

Coming and Going: Faculty Transfers (aka “Change of Institution”)

New (incoming) UMB faculty:

http://www.ord.umaryland.edu/awards_management/new_transfer.html

Departing faculty:

http://www.ord.umaryland.edu/awards_management/leaving.html

http://www.ord.umaryland.edu/policies_procedures/trnsfreqpt.html

When should you notify ORD?

- ❖ For incoming faculty, after the offer has been accepted
- ❖ For departing faculty, as soon as you know that the information is public

Fellowships, career development awards – nearly always will be transferred. Check Sponsor policy/guidelines for instructions, or contact the sponsor’s Grants Officer. It is appropriate for the PI to contact the sponsor’s Project Officer to provide a heads-up regarding the change.

Grants – Usually can be transferred, although in many cases training grants and large grants such as program projects and centers do not transfer. Army grants are difficult to transfer. Check Sponsor policy/guidelines for instructions, or contact the sponsor’s Grants Officer. It is appropriate for the PI to contact the sponsor’s Project Officer to provide a heads-up regarding the change.

Federal contracts – Are rarely transferred

Subrecipient agreements, corporate contracts – Usually are terminated at the prior institution and are renegotiated with the new institution. ORD will assist with contacting the sponsor’s contracting officer.

Clinical study agreements – Are rarely transferred

New (incoming) UMB faculty

Getting started:

1 – Who are our contacts at the prior institution?

2 – What awards are being transferred? Are there any pending proposals that are likely to be funded?

It is helpful to obtain copies of the award documents and most recent proposal or progress report. You will also want to find out (from your counterpart) the (estimated) balance of funds that will be transferred (direct costs and total costs). Also ask whether any of the awards involve subawards to other institutions. Work with ORD and the sponsor to verify whether the UMB budget should be based on the direct costs plus F&A at UMB's rate, or on total costs (including DC plus F&A at UMB's rate).

3 – If an award will not transfer, will the faculty member continue to work on that project (with a subaward to UMB)?

4 – Does the faculty member have any material transfer agreements that will need to continue here at UMB?

5 – Is the faculty member bringing equipment to UMB? Request a list.

Next steps:

Work with your ORD Contracts & Grants team on awards that will transfer and on any new subawards. Work With ORD-CVIP (Denise Meyer) on transferring material transfer agreements.

Every award and subaward that will be made to UMB needs to be routed for approvals. Consider obtaining an Affiliate ID for the faculty member so that they can begin using Coeus. **Best case scenario:** Route each award and request preaward spending chartstrings so that they are set up by the time the faculty member's appointment starts at UMB!! (**Best practice:** Route and request preaward spending ASAP)

Ensure that the faculty member begins the necessary trainings and protocol submission for any human subjects work, rDNA work, animal research, select agents, etc.

Items that many sponsors require for change of institution, or that UMB requires for routing and approvals, can be coordinated by the research administrator:

- Application face (signature) page with updated UMB information and signed for UMB
- Budget for transferred funds
- Resources information for UMB (facilities and equipment)
- Description of changes to the project or a statement that no changes are anticipated as a result of the transfer
- Sign-off from all proposed subrecipients; letters of commitment from consultants
- Documentation that protocols have been approved by UMB's IRB or IACUC

Departing faculty

Getting started:

- 1 – Who are our contacts at the new institution?
- 2 – What awards will transfer with the faculty member as PI?
- 3 – Is the faculty member paid from other awards at UMB as well? Will UMB need to issue subaward(s) to the new institution?
- 4 – Are there pending proposals that are likely to be funded that will be relinquished to the new institution?
- 5 – Did the faculty member complete all reporting requirements for awards that have ended, or that will terminate at UMB as a result of the transfer?
- 6 – Are there any material transfer agreements that need to be continued at the new institution? (contact Denise Meyer, ORD-CVIP). The cost of shipping of the materials to the new institution should be covered by the new institution (as are moving costs).
- 7 – Is the faculty member managing any conflict of interest here at UMB? (contact Joe Giffels)
- 8 – Does the faculty member have human subjects or animal research protocols that need to be closed or transferred to another investigator? (Contact HRPO or your school's IACUC)
- 9 – Will equipment be transferred to the new institution? Create a list, including a description, manufacturer/serial number, UMB inventory number, acquisition cost, date acquired, Project ID, funding source

Next steps:

Begin reconciling each award (working with Restricted Funds) to determine the unobligated balance that will be transferred.

UMB will agree to relinquish, terminate or transfer an award (or pending proposal) and transfer equipment **only with the appropriate approvals**, which would include the Center/Institute/Program Director (if applicable), Division Chief (if required by the department), Department Chair, and Dean. Typically, a **memo of request** signed by the PI and the department Chair is directed to the Dean for approval, and the approved document is forwarded to Office of Research and Development. The memo must specify the awards and equipment that the PI wishes to transfer.

Consider HR issues – will any of the PI's staff transfer to the new institution? Are layoffs required? Can these individuals be reassigned to another project? Work with HR!

Consider EHS issues, such as hazardous waste disposal

Use the Coeus "Remove or Deactivate a User" form to close out Coeus User rights after the PI has left. <http://www.umaryland.edu/coeus/removeuser.html>