



KENTUCKY STATE UNIVERSITY

Policies and Regulations

PROCEDURE TITLE:

Transfer of Sponsored Project Responsibilities

APPLIES TO:

All sponsored projects requiring a transfer of leadership from one principal investigator to another

ADMINISTRATIVE AUTHORITY:

Office of Research & Innovation (ORI)
Sponsored Programs

APPROVED BY:

EFFECTIVE DATE:

NEXT REVIEW DATE:

PROCEDURE STATEMENT:

Following the institutional and sponsor approval of a change in principal investigator (PI), a systematic transfer of all project-related responsibilities, materials, and knowledge must occur to ensure project continuity and compliance. This procedure outlines the steps and responsibilities for the orderly transition of a sponsored project from an outgoing PI to a successor PI.

DEFINITIONS:

Outgoing Principal Investigator (PI)

The individual relinquishing the leadership role and responsibilities for a sponsored project.

Sponsored Project

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

Successor Principal Investigator (PI)

The individual assuming the leadership role and responsibilities for a sponsored project, who must meet all institutional and sponsor eligibility requirements.

PROCESS:

1. Initiation of Transfer

The transfer process is initiated concurrently with, or immediately following, the submission of a formal "Change of Principal Investigator" request to the Office of Research & Innovation (ORI). The outgoing PI, or their Department Chair in cases of incapacitation, is responsible for initiating this process.

2. The Transition Plan and Checklist

To ensure a comprehensive and orderly transfer, the outgoing PI and successor PI must work together, in consultation with their department, to develop a transition plan. This plan should, at a minimum, address the transfer of the following:

- **Scientific and Technical Materials:** All research data, lab notebooks, protocols, cell lines, reagents, and other essential research materials.
- **Financial and Administrative Records:** Status of the current budget, pending expenditures, and relevant financial documentation.
- **Regulatory Compliance Documents:** All approved and pending protocols and records related to the Institutional Review Board (IRB), Institutional Animal Care and Use Committee (IACUC), or other compliance bodies.
- **Project Personnel:** A clear transition of supervisory responsibility for all staff, students, or other personnel supported by the project.
- **Equipment and Property:** A list and status of all equipment and property purchased with project funds.

3. Finalizing the Transfer

Once the sponsor has approved the formal change of PI, and the internal transition of materials and responsibilities is complete, the successor PI formally assumes full leadership of the project. ORI will update all institutional records to reflect the new PI, and any necessary administrative changes to the award will be processed.

Responsibilities

- **Outgoing PI:** Responsible for ensuring all project records are up-to-date, initiating the transfer process, and working cooperatively with the Successor PI to ensure a complete and orderly transfer of all project-related materials, data, and knowledge.
- **Successor PI:** Responsible for reviewing the project's status, verifying their eligibility to lead the project, working with the Outgoing PI to receive all project materials, and formally assuming full responsibility for the project's technical, financial, and regulatory compliance upon sponsor approval.

- **Department Chair / Dean:** Responsible for overseeing the transfer process within the department/college, facilitating a smooth transition, and ensuring the Successor PI has the necessary resources and support to successfully lead the project.
- **Office of Research & Innovation (ORI):** Responsible for providing guidance on the transfer process, managing the formal request to the sponsor, and updating all official institutional records once the transfer is approved and finalized.

REFERENCES AND RELATED MATERIALS:

- KSU Change of Principal Investigator Procedure
- KSU Principal Investigator Responsibilities Regulation
- KSU Record Retention Policy

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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