

# “Principal Investigator Transfers”

2009 SRA International Annual Meeting  
October 21<sup>st</sup>, 2009  
Session W14

# Presenters

## **Amy Sikalis**

Amy has been in research administration for 17 years. Before coming to Intermountain Healthcare in 2004, she served at the University of Utah for 14 years, 12 of which were in the Office of Sponsored Projects, completing her career there as Assistant Director for the Health Sciences Office. As an active member of the Society of Research Administrators (SRA) since 1994 she has served as the Western Section President and on planning committees for both regional and national meetings. Amy has prepared and presented “P.I. Transfers” “Generational Dynamics” and “Compliance toward the Cost Accounting Disclosure Statement.” Amy has a Masters in Public Administration and undergraduate degree in Communications/Decision Making.

# Presenters

- Amy McGuire

- Amy McGuire began her career as a grants management specialist in 2001 when she joined the National Heart, Lung, and Blood Institute. In 2004, Amy moved on to the National Institute of Dental & Craniofacial Research and then three years later, to the National Center for Research Resources. During her time with NIH, Amy has been involved in numerous committees and served as the Chairperson for the Grants Guidance Committee, which is a trans-NIH committee responsible for drafting and revising the Grants Administration Manual and the NIH Manual Chapters in 2008. Amy has been on the Planning Committee for, as well as an active member of, the Society of Research Administrators International since 2002.

# Presenters

- John Michnowicz

- John Michnowicz is the Director of Grants and Contracts at Washington University, School of Medicine. John has over seventeen years of research administration experience covering both, Private and Public Institutions. John has presented at previous Section and National Meetings on a variety of topics. John is a member of and actively participates in organizations associated with research administration such as the Society of Research Administrations – International (SRA) and the Federal Demonstration Project (FDP). John is currently serving as President for the Society of Research Administrators (SRA) – Midwest Section in addition to currently serving as an Investment Advisor for Society of Research Administrators (SRA) – International. John has previously served as President Elect of both, the Midwest Section and the Ohio Chapter in addition to previously serving as the Education Chair for Society of Research Administrators (SRA) - Midwest Section.

# Outcomes

- At the conclusion of this session participants will be able to:
  - Be familiar with various types of transfers
  - Have knowledge of a process for types of transfers
  - Be able to implement a transfer process, and
  - Understand roles and obligations of the P.I., department administrator, sponsored and financial administration offices and the sponsor.




# Types of Transfers

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- Transferring the Award and/or Proposal
  - PI goes to new institution, PI ill/death, PI leaves the field or disaster
- Retaining the Award and/or Proposal
- Transfer of Assets
- Considerations

# Transferring the Award and/or Proposal





## Transfer of an Award when PI is...or project moves from one Institution to another requires:

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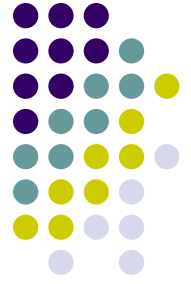
- Prior approvals from the Sponsor
- Prior approval from the Institution
- Approval/acceptance from Recipient Institutional official(s)
  - Key is obtaining sufficient documentation either written or electronic.



# PI's Role in this Process

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- Reconcile with Sponsored Projects all pending proposals and active awards
    - Indicate which projects they desire to transfer.
    - Prepare a communication (letter or e-mail) to Dept. Chair, Dean or VP as appropriate requesting approval to transfer. This communication should be approved by P.I. and P.I.'s Supervisor. See Sample A.
- \* \*Remember because awards are made to the Institution, the Institution must agree to any proposed transfer.



**Sample A.**

**Date**

**Dear Department Chair:**

**As we discussed, I will be resigning my position as \_\_\_\_\_ effective  
\_\_\_\_\_. I am accepting a position at \_\_\_\_\_ effective  
\_\_\_\_\_. As you and I discussed I am requesting to transfer the following  
proposals and awards:**

**Thank you for your consideration, please contact me at \_\_\_\_\_ or by email  
\_\_\_\_\_ if there are any questions.**

**Sincerely,**

**P.I.**

**P.I. Name and Chair Name have discussed the contents of this letter and agree that  
the projects listed should be transferred to New Institution Name.**

\_\_\_\_\_  
**P.I. Approval**

\_\_\_\_\_  
**Chair Approval**

\_\_\_\_\_  
**Dean Approval**

\_\_\_\_\_  
**V.P. Approval**

\_\_\_\_\_  
**V.P. for Research Approval**

# KEY ELEMENTS



- Initiated by Principal Investigator
- Identifies effective date and new institution
- Specifically lists each project to transfer
- Has written approvals by chain of authority
- Occurs PRIOR to PI departure
  - In an ideal situation how much notice is preferred?



