



TRANSFER OF A SPONSORED PROJECT PROCEDURE

PURPOSE

Transfer of a sponsored project involves multiple factors, most of which will be addressed explicitly in this procedure. Some aspects to consider are:

- Will the sponsored project be relinquished by the original institution?
- Are there appropriate facilities, resources, and support at the receiving location to allow for the successful performance of the project?
- At what stage of performance is the project?

I. TRANSFERRING TO CSUSM/CORPORATION

- A. The Principal Investigator/Project Director (PI/PD) must contact Grants and Contracts Development in the Office of Graduate Studies and Research (OGSR) and submit the following documents, as applicable, to initiate the proposal review process:
1. The full, original proposal and related agreements with the sponsor, original budget and justification, a report of progress to date, and a description of the work remaining to be accomplished.
 2. Copy of the notice of award, funding letter, or contract.
 3. A revised budget of remaining funds using CSUSM salaries, fringe benefits, and facilities and administrative (IDC) rate.
 4. Copy of a release statement signed by the originating entity's authorized official of the relinquishing institution.
 5. Document from sponsor approving transfer of the project.
 6. Agreements related to patents and inventions, confidentiality, and material transfers.
 7. A completed CSUSM Cayuse Proposal Form reflecting the budget of remaining funds.
- B. OGSR and the Office of Sponsored Projects (OSP) will assist the PI/PD and the original grantee institution to request applicable transfer forms and other instructions from the sponsor.
- C. The following compliance approvals must be secured from oversight committees at CSUSM including, but not limited to:
1. Human subjects – CSUSM Institutional Review Board
 2. Live vertebrate animals – CSUSM Institutional Animal Care and Use Committee
 3. Hazardous materials – Safety, Health & Sustainability
- D. OSP will request from the relinquishing institution a final financial report as of the transfer date.

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- E. OSP will work with the sponsor to execute a new contract or receive an official notice of award.

II. TRANSFERRING FROM CSUSM/CORPORATION

- A. OGSR will examine the following considerations before relinquishing a sponsored project to another institution:
 1. Whether the project can reasonably be completed by another individual at CSUSM;
 2. Whether it is feasible for CSUSM to establish a subaward with the institution to which the PI/PD will transfer;
 3. Whether the department chair and dean of the school in which the PI/PD currently resides agree to the transfer;
 4. Whether the sponsor permits or requires the project to be transferred;
 5. Whether the project is in a no-cost extension.
- B. The PI/PD shall submit to the Dean of Graduate Studies and Research, copying the department chair and dean, a proposed plan for the transfer or management of the project that includes the following:
 1. The new institution and proposed effective date of transfer
 2. The current employees of CSUSM and CSUSM Corporation
 3. The use of lab space, lab animals, human subjects, intellectual property (patents, inventions, copyrights)
 4. The equipment acquired through the project
 5. The research records, lab notebooks, data, and materials
- C. The PI/PD shall consult with OSP to complete sponsor and institutional processes for award and equipment transfer.
 1. OSP is responsible for submitting final financial reports to the sponsor as of the transfer date.
 2. The PI/PD should notify subrecipients and OSP to modify existing subagreements.
 3. When the PI/PD intends to take materials involved in the project, a Materials Transfer Agreement (MTA) must be executed by CSUSM Corporation.
 4. To transfer sponsored project equipment, the PI/PD will complete a [Property Status Change Form](#), obtain authorizing signatures and submit to OSP.
- D. In the event a PI/PD leaves CSUSM/Corporation, residual funds from sponsored projects will be determined in accordance with CSUSM Corporation Residual Funds from Sponsored Projects Policy and Procedure.

III. ROLES AND RESPONSIBILITIES

Principal Investigator/Project Director

- Initiate and notify OSP, OGSR, appropriate college and department officials of the transfer
- Submit plan for the transfer of a sponsored project to the Dean of Graduate Studies

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and Research

- Follow sponsor guidelines and institutional policy
- Complete and submit applicable forms relating to the transfer of a sponsored project
- Secure applicable, required compliance approvals from CSUSM oversight committees

Office of Sponsored Projects

- Prepare final financial reports
- Assist the PI/PD with the transfer process
- Complete and submit relinquishing documents as required

Office of Graduate Studies and Research:

- Assist the PI/PDs with the transfer process
- Ensure institutional compliance with sponsor guidelines and policy
- Review requests to transfer a sponsored project and equipment from CSUSM/Corporation
- Review proposals and agreements for sponsored projects transferring to CSUSM

IV. DEFINITIONS

Principal Investigator/Project Director: The individual (whether referred to in the contract or grant as a Principal Investigator, Project Director or other similar term) designated by the Sponsored Program Administrator to be responsible for ensuring compliance with the academic, scientific, technical, financial and administrative aspects and for day-to-day management of the sponsored program.

Sponsored Project: A project resulting from a grant, contract, or other agreement between the campus and a sponsor.

Subaward: An award (subgrant or subcontract) of financial support from a prime awardee/pass-through entity to a qualified organization for the performance of a substantive portion of the programmatic effort funded under the prime award. This term also includes awards made by a sub-recipient to a lower tier subrecipient. It does not include payments to a contractor or payments to an individual that is a beneficiary of the program.

Links to Policies and Regulations

[CSUSM Corporation Policies and Procedures](#)

[CSUSM Corporation OSP Policies and Procedures](#)