Essentials of Incoming Investigator Transfers

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This session will provide tips for facilitating a smooth transfer of sponsored projects between institutions.

- Items Universal to ALL Potential Grant Transfers
- NIH Specifics
- NSF Specifics
- Other Sponsors
Universal Points:

Grants and contracts are awarded to an institution, not to individual faculty members.
Universal Points:

The current institution usually has four options for action on an award when a PI is leaving:

• Retain the award and name a new PI.

• Retain the award, name a new PI and subcontract a portion to the departing PI’s new institution.

• Terminate the award.

• Relinquish and transfer the award to PI’s new institution.
Universal Points:

• All parties must agree to terms of transfer.
• Other personnel / items to consider that may be transferring with grant.
• Compliance / training.
• Contacts at new institution to provide help with different aspects.

Sample forms (UC Boulder)
Investigator Transfers: Welcome, Welcome, Welcome

• An email welcoming the investigator and outlining institutional requirements is a nice gesture and is usually appreciated.
• Ask if any sponsored projects will be transferring with him/her, what types and if s/he would send you the original applications and NOAs.
• Ask for the contact information for his/her admin at the current institution.
Investigator Transfers: Transferring Individual Projects

After addressing institutional requirements, you can start transferring individual projects.
National Institutes of Health

• **PA-18-590** (Yes, NIH transfers have their OWN announcement / application type.)

• **Grants Policy Statement** 8.1.2.7 Change of Recipient Organization

• eRA Commons (Relinquishing Institution)  
  → Final Invention Statement  
  → Relinquishing Statement

• NIH Assist (“New Institution”)
For electronic submissions:

- Use the SF424 (R&R) family of forms
  - Cover Component, Project Performance Site Location, Other Project Information, Senior/Key Person Profile
  - **Budget pages**—check the NIH GPS for details
    - Budgets should not exceed the direct costs previously recommended for direct costs (plus applicable F&A costs) for any budget period. For transfers during the course of a budget period, the budget for the initial year may be based on the total costs relinquished only if the recipient has been instructed to do so by the awarding IC.
In this case, our F&A rate is higher...so, this means available DIRECTS will decrease.
Example #2 of budgeting in NIH transfer application...

In this case, our F&A rate is LOWER – recall you can’t exceed unexpended total OR direct cost relinquished.
Investigator Transfers--NIH

• PHS 398 Research Plan (if transferring on anniversary date, include progress report for current year including statement regarding goals for upcoming year).
  • Include also a statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, provide updated information.

• PHS 398 Cover Page Supplement
• PHS 398 Checklist
NIH – Special Considerations

Foreign / International Org. (Additional approval needed)

Equipment (Is noted on the relinquishing statement if transferred)
Department of Health and Human Services, Public Health Service
Official Statement Relinquishing Interests and
Rights in a Public Health Service Research Grant

Date: 01/04/2016
Name of Institution: UNIVERSITY OF KENTUCKY
Address (city and state): 109 KINKEAD HALL
LEXINGTON, KY, UNITED STATES 405060057
Principle Investigator/Program Director: BRUEMMER, DENNIS CHRISTOPHER
on Public Health Service grant number 5R01HL111040-04 will resign position at this institution and has
expressed a desire to continue his/her research project at the UNIVERSITY OF PITTSBURGH AT
PITTSBURGH.
Contact email at the new Institution: offres@offres.pitt.edu

In view of the fact that we do not wish to nominate another principal investigator or continue the research
project at this Institution, this is to signify our willingness to terminate this grant as of 12/31/2015 and to
relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as
well as to all recommended future support of this project.

<table>
<thead>
<tr>
<th>Equipment costing $5,000 or More Transferring with the project (Itemize)</th>
<th>Unexpended Balance - Estimated</th>
</tr>
</thead>
<tbody>
<tr>
<td>$5683 Forma Water Jacketed CO2 Incubator Thermo</td>
<td>The unexpended balance of $210,581.00, on the termination date, calculated on the basis of the total amount awarded for the grant year is approximately</td>
</tr>
<tr>
<td></td>
<td>Direct cost - $141,805.00</td>
</tr>
<tr>
<td></td>
<td>Indirect cost - $68,776.00</td>
</tr>
</tbody>
</table>

That portion of the estimated unexpended balance which has been received will be returned to the
Public Health Service, upon request, with a final adjustment, if required, to be made after the grant
account has been audited.

