



KENTUCKY STATE UNIVERSITY

Policies and Regulations

PROCEDURE TITLE:

Transfer of Sponsored Awards to KSU

APPLIES TO:

All newly hired faculty and staff seeking to transfer active sponsored projects from a previous institution to KSU

ADMINISTRATIVE AUTHORITY:

Office of Research & Innovation (ORI)

Sponsored Programs

Office of Provost and Vice President of Academic & Student Affairs

APPROVED BY:

EFFECTIVE DATE:

NEXT REVIEW DATE:

PROCEDURE STATEMENT:

Kentucky State University (KSU) welcomes the transfer of active sponsored projects that accompany new faculty and staff joining KSU. This procedure outlines the required steps to facilitate the successful transfer of an award from an investigator's former institution to KSU, ensuring compliance with sponsor, institutional, and federal policies. The transfer of a sponsored project requires the formal approval of the sponsoring agency, the originating institution, and KSU.

DEFINITIONS:

Originating Institution

The principal investigator's former institution that currently holds the prime award from the sponsor.

Principal Investigator

The individual with the primary responsibility for the leadership of a sponsored project, who is moving to KSU

from another institution.

Relinquishing Statement

A formal document from the originating institution certifying the amount of funds being relinquished and the official termination date of the award at that institution.

Sponsored Project

A research, training, or public service activity that receives funding from an external source through a grant, contract, or cooperative agreement.

PROCESS:

The transfer of a sponsored project is a multi-party process that requires careful coordination.

1. Initiation by the Principal Investigator

As soon as the decision to move to KSU is made, the incoming PI must:

- Notify their Program Officer at the sponsoring agency of their intent to transfer the award.
- Notify the sponsored programs office at their Originating Institution to begin their internal relinquishment process.
- Notify the KSU Office of Research & Innovation (ORI) and their new KSU Department Chair of their intent to transfer the award.

2. Proposal Submission by KSU

In most cases, a transfer requires KSU to submit a formal "transfer proposal" to the sponsoring agency. The PI must work with ORI to prepare and submit this proposal, which typically includes:

- A scope of work for the remaining project period.
- A detailed budget and budget justification for the remaining funds to be spent at KSU.
- All other required administrative documents (e.g., PI biosketch, resources page).

The PI must adhere to all internal deadlines outlined in KSU's Proposal Submission Procedure.

3. Documentation from the Originating Institution

The PI is responsible for securing the following documents from their Originating Institution and providing them to ORI:

- The official Relinquishing Statement.
- Final financial reports detailing expenditures at the Originating Institution.
- A copy of the original notice of award and any subsequent modifications.

4. Award Acceptance and Setup

Upon receipt of an official notice of award from the sponsor transferring the project to KSU, ORI will:

- Negotiate the final terms and conditions with the sponsor, if necessary.
- Formally accept the award on behalf of the University.
- Work with the Division of Finance & Administration to establish a new project account.
- Conduct any necessary compliance reviews (e.g., for human subjects or animal care protocols) before research activities can begin at KSU.

Responsibilities

- **Principal Investigator (PI):** Responsible for initiating and coordinating the transfer process with the sponsor, the Originating Institution, and KSU. The PI is also responsible for preparing the technical components of the KSU transfer proposal.
- **Department Chair / Dean:** Responsible for reviewing and approving the transfer request, ensuring the PI will have the necessary space, resources, and support to continue the project at KSU.
- **Office of Research & Innovation (ORI):** Responsible for providing guidance on the transfer process, submitting the official transfer proposal to the sponsor, managing all institutional negotiations, and officially setting up the new award at KSU.

REFERENCES AND RELATED MATERIALS:

- KSU Proposal Submission Procedure
- KSU Eligibility to Serve as Principal Investigator Regulation

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HISTORY:

Revision Type	Date of Issuance/Revision	Drafter(s)/Editor(s)
Issued (New Procedure)	June 2025	Dorothy Daley and Zach Atwell
