

# GOING, GOING, GONE!

## Transferring Research Projects from One Institution to Another

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## Topics to Covered

- Introduction
- The Basics
- Case Studies

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## Definitions

- **Grantee Institution** - The legal recipient of the grant:
  - Responsible for the conduct and oversight of the research,
  - Accountable for the appropriate use of funds awarded
  - Accountable for the performance of the grant-supported project
- **Principal Investigator** - The individual, designated by the grantee who is:
  - Responsible for the scientific or technical aspects of the grant
  - Responsible for day-to-day management of the project or program

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## Basics

- Grants are awarded to the institution.
- Change in grantee institution requires sponsor prior approval
- Grantee institution has legal and administrative responsibility for conduct and oversight.
- Most grants can be transferred (exceptions - training grants and fellowships).
- Grantee institution makes decision about what to do if the PI leaves.

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## The Action Begins

- When the PI decides to leave -
  - The theory is simple:
    - Once the institution decides to relinquish the grant, the sponsor is notified,
    - The project is closed out, the new institution re-applies for funding and the award is re-awarded to the new institution.
  - The reality is complicated:
    - Multiple issues must be addressed
    - Multiple offices are involved

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## First Decision

- Will the grant go with the PI or stay at the grantee institution?
- The PI needs to confer with Chair, Dean, etc. about what the institution wants to do.
- The institution not the PI makes the decision to relinquish *or not*.

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## Options

- Retain grant and propose a new PI.
- Retain grant, propose a new PI and subcontract part to the original PI at new institution.
- Relinquish entire award to PI's new institution.\*
- Relinquish entire award to PI's new institution and subcontract back part to original institution.

\*most typical

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## Options

- Retain grant at the institution and propose new PI.
- Retain grant, propose new PI and subcontract part to original PI at new institution.
  - *Poses the least likelihood of interruption and is most viable if there is a co-PI at the original institution*
- Relinquish entire award to PI's new institution.
  - *Most common solution, especially for individual research projects.*
- Relinquish entire award to PI's new institution and subcontract back part to original institution.
  - *Assumes that new institution is interested in applying for the award.*

\*All options require sponsor prior approval

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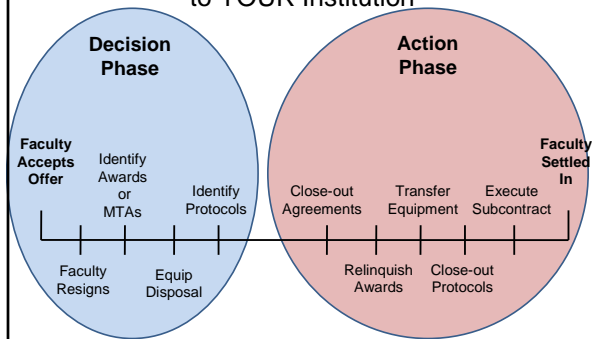
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### The Timeline: leaving MY Institution – Moving to to YOUR Institution




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## Case Study No. 1

You are the Associate Director of the SPO at a mid-size university. One of your staff asks you to take a call from Big Time University, a top research University. They are calling to ask about the status of a relinquishing statement for Dr. Bill Bailey's NIH award. Dr. Bailey has been at Big Time U for 2 months. They thought the grant would have been transferred by now. You know nothing about it.

Dr. Bailey was one of your institution's "stars". You are surprised because you hadn't heard he was leaving. You contact the dept administrator, who is also surprised. She too, wasn't aware of his departure.

What do you do?  
What are the options?

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## Case Study No. 2

You are the Senior Administrator in the Chemistry department. You receive a copy of a resignation letter from Dr. Wang, one of the faculty in the department to the to the chairman of the department. You immediately contact the chair to discuss the matter. He asks you not to do anything because a counter-offer is in the works. You are concerned because the faculty member has recently ordered some major pieces of equipment on his sponsored awards. Additionally, Dr. Wang has 4 grad students. It is early September and the fall term is about to start.

Three weeks later, you approach the Chair again. This time he says Dr. Wang has declined the counter-offer but still tells you not to do anything. He doesn't want to disrupt the departure in any fashion.

What do you do?  
What are your options?

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## Case Study No. 3

Dr. Jones informs you that he has accepted a position at Big State University, about four hours away by car.

Dr. Jones also tells you that "they" have determined that all of his research programs can continue at your site. "They" have spoken with the program officers of the several grants who agree that this seems reasonable. After all, he will be only hours away and plans to transition over the next 3 years.

The department current chair has agreed to continue making Dr. Jones' laboratory space available to him and his research team. The graduate students will be able to continue to be supported and make progress to degree.

In essence, nothing has to be done ... or does it?

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## Case Study No. 4

Dr. Smith is the PI of an NIH grant at Best University. She intends to move to a new institution and would like to take her grant with her.

Dr. Smith provides her departmental business office with a long list of equipment that she wants to take with her. She claims they were all purchased under the NIH grant. The department Chair objects to many items on her list, as they are being used by multiple investigators, and were purchased with funds both from the university and Dr. Smith's grant.

Dr. Smith is upset. What are her options?

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