Official Authorized to Sign Application

Signature
SO Sengoku, Tomoko Submitted through the Commons

Typed Name
Sengoku, Tomoko

Title
Signing Official

It is important to pay attention to equipment that will be transferred with the project. This will need to be listed on the application
EQUIPMENT attachment, and by submitting, the new institution is certifying acceptance of equipment & verification of transfer.
Investigator Transfers--NSF

National Science Foundation
The NSF Transfer Policy (PAPP Guide VII.B.f) requires that NSF approve transfers from one institution to another before the expiration of the project period. The decision to authorize transfer of the grant will be based upon the following information:

- The project has been relinquished by the institution before the expiration
- The facilities and resources at the new location allow for the successful performance of the project
- The PI plans no significant change in research objectives and level of expenditures from those described in the previously approved project.
To request continued support at a new institution, The PI must notify the NSF Program Office to request preliminary approval for the transfer. If NSF and both institutions agree, formal notification of the impending transfer should be electronically initiated by the PI through FastLane/Research.gov. The request shall include:

1. Brief summary of progress to date.
2. Description of work yet to be accomplished (NOTE: This should be a statement of work for the time remaining that references the new institution).
3. Completed on-line transfer request, including total estimated disbursements to date.
4. Detailed line item budget for the transfer amount.
Investigator Transfers--NSF

The new institution, in collaboration with the PI, will need to complete the request by:

- Providing a detailed budget and budget justification for the transfer amount agreed to by both organizations; and

- Electronically signing the request when submitted to NSF.

- Upon receipt of the above material, NSF will review the request and, if approved, deduct the specified transfer amount from the original grant and re-establish it under a new grant number at the new organization. Award notification by the NSF Grants and Agreements Officer will constitute NSF approval of the grant transfer.

As a final step, the PI should log-in and update his/her FastLane profile to reflect the change of institution.
Other Sponsors
Per DOD Congressionally Directed Medical Research Programs (CDMRP) Award Guide for Funded Investigators:

- Relinquishment letter from relinquishing institution.
- Acceptance letter from new institution.
- Statement for reason of transfer and probable effects on work.
- Submission of application from NEW institution.
Investigator Transfers--DOD

- The USAMRAA CS/GS will contact the relinquishing and accepting institutions with additional instructions as appropriate. USAMRAA will interact directly with the relinquishing institution to obtain and finalize financial and patent reporting. Please be aware that transfers may take 6 months or longer.
Investigator Transfers--Foundations

- Check terms and conditions on notice of award and/or contact sponsor directly.

Alzheimer’s Association—will consider a transfer if the resources and technical personnel at the new institution will adequately support the research through the remaining period of award.

- Both institutions and PI must agree to the appropriateness of the transfer.
- Detailed instructions in conditions of award.
Investigator Transfers--Foundations

American Heart Association

- Awardee must obtain AHA prior written approval for transfer to another institution. If approval is not obtained, the award terminated on the date the PI leaves or ceases to work at the institution.

Gates Foundation

- You may not assign, or transfer by operation of law or court order, any of Your rights or obligations under this Agreement without the Foundation’s prior written approval. This Agreement will bind and benefit any permitted successors and assigns.
For discussion #1….

I am preparing a transfer application that a PI is bringing from another institution to our institution. The PI just finished year 1 of the R21 and will be bringing the carry forward that has been relinquished from the other institution amount plus year 2 of the R21.

• Q: Since the budget must be in the R & R form, do I complete a budget for the entire amount (year 2 AND the carry forward relinquished from the other institution), or do I enter the budget ONLY for the relinquished amount?
For Discussion

#1....

• A: Submit the budget for the amount that will be relinquished, excluding carryover. Once the prior institution completes the closeout process, the NIH will transfer the carryover balance into your PMS account.
For discussion #1...

• A: It depends on the transfer date.
  
  • Middle of the budget year, budget using the detailed form for the direct costs being relinquished.
  • If transferring on the annual cycle date, budget based on the year to direct estimated award from the year one Notice of Award.
  • If transferring on the cycle date, the transfer application serves as the RPPR.

When in doubt, contact the program officer or grant administrator (depending on sponsor) before you start the process.
Q: I have an investigator who recently transferred to our institution and received a good score on an application submitted when he was with another company. Would we handle the request for the transfer at the Just-in-Time stage?

A: If the former company agrees to relinquish the award—and they may not—the PI should contact the sponsor’s program officer and GMS before starting the process.
For Discussion #2...

- The transfer application would be submitted at JIT; keep in mind, though, that because it will be at JIT, you'll need to submit the Other Support AND IRB/IACUC approvals at this time as well. You'll also need to submit a full transfer application including budget, justification, face page, etc. GMS can/will likely provide you with the list.
Check with the sponsor as to what process to follow.

Current institution can keep the award and assign a new PI; keep the award and subcontract a portion to the new institution, relinquish the award to the new institution or terminate the award.

If you are at the former institution and are relinquishing an award, check to see if your institution has a departing investigator checklist and follow it.
Communication between former institution, sponsor, and new institution is important. You want to maintain good relationships and you don’t want to get off on the wrong foot with the incoming faculty member.
Questions?

Investigator Transfers

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