



What Happens at ISU?

Once a new PI agrees to relocate to Iowa State University, the process to transfer their grants begins.

1. Establish the PI in the ISU system (EPA must be fully routed)
2. Contact ospa-proposals@iastate.edu to request that OSPA register PI in Liquid Office and other systems
3. Notify the OSPA Pre-Award Team of the PI's date of arrival and projects and the projects he/she wishes to transfer to ISU.
4. Receive assurance of acceptance of award from ISU

What Happens at the Original Institution?

1. PI informs the original institution that he/she is leaving and wants to transfer the project to ISU.
2. PI contacts agencies for procedures to transfer awards to ISU.
3. PI obtains approval from the original institution to transfer awards.
4. Sponsor is notified by original institution of the PI's plans and the original institution's willingness to transfer the awards. Sponsors generally allow Change of Grantee Organization notices when:
 - a. Original grantee institution agrees to relinquish award before award expiration
 - b. Change of grantee institution is made before anticipated start date at ISU

The Transfer Process

The next step is usually relinquishment paperwork, required by the sponsor and completed by the original institution. These forms relinquish the original institution's interests in the grant and provide an estimate of

funds remaining at the time of the transfer. The original institution then submits a relinquishing statement to the sponsor.

Sponsors will send the original institution a revised award document reflecting revised project period dates, deletion of future-year support, and de-obligation of remaining funds based on estimated funds remaining listed on Relinquishing Statement

Then at ISU, PI informs ISU of the approval of the project transfer and the balance on the relinquishing statement. A GoldSheet must be routed for each transferred project. The PI and Department will work together to create the ISU budget out of the transferred award amount, adjusting the remaining award totals for changes in salaries, fringe rates, IDC, etc. The budget, budget justification (if required) and a copy of the original solicitation and award to the original institution should also be attached to the GoldSheet whenever possible.

- If ISU's IDC rate is higher, the project may continue to use the original institution's IDC rate (after an IDC waiver has been routed) for the remainder of the award. If ISU's rate is lower, the difference should be applied to direct costs.
- If subawards are issued by ISU to original institution, this is treated as a new subaward. A budget, budget justification, scope of work, and transmittal letter will be required to process this sub-award.

Normally, the PI and department will work with the program officer to initiate the transfer. Then the PI/ Grant Coordinator/ OSPA staff member will complete and submit according to the directions of the program officer. The ISU budget, budget justification and proposal information may need to be entered into Fastlane/eRA Commons/Cayuse or some other electronic system to be submitted to the sponsor in order for the transfer to be authorized by the awarding institution.

Transfers Prior to Execution of Award

If an award has not been made to the original institution, but the PI has received the intent to fund, the program officer will likely handle the transfer "behind the scenes" by processing the award transfer manually. In this case, ISU may be asked to complete a cover page and/or other forms to be emailed to the program officer along with the budget information. Just as with any project, a GoldSheet will be routed for approval.

Remember that the original institution may need extra time to complete the relinquishment request, so each transfer may likely take much longer than can ever be anticipated.

In order to avoid problems with the transfers to ISU:

Communicate early and often

Understand the sponsor's transfer process

Work closely with OSPA Pre-Award

Departure of a Principal Investigator from Iowa State University

What happens at ISU?

When a Principal Investigator (PI) informs ISU of his/her intent to leave the university, sponsor guidelines must be reviewed to determine what changes may need to be made to active awards.

The following are some of the typical options:

- Transfer an active award with the lead PI to the new institution.
- Transfer an active award with the lead PI to the new institution, and subcontract part of the funds back to ISU if any activity is to continue here.
- No change to lead PI at ISU, if departing PI is granted emeritus or collaborator status at ISU.
- Change the lead PI at ISU.
- Change the lead PI at ISU and subcontract part of the funds to the new institution so the departing PI may continue work on the project there.
- Terminate the project and return unspent funds to the sponsor.
- If departing individual is a Co-Investigator, the lead PI should provide guidance to OSPA/OIPTT regarding how/if the departing faculty member role will continue on the project.

Transfers may take longer than anticipated in order to coordinate with the sponsor, ISU department, and new institution, so it is best to begin the process as soon as possible. Some sponsors have specific forms that must be completed, while others have no formal guidelines. **The departing PI should work with his/her department chair and grant coordinator(s) to provide the following information to the OSPA Awards Team or OIPTT Industry Contracts Team:**

- Final date of employment at ISU and effective date of transfer (usually the day after final day at ISU).
- Plans for transfer or necessary changes to each active award.
- Department chair approval of proposed plan for each active award.
- Advise if PI will be granted emeritus status or collaborator status.
- Most sponsors will require a brief summary to be submitted of progress to date and description of work to be accomplished.
- Amount of funds to be transferred. It will be necessary to stop initiating charges to the project account, as all outstanding charges must be identified prior to making the transfer request.
- Contact information for a departmental staff person or sponsored programs staff person at the new institution.
- If the PI has been in communication with a program officer at the sponsor/agency and received recommendations or additional guidance regarding the transfer process, please forward this information to OSPA/OIPTT.

Your OSPA Awards Team or OIPTT Industry Contracts Team contact will advise the departing PI of any sponsor-specific requirements and use the information provided to prepare the transfer request, whether it be through an online system such as NSF FastLane or with a formal letter of request with supporting documentation.

Other factors to consider:

- Any subawards issued off an award that the PI will be transferring to their new institution must first be terminated and closed.
- It is recommended that the department ensure all progress and technical reports on active and expired awards under the direction of the departing PI have been submitted and approved by the sponsor prior to the departure of the PI and prior to the transfer of any awards to their new

institution. Submittal of any reports that were due while the award was at ISU remain the responsibility of the university department even after the PI has left.

- To determine if equipment purchased on sponsored project accounts at ISU can be transferred to another institution, contact your SPA accountant. For more information on equipment disposition, please see:
<http://www.controller.iastate.edu/spa/equipment.html>.
- The SPA Accountant will work with OSPA to determine the amount of the award to transfer to the new institution. The SPA Accountant will accomplish this by emailing the department to confirm that all expenditures have posted to the award. The SPA Accountant will also request a continuation account from the department to place the transferring project's account in a temporary expired status. Once the transfer is finalized and approved by the sponsor, the SPA Accountant will close the award in the ISU financial system and submit any final financial reports required by the sponsor.
- On-going Flexible Solution B and C funded projects will require special consideration. Contact the OIPTT Industry Contracts Team for assistance.
- Existing NDAs and MTAs need to be reviewed. They may require an amendment or termination. Contact the OIPTT Industry Contracts Team for assistance.
- All ISURF intellectual property invention disclosure forms need to be completed and submitted well in advance of the PI's departure. Schedule a meeting with the OIPTT Commercialization Manager assigned to your department at least a month before the PI's departure date. This discussion should also address the PI's intentions for using ISU or ISURF intellectual property after his/her departure.

Who should I contact with additional questions?

OSPA Pre-Award Team

- Questions about pending proposals

OSPA Award Team

- Awards and contracts from non-industry and non-commodity sponsors

OIPTT Industry Contracts Team

- Awards or contracts from industry and commodity sponsors
- Non-Disclosure Agreements
- Materials Transfer Agreements

OIPTT Commercialization Manager

- Intellectual property disclosures and licenses (needed, pending and/or existing)

ISU Research Foundation

- Patents or patent applications