You will learn: Grant Transfers

- General principles
- Who is involved
- Specifics on transferring in and out
- How an administrator can help
- Resources available
**General Grant Transfer Principles**

- Original grantee institution must be willing to transfer
- Sponsor has the right to disagree
- Facilities & resources at new institution must be adequate
- No significant changes to the research should be required due to the move

**Interested Parties**

- Program Officer/Grants Management Specialist/Funding Agency Contact
- PI
- New and Old Institutions
  - Department Chair &/or Administrator
  - Dean’s Office
  - Central Offices (ORSP, OTT, etc.)
- Research Administrator
Transferring Grants IN and OUT

To transfer or not to transfer…

– Does new institution provide the same (or better) environment?
– What of the research plan is “easy” to move?
– What work/staff will remain at the current institution?
– Does it even make sense to transfer?

Early Questions to Consider
Transferring Grants IN

Initiating Transfers - IN

- Role of the PI:
  - Discuss wishes with the funding agency’s Program Officer
    - Program Officer will advise on whether or not it may be feasible and provide options if they exist
  - Discuss with his/her current institution to see if they are willing to relinquish
  - Discuss next steps with his/her new institution
### Initiating Transfers – IN

**Role of the UM Research Administrator:**

- Obtain a list of grants transferring in
- Identify the counterpart at the previous institution
- Request copies of all relinquishing statements (through PI or directly from counterpart)
- Lean on collegiality in the field to find out the quirks!

### Initiating Transfers – IN

**Role of the UM Research Administrator:**

- Contact the Sponsor for specific guidance
  - NIH: Grants Management Specialist (GMS) will provide a list of what he/she requires in order to process this transfer
  - Ask questions!
- Check with unit to understand resource assignment to the new faculty
Processing Transfers – IN

- Always follow the instructions received to prepare the necessary forms
- Maintain a good relationship with all sponsor contacts to assist in pushing paperwork through

…it can be a slow process

Sponsor Request for Information

- Are the resources adequate?
  - Sponsors typically require information regarding:
    - Environment
    - Personnel
    - Budget
“Typical” Sponsor Request - NIH

- Environment
  - Updated Facilities & Resources
  - SF424 R&R Project/Performance Site Locations(s)
  - SF424 R&R Other Project Information (IRB, UCUCA, Equipment)

- Personnel
  - SF424 R&R Senior/Key Person Profile(s)
  - Biosketch and/or Other Support

- Budget
  - SF424 R&R Detailed Budget

Likely forms:
- SF424 R&R Cover (type = “change in grantee institution”)
- PHS 398 Research Plan
- Progress Report
- PHS 398 Cover Page Supplement
- PHS 398 Checklist

Specialized Forms:
- PHS 398 Career Development Supplemental Form
- PHS 398 Fellowship Supplemental Form
- SBIR/STTR Information

AS ALWAYS: Sponsor may request additional information at any time!
Quick Hint for NIH...

- For Grants.gov, the date on the face page *cannot be prior* to the date of submission
  - List start date as one day post submission
  - In the justification, point out that it is a requirement of the electronic system
  - Include the actual start date you are requesting

Processing Transfers - IN

- Prepare and route PAF as usual to obtain proper institutional approvals
- Consider requesting a ‘Hardship’ account
We try to hold the investigator financially “harmless” for F&A recovery

- Lower F&A Rate at previous institution:
  - If requested by the department, the school will agree to run the project at the rate of the previous institution

- Higher F&A Rate at previous institution:
  - Use the UM rate!
Initiating Transfers - OUT

- Role of the PI:
  - Discuss with his/her department chair to see if they are willing to relinquish
  - Once UM agrees to the idea of relinquishing
    - Discuss next steps with new institution

*Remember awards are made to the institution, not the PI*

Initiating Transfers - OUT

- Role of the Research Administrator:
  - Compile a list of active grants
  - Discuss with Chair/ Administrator to determine which transfer or stay,

