

Research Administration	Effective Date: 08/01/2025
OVPR Policies and Procedures	Revised: 08/20/2025

OVPR-17: Policy for Grant Transfers

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**PURPOSE**

Grants and other sponsored agreements are awarded to Baylor University, not directly to the principal investigator (PI). If the PI changes institutions, Baylor must determine whether to retain the award under the direction of a replacement PI, transfer (relinquish) the award to the PI’s new institution, or terminate the award. In some cases, such as when the grant is in a no cost extension period, it may not be feasible to transfer the grant and Baylor may issue a subaward to the new institution for the duration of the original award period. Any of these award actions must be approved by both Baylor and the grant sponsor.

**POLICY STATEMENT**

The following items should be considered to effectively facilitate the transfer of a grant from Baylor.

Notifying Baylor Offices- The PI should notify OVPR within 30 days of acceptance of a new appointment outside of Baylor. Notification to other relevant Baylor offices should be made in compliance with BUPP-733 Faculty Separation Policy and utilizing Appendix A.

Notifying the Sponsor- The PI should notify the sponsor’s program official of the intent to transfer the grant. Ideally, the transfer request (relinquishing statement) should be completed at least one month preceding the transfer.

Estimated Unobligated Balance- The Post Award Financial Analyst, in collaboration with the PI and Post Award University Research Administrator (URA), will determine the estimated unobligated balance of funds to be included on the transfer request submitted to the sponsor. When projecting the estimated balance, a 5-10% cushion should be considered to accommodate unforeseen expenses.

Carryover Funds- For some sponsors, such as the National Institutes of Health (NIH), funds carried over from prior years may not be included in the amount requested for transfer. In these cases the estimated unobligated balance may not exceed the total award for the current year. Carryover funds are subsequently addressed by the sponsor upon receipt of the final financial status report.

Pending Awards- If Baylor has approved transfer of a pending award, a letter should be prepared by Pre Award Central for signature by the PI's Department Chair and the Assistant Vice Provost for Research Pre Award. The letter should include the sponsor's application identification number, formal title, and the statement "Baylor University hereby withdraws and relinquishes all rights and interests to the above-referenced proposal for funding." Occasionally, the sponsor will request a relinquishing statement form as well.

Equipment- All equipment transfers must be reported to the Capital Asset Accounting team in Financial Services. Details to be included should be the asset description, serial number, original purchase date and cost, and funding source.

Subawards- Pre Award Central issue an amendment to terminate the agreement as of the date of the PI separation from Baylor and request a final invoice. The final expenditures should be included in the calculation of the estimated unobligated balance and final financial report.

Effort Certifications- The PI must certify the effort on the project through the date of the grant transfer, or an appropriate delegate should be identified to sign the certification.

Animals- The PI should not leave without making arrangements for the disposition of any research animals. The PI must coordinate with the Animal Vivarium and the IACUC (through the Office of Research Compliance) to ensure appropriate disposition which may include transfer of animals to another institution.

Materials Transfer- If material is being transferred, Baylor requires a materials transfer agreement with the receiving institution. The PI must coordinate with the Office of Research Compliance, Technology Transfer Office, and Environmental Health and Safety, as appropriate, to develop a materials transfer plan.

Protocols- The PI must terminate all active regulatory protocols effective no later than the last day at Baylor. If a protocol relates to an active award being retained by Baylor, the change in PI must be approved prior to continuing the project.

Intellectual Property- Any intellectual property should be reviewed and discussed with the Technology Transfer Office regarding their disposition prior to the PI's departure from Baylor.

Research Data- The PI must ensure that appropriate retention policies required by Baylor for research data are followed. This may include identifying a data custodian in his/her department to be responsible for retaining copies of data that the PI takes with him/her. Identifiable human subject data, restricted data (e.g., CUI), and other sensitive data may require a data transfer and use agreement or similar agreement. The PI must coordinate with the Office of Research Compliance to develop a data transfer plan.

The following items should be considered to effectively facilitate the transfer of a grant to Baylor.

