number on the registration form.

Transferring Grants FROM Georgia State University (GSU)

Below are the primary steps and a timeline for transferring a grant from GSU to another institution. The timeline provided is only suggestive in order to minimize the time between the PI arriving at their new institution and completion of the grant transfer process. The grant transfer process may take up to six months or longer depending on when the grant accounts can be closed at GSU, when GSU submits their Financial Statement of Relinquishment to the grant's sponsor, and when the sponsor issues notice of award to the PI's new institution. Equipment purchased off a grant can only be transferred with the grant with written approval of the sponsoring agency, the relinquishing institution, and the new institution (which must agree to any cost associated with housing and maintaining the equipment).

Timeline	Step
As soon as PI signs an offer letter	PI contacts the sponsor's program officer or representative for sponsor's approval to transfer a grant.
As soon as PI signs an offer letter	Once verbal approval to transfer a grant is received from the sponsoring agency, PI should contact his/her department's GSU OSP representative to request approval to transfer a grant.
As soon as PI signs an offer letter	PI notifies his/her new institution about the grants he/she plan to transfer there (title, number, sponsor, agency contact, current institution grants manager contact) along with the original NGA(s). Once the new institution has this information, they can work directly with GSU and the sponsor on the transfer details.
At least 3-4 months prior to leaving GSU	Once verbal approval to transfer a grant is received from GSU, the PI should set a date to stop all spending on each grant account and work with their department grants officer and their department's RFS representative to begin to close these accounts on the set date(s). NOTE: Continued spending on a grant will delay this process. It can take 90 days or more to clear all encumbrances from a grant account before GSU may relinquish the grant back to the sponsor.

RESPONSIBILITIES

Position or Office	Responsibilities
Principle Investigator / Project Director (PI/PD) (may be completed with help from department or college grants officers)	<ol style="list-style-type: none"> 1. Review the award terms and conditions and then contact the sponsor's Program Officer and inform him/her of the intent to transfer the grant to or from GSU. Each sponsor and federal agency handles grant transfers differently and the requirements for that agency must be followed. The Program Officer will guide the PI as to the appropriate steps. The Grants Officer in the PI's current or new institution may also assist. 2. Initiate transfer procedures at relinquishing institution and inform the appropriate parties at relinquishing institution of his/her intent to transfer the grant(s) to new institution. Most relinquishing institutions must provide written approval to transfer a grant. 3. Consult with departmental or college and central grants administrators at new institution. The central officer is the representative from the Office of Sponsored Programs (OSP) at GSU assigned to the GSU department. 4. Provide to central grants administrator at the new institution the sponsor assigned number and project title for each grant/contract to be transferred and the name and telephone number for the sponsor's administrative specialist assigned to each grant. 5. Provide to central grants administrator a copy of the Final Financial Report and a copy of the last Notice of Grant Agreement (NGA)/award/contract from the transferring institution. 6. Complete and route through central grants administrator (include a completed GSU Proposal Routing Form for each project to be transferred to GSU and the transfer/change of grantee paperwork required by the sponsor). 7. Obtain written approval from the relinquishing institution's approval authority for the transfer of any equipment purchased off of the grant being transferred from or to GSU.

	<p>NOTE: The central grants administrator should take full responsibility for communicating with the sponsor and relinquishing institution on all grant transfer issues once PI has provided central office with all information. Any changes in technical aspects of the grant (eg. scope of work) may still be handled by the PI.</p>
<p>Office of Sponsored Programs (OSP) at GSU</p>	<ol style="list-style-type: none"> 1. Review the list of awards/proposals the PI will be transferring to GSU. 2. For grants being transferred to GSU, obtain from the PI the sponsor's Program Officer and Grants Management Specialist (if two different people) for each award, and obtain copies of award notices/agreements. 3. For grants being transferred to GSU, coordinate with the transferring PI to assure all appropriate documents are provided to GSU and sponsor. Request PI provide estimated unobligated balances, verify equipment transfers, and verify the relinquishing date with the relinquishing institution. 4. For grants being transferred to GSU, negotiate award/subaward to GSU from the PI's former institution when that route is chosen over transfer of the grant/contract.
<p>Research Financial Services (RFS) at GSU</p>	<ol style="list-style-type: none"> 1. For grants being transferred out of GSU, work with PI to set dates to close grant accounts and provide requested information to the new institution. 2. For grants being transferred out of GSU, review various reports to ensure that all direct expenses have been posted to awards that PI will transfer from GSU. 3. For grants being transferred out of GSU, verify indirect cost expenses. 4. For grants being transferred out of GSU, obtain all cost-share documentation. 5. For grants being transferred out of GSU, submit the Final Financial Report to the sponsor in a timely manner and keep a copy for the project file.

CONTACTS

Subject	Office	Telephone	Email
Initial steps in transfer process	PI's current or new department at GSU		
Questions about transferring grants to or from GSU	Office of Sponsored Projects (OSP)	Click here for list with your Dept. / Unit OSP contact	Click here for list with your Dept. / Unit OSP contact
Questions about transferring grants to or from GSU	Research Financial Services (RFS)	Click here for list with your Dept. / Unit RFS contact	Click here for list with your Dept. / Unit RFS contact

RESOURCES

Helpful Links:

- A. [National Institutes of Health](#) (Section 8.1.2.7)
- B. [National Science Foundation](#) (Chapter 2; Section B.2.h)

NOTE: Reference to the above guidelines does not preclude the required contact with the sponsor's Program Officer and Contracting Officer, GSU's Office for Sponsored Programs, or PI's current institution.