# Sponsored Projects

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- Go over list of projects with P.I.
- Upon internal approval to transfer:
  - Check sponsor's policy on transferring of proposals and awards
  - In general, for grants prepare a letter that states the institution's desire to relinquish all rights and interests to the award.
  - For contracts, can not transfer, must terminate (exceptions do apply).
  - Prepare request to transfer grant or proposal and/or termination letters.
    - Sample B (Pending Proposals)
    - Sample C for Grants (Active Projects)
    - Sample D (Termination letter for contracts/subcontracts)
  - Copies of these letters are provided to the P.I.'s and forwarded to the new institution as needed.
  - Satisfy subcontract requirements
  - Put an end date on the financial account.

**Sample B**

**Date**

**To Sponsor:**

**RE: Proposal Reference no. (or internal reference no.)**

**Entitled: ""**

**P.I. Name**



**Dear (insert name of Grants Management Specialist)**

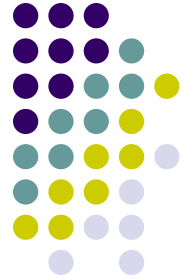
**The principal investigator on the above referenced proposal has resigned his/her position at this institution effective \_\_\_\_\_ and has expressed a desire to perform this research project at the (insert new institution name).**

**In view of the fact that no funds have yet been awarded and we do not wish to nominate another principal investigator to perform the research at this Institution, this is to signify our willingness to relinquish this grant as well as all future support of this project.**

**Sincerely,**

**Director  
Office of Sponsored Projects**

**cc: P.I.**



**Sample C**

**Date**

**To: Sponsor**

**Re: Award No.**

**Entitled:**

**Name of Institution P.I.**

**Dear (insert name of grants management specialist)**

**The principal investigator on the above referenced grant has resigned his/her position at this Institution effective \_\_\_\_\_ and has expressed a desire to perform this research project at (insert the name of new institution).**

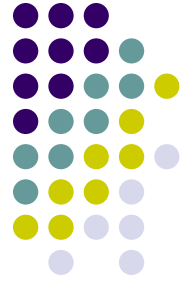
**In view of the fact that we do not wish to nominate another principal investigator to perform the research at this Institution, this is to signify our willingness to relinquish this grant as well as all future support of this project**

**Sincerely,**

**Director**

**Office of Sponsored Projects**

**Cc:P.I.**



# Key Elements

- Initiated by Sponsored Programs Office
- Identifies the Principal Investigator
- References the Proposal or Award Number
- Provides for an effective date
- Is addressed to the Contracting Officer (not the program officer)



# Sponsor Considerations

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- Encourage Investigators to notify their assigned program officers
- Submission of the relinquishing statements from the Institution does not guarantee sponsor approval to transfer
- Only upon receipt of a sponsors approval is the proposal/award officially transferred
- Even if a sponsor agrees to the transfer, it will still be necessary to provide, prior to official transfer, a Final Progress Report, Final Invention Report, Final Financial Report and Final Property Report.



# NIH Change in Grantee Organization

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- NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project.
- The grant is awarded to the institution – not to the P.I.
- In addition, a change of grantee involving the transfer of a grant to or between a foreign institution requires the ICs' Council approval.
- A grant to an individual may not be transferred.
- A change of grantee organization may involve the transfer of equipment purchased with grant funds.



# NIH Change of Grantee Organization (cont'd)

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- Request must be made before the anticipated start date at the new organization and preferably several months in advance.
- A change of grantee request normally will be permitted only when all of the permanent benefits attributable to the original grant can be transferred, including equipment purchased in whole or in part with grant funds.
- A change may be made without peer review, provided the PI plans no significant change in research objectives and the facilities and resources at the new organization will allow for successful performance of the project.



# NSF Change of Grantee Organization

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- Award and Administration Guide
- Chapter II – Grant Administration  
[http://www.nsf.gov/pubs/policydocs/pappguide/nsf08\\_1/aag\\_2.jsp](http://www.nsf.gov/pubs/policydocs/pappguide/nsf08_1/aag_2.jsp).
- Relevant sections are:
  - II.B.2.f. Withdrawal of PI/PD or Co-PI/PI
  - II.B.2.g. Substitute PI/PD or Co-PI/PD
  - II.B.2.h. Disposition of a Grant When a PI/PD or Co-PI/PD Transfers from One Organization to another Organization



# NSF Change of Grantee Organization continued

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- Grantee must notify NSF via FASTLANE and either transfer the grant or nominate a new PI
- New PI requires NSF approval or NSF may terminate the grant
- If a PI leaves, either the PI or Sponsored Programs must notify the Program Officer
- Grantee has right to nominate substitute PI
- Grantee, new Organization and NSF must ALL agree to transfer



# NSF Change of Grantee Organization continued

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- Transfer is done via FASTLANE as a new proposal for remaining funds
- If cost sharing was part of award, the unmet obligation also transfers
- Monetary discrepancies between original and new grantee must be resolved between the parties, NSF does not intervene
- Equipment purchased with NSF funds for the project should transfer: shipping costs allowable on grant



# NSF Change of Grantee Organization continued

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- As an alternative original grantee may issue subaward for rest of project if time and funds remaining are modest and both sides agree
- NOTE! This is a summary only. The NSF Guide contains detailed procedures that must be followed.