  THEN…
  - Contact the sponsor for specific guidance
    - NIH: Grants Management Specialist (GMS) will provide a list of what he/she requires for UM to relinquish
Active Grants:
- Review for sponsor requirements and cost sharing compliance (i.e. Circulars for NIH)
- Encourage the PI to stop spending
- Complete a Post-Award Change Form
- Complete any sponsor required forms (i.e. Form PHS 3734-Official Statement Relinquishing Interest and Rights for NIH)
- Complete any sponsor required closing forms immediately following transfer (i.e. Final Invention Statement & Financial Status Report for NIH)

Pending Grant Proposals: Choices!
- Leave them in review until actionable
  - If it looks like it will be funded, take steps to relinquish interest and assign to new institution
- Submit amended pages
  - Depending on review process, the sponsor may allow application updates
Transferring Grants - OUT

- Additional department considerations:
  - Facilitate the transfer of anything that will be physically or intellectually leaving campus
    - Transfer and Disposition of Research Equipment (SPG 520.01)
    - Managing Personnel Changes
    - Transfer of other research material

Not Everything Can Get on the Truck
Transferring Grants – OUT (Equipment)

Active Projects:
The University will transfer if:

• The grant is being transferred AND
• The department chair indicates it is no longer needed by the department AND
• The new institution is willing to accept the equipment

Closed / Inactive projects:
The University will transfer if:

• The department chair indicates it is no longer needed by the department AND
• The new institution is willing to accept the equipment

There may be an acquisition payment required in order to transfer!
Managing Personnel Changes

- Transfer to new institution/termination
- Reduction In Force (RIF)
- Transfer to another PI/Project

Transferring Grants – OUT (Res. Material)

- Transferring Other Research Material:
  - Intellectual Property (IP)
  - Data sets
  - Biospecimens

* ORSP will need a statement on the PAF if there are OTT files currently open and impact…
Transferring Grants – OUT (Laboratory)

- Decommission the Laboratory
  - Labs must be left free of all chemical, radioactive, and biological materials
  - All research materials must be removed and disposed of properly
  - The lab decommissioning must be verified by OSEH as ready for re-occupancy or renovation

Issues to Consider

- Implications of a grant transfer when some of the work is staying here…
  - Timing: start date v. expenses incurred
  - Financial: overdrafts from year to year

- Remember: a transferred project is ending at UM – relationships change!
How an Administrator Can Help

- Know the basic guidelines
- Encourage communication
  - Within the University
  - With the Funding Agency
- Be familiar with available resources....

Need help?

Our contact information:

- Medical School Grant Review & Analysis: msgrants@umich.edu or 763-4272

- A copy of this presentation and other resources are available on our website: http://medicine.umich.edu/medschool/research/office-research/grant-review-analysis/pre-award-information/proposal-preparation/transfer-grants-between-institutions
Need help?

- Presentation
- RASC website – best practice document on transfer of institution general considerations
- Medical School's Post-Award Best Practices related to post award close out of transfer projects
- Regulatory Affairs list of considerations when closing a lab or an investigator leaving the institution
- ORSP Provided checklists for US Army Medical and NSF

Resources for Topics

- Office of Research & Sponsored Projects
  [http://orsp.umich.edu/](http://orsp.umich.edu/)

- Research Project Route Map
  [http://www.med.umich.edu/medschool/research/routemap/routemap.htm](http://www.med.umich.edu/medschool/research/routemap/routemap.htm)

- Hardships

- NIH

- Transferring Equipment
  [http://orsp.umich.edu/equipment/equipment_transfer.html](http://orsp.umich.edu/equipment/equipment_transfer.html)

- Office of Tech Transfer (OTT)
  [http://www.techtransfer.umich.edu/](http://www.techtransfer.umich.edu/)

- Lab Decommissioning
  [http://www.oseh.umich.edu/guidelines/ld.shtml](http://www.oseh.umich.edu/guidelines/ld.shtml)
Questions?