The Incoming PI Transfer Process

PI informs institutions of desire to transfer the project to ISU → Original institution approves

Original institution approves → Sponsor is notified by original institution

Sponsor is notified by original institution → PI & institution complete agency's forms

PI & institution complete agency's forms → PI informs ISU that agency & sponsor approve of transfer

PI informs ISU that agency & sponsor approve of transfer → ISU completes PI transfer application for award

ISU completes PI transfer application for award → Awarding Agency re-awards the project to ISU

What Happens at ISU?

Once a new PI agrees to relocate to Iowa State University, the process to transfer their grants begins.

1. Establish the PI in the ISU system (EPA must be fully routed)
2. Contact ospa-proposals@iastate.edu to request that OPSA register PI in Liquid Office and other systems
3. Notify the OSPA Pre-Award Team of the PI's date of arrival and projects and the projects he/she wishes to transfer to ISU.
4. Receive assurance of acceptance of award from ISU

What Happens at the Original Institution?

1. PI informs the original institution that he/she is leaving and wants to transfer the project to ISU.
2. PI contacts agencies for procedures to transfer awards to ISU.
3. PI obtains approval from the original institution to transfer awards.
4. Sponsor is notified by original institution of the PI's plans and the original institution's willingness to transfer the awards. Sponsors generally allow Change of Grantee Organization notices when:
   a. Original grantee institution agrees to relinquish award before award expiration
   b. Change of grantee institution is made before anticipated start date at ISU

The Transfer Process

The next step is usually relinquishment paperwork, required by the sponsor and completed by the original institution. These forms relinquish the original institution's interests in the grant and provide an estimate of

funds remaining at the time of the transfer. The original institution then submits a relinquishing statement to the sponsor.

Sponsors will send the original institution a revised award document reflecting revised project period dates, deletion of future-year support, and de-obligation of remaining funds based on estimated funds remaining listed on Relinquishing Statement

Then at ISU, PI informs ISU of the approval of the project transfer and the balance on the relinquishing statement. A GoldSheet must be routed for each transferred project.   The PI and Department will work together to create the ISU budget out of the transferred award amount, adjusting the remaining award totals for changes in salaries, fringe rates, IDC, etc. The budget, budget justification (if required) and a copy of the original solicitation and award to the original institution should also be attached to the GoldSheet whenever possible.

- If ISU's IDC rate is higher, the project may continue to use the original institution's IDC rate (after an IDC waiver has been routed) for the remainder of the award. If ISU's rate is lower, the difference should be applied to direct costs.

- If subawards are issued by ISU to original institution, this is treated as a new subaward. A budget, budget justification, scope of work, and transmittal letter will be required to process this sub-award.

Normally, the PI and department will work with the program officer to initiate the transfer. Then the PI/ Grant Coordinator/ OSPA staff member will complete and submit according to the directions of the program officer. The ISU budget, budget justification and proposal information may need to be entered into Fastlane/eRA Commons/Cayuse or some other electronic system to be submitted to the sponsor in order for the transfer to be authorized by the awarding institution.

Transfers Prior to Execution of Award

If an award has not been made to the original institution, but the PI has received the intent to fund, the program officer will likely handle the transfer "behind the scenes" by processing the award transfer manually. In this case, ISU may be asked to complete a cover page and/or other forms to be emailed to the program officer along with the budget information. Just as with any project, a GoldSheet will be routed for approval.

Remember that the original institution may need extra time to complete the relinquishment request, so each transfer may likely take much longer than can ever be anticipated.

In order to avoid problems with the transfers to ISU:

Communicate early and often

Understand the sponsor's transfer process

Work closely with OSPA Pre-Award