



SOCIETY OF
RESEARCH
ADMINISTRATORS
INTERNATIONAL

A Guide to Facilitating Faculty Transfers (Incoming and Outgoing)

Presenters

- Sandra Garcia, Assistant Vice President, Sponsored Project Administration, West Virginia University
- William Hoffman, Research Administrator, School of Dentistry, University of Maryland, Baltimore
- Special Thanks To:
- Debbie Pettitt, Senior Grants Management Officer, NIH - NIDCR
- Janet Simons, Director, Research Policy & Training, Sponsored Programs Administration University of Maryland, Baltimore
- Artisha Wright, Lead Other Transactions Authority Agreement Specialist, NIH - NICHD

Learning Objectives

- Faculty coming to your Institution
 - Transferring awards
 - Other considerations
- Faculty leaving your institution
 - Award relinquishment and other options.
 - Pending proposals
 - Other considerations



Two sides of the coin...

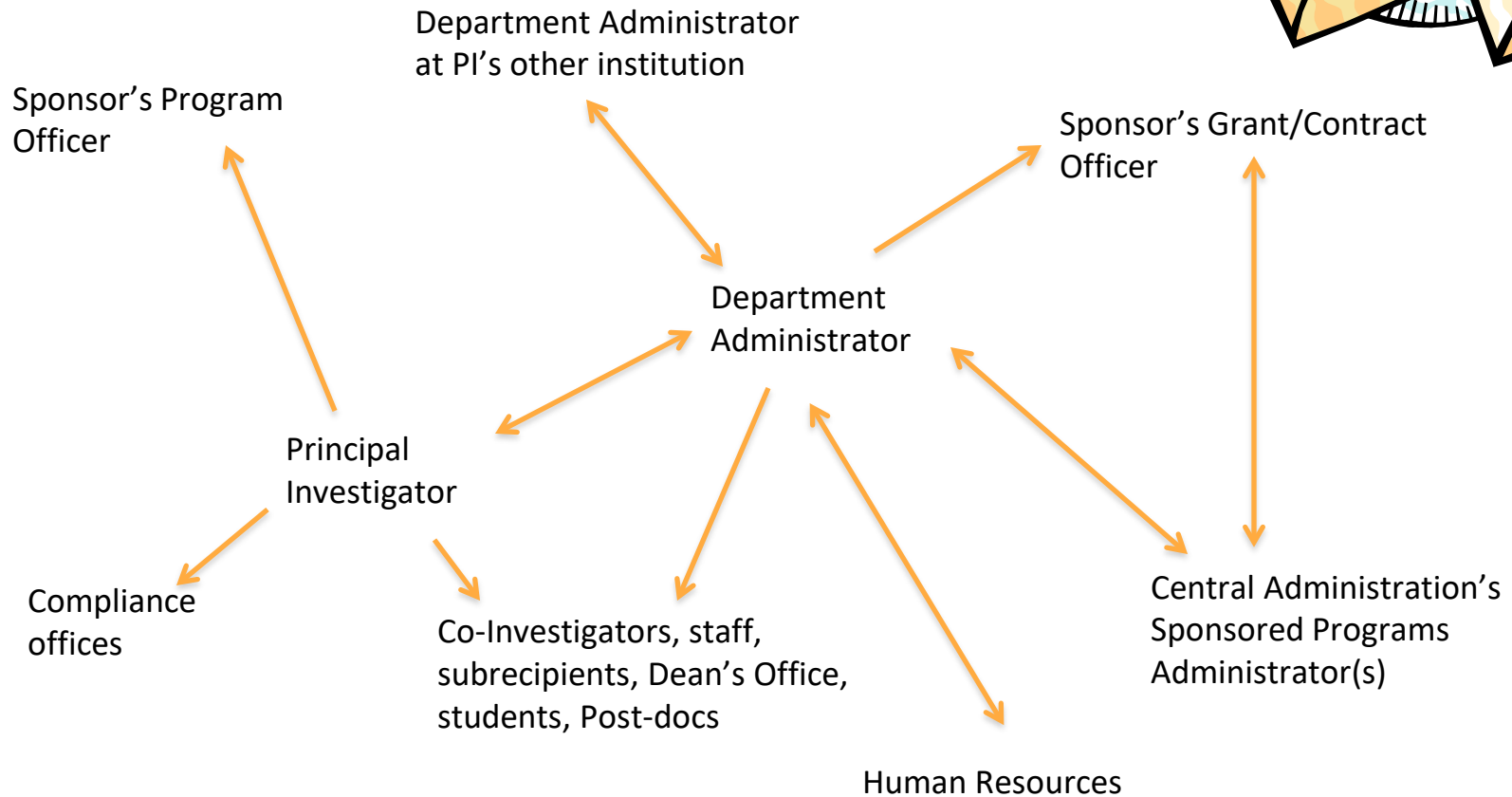
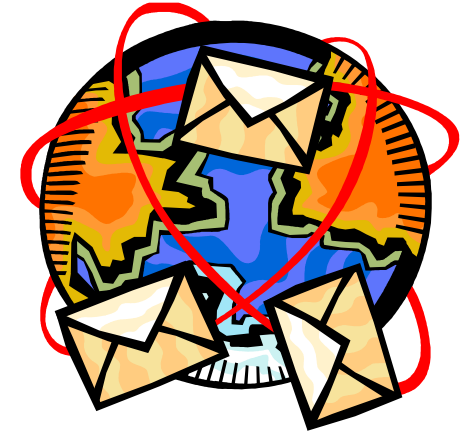
Incoming transfer