# Transferring a Subcontract.

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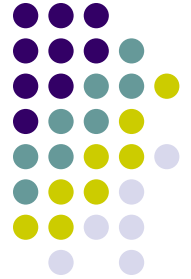
- If Prime Transfers, so should Subcontracts.
  - Office of Sponsored Projects officer consults the language of the subcontract and provides appropriate termination notice to all subcontractors.
  - Sample D (Subcontract letter)
  - Again, if sponsor agrees to transfer, it is still necessary to provide a Final Progress Report, Final Invention Report, and Final Financial Report, and Final Property Report.

Sample D

Via Certified Mail

Date

To:(Subcontractor)



Re: Termination of Subagreement with

Project Title:

Institution\_\_\_\_\_ P.I.:

Institution\_\_\_\_\_ P.I.:

Award No. or P.O. No.:

Dear (insert subcontractor's business officials name):

Dr.\_\_\_\_\_ has terminated his employment with (insert current institution) on\_\_\_\_\_,2006. This notice is to provide termination of the above referenced subagreement per Article\_\_ of the subcontract. The effective date of termination will be \_\_\_\_\_, at which time the Institution of (insert current institution) will formally close the project. Please submit the final invoice for payment at that time.

Please provide acknowledgement of this notice by signing where indicated and returning one copy to:

Institution\_\_\_\_\_

Office of Sponsored Projects

Attn: \_\_\_\_\_

If you need further assistance please contact \_\_\_\_\_ Sponsored Projects at \_\_\_\_\_

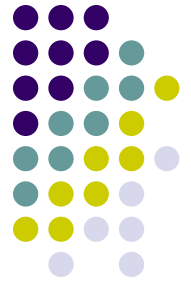
Sincerely,

\_\_\_\_\_  
Acknowledged by:

Institution of \_\_\_\_\_

cc:

# KEY ELEMENTS



- Clearly specifies PI names, award number and specific date of termination
- References Subcontract clause for termination
- Requires final invoice (edit for other needed deliverables as needed)
- Requires signed acknowledgement
- Provides contact information for questions
- Sent certified mail

# RETAINING THE AWARD AND/OR THE PROPOSAL





# CHANGE OF P.I.

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- If the award is going to stay at the Institution and the P.I. will be leaving, the Institution will propose a new P.I. to the sponsor.
  - A justification for the change
  - The curriculum vitae of the individual proposed
  - Other sources of support
  - Any programmatic and/or budget changes resulting from the proposed change.
  - Sample E (Change of P.I.)

## Sample E

FAX (letter only)  
Hard Copy by U.S. Mail

Date

To: (Sponsor name)

Re: Grant/Contract No.:  
Entitled:""  
Institution\_\_\_\_\_

Dear (insert name of grants management specialist):

The principal investigator on the above referenced award has resigned his/her position at this institution effective\_\_\_\_\_. The (insert name of current institution/awardee) desires for the award to proceed under the direction of \_\_\_\_\_, copy of curriculum vitae attached. This letter is to request your approval of a change in Principal investigator effective \_\_\_\_\_, 2007.

Sincerely,

Director, Sponsored Projects

Office Phone:

Fax:

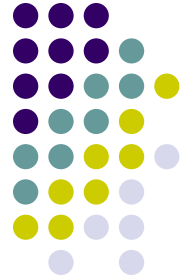
E-mail:

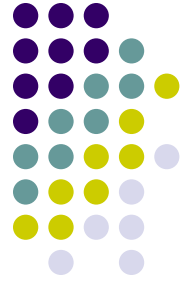
Enclosures

/

Cc:

w/out Enclosure





# Key Elements

- Reference the grant or contract number
- Include the title of the project
- Has an effective date
- The new PI is named and a CV included
- Summarize qualifications specific to grant



# CHANGE OF P.I.

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- The sponsor must approve all actions of this nature prior to physically changing the status on an active proposal or award.
- Submission of a P.I. change request does not guarantee sponsor approval.

# TRANSFER OF ASSETS:

Equipment, Property,  
and Materials.



