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PI Transfers

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Session Topics

- Incoming PIs (on-boarding)
- Outgoing PIs (off-boarding)
- The Politics of PI transfers
- General Discussion

PART 1: Incoming PIs

- Type of PI – Jr vs. Sr
- New submissions vs. award transfers
- Space, start-up packages, etc.
(depending on departmental structure)

Type of PI: Jr vs. Sr

Junior PIs

- Focus on new submissions

Senior PIs

- Focus on existing award transfers

New Submissions

- PIs submit proposals via the new institution prior to their start date
- PI appointment in advance of start date? PI rights?
- Institutional system access, sponsor system log-ins
- Onboarding on the local pre-award expectations and practices
 - Internal deadlines, institutional reviewers, partner offices, etc.
- Dedicated research admin staff to help with new submissions
- Updated biosketches, system profiles with new institution information

Award Transfers: Institutional Focus

- Establish contact with existing administrators in old institution
- Collect a summary of grants to be transferred with attention to:
 - Dates and dollars remaining
 - Approved sponsor budgets
 - Original proposal files
 - Effort commitments vs. actuals for current budget periods
 - Any special T&C; also review sponsor regulations

Award Transfers

- Work with research administrator counterparts in old institution to transfer grants, ideally prior to PI start date
 - Relinquishment of award and new award set up
 - Change of PI with a sub to new institution
 - Keep in old institution completely with a change of PI
- Equipment transfers
- Other considerations?

Award Transfers: Sponsor Focus

- Change of Institution/Recipient Organization or Transfer is the Sponsor (NIH) focus.
- [NIH GPS Section 8.1.2.7 Change of Recipient Organization](#)
- Most NIH grants are transferrable



Award Transfers: Sponsor Focus

Types of Transfers

- Prior to award: a transfer occurring prior to an award being made
- Mid-Year: a transfer occurring during the existing budget period
- Anniversary: a transfer occurring on the upcoming non-competing award budget start date

Award Transfers: Sponsor Focus

Pitfalls to Avoid!

- The award belongs to the recipient organization, not the PI
- An award cannot be transferred without a Relinquishing Statement
- Transparency is key!
- Submit a complete transfer package
- Know the award amount that will be transferred

Personnel

- Is staff being transferred as well?
 - Postdocs – salary equity, moving expenses
 - Grad students – transfer credits, what graduate-year level, etc.
 - Other research or technical staff
 - Is re-budgeting necessary as a part of the grant transfer?
 - Note rate changes – salary rates, overhead rates different in new institution
- New hires expected?
 - Review local hiring process in new institution

Onboarding PIs

- Dedicated staff support in the new department or school
- Sponsored projects management: process onboarding
 - Proposal submission rules
 - Offices that are involved with sponsored project management – local vs. central (stakeholders)
 - Supplemental salary and effort requirements
 - Staff effort certification
 - Other portfolio management items

Onboarding PIs

- Hiring practices (department/school)
- fCOI disclosures for the new institution
- Sabbaticals and sponsored research
- Teaching vs. research expectations
- Departmental structures
- Local systems – access and use (financial, effort, HR, etc.)

PART 2: Outgoing PIs

- Communicate to administrative counterparts
- Inform your sponsors
- Consider the people beyond the PI

Offboarding PIs

- Grant manager and supervisor go over portfolio and plan early
 - Review current sponsored awards and determine transferability and decide:
 - which awards stay
 - which awards go as a full transfer
 - which awards go as subs to the new institution
 - variables to consider – time remaining, dollars remaining, staff remaining that needs to be funded, sponsor requirements, preponderance of work/scope of work, effort commitments, etc.
 - Try to meet all effort commitments for the current budget period, if possible

Offboarding PIs

- Sponsored programs and process offboarding
 - Discuss prior to making promises to new institution
 - What is best for the PI and his/her research vs. what is best for the institution
 - Offices that are involved with sponsored project management – local vs. central (stakeholders)
- Gift transfer rules
- Discretionary account spending rules

Personnel

- Is staff being transferred as well?
- Who is staying behind?
 - Postdocs – new PI mentor and funding, position end date
 - Grad students – new advisor and funding, remaining graduate years
 - Other research and technical staff
 - Issues with ‘orphaned’ students and researchers

Award Transfers

- Establish contact with research administrators in new institution
- Provide a summary of grants to be transferred to new institution, with attention to:
 - Sponsor (determine rules for grant transfers)
 - Dates and dollars remaining
 - Approved sponsor budgets
 - Original proposal files
 - Effort commitments vs. actuals for current budget periods
 - Any special T&C

Award Transfers

- Work with administrative counterparts in new institution to transfer grants, ideally prior to start date
 - Relinquishment of award and new award set up
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- Equipment transfers
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New Submissions

- Submit new proposals through the new institution
- Pending support – contact sponsors and notify of change of institution
 - Sponsors may have preferences where the work will be performed
- Typically, the old institution does not support new proposal submissions

PART 3: The Politics of PI Transfers

- Delegate to (involve) a manager to lead the process
- Start early
- Be transparent

PIs vs. Institutions during Transfers

- What is best for the PI may or may not be best for the institution
- Non-sponsored spending restrictions
- Gift retention and award retention for overhead reasons
- Students who cannot transfer and securing new advisors: funding needs to be secured for the student through graduation

Hidden Realities of PI Transfers

- Sometimes departures are contested
- Emotional baggage (e.g., not receiving tenure, etc.)
- Be transparent and have a manager/supervisor lead the process



Other Considerations

- Transfers to industry vs. other higher-ed or research institutions
- Transfers to foreign institutions
- PI death
- Other?



General Discussion

Resources

- NSF:
https://www.nsf.gov/publications/pub_summ.jsp?ods_key=papp
- NIH:
<https://grants.nih.gov/grants/guide/pa-files/PA-21-268.html>
- Other agencies or in the absence of regulation:
 - contact Program Officer / sponsor directly