- Transfer application
- New compliance protocols and disclosures
- New lab set-up
- New DUAs, MTAs

Outgoing transfer

- Relinquishment processes
- Close out/update compliance protocols and disclosures
- Lab vacancy/clearance; equipment transfer
- Close out/update MTAs, DUAs

Communication is essential



Getting started: Incoming transfers



- Negotiation process – awards to transfer, equipment, people, start-up funds, space, and resources
- Are any personnel coming with the Faculty member?
 - Senior Faculty may bring students, Post-Docs, staff, Co-Investigators, etc.
 - Are any grants or fellowships associated with those individuals?
 - Is anyone on a visa? (International Affairs Office)
- All these items impact the offer letter and date of the transfer/new hire

Initiating incoming award transfers

- Ask your new (incoming) Faculty member:
 - To provide copies of all current awards
 - Whether they are Co-Investigators on any other projects
 - For contact information at their current institution
- Contact your counterpart at the other institution.
- New Faculty who are Principal Investigators should:
 - Contact each Program Officer (via phone call and follow-up with an email)
 - Contact collaborators, subrecipients, students, Post-Docs, colleagues, etc.

Other considerations for incoming PIs

- PI access to internal systems at new institution before actual transfer date occurs
- PI access to Sponsor systems: e.g., eRA Commons affiliation for PI
- Updated biosketches and system profiles

Outgoing institution: Will an award transfer?

Who decides?

- PI requests transfer
- Recipient institution decides (based on sponsor policies)
- Sponsor approves

Options:

- **Award transfers** to new Institution
- **Award stays** at former Institution with new PI listed or subaward
- **Award is terminated** at the former Institution. May be reissued to/renegotiated between the new Institution and Sponsor

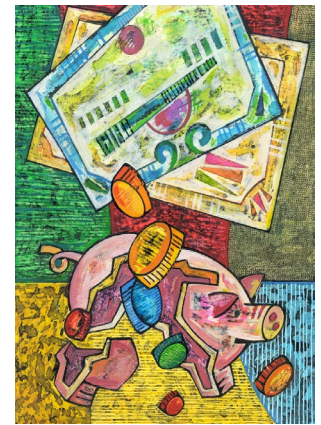
Will an award transfer? Examples:

- Usually transfer (associated with the Investigator)
 - Investigator-initiated grants
 - Fellowships, Career Development Awards
- Rarely transfer (associated with Institutional resources/expertise)
 - Federal Contracts
 - Clinical Study Agreements/Clinical Trials
 - Training Grants
- Usually terminated at old institution and renegotiated with new Institution
 - Subawards
 - Corporate Research Agreements

Equipment transfers:

- What equipment will the current/former Institution allow to transfer?
 - NIH - Relinquishing form from prior Institution includes list of all equipment
 - Other funding sources – Department RA should provide a list
- New institution: accept/tag incoming equipment
- Cost of shipping equipment – new institution usually pays!!

