



Office of Sponsored Programs (OSP) Roundtable

Best Practices for Sponsored Project Transfers

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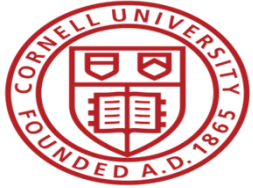
WHY DOES IT

TAKE SOO LONG???



Agenda

- Basics
- Process & Timeline
- Complicating Factors
- Relationship Management
- Best Practices
- Questions



Best Practices for Sponsored Project Transfers

Basics

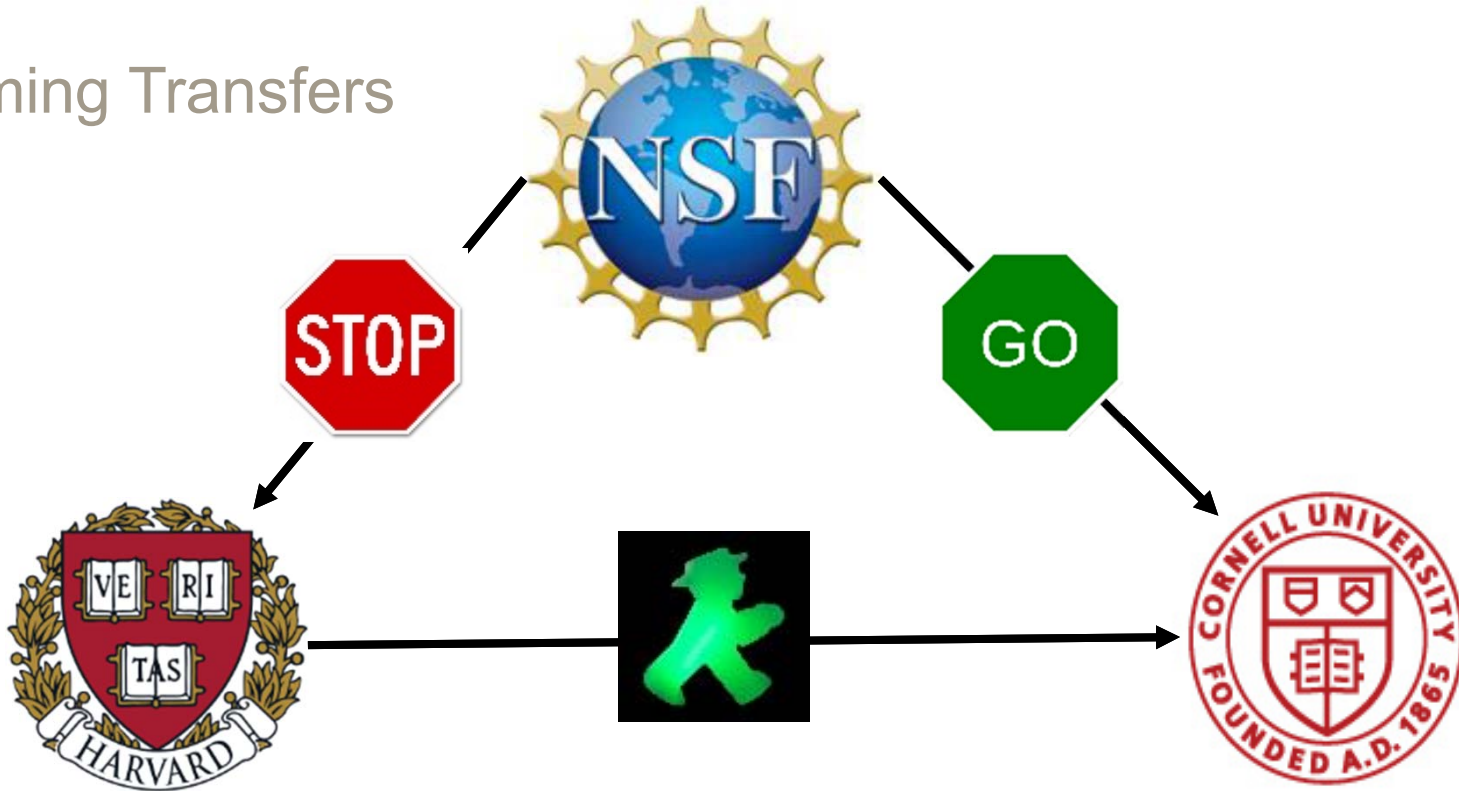


What is a Sponsored Project Transfer?

- Sponsored Project
 - Externally funded project or activity
 - Awarded to institution, not individual
 - Formal written agreement between the sponsor and the institution
- Transfer of legal, administrative, and fiscal responsibility from one institution to another
- Also called “PI Transfer”, “Award Transfer”, “Change in Grantee Organization”, etc.

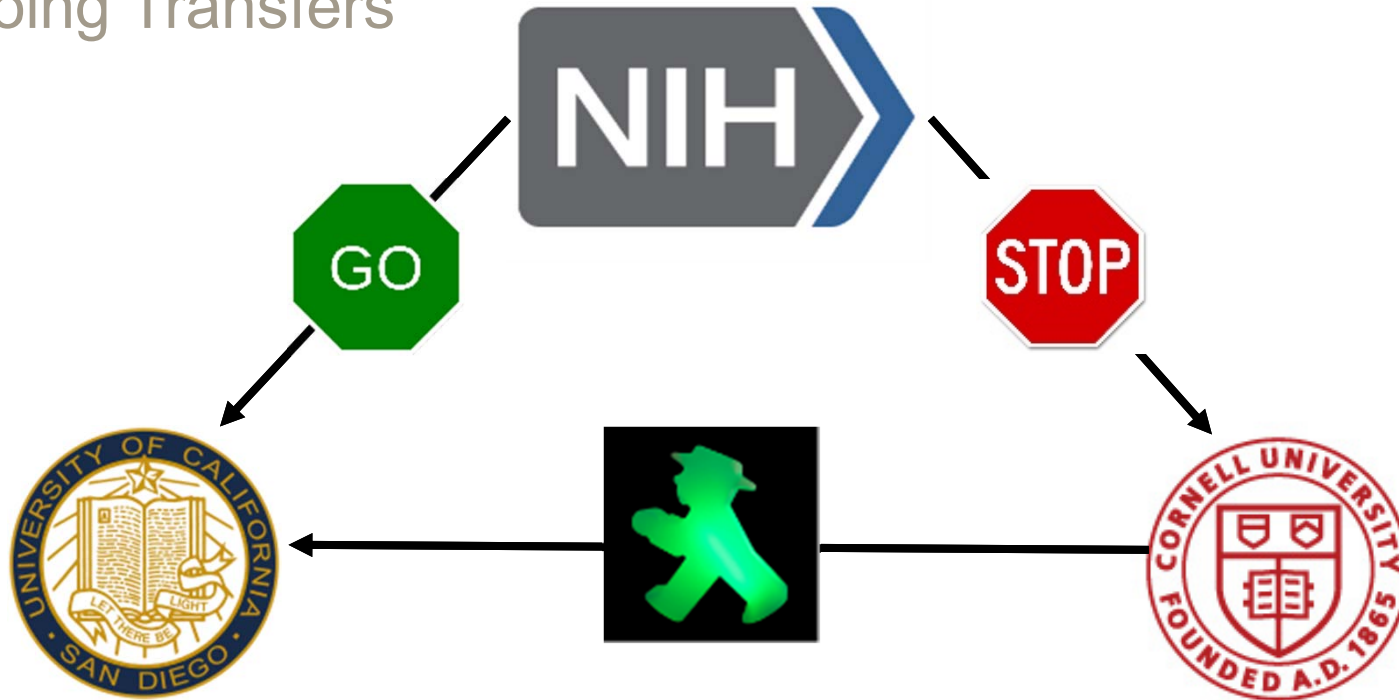


Incoming Transfers



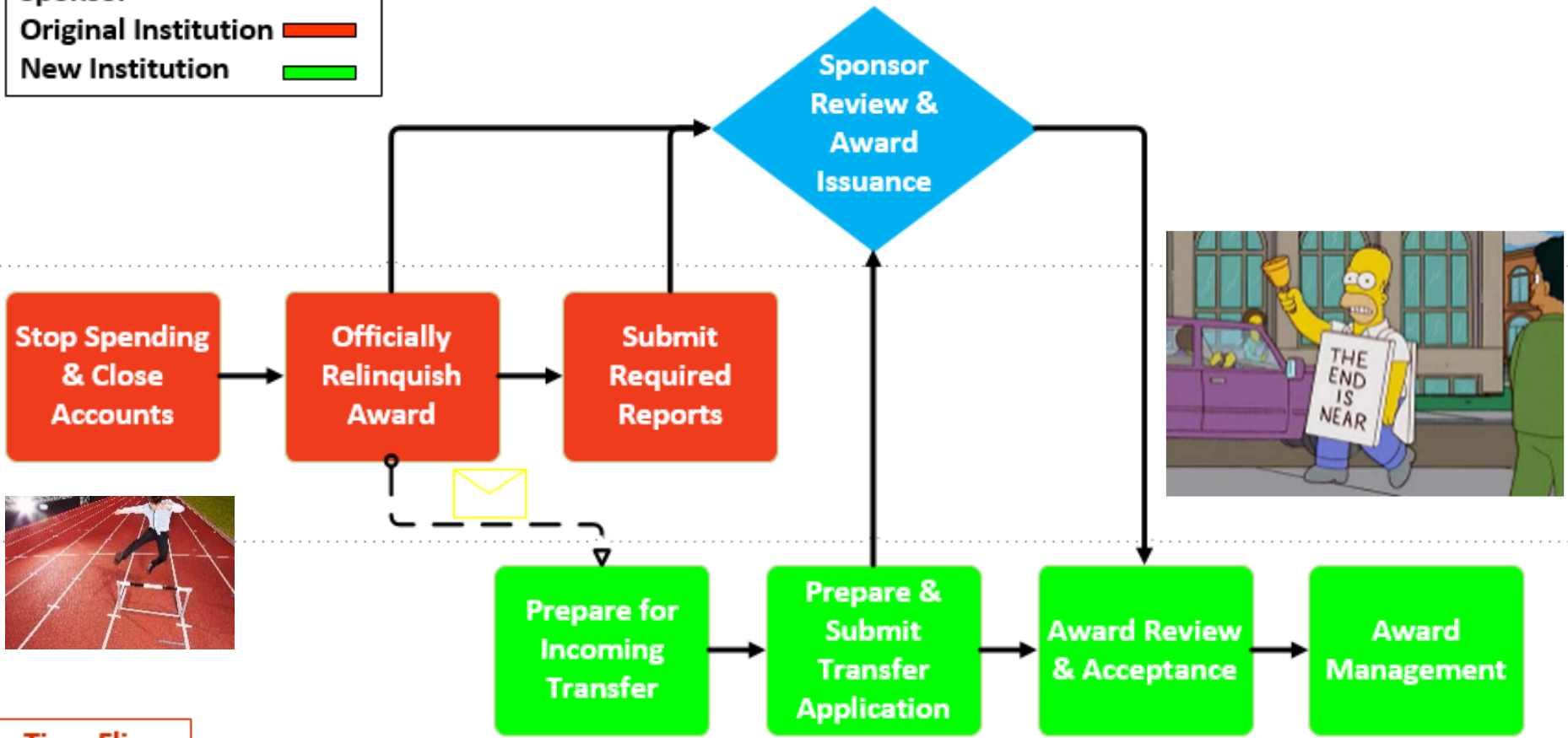


Outgoing Transfers



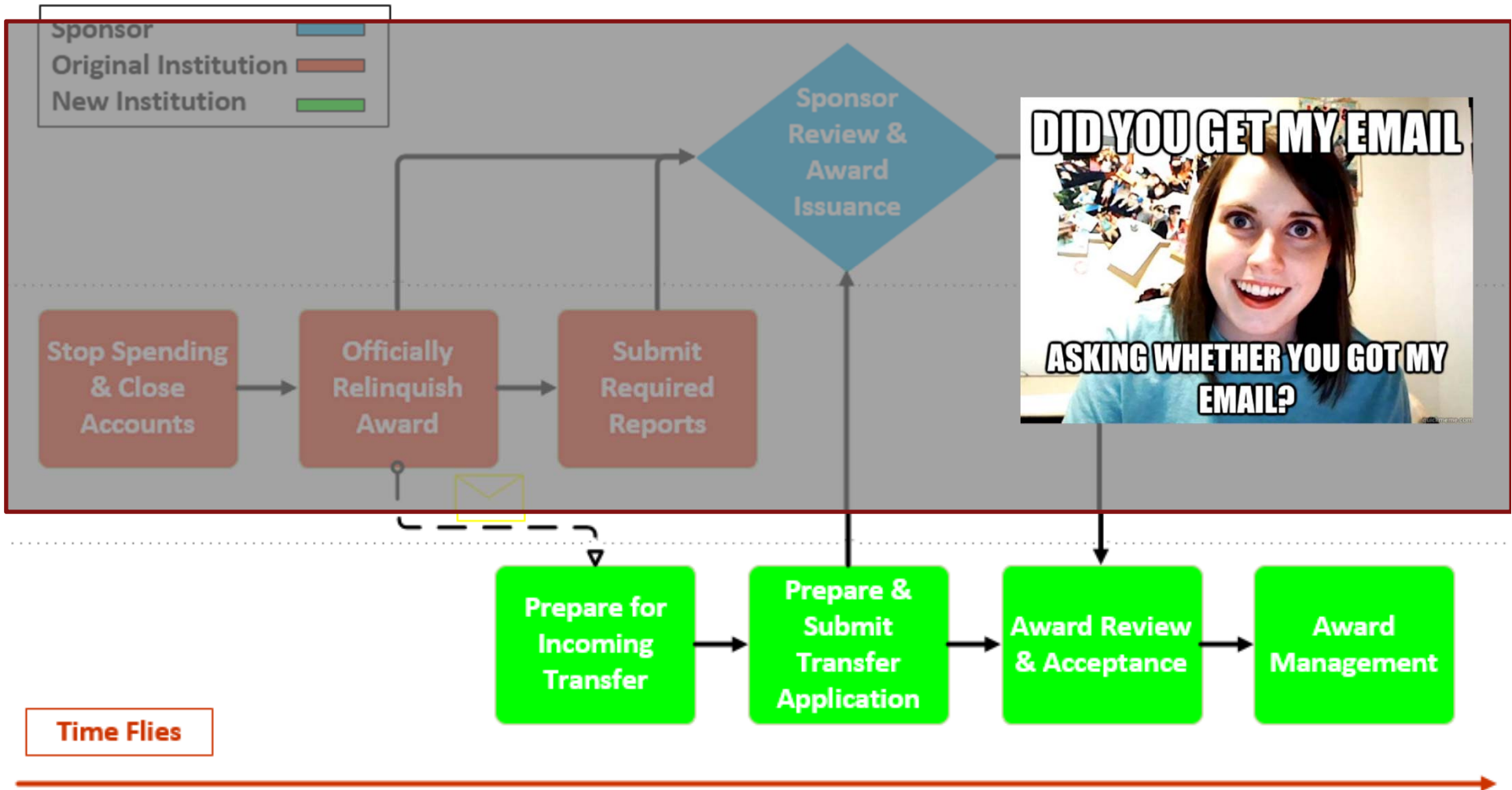


Best Practices for Sponsored Project Transfers Process & Timeline



Time Flies







Sponsor

Unique Project

Award Specific Terms and Conditions

Each Transfer is Unique.

Subawards?

Cost Share?

Equipment Transfer?

Background IP?

Compliances: IRB, IACUC, IBC, FCOI?



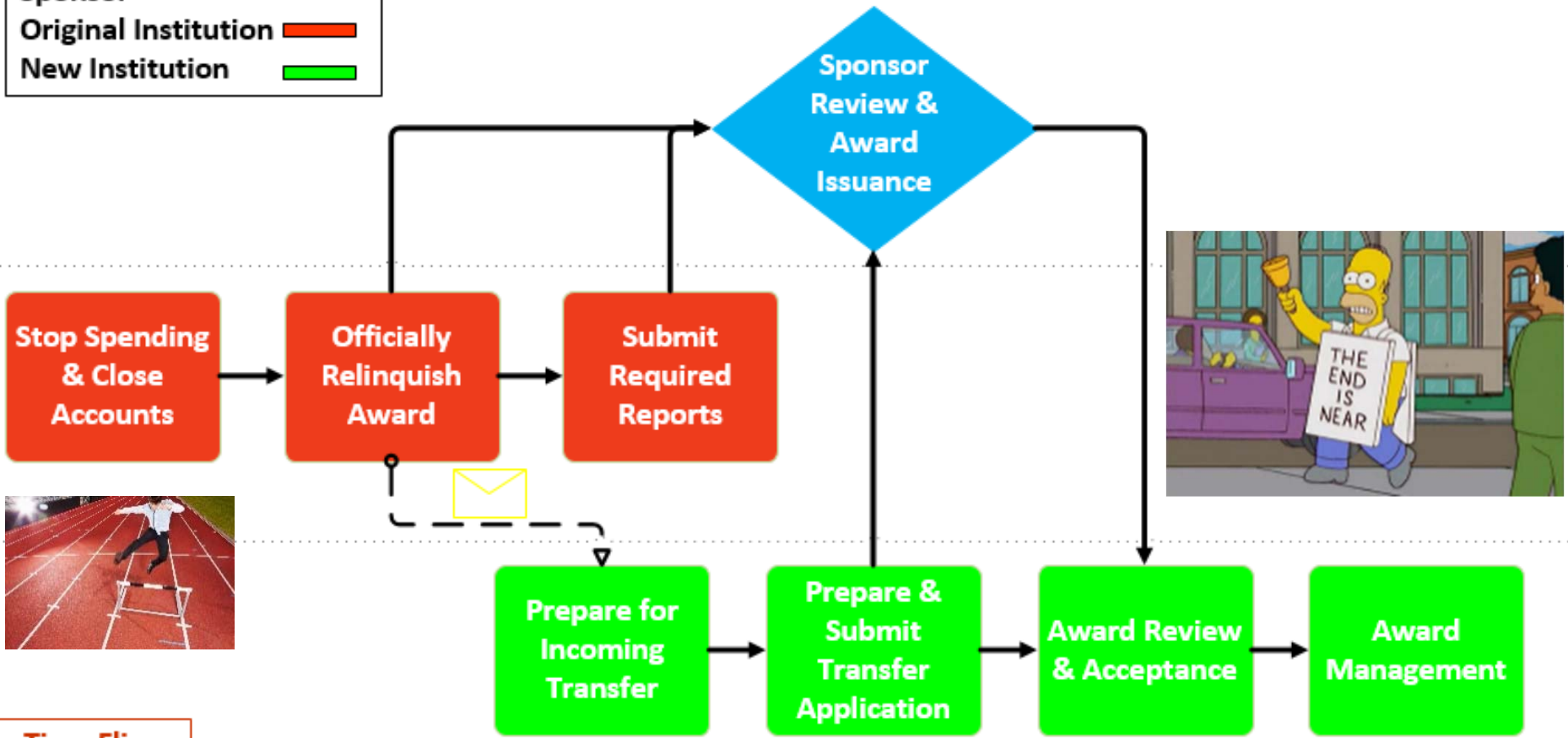


Best Practices for Sponsored Project Transfers Complicating Factors



Complicating Factors

- Subawards



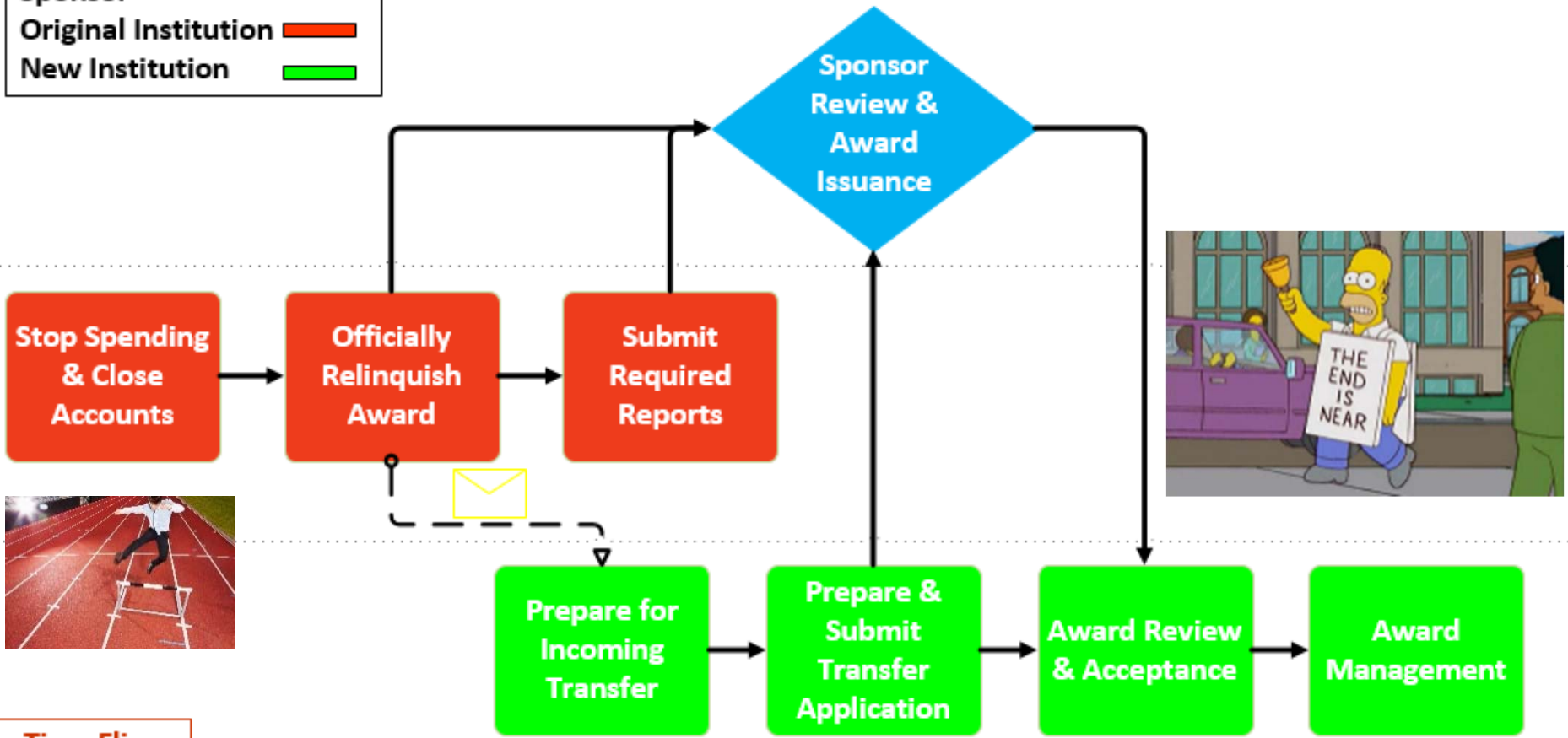
Time Flies





Complicating Factors

- Subawards
- F&A rate differences
- Compliances
- Equipment
- Cost share
- Background intellectual property (IP)
- Institutional policy differences



Time Flies





Best Practices for Sponsored Project Transfers

Relationship Management



It Takes a Village x N
($N \geq 3$)





Individuals

- **Function:** Technical, Contractual, Financial
- **Organizational Division:**
 - Unit Staff
 - Department/Research Center
 - College
 - Central Office Staff
 - Office of Sponsored Programs (OSP)
 - Sponsored Financial Services (SFS)
 - Office of Research Integrity and Assurance (ORIA)
 - Center for Technology Licensing (CTL)
 - Office of the Vice Provost for Research (OVPR)
- **Signature Authority**
 - Authorized organizational representative (AOR)
 - Accountants & departmental administrators



Emotions





Transferring
PI





Best Practices for Sponsored Project Transfers

Best Practices



Best Practices

- General Best Practices
- Incoming Transfers
- Outgoing Transfers
- Non-financial Agreements



General Best Practices

- Inform OSP ASAP
- Read sponsor policy and procedures on transfers or contact the sponsor
- Read award agreement(s), proposal, project progress reports & financials





Ask the question: can/should the award be transferred?

- Does the sponsor allow transfers?
- Is the original institution willing to relinquish the award?
- What are the sensitive personnel-related considerations?
- How far along is the project within its period of performance?
- What about when the transferring PI is not the lead, but a Co-PI?



Alternatives to Transferring an Award

- Assign a new PI
- Subcontract work
- Split the award between the original and new institutions
- Continue the award with a temporary appointment
- Terminate the award



Other General Best Practices

- Build relationships – be courteous
- Make initial contact via email and be specific
- Keep emails separate for each transfer
- Include project identifier(s) in your email
- Meet/Call to discuss complicated situations
- Help stakeholders understand who is who in the process
- Ask questions
- Follow up



Incoming Transfers

- Inform OSP ASAP to develop a plan
- Start the process early



- Benjamin Franklin



Incoming Transfers

- Meet and greet with OSP
 - Introduce sponsored program services
 - Learn the PI's research in layman's terms
 - Discuss intended transfers
 - If possible, obtain copies of the original proposal, award(s), project progress report(s) & financials
 - Establish realistic expectation
 - Obtain original institution's contact information





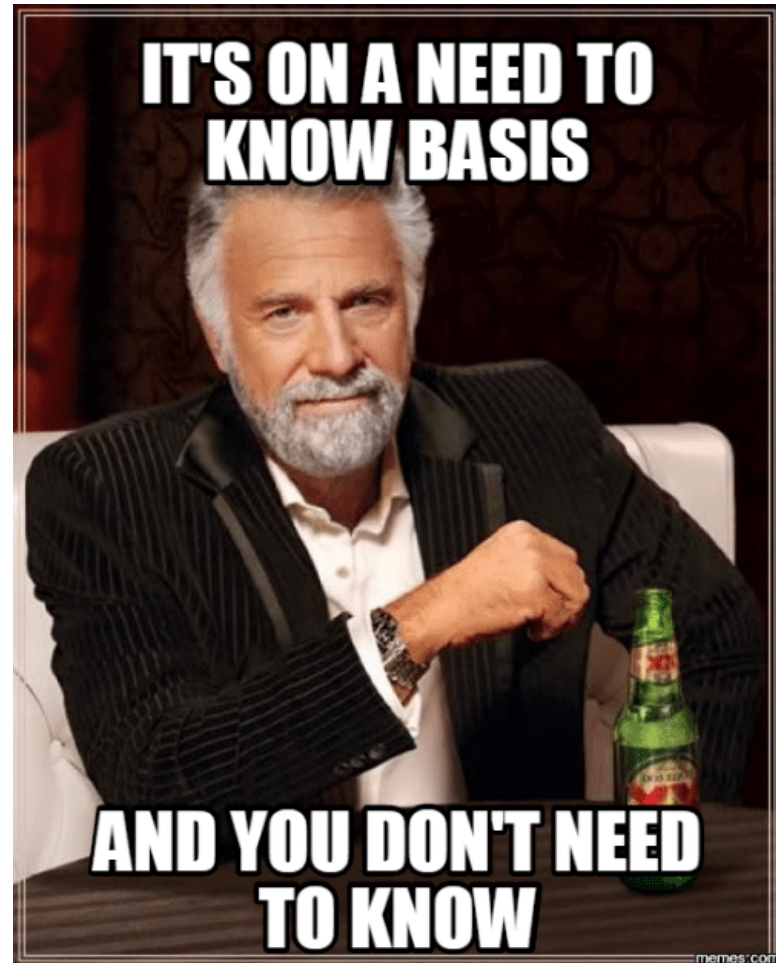
Incoming Transfers

- Net ID
- Sponsor eRA system affiliation
- F&A rates
 - Institutional rate differences
 - Existing subawards
- Advanced spending account
- Compliances
 - FCOI
 - Protocol(s)
 - Congruence check(s)
 - Permits



Outgoing Transfers

- Inform OSP as soon as the situation allows
- Research collaboration continues
- Technical reports to close the award





Outgoing Transfers

- Relinquishing balance
 - What to do when the stipulated amount turns out to be wrong?
- Continued appointment
 - Reportable event
- Avoid paying for bills at another institution without a subaward
 - Regulations
 - Sales Taxes
 - Purchasing Work
 - F&A Difference



Non-Financial Agreements

- Agreements covering access to other valuable resources to support research activities





Non-Financial Agreements (information & data)

- **Non-Disclosure Agreement (NDA)**
 - govern access to proprietary information for research and other purposes
 - general practice is to terminate & re-sign at new institution
- **Data Use Agreement (DUA)**
 - govern access to, and permitted uses of, restricted data
 - characterized by specific data security plan (e.g. storage requirements)
 - typically sponsors require termination on PI departure
 - delays in closeout may hinder agreement approval at new institution



Non-Financial Agreements (tangible materials)

- Material Transfer Agreements (MTA)
 - govern transfer of tangible materials (often, but not exclusively, biological)
 - ideally terminate agreement and re-sign at new institution
 - reality is that this can cause significant delays to research, PIs therefore tend to prefer to transfer materials with them
 - transfer requires consent of the providing institution as well as new recipient
- Equipment Loans
 - not institutional assets, but equipment provided by sponsors for a limited period of time and use
 - transfer with the project
 - subject to approval by both sponsor and new institution



Best Practices for Sponsored Projects Transfers
Questions?



Helplines

Contact your GCO & Send in your comments and questions!

OSP: osp-help@cornell.edu

SFS: sfs-help@cornell.edu

Capital Assets: uco-capasset@cornell.edu



**KEEP
CALM
AND
GO
BIG RED**



Thank you for time and attention!