Notifying the Sponsor- Ensure that the PI has notified the sponsor's grants management officer and the program official.

Documents Required- The PI should provide copies of the Notice of Award (NoA) and modifications, relinquishing statement, and financial status report from the previous institution.

Application- Baylor will not submit the "Change of Grantee" application until a copy of the completed relinquishing statement is received from the previous institution. The PI and Pre Award URA should begin compiling the modified application in advance of receiving the relinquishing statement. The application will be prepared, reviewed, and approved through our CARA proposal system prior to submitting to the agency.

Budget- The budget amounts should be based on the TOTAL from the relinquishing statement for the current year and the NoA for any future years.

F&A Costs- The application must be submitted with Baylor's approved F&A rate, regardless of the F&A rate of the previous institution.

Budget Dates- Unless instructed otherwise, the budget period should remain the same as the original award, with the exception of the start date.

Regulatory Approvals- The required documentation should be submitted to obtain IRB/IACUC/IBC approvals as soon as possible. Sponsors generally will not issue the NoA without full approval. Pending approvals are not sufficient.

Advance Account- An advance account should be requested to segregate actual grant expenditures until the NoA is issued. The advance account will be established based on the proposed budget within the parameters of Baylor's Advance Account policy. Upon receipt of the NoA, the budget will be updated in Ignite. Funds will not be released until all compliance requirements are complete.

Carryover- For NIH awards, funds carried over from prior years cannot be included in the amount requested for transfer on the relinquishing statement. The Post Award Financial Analyst should monitor the Payment Management System for the funds to be provided to Baylor. A budget update will be required at the time to include these funds.

Equipment- All equipment transfers must be reported to the Capital Asset Accounting team in Financial Services. Details to be included should be the asset description, serial number, original purchase date and cost, and funding source.

## **APPLICABILITY**

This policy applies to all grants, contracts, and other sponsored agreements, both federal and non-federal.

## **RESPONSIBILITY**

The Vice Provost for Research is responsible for overseeing the implementation of this policy. Day-to-day responsibility for such implementation is delegated to OVPR leadership. Appendix A delegates the individual responsibilities for the shared implementation of this policy including the PI, academic units, research administration, and other administrative offices.

## **REGULATIONS AND RELATED DOCUMENTS**

Applicable Law

University Policies and Documents

Advance Accounts

Policy for Sponsored Award Compensation Confirmation (Effort Certification)

Federally Negotiated Indirect Cost Rate Agreement

Faculty Separation Policy

## **DEFINITIONS**

Relinquishing Statement – an official document that transfers an active grant from one institution to another.

Estimated Unobligated Balance- the amount of funds that remain unspent at the end of a budget year for a grant. It is calculated by subtracting the total of the grantee's expenditures and unliquidated commitments from the total amount of funds authorized to be obligated.

Carryover Funds- Uncommitted funds that are moved from one budget period to another to cover costs in the new budget period. Carryover funds can be used to complete activities that were approved in a previous budget period but not yet completed.

Equipment- Items valued at \$5,000 or more with a useful life greater than a year that are recorded as capital assets.

Notice of Award- A legal document that informs a recipient that a grant has been awarded and includes the associated terms and conditions.

Materials Transfer Agreement- A legal contract that outlines the terms and conditions for the transfer and use of materials between two parties.

## **GOVERNANCE**

This policy will be reviewed and updated, as necessary, on a regular basis by the Office of the Vice Provost for Research. If a federal agency issues rules governing cost principles in sponsored programs, those rules will govern where applicable. Any changes in federal requirements will supersede the relevant provisions of this policy.