Transfer application: Budgeting Issues



- Budget period:
 - When will the award transfer – appointment date of new Faculty? Award's anniversary date?
 - Date of the transfer application may affect the available start date
- Amount available to transfer?
 - NIH – Indirect Costs-specific -- Budget is based on Direct Costs relinquished or Total Costs relinquished (for mid-year transfers)
- Institutional base salary (IBS)
- Effort commitment for PI/Key Personnel: consistent with originally proposed commitment (or sponsor-approved changes)

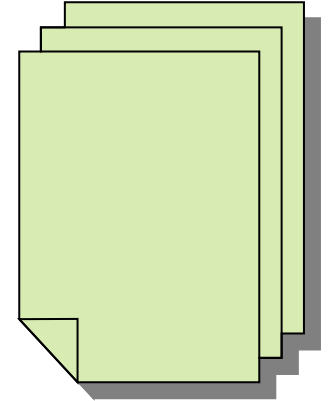
Transfer application: Budgeting issues - rates

- Post Doc and graduate student stipend rates
 - Fringe benefits
 - F&A/indirect cost recovery
-
- All of these vary from Institution to Institution.

Transfer application: Budgeting Issues

- Does the proposal involve subawards?
- Will there be new Co-Investigators?
- Are there routine charges for items such as LAN use, shared resources, or shared positions?
- Consider setting up an advance/pre-award account until the award is officially transferred and finalized.

Commonly required transfer documents



- Sponsor forms
- Budget for transferred funds
- Resources/facilities/equipment information
- Compliance approvals and certifications
- Description of changes to the project (or assertion that there are no changes to the Scope of Work)
- Updated letters of support from consultants
- Updated subrecipient commitments
- If clinical, new licenses, CPR certifications, etc.

Award Transfers: NIH *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:

1. Prior to award: a transfer occurring prior to an award being made.
2. Mid-Year: a transfer occurring during the existing budget period.
3. 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.

Case Study #1

Your department – the Department of Pharmacology in the School of Medicine – has recruited a Faculty member who received her first NIH R01 (5 year) grant in November 2024.

She signed the offer letter and will join your Institution as of September 1, 2025. She requests to bring her R01 from her former Institution.

What questions do you have for the new faculty member or her administrator? What questions do you have for the sponsor (NIH)? What else do you need to know to make this a smooth faculty transfer?

Outgoing institution : Responsibilities

- Closeout and trailing charges
 - Subrecipient close-out
 - Animal care and Core Services
- Sponsor required documents (examples):
 - Relinquishing form
 - Final financial report (FSR) or final invoice
 - Invention report and other program reports
- Progress and final reports for all PI's awards completed?

Case Study #2

A faculty member at my University just received a 5-year NIH R01 grant. He just announced he is leaving the University at the end of the fiscal year (~ 2 months from now). He wants to take the grant award with him to his new Institution. In fact, this NIH grant was a major factor for the new University to accept him at their school, with a promotion from Assistant Professor to Associate Professor.

My Dean says now that this grant will remain at our University, under his directorship, as PI. What recourse does the outgoing faculty member have?

Other transfer issues (outgoing and incoming):

- Tech transfer
- Material transfer
- Research compliance (IRB, IACUC, COI, export control, etc.)
- Credentialing (license, CPR, in-house training, etc.)
- Data use agreements, research security considerations, NDAs

Case study #3

A faculty member has a NIH R21 grant with our University which ends on 6-30-25. The faculty member will then be leaving the University on 7-31-25 and wants to take a copy of the data with her to her new University. This grant contains both IRB and IACUC protocols, as well as, human genome data. What advice would you give this faculty member on how to proceed?

Questions?



Sandra Garcia
sandra.Garcia@mail.uwv.edu

William "Bill" Hoffman
whoffman@umaryland.edu

Also:

Debbie Pettitt
pettitt@mail.nih.gov

Janet Simons
jsimons@umaryland.edu

Artisha Wright
artisha.wright@nih.gov



And more thanks to...

- Elenora Levin - St. John's University
- Debra Murray – University of Maryland, College Park
- Karen Sack – University of Maryland, Baltimore (retired)
- Miek Segers—University of Maryland, Baltimore

...for their contributions to and previous participation in this presentation