

PI TRANSFERS

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TRANSFER SITUATIONS

- Principal Investigator is leaving NU
 - Transfer grants
 - Transfer pending proposals
 - Transfer equipment, animals, etc.
 - Not all grants may be eligible to transfer
- Principal Investigator is coming to NU
 - Transfer grants
 - Transfer pending proposals
 - Transfer equipment, animals, etc.
- Other transfer situations

THINGS TO REMEMBER

- ◉ Awards are made to institutions, not directly to Principal Investigators
- ◉ Therefore, the relinquishing institution must agree to transfer awards if/when its PI moves to another institution
- ◉ Sponsors must also agree to the transfer
- ◉ OSR & ASRSP assist with transfers
- ◉ It is best to contact OSR & ASRSP at least 90 days in advance of any transfers

START THE PROCESS

- Transfers Out: Compile a list of all currently funded grants and pending proposals
 - Show the budget period and project period start and end dates
 - Show agency names and award numbers
 - List the contact info for the agency program officers and grants management staff
- For Incoming transfers:
 - Obtain copies of awards notice & most recent monthly or annual financial statement (most recent financial report submitted to the sponsor is helpful)
 - Provide contact info for the grants administrator in the grants office of the other institution

MAKE SURE WE'RE ALL ON THE SAME PAGE

- ◉ Provide the information to OSR as well as ASRSP
- ◉ Complete an OSR-4 form for EACH grant
- ◉ Review the Sponsor policy to make certain the award can be transferred
- ◉ OSR will work with their counterparts at the other institution (either relinquishing or receiving)
- ◉ ASRSP will help you wrap up outgoing grant spending

NIH GRANTS

- Relinquishing institution must sign PHS 3734 (official PHS Relinquishment Statement)
 - Indicates estimated unexpended balance as of the date of transfer
 - Itemizes equipment that will move with the PI to the new institution
- Usually, equipment purchased for a grant transfers with the grant
- Other equipment, i.e., purchased on old grants, must be negotiated between PI and Chair - watch out on shared equipment!

NIH GRANTS (CONT.)

- Request for a change of grantee organization must include:
 - Relinquishing Statement
 - Final Invention Statement and Certification
 - Face page
 - Budget pages (current and future years)
 - Updated biographical sketch
 - Statement indicating whether the overall research plans/aims have changed from the original submission
 - Updated "other support" page(s), if necessary
 - Resources page
 - Checklist page
 - Approved IRB/IACUC assurance, if applicable
 - Detailed equipment list, if applicable

FORM ROUTING: OSR & ASRSP

- OUTGOING TRANSFERS

Final Invention Statement

- ◉ 1. OSR verifies the “yes” or “no” declaration by checking invention status with INVO/iEdison.
- ◉ 2. OSR endorses the FIS and provides a copy to NIH and new institution.

Relinquishment Statement

- ◉ 1. OSR reviews Relinquishment Statement for completeness and accuracy, including whether equipment will be transferred.
- ◉ 2. ASRSP is asked to review and approve the amount to be relinquished in order to assure that a “buffer” is provided to allow for trailing expenses. ASRSP endorses the statement.
- ◉ 3. OSR co-endorses and provides a copy to NIH (which can now be done electronically) and the other institution.

NIH GRANTS (CONT.)

- NIH may ask for *additional* information
- Change of institution request must happen prior to PI start date at new institution
 - Preferably MONTHS in advance
 - Tardy requests may be disapproved or delayed
- NIH will decide if the grant is suitable for transfer
- NIH might send the grant back to competitive review (usually only large, multi-project or center grants)

IF NIH APPROVES A TRANSFER

- NIH will issue revised NoA to original institution
 - Revised budget/project period end dates
 - Deletion of any future-year support
 - Deobligation of remaining funds, if applicable
- NIH will issue an NoA to new institution
 - Balance reported on the Relinquishing Statement
 - If the change of grantee organization occurs on the anniversary date of the project, the NGA to the new grantee will reflect the direct cost level (plus applicable F&A costs) previously committed

OTHER DETAILS...