## **RESOURCES**

[Email template for a PI transferring to a new institution](#)

## **REVISIONS FROM PREVIOUS VERSION**

Previous version dated 06/01/2025

## Appendix A

### Checklist for Grant Transfers FROM Baylor University

Primary- Responsible for completing task or accountable to ensure task is complete

Support- Provide support responsibility for task execution to the primary role

PI=Principal Investigator, URA=University Research Administrator, BO=Business Officer or delegate,  
TTO=Technology Transfer Office, Compliance=Research Compliance, Research IT=Baylor Research Information Technology

Responsibility	Primary	Support
Communicate with the following offices, as applicable:		
College/School Business Office	PI	
URAs, Pre Award and Post Award	PI	
Research Compliance	PI	
Baylor Research IT	PI	
Vivarium	PI	
Technology Transfer	PI	
Environmental Health and Safety	PI	
Capital Asset Accounting Team in Financial Services	BO	
Academic Space Planning and Management (ASPM)	BO	
Notify sponsor program official	Post Central	PI
Prepare estimated unobligated balance	Post Central	PI, Post URA
Submit final financial, invention, and inventory reports	Post Central	PI
Determine if any pending awards, that Baylor has been notified of, are being relinquished	PI	Pre Central
Consider impact on other PIs, Co-PIs, staff or students	PI	Chair
Process Personnel Action Form(s) to terminate personnel leaving	BO	
Ensure arrangements are made for personnel not leaving	Chair	BO
Determine disposition of intellectual property	TTO	PI
Determine disposition of research data	PI	Compliance
Determine if any material transfers are required	PI	Compliance
Terminate subawards	Pre Central	
Obtain final invoices for Subawards	Post URA	PI
Ensure effort certifications have been signed and returned	Post URA	
Close out regulatory protocols (IRB, IACUC, IBC)	PI	Compliance
Ensure arrangements have been made for research animals	PI	Compliance
Terminate open purchase orders	BO	Post URA
Confirm all PI reporting requirements or other deliverables met	Post Central	PI
Ensure any deficits are resolved	Post Central	BO
Terminate roles in research-related systems/portals	OVPR Research IT	

## Appendix A

### Checklist for Grant Transfers TO Baylor University

Primary- Responsible for completing task or accountable to ensure task is complete

Support- Provide support responsibility for task execution to the primary role

PI=Principal Investigator, URA=University Research Administrator, BO=Business Officer or delegate, TTO=Technology Transfer Office, Compliance=Research Compliance, Research IT=Research Information Technology, HR=Human Resources, OGC=Office of General Counsel, Pre=Pre Award, Post=Post Award; ASPM=Academic Space Planning and Management, Research IT=Research Information Technology

Responsibility	Primary	Support
Communicate with the following offices, as applicable:		
College/School Business Office	PI	
URAs, Pre Award and Post Award	PI	
Research Compliance	PI	
Baylor Research IT	PI	
Vivarium	PI	
Technology Transfer	PI	
Environmental Health and Safety	PI	
Capital Asset Accounting Team in Financial Services	BO	
Academic Space Planning and Management (ASPM)	BO	
Ensure sponsor has been notified	Previous Institution	PI
Confirm grant funding by obtaining copies of the following:		
Notice of Award (NoA) and modifications	Pre Central	
Relinquishing statement	Pre Central	
Financial status report if available	Pre Central	
Confirm the anticipated start date of the grant	Pre URA	PI
Determine if any pending grants are being transferred	Previous Institution	PI
Submit regulatory protocols for approval (IRB, IACUC, IBC)	PI	Compliance
Prepare the transfer proposal and other forms, as required by sponsor	Pre URA	Pre Central, PI
Set up advance account, if necessary	Post Central	
Ensure any cost share has been approved and documented	Pre URA	PI, Chair, BO
Check to see if PI is bringing any staff	BO	PI
Make sure staff salaries are approved by all parties, including HR	BO	PI
Determine whether there are any Visa issues	HR	OGC
Confirm that subrecipients have been notified of the transfer	Previous Institution, Pre URA	PI
Determine space requirements and if renovations are needed	ASPM	PI
Ascertain whether any equipment is being transferred	PI	BO, ASPM
Order computers, etc.	BO	
Complete RCR and COI training and certification	PI	
Once the NoA arrives, follow up on any carryover funds	Post Central	