Transferring Grants between Institutions

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

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
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!

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

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)

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

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
Transferring Other Research Material:
– Intellectual Property (IP)
– Data sets
– Biospecimens
Decommission the Laboratory

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

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/transferring-grants-between-institutions

Resources for Topics
– Office of Research & Sponsored Projects
  http://orsp.umich.edu/
– Research Project Route Map
  http://www.med.umich.edu/medicine/Research/route_map.html
– Hardships
  http://orsp.umich.edu/projects/accounting/hardships.html
– NIH
  http://www.nih.gov/
– Transferring Equipment
  http://orsp.umich.edu/equipment/equipment_transfer.html
  http://www.finance.umich.edu/purchasing/equiptransfer.html
– Office of Tech Transfer (OTT)
  http://www.techtransfer.umich.edu/
– Lab Decommissioning
  http://www.oseh.umich.edu/guidelines/decomissioning.html

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 grant 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

Need help?