# Property/Equipment P.I.'s RESPONSIBILITIES

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- Make a list of acquired equipment detailing the name of the equipment with:
  - A description of the cost
  - The acquisition date
  - The Institution asset number
  - The funding source
- Incorporate this list into a letter requesting Institutional approvals. (Sample F)

Sample F

Date

Dear Department Chair

As we discussed, I will be resigning my position as \_\_\_\_\_ effective \_\_\_\_\_. I am accepting a position at \_\_\_\_\_ effective \_\_\_\_\_. As you and I discussed I am requesting to transfer the following items of acquired equipment:

Name and Description of the Item, Cost, Acquisition Date, Asset #, & Funding Source.

(Justify in your own words the need for the items listed at the new institution and the reason(s) why there is not a present need at the current institution).

Thank you for your consideration, Please contact me at \_\_\_\_\_ or by email \_\_\_\_\_ if there are any questions.

Sincerely,

P.I.

P.I. NAME and Chair Name have discussed the contents of this letter and agree that the equipment listed should be transferred to New Institution Name.

\_\_\_\_\_  
P.I. Signature

\_\_\_\_\_  
Chair Signature

\_\_\_\_\_  
Dean Signature

\_\_\_\_\_  
V.P. Signature

\_\_\_\_\_  
V.P for Research Signature



# KEY ELEMENTS



- Initiated by P.I./Department PRIOR to departure
  - How often does this really happen?
- Very specific about what assets are requested to be transferred
- Provides written approval through chain of authority



# IMPORTANT ELEMENTS

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- The P.I. needs to provide adequate justification of the need for the equipment at the new institution. (usually to support current projects)
- The P.I. also needs a statement relating to the present need for the items at the present institution. (requirements vary at each institution)
- A letter must also be obtained from the new institution stating that it will accept title and assume financial responsibility for packing and shipping the property.
  - **Once approved, the institution will allow the transfer of equipment items usually at no cost. (There may be times the institution may request that items be purchased)**



# Administrative Responsibilities

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Obtain verification from the sponsor that the award will be issued to the new institution and provide authorization to property and equipment to the new institution.

- When approved, approval letters copied to:
  - The new institution
  - The account executive/P.I. Chair
  - Dean
  - Property Accounting
  - To awarding Agency (if appropriate)
- This is done when the request to transfer title is administratively approved by the institution.



## LAST BUT NOT LEAST

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- The P.I. department and the Account Executive certifies that only the approved property has been packed and shipped and presents a completed and approved retirement/transfer to Property Accounting along with the approval letter of the V.P. of Research. (Requirements vary at each institution.)



# Transfer of Material and Data

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- Requires Material and Data Transfer Agreement (M.T.A.) from one institution of another.
- Investigators transferring material and/or data should contact the department who issues M.T.A., usually it's the office of Technology Transfer.



# “Other Considerations”

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- P.I.'s need to close out and/or assure protocols are satisfied and closed with IRB and IACUC
- P.I.'s need to have approval from Dept's of Environmental Health and Radiological Health to close lab
- P.I.'s need to work with their Technology Transfer office to satisfy any intellectual property issues.



# Institutional Considerations

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- P.I. release
- Once all of the approvals are in place the Principal Investigator will be provided with a formal release.
- Sample G

## Sample G

### Principal Investigator Release

**P.I. NAME** has resigned his/her employment with (insert current institution) effective \_\_\_\_\_ and has accepted a position at (insert new institution).

The **Name of Previous Institution** does remise, release, and discharge **P.I. Name of** and from all research related obligations. **P.I. Name of** and from all research related obligations. **P.I. Name** has cooperated and completed all active research related activities at the **Name of Previous Institution** and has acquired the appropriate approvals to transfer projects and equipment (where applicable)

This release is executed this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

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Vice President for Research.





# MANAGING TRANSFERS

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- Check with other departments to see what their process are for termination and create a “how to” of a P.I. transfer.
  - The office of Technology Transfer
  - The Institutional Review Board
  - The Institutional Animal Care and Use Committee
  - Any other institutional Compliance Offices that may have active approvals/protocols
  - Create checklists for each area /department
  - Encourage departmental checklists
    - i.e. H.R. requirements



# TRANSFER ROLES & RESPONSIBILITIES

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- P.I./Department. Initiate and coordinate needed information to H.R., Finance, Sponsored Projects, Property, Compliance Offices, etc. Prepare final progress reports, revised work plans and revised budgets as needed.
- Central Finance. Timely final invoice is critical. Transferring unspent funds.
- Central Sponsored Projects. Assuring smooth transition for Sponsors, P.I.s and fellow institutions.
- Others???



QUESTIONS?

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THANK YOU.



## Contact Information

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