Principal Investigator/Program Transfer

Created: 9/7/23

Last Reviewed: 10/9/23

Purpose & Scope

To outline the guidelines for handling Principal Investigator (PI) or program transfers on sponsored awards at Colorado Mesa University (CMU). This policy is established to ensure compliance with Uniform Guidance (2 CFR Part §200.308), maintain the continuity of sponsored projects, and provide clarity on the processes for transferring PIs or programs while safeguarding the interests of the university and sponsoring agencies. This applies to all sponsored awards granted to the university, including those funded by federal agencies, foundations, the State of Colorado, and other external sources.

Definitions

Principal Investigator (PI): The lead researcher and/or project manager responsible for the successful execution of a sponsored project. This person may also be called the Project Director (PD).

Program Transfer: The reassignment of a sponsored award from one PI or program to another, with the approval of the sponsoring agency.

Policy

Voluntary Transfers

1. When a PI wishes to voluntarily transfer an existing sponsored award to another institution, they must first seek prior approval from CMU.
2. If CMU grants the PI's request to transfer the sponsored project, the PI, in coordination with the Office of Sponsored Programs (OSP), will provide a written request to the sponsoring agency that includes the reason for the transfer, the proposed timeline, and a plan for the continued execution of the project.
3. CMU will assist the departing PI in the transition of project responsibilities and will work with the sponsoring agency to facilitate the transfer, including a transfer of the grant file.

Involuntary Transfers

1. In the event of an involuntary transfer, such as the resignation, termination, or incapacity of a PI, CMU will take steps to ensure the continuity of the sponsored project.
2. CMU will promptly inform the sponsoring agency of the transfer, the reasons for it, and the plan for appointing a new PI.

Continuity and Communication

1. CMU will work diligently to ensure the continuity and successful execution of sponsored projects during and after the transfer.
2. The university will maintain open and transparent communication with the sponsoring agency throughout the transfer process, providing the necessary documentation and information as required.

3. The university will also maintain open and transparent communication with any subrecipients, if applicable, throughout the transfer process. Depending on the nature of the transfer, subrecipients’ funding may be temporarily paused.