**Division of University Research – Office of Sponsored Programs**

**Grant Transfer Overview**

Grant awards are made to institutions and not directly to Principal Investigators. When a Principal Investigator (PI) moves from one institution to another with active grants, the relinquishing institution must agree to the transfer and follow any specific terms of the grant agreement regarding transfer of said grant to a different institution. Any PIs transferring grants to Rowan or from Rowan to another institution should contact the Office of Sponsored Programs (OSP) as soon as possible, ideally 90 days prior to the move to the new institution. Normally any equipment purchased using grant funding will transfer to the new institution at the cost of the new institution. Any university funds used as matching to purchase equipment should be evaluated for current value and cost should be covered by new institution if being transferred.

Transfers to Rowan University

PIs transferring to Rowan University should provide the OSP a listing of all grants they intend to transfer to Rowan University along with any equipment, subawards, transfer of personnel, etc. At this point, the PI should have notified the OSP at their current institution, along with their department chairs and granting agency and received approval of the transfer. The PI should provide Rowan’s OSP contact information for the OSP at their former institution. The two offices will then work together to complete the transfer. Depending on the sponsoring agency, certain forms and processes may be required of each institution. For instance, a relinquishing statement will likely be required from the former institution and an updated budget and other documentation (for instance new subaward agreements if applicable) will need to be completed by Rowan. Upon completion of the documentation, the sponsor (according to their policy) will generally issue a new Notice of Award to Rowan which will indicate the direct and indirect costs remaining on the award that will transfer to Rowan, the start date of the award at Rowan, and other terms and conditions of the award. Once the documentation and approvals are complete, the transferred equipment is now considered owned by Rowan.

All research funded equipment transferring to Rowan that requires network connectivity (i.e. requires an IP address) must adhere to all Rowan technology policies and will need to be checked in with the campus Information Resources & Technology (IRT department so the appropriate network configuration and software (e.g. antivirus, encryption) can be installed. This is the responsibility of the PI.

Transfers from Rowan University

When a PI leaves Rowan University to another institution, they should obtain approval from their Program Officer for the transfer along with the department chair and dean and notify the OSP. The PI must work with their department administration and OSP to formally request a transfer, list any equipment, and for NIH grants, complete form PHS 3734. If equipment includes licensed software provided by Rowan, Information Resources & Technology (IRT) will reimage the system to ensure all Rowan licensed software and security technologies (e.g. antivirus, encryption) are removed prior to the transfer of equipment to the new institution. The PI is responsible for backing up their research data and working with the vendor or new institution to reinstall any software required for use with the grant. When a PI moves to another institution and requests transfer of equipment to the new institution, the following standards will apply:

* Equipment purchased with federal funds may not be transferred to a for-profit institution
* If an active grant is being transferred to another academic institution, equipment purchased on that grant may be transferred to the new institution in accordance with the terms of the grant.
* Equipment purchased with federal funds on a grant that is no longer active will be released only if the department chair certifies that the equipment is not useful to the other investigators in the department.
* For more details, see the Fixed Asset Policy of the Senior Vice President for Finance and CFO is available [here](https://confluence.rowan.edu/display/POLICY/Fixed%2BAssets).

The PI and department administration must identify, list, and categorize research materials, including location of research materials, and then the PI should certify the statement in writing. PI should provide Rowan’s OSP contact information at the new institution. Rowan OSP will prepare appropriate relinquishment document and get appropriate approvals according to the terms of the grant agreement, including details of direct costs, equipment, etc. that will be transferred to the new institution. Sponsor will likely provide confirmation of close out with Rowan and new Notice of Award to new institution.

It is the responsibility of the PI, in conjunction with Department Administration, OSP and Grants and Contracts Accounting, to ensure the following is reviewed, identified, and completed as required:

* NIH grants only – Form PHS 3734
* Adhering to Sponsor Guidelines, Policies and Procedures
* Obtaining Sponsor Approvals, if necessary
* Financial Close-Out of Grant Funds, Cost Transfers, and Payroll Reallocations
* Subaward Management, Reporting, Agreement Modification or Termination, and Disposition of Staff
* Personnel Management
* Equipment List related to Grant or Grants to be transferred
* Research Materials, defined as the record of data and/or results that embody the scientific investigation, regardless if electronic or physical include the following:
	+ Research proposals, protocols, grant applications, progress reports
	+ Laboratory notebooks, records, clinical trial records, emails and computer files
	+ Cell lines, chemical compositions, specimens, and animals
	+ Publication materials
* All and any research materials must be reviewed by the Office of Technology Commercialization to protect any patent filings that have been derived from the research
* Any research materials that include Protected Health Information (PHI) must be reviewed by the Cooper Medical School at Rowan University’s and School of Osteopathic Medicine’s respective departments who are responsible for use and access to PHI records and data
* Intellectual Property Management, Final Invention Statements, Material Transfer Agreements, Licensing, and Research materials need for Patents and Patent Filings, in conjunction with Office of Technology Commercialization must be completed
* Hazardous Materials, in conjunction with Division of Facilities, Planning & Operations and Office of Research Compliance must be identified and listed
* Research and Teaching Animals, in conjunction with Division of Facilities, Planning & Operations and Office of Research Compliance, must be identified and listed
* Human Subjects, in conjunction with Office of Research Compliance, must be identified and listed