FINANCIALS

- ◉ Work closely with ASRSP to determine that all charges have hit the account
- ◉ Get the GM0045 signed off on the last day
- ◉ In the case of an internal PI transfer, watch out for:
 - Transfer of a deficit account - try to settle issues prior to transfer
 - Make sure budget and expenses net out to zero for the old department

SUBCONTRACTS

- For an Outgoing grant, subcontracts need to be **terminated**
 - Get those final invoices in and paid ASAP
 - Route request via ESPR
 - Find out if PI wants to reduce sub amount
- For an Incoming grant, subcontracts need to be **established**
 - Get OSR proper documentation for new sub-awardees ASAP
- Please allow lots of time for complicated grants, i.e., those with SUBCONTRACTS

IRB

- ◉ Ensure protocols for human subjects are closed appropriately for Outgoing grants
- ◉ Make sure protocols for human subjects are submitted ASAP for Incoming grants
- ◉ Contact Office of the IRB for detailed instructions

RESEARCH SAFETY

- Ensure laboratory materials and supplies are appropriately handled and documented
- Ensure required laboratory closing surveys are completed
- Register with Radiation Safety and Institutional Biosafety Committee
- Contact your campus ORS Laboratory Safety Specialist
 - Chicago: Reginald Blythe, 312 503 8300
 - Evanston: Michael Blayney, 847 491 5581

EMPLOYEES

- If staff are not transferring with PI, you'll have to figure out:
 - Where they will continue to work
 - How they will be paid
- Sometimes PI will arrange for a subcontract from the new institution to have certain employees continue in the project at NU
 - There must be a PI at NU for work to continue
- If new staff are arriving with an Incoming grant, work with HR well in advance of their arrival to ensure they can get paid

ANIMALS

- ◉ Will PI take them along on an Outgoing grant?
- ◉ Will they be transferred to another PI/study?
- ◉ Will a new PI bring animals from their old institution?
- ◉ Contact IACUC to discuss and make proper arrangements
- ◉ have incoming investigator take on-line and on-site training before arrival
- ◉ have incoming investigator receive a physical from Occupational Health

EQUIPMENT

- ◉ Again, equipment purchased for a grant usually follows that grant
- ◉ Other equipment, i.e., previously purchased, must be negotiated with Chair
- ◉ Problems can arise if equipment is:
 - Shared by multiple investigators
 - Allocated across multiple grants
- ◉ The new institution should pay to pack up and move the equipment
- ◉ Check out warranties, service agreements, etc., for transfer applicability

LAB NOTEBOOKS AND DATA

- NU has a new policy effective December 2012
- If the PI leaves NU, and a project is moved to another institution, ownership of the original data may be transferred from NU to the PI's new institution upon request from the PI *subject to:*
 - Prior written approval from the VPR
 - Written agreement from the PI's new institution that guarantees both 1) their acceptance of ongoing custodial responsibilities and 2) that NU will have access to the data should the need arise
 - Any relevant confidentiality restrictions

DATA USE AND MATERIAL TRANSFER

- Will data previously collected at old institution be used at the new institution?
 - If yes a data use agreement (DUA) needs to be in place.
 - See slide on Lab Notebooks
- Will proprietary materials from old institution be transferred to new institution?
 - If yes a material transfer agreement (MTA) is needed even for those materials generated in the PI's old laboratory.
 - Check to see if original proposal had a MTA with a collaborative partner as a new one is now needed.

USEFUL INFORMATION

- <http://www.research.northwestern.edu/ori/responsibleresearch/practical-resources.html>
 - Onboarding Procedures.
 - PI checkout.
 - Equipment Inventory.
- Talk to a colleague or your GCO for tips.

QUESTIONS????

Thank you.