

HOW SPONSORED PROJECTS ARE TRANSFERRED TO NAU

DEFINITION: “Transfer of Sponsored Project(s)”

When faculty at another institution accepts a position at NAU, they often want to bring grants/contracts along with them. The process of getting approval from the sponsor, the former institution and NAU is commonly known as the “Transfer of Sponsored Project(s)”.

INCOMING FACULTY NOTIFICATIONS

NAU Office of Sponsored Projects (OSP) staff may be notified directly by their unit or the incoming faculty member and/or will be notified by the Office of the Vice President for Research of the new faculty member to NAU.

INTRODUCTION TO NAU OSP TEAM

It is strongly recommended that each unit develop a process for how they wish to welcome new faculty members. At a minimum, it is recommended that the OSP staff contact the new faculty member to introduce themselves and their team, to provide an overview of services provided, to set up user accounts (FastLane, eRA Commons, Pivot, Cayuse SP, PeopleSoft etc.) and to offer to answer any questions the incoming faculty member may have.

TRANSFER PROCESS

ACTIONS TO BE TAKEN BY PI AT FORMER INSTITUTION

1. Discuss the request to transfer project(s) with their chair and/or dean.
2. Contact their sponsor(s) for guidance on transferring award(s)
3. Contact the former institution’s Sponsored Projects Office to
 - a. Advise the intent to transfer project(s)
 - b. Relay the guidance provided by the sponsor
 - c. Seek guidance from the former institution on internal process related to transfers
 - d. Develop a plan for the transfer
 - i. Will it transfer at the beginning of a new funding year?
 - ii. Will it move during a funding year?
 - iii. Will any money be subcontracted back to the former institution?

Granting agencies make awards to the institution, not to the individual PI. It is the former institution's prerogative to allow transfer or to name a replacement PI at that institution. The PI must contact his/her former institution and granting agency directly to discuss options. If the institution will not relinquish the award, the PI may request the former institution subcontract a portion of the funds to NAU. The former institution may or may not be agreeable.

Transferring a grant can take a significant amount of lead-time to implement. Factor this into consideration when determining the start date for the funds transferring to NAU. For guidance, speak with the former institution's sponsored projects office.

Subcontracting a portion of funds from the former institution to NAU is not considered a transfer of project. It is a new award which follows the standard NAU polices and proposal development process.

ACTIONS TO BE TAKEN BY PI IN CONJUNCTION WITH NAU OSP

Transfer projects will follow the process outlined in the [Sponsored Project Lifecycle, Proposal Development section on the OSP website](#). Listed below are some helpful hints to get the process started:

1. Confirm that the PI has notified the sponsor and the former institution's unit and sponsored projects office of their departure. If not, provide the PI the information discussed in "Actions to be Taken by PI at Former Institution".
2. Confirm with the PI that approval from the sponsor and the former institution to relinquish the project to NAU has been granted. If not