

# PI Transfer

Standard Operating Procedure  
PI/Project Transfer To NCSU  
Research Administration  
version: 07/11/2008

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## Transferring Projects to North Carolina State University

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Grants are awarded to institutions, not individuals, therefore the grantee institution must relinquish the grant and equipment (if applicable) and the sponsor must approve the transferring of the project. The following table provides a sequence of events that must occur in order for a project to be transferred to NCSU from another qualifying organization. This standard operating procedure (SOP) is a "best case" scenario. Understand that transfers will bring delays in the pursuit of timely results from sponsored scholarly projects. Working in tandem with the originating institution, we strive to aid in the smooth and efficient transfer process to the end that funds will be available at NCSU as quickly as possible. The following is a key to some of the terms used in this table: CRO = College Research Office (or College Business Office); SPARCS = Sponsored Programs and Regulatory Compliance Services (pre award and all negotiations and signatory). The point of contact (POC) in SPARCS (SPARCS POC) designated to handle transfers is the Administrative Officer for Audits and Assessments, currently Debbie Hunt who can be reached by e-mail at [debbie\\_hunt@ncsu.edu](mailto:debbie_hunt@ncsu.edu); C&G = Contracts and Grants Office (post award). The point of contact who will coordinate C&G's efforts in the transfer is the Assistant Director of Operations, Julie Brasfield.

| Seq | What to Do  | Who Does It                                       |
|-----|---|---|
| 1   | <p><u>PLAN</u> the move. CRO, in concert with Dept. Head, will contact incoming PI to determine what project(s) PI wishes to transfer to NCSU. Assemble contact information from PI of Grantee institution and sponsor contact names, phone numbers and email addresses.</p>  | PI, Dept Head, CRO, SPARCS                        |
| 2   | <p>NOTIFY SPARCS Administrative Officer for Audits and Assessments and C&amp;G Assistant Director of Operations of incoming PI. Provide following information to points of contact at both offices as soon as known:</p> <ul style="list-style-type: none"><li>• Name of incoming PI and departmental affiliation</li><li>• Name of Grantee institution</li><li>• Arrival date</li><li>• Projected effective date(s) for transferred projects</li><li>• Agency name</li><li>• Agency AND Grantee institution award #</li><li>• Budget Period</li><li>• Grants/Program Officer contact info</li><li>• Grantee institution contact info</li><li>• Full proposal and award documents</li><li>• Budget and budget justification</li><li>• Work yet to be accomplished</li><li>• Incoming Graduate students who will be paid from transferred project.</li></ul> | PI, Departmental Contract Manager, CRO and SPARCS |

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- Equipment that will need to be transferred – will need to find out Grantee institution’s policy on transfer of equipment and projected costs to ship/insure.
- Intellectual property issues, if any

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| 3 | REQUEST documentation of relinquishment approval from Grantee institution AND project transfer authorization from sponsoring agency.   | CRO & SPARCS  |
| 4 | SPARCS POC will notify relevant personnel in SPARCS to watch for incoming project transfer correspondence and documentation, which should be assigned to SPARCS POC. Also, SPARCS POC will act as liaison, along with CRO, with sponsoring agency, PI and grantee institution. SPARCS POC and CRO will initiate communications.  | SPARCS, CRO   |
| 5 | It is recommended to plan a preliminary meeting to discuss transfers. Interested parties should included, but not limited to: incoming PI, Department Head or designated representative, Associate Vice Chancellor for Research Administration/SPARCS, the Administrative Officer for Audits and Assessments, the Assistant Director of Operations in Contracts and Grants and the appropriate College Research Office (CRO) officials designated by the Associate Dean. | SPARCS  |
| 6 | PREPARE/SUBMIT new project proposal in PINS. If needed, depending on date incoming PI will arrive, add incoming PI into system as either a No-Pay or Adjunct faculty member, so that PINS record may be initiated.   | PI or CRO   |
| 7 | Note: Indirect cost rates will be reassessed at NCSU and may likely vary from the rate from grantee institution, as this project will be submitted as a new proposal to sponsor.   | CRO, Departmental Contracts Manager, PI and C&G                     |
| 8 | SUBCONTRACTORS: Consider whether there will be any subcontracts, like back to PSU. You will need to get complete proposals from any subcontractors, showing only the SOW and budget they have remaining. For any new subcontracts that will be included and are not already a part of original award from grantee institution – a Prior Approval Request (PAR) will need to be initiated.  | C&G and CRO   |
| 9 | PRE AWARD ACCOUNTS: For any subcontracts included in original grantee institution award, with approval from CRO and SPARCS, a request for a pre award account can be initiated in RADAR, if needed, so that subcontractors can continue to work.   | Dept. Head, Departmental Contracts Manager, PI, C&G, CRO and SPARCS |

PRE AWARD EXPENSES: For new subcontractors to be included in proposal submitted by NCSU (& not included in the original grantee institution proposal), department must submit a request for pre award expenses through PAR once we have a grant # to request it on. We cannot request a pre-award expenditure authorization until after the grants office at sponsoring agency has a grant number for NC State, so department can spend money on the account. This is done only as Department acknowledges and accepts associated risks that are sole responsibility of the Department.