Best Practices for Sponsored Project Transfers

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Agenda

• Basics
• Process & Timeline
• Complicating Factors
• Relationship Management
• Best Practices
• Questions
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Basics
What is a Sponsored Project Transfer?

- **Sponsored Project**
  - Externally funded project or activity
  - Awarded to institution, not individual
  - Formal written agreement between the sponsor and the institution

- **Transfer of legal, administrative, and fiscal responsibility from one institution to another**

- Also called “PI Transfer”, “Award Transfer”, “Change in Grantee Organization”, etc.
Outgoing Transfers
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Process & Timeline
Each Transfer is Unique.

Sponsor

Unique Project

Award Specific Terms and Conditions

Subawards?

Equipment Transfer?

Cost Share?

Background IP?

Compliances: IRB, IACUC, IBC, FCOI?
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Complicating Factors
Complicating Factors

- Subawards
Stop Spending & Close Accounts → Officially Relinquish Award → Submit Required Reports → Prepare for Incoming Transfer → Prepare & Submit Transfer Application → Award Review & Acceptance → Award Management

Time Flies
Complicating Factors

- Subawards
- F&A rate differences
- Compliances
- Equipment
- Cost share
- Background intellectual property (IP)
- Institutional policy differences
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Relationship Management
It Takes a Village x N
(N ≥ 3)
Individuals

• **Function:** Technical, Contractual, Financial

• **Organizational Division:**
  - Unit Staff
    - Department/Research Center
    - College
  - Central Office Staff
    - Office of Sponsored Programs (OSP)
    - Sponsored Financial Services (SFS)
    - Office of Research Integrity and Assurance (ORIA)
    - Center for Technology Licensing (CTL)
    - Office of the Vice Provost for Research (OVPR)

• **Signature Authority**
  - Authorized organizational representative (AOR)
  - Accountants & departmental administrators
Emotions
Transferring PI
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Best Practices
Best Practices

• General Best Practices
• Incoming Transfers
• Outgoing Transfers
• Non-financial Agreements
General Best Practices

• Inform OSP ASAP
• Read sponsor policy and procedures on transfers or contact the sponsor
• Read award agreement(s), proposal, project progress reports & financials
Ask the question: can/should the award be transferred?

• Does the sponsor allow transfers?
• Is the original institution willing to relinquish the award?
• What are the sensitive personnel-related considerations?
• How far along is the project within its period of performance?
• What about when the transferring PI is not the lead, but a Co-PI?
Alternatives to Transferring an Award

• Assign a new PI
• Subcontract work
• Split the award between the original and new institutions
• Continue the award with a temporary appointment
• Terminate the award
Other General Best Practices

• Build relationships – be courteous
• Make initial contact via email and be specific
• Keep emails separate for each transfer
• Include project identifier(s) in your email
• Meet/Call to discuss complicated situations
• Help stakeholders understand who is who in the process
• Ask questions
• Follow up
Incoming Transfers

• Inform OSP ASAP to develop a plan
• Start the process early

-An ounce of prevention is worth a pound of cure.

- Benjamin Franklin
Incoming Transfers

• Meet and greet with OSP
  - Introduce sponsored program services
  - Learn the PI’s research in layman’s terms
  - Discuss intended transfers
  - If possible, obtain copies of the original proposal, award(s), project progress report(s) & financials
  - Establish realistic expectation
  - Obtain original institution’s contact information
Incoming Transfers

• Net ID
• Sponsor eRA system affiliation
• F&A rates
  - Institutional rate differences
  - Existing subawards
• Advanced spending account
• Compliances
  - FCOI
  - Protocol(s)
  - Congruence check(s)
  - Permits
Inout Transfers

- Inform OSP as soon as the situation allows
- Research collaboration continues
- Technical reports to close the award
Outgoing Transfers

• Relinquishing balance
  - What to do when the stipulated amount turns out to be wrong?

• Continued appointment
  - Reportable event

• Avoid paying for bills at another institution without a subaward
  - Regulations
  - Sales Taxes
  - Purchasing Work
  - F&A Difference
Non-Financial Agreements

• Agreements covering access to other valuable resources to support research activities
Non-Financial Agreements (information & data)

- **Non-Disclosure Agreement (NDA)**
  - govern access to proprietary information for research and other purposes
  - general practice is to terminate & re-sign at new institution

- **Data Use Agreement (DUA)**
  - govern access to, and permitted uses of, restricted data
  - characterized by specific data security plan (e.g. storage requirements)
  - typically sponsors require termination on PI departure
  - delays in closeout may hinder agreement approval at new institution
Non-Financial Agreements (tangible materials)

• **Material Transfer Agreements (MTA)**
  – govern transfer of tangible materials (often, but not exclusively, biological)
  – ideally terminate agreement and re-sign at new institution
  – reality is that this can cause significant delays to research, PIs therefore tend to prefer to transfer materials with them
  – transfer requires consent of the providing institution as well as new recipient

• **Equipment Loans**
  – not institutional assets, but equipment provided by sponsors for a limited period of time and use
  – transfer with the project
  – subject to approval by both sponsor and new institution
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Questions?
Contact your GCO & Send in your comments and questions!

OSP: osp-help@cornell.edu
SFS: sfs-help@cornell.edu
Capital Assets: uco-capasset@cornell.edu
Thank you for time and attention!