# Managing Grant Transfers In and Out of Northeastern

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# Objectives

- Collaboration and timeline (College level and NU-RES)

- Transferring out faculty/PI

- Transferring in faculty/PI

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# Communication

# College Discussion

Faculty member notifies college of intended departure

Options for proposals and awards

❖ All new proposals should be submitted through new institution

❖ All proposals with anticipated funding should not be initiated for acceptance

❖ Awards are transferred to the new institution

❖ Awards are transferred to new institution with a subaward back to Northeastern for continuity

❖ Awards remain at Northeastern with a new PI designated

❖ Awards remain at Northeastern with a subaward to new institution for faculty member's participation

❖ Awards remain at Northeastern until termination of the project

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4

# College Discussion and Local Impact

- Human Resources
  - Is HR aware?
  - Other research staff affected?

- Operations and Finance
  - Determine resources (equipment, space, data, OH accounts, etc) are to be transferred and what remains

- Compliance considerations

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# Things to consider

- Compliance:
  - Human Subjects involved?
    - Contact Nan Regina, n.regina@northeastern.edu or 617.373.4588
  - Vertebrate Animals involved?
    - Contact DLAM office at DLAM@northeastern.edu or 617.373.3958
  - Biohazardous materials/recombinant DNA involved?
    - Contact biosafety@northeastern.edu
  - Inventions associated with award(s)?
    - Contact CRI@northeastern.edu
  - Equipment associated with award(s)?
    - Retained at NU or transferred?

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# More things to consider

- Compliance:
  - Is the project subject to export control regulations?
    - Contact Jeff Seo, Assistant Vice Provost of Research Compliance, at j.seo@northeastern.edu
- Other considerations:
  - Material Transfer Agreements
  - Data User Agreements
  - Confidentiality Agreements

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# Transferring Out

PI and College has determined that the awards will be transferred to the new institution. What now?

- Contact relevant parties at NU-Res

- Is sponsor aware of PI departure? Determine who communicates with the sponsor / program officer

- Obtain contact info of central grants office at PI's new institution

- Confirm award transfer date – if different from PI departure date

- Discuss budget projections and account closeout

- Project involve subrecipient(s)?
    - Subrecipient(s) aware of PI departure?
    - Subrecipient(s) need to be closed out – _prior_ to transfer

- Project staff members remaining at NU
    - Intentions of creating subrecipient at NU?
    - Determine PI

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# Bird's Eye View of the Process

- PI informs department / college that they will be leaving as of X date
- Department and PI inform NU-RES of departure date, as well as desired disposition of PI's active grants
- College works with PI to assess local impact / collaboration with local parties: human resources, operations, finance, lab space, equipment, data, other faculty members, student workers, etc.
- NU-RES Administration liaises with appropriate parties to ensure proper closeout, transfer, subawards, termination, etc., of PI's active grants
- Grants are relinquished, as appropriate
- NU-RES Admin works with central grants office at new institution to ensure smooth transfer of grants

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# In greater detail...

- There are MANY moving parts to outgoing grant transfers. Effective communication and time management are VERY important!
- As discussed previously, the PI and college will determine what they want to happen with each award
- NU-RES will liaise among relevant parties

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# The brass tacks

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- For EACH grant affected by the PI's departure, NU-RES Admin will need:
- Completed transaction form, signed by the PI, the new PI (if applicable), and the department Chair
- Estimated unobligated balance as of PI's departure date, confirmed with both the department and with Finance (if the grant is to be transferred or terminated)
- NU-RES admin follows sponsor's instructions for transferring out grants to new institutions, for changing the PI at Northeastern, for issuing outgoing subawards, and/or for terminating awards: whatever the case may be
- PI carries on with their work at their new institution and we all live happily ever after

# Awards Remaining at Northeastern

PI and College have determined that the award will not be transferred to the new institution. What now?

- Determine New PI

- If the outgoing PI will continue to be involved in the project, then consider a subaward to the new institution.

- College works on re-budgeting

- Contact relevant parties at NU-Res

- Contact sponsor to discuss plans for completion of the project

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# Awards Remain at Northeastern through Closeout

PI and College have determined that the award should remain at Northeastern through closeout because…

- There is not an appropriate replacement PI at NU

- It is a subaward, and will be terminated as of the transfer date and re-issued to new institution

- Award end date is imminent

In these cases,

- Contact relevant parties at NU-Res

- Contact sponsor

- Project involve subrecipient(s)?
  - Subrecipient(s) aware of PI departure?
  - Subrecipient(s) need to be closed out as of the termination date

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# Transfers In: Overview

❖ The PI notifies the prior institution and works with them to determine the awards to be transferred or sub-awarded to NU

❖ The PI works with NU department to prepare the transfer proposal/sponsor-requested materials and corresponding ePAWs record (include original Notice of Award (NOA) and proposal on the record)

❖ NU-RES reviews and submits the transfer proposal/request to the sponsor

❖ The sponsor issues a new Notice of Award to Northeastern. The award package is compiled and processed by NU-RES

❖ If subaward: the department submits the draft subaward agreement for review in eCLAWs. After signature, an award package is compiled and processed by NU-RES

# Transfers In: NIH vs. NSF

**NIH** National Institutes of Health
*Turning Discovery Into Health*

➤ The prior institution submits the **Relinquishing Statement** via eRA Commons.

➤ The PI and department prepare the transfer application in ASSIST for **PA-21-268**. NU-RES reviews and submits.

➤ The budget is for the direct costs relinquished by the prior institution, plus IDC calculated at NU's negotiated rate.

➤ If transferring on the award anniversary, include the progress report in the Research Strategy attachment. If it is a mid-year transfer, contact the awarding IC to determine if a progress report is required.

**NSF** National Science Foundation
WHERE DISCOVERIES BEGIN

➤ The prior institution routes a **Transfer Request** to NU in Research.gov, which includes the total est. disbursements to date, a brief summary of progress to date, and a description of work yet to be accomplished.

➤ The PI and department add a detailed budget and any other required materials (e.g. post-doc mentoring plan). NU-RES reviews and submits.

➤ The transfer budget should be for the amount calculated in the field "Unobligated Balance (Amount to be Transferred)".

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# Transfers In: Reminders and Considerations

❖ **Start Early!!** Transfers take time and require coordination between multiple parties

❖ **IRB/IACUC/Biosafety?** Reach out to the appropriate NU office as soon as possible to avoid delays in the issuing of the transfer NOA

❖ **Material or Data Transfers?** Let NU-RES know! A Material Transfer Agreement (MTA) or Data Use Agreement (DUA) may be required
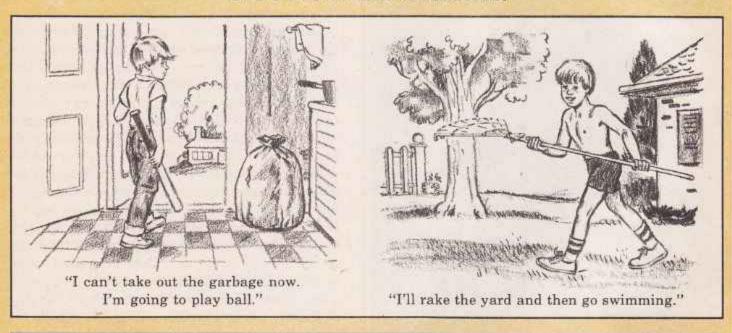
When in doubt, ask your Grant Officer!

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# Goofus and Gallant

"I can't take out the garbage now. I'm going to play ball."

"I'll rake the yard and then go swimming."

Goofus throws his can on the grass.

"We'd better clean up our litter."

Illustrated by Sidney Quinn

## Case Studies

Questions?

# Thank You!

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