Oklahoma State University Policy and Procedures

TRANSFER OR TERMINATION OF SPONSORED RESEARCH OR SERVICE AGREEMENTS

1.01 In the event it is necessary to change the project director or transfer a sponsored research or service agreement to another institution and terminate the project activity at OSU, a timely and efficient procedure must be established to permit all University officials concerned with the project to be properly notified and to take the action necessary to effect the transfer.

PROCEDURE

2.01 Listed below are the several situations which may occur. The policy and statement procedures appropriate to follow in each case are listed after each situation.

Situation I

Change of principal investigator or project director within personnel available at OSU. This replacement is required when the principal investigator or project director is absent for a 60-day period or longer from the OSU campus on business not directly related to the operation of the sponsored research or service project.

Procedure

When absence of a principal investigator, project director, co-investigator, or co-director is anticipated, notification of this condition is to be made in writing to the investigator's or director's department head and processed through the established administrative approval channels before notifying the sponsoring agency's representative. Copies of the correspondence notifying the sponsoring agency's representative and of the sponsoring agency's response, i.e., whether or not a replacement is required, are to be sent to the Office of the Director of Internal Audits and the Director of Sponsored Research or Services of the appropriate college or division of the University.
Situation 2

Permanent absence of the principal investigator, project director, co-investigator, or co-director from the OSU campus.

Procedure

A. The principal investigator or project director, in consultation with the department head, may suggest to the agency's authorized representative in writing a suitable replacement for the position.

B. Upon receiving approval of the recommended replacement candidate in writing from the authorized representative of the sponsoring agency, the new leader is to be notified and the sponsored research or service project may be continued at OSU.

C. If a qualified replacement is not available or not approved by the sponsoring agency, appropriate steps should be taken by the administrators concerned to terminate the project's activity at OSU immediately.

D. Copies of the approval (or disapproval) correspondence are to be supplied to the Office of the Director of Internal Audits and the appropriate Director of Sponsored Research and Services.

Situation 3

Transfer of a sponsored research or service agreement from OSU to another institution or organization of higher education.

Procedure

A. The institution or organization requesting the transfer of the sponsored research or service agreement to their institution must initiate such a request in writing directly to the sponsoring agency's authorized representative.

B. On receiving the transfer approval notification from the sponsoring agency, OSU will take the action necessary to terminate the activity on the project in question and proceed to liquidate all financial commitments outstanding on the project.
C. After all financial commitments have been liquidated, a final financial report or voucher will be prepared and/or verified by the Office of the Director of Internal Audits and transmitted by that office to the sponsoring agency. Any residual funds remaining in the account will be disposed of only at written direction from the sponsoring agency's authorized representative.

D. Any transfer of property purchased under the sponsored research or service agreement must be made in accordance with Section 1-0106, Transfer of Property to Other Organizations of the OSU Policy and Procedures Letters Manual.

Situation 4

Sub-contracts and sub-grants with other institutions or agencies.

Procedure

A. In general, entering into sponsored research or service sub-contracts or sub-grants by OSU is discouraged because of state laws governing financial procedures.

B. In some instances, however, where OSU has a continuing active role in the project or where cooperative efforts of one or more other institutions or organizations are required to successfully complete the project, such agreements are necessary. Such agreements, however, will be subject to compliance with state law and procedures and may require not only a written agreement but also a requisition and official encumbrance of the amount of the sub-agreement with the State Director of Finance.

Situation 5

Sponsored research or service agreements accepted by OSU where special provisions or federal laws are found in conflict with this policy statement.

Procedure

A. In cases where OSU, after full administrative review and approval, finds that the federal laws, special provisions, or regulations contained in the agreement are in conflict with this policy statement, the federal laws,
regulations, or special provisions included in the accepted agreement will prevail.

B. Any exceptions to the policy and procedures listed above are to be approved in advance by written memorandum from the President of this University or the designated subordinate.