

# Procedure for Incoming Grant Transfer from Another Institution

## I. General Guidelines

This document describes the procedures associated with the incoming transfer of a grant into UMass Chan Medical School (UMass Chan) for a newly hired Principal Investigator (PI) as well as the responsibilities of those involved in the process. This guidance should be used in conjunction with the UMass Chan Incoming PI Award Checklist.

## II. Reason for Procedure

Adherence to these procedures will ensure that the PI and UMass Chan meet sponsor requirements as well as institutional policies/guidelines when transferring awards and facilitate both the acceptance and set up process.

## III. Transfer of an Award to UMass Chan from the Original Recipient/Awarding Agency

Transferring a research grant from another institution to UMass Chan requires coordination between the incoming PI, the original grantee institution, and the funding organization (NIH, for example). The PI's prior grantee institution must relinquish the grant back to the sponsor for approval before the sponsor can approve the transfer of the award and any equipment (if applicable) to UMass Chan.

In many cases, sponsors will allow grants to be transferred when a PI leaves their institution. However, some sponsors may impose limitations on grant transfers, such as permitting transfers only on the anniversary date of the original award or disallowing transfers late in the budget period. The transfer process should be started as soon as the incoming investigator knows the award will be transferring since the transfer may potentially involve movement of animals, materials, personnel, and the establishment of subcontracts or MTAs.

In addition to obtaining approval from the relinquishing institution and the funding organization, the PI must also meet all UMass Chan compliance requirements (including IACUC and IRB approvals) before a transferred award can be accepted. It is critical that the process of transferring grants is initiated as early as possible after the recruit commits to moving to UMass Chan.

## IV. Initiating the Transfer

To transfer awards to UMass Chan, the incoming Investigator should initiate discussion on the status of their awards and plans for the future with the sponsor, their new UMass Chan department, prior institution departments, and the UMass Chan Office of Sponsored Programs (OSP).

In order to serve as a Principal Investigator at UMass Chan, the incoming faculty member must read and sign the [UMass Chan Participation Agreement form](#) and the [UMass Chan Conflict Of Interest form](#),

indicating acceptance of the institutional intellectual property and conflict of interest policies. This is a one-time requirement that must be addressed before any proposals can be submitted.

If transferring an NIH award, the incoming PI will need to have their eRA Commons ID affiliated with UMass Chan. In order to do this, complete the [eRA Commons Account Request form](#).

In most cases, equipment purchased with funds awarded on an active grant will transfer with the PI when changing Institutions. All equipment transfers to UMass Chan need to be coordinated with the Department of Asset Management in the Financial Services Office. Use the [equipment transfer-receipt form](#).

For NIH awards, the equipment intended to transfer must be listed on the Relinquishment form (PHS 3734) completed by the prior institution. Asset Management compares the equipment listed on the Relinquishment form with the UMass Chan receipt form to ensure the same items are included. The equipment should also be included in any new proposal submitted to the sponsor by UMass Chan as this represents acceptance of the title to the transferred equipment. Once on site at UMass Chan, the transferred equipment is tagged by Asset Management staff for tracking and inventory purposes.

Award transfers most frequently follow one of two options:

- Option 1: Full transfer of remaining award to UMass Chan:
  - When the remaining award is to be transferred in its entirety to UMass Chan, the PI's previous employer must formally relinquish the award and provide the sponsor with the unobligated balance. The PI will be required to submit a new UMass Chan proposal to the sponsor. The sponsor then awards the project to UMass Chan.
  - If a portion of the work will remain at the prior institution, the prior institution is required to submit documentation to UMass Chan as a subrecipient that would be incorporated into the UMass Chan proposal submitted to the sponsor. Once the award is received by UMass Chan, a subaward will be negotiated with the prior institution for their component of the project.
- Option 2: Subaward to UMass Chan:
  - When only a portion of the work is to be transferred, a new principal investigator is named at the former institution (with the approval of the sponsor) and the original PI submits a proposal through RMS to his or her former institution which will then issue a subcontract to UMass Chan.

## Internal Processing Activities

The incoming Investigator will need to prepare a new proposal (refer to sponsor guidelines) after receiving the relinquishing statement or confirmed unobligated balance for each sponsored project from their prior institution.

The funding proposal in Research Management System (RMS) usually consists of:

- A revised budget showing UMass Chan salaries, fringe benefits, and F&A costs.
  - Revised Subaward package, if applicable
- A budget justification.
- A project description that usually consists of a progress report and a description of the work that remains to be completed on the project.
- Appropriate sponsor forms (e.g., PHS, System-to-System Application)
- Summary Disclosure of Financial Interests (SDFI) Form

## V. Advance Account Attestation (Pre-Award Account Setup & Spending Authorization)

If the incoming PI needs to access project funds in advance of receiving the award, an [Advance Account Attestation Form](#) can be used to request the establishment of a chartfield in PeopleSoft to facilitate the initiation of the sponsored project prior to receiving the award or official notice from the sponsoring agency. An Advance Account must be secured by an institutional unrestricted account. If an award is not received, or expenditures processed are determined to be unallowable due to the conditions of award, this account will provide the funding sources for these expenditures.

### Award Transfers In - Roles and Responsibilities Matrix

Responsibilities	PI	Dept Admin	Office of Sponsored Program (OSP)	Post-Award Admin & Compliance	Faculty Affairs	Human Resources
Contact the Sponsoring Agency, Department, and OSP in advance of the transfer date	P	S				
Submit Participation Agreement for incoming PI	P	S				
Gather relinquishing documents from previous Institution	P	S	S			
Submit the new proposal/subaward documents to the sponsoring agency	P	S	S			
Complete FCOI Training and Forms for Investigators identified on each project	P	S	S			
Complete the UMMS Incoming PI-Award Transfer Checklist and initiate the forms/processes needed for any applicable compliance areas (ex. IRB, Equipment etc.)	P	S	S	S		
Initiate subawards off of award transferred to UMMS	P	S	S			
Setup a provisional account for projects in advance of receiving sponsor agreements	S	P	S	S		
Initiate any new faculty and staff appointments with payroll/benefits	P	S			S	
Initiate any new staff appointments with payroll/benefits	P	S				S

KEY	
P =	Primary Responsibility
S =	Secondary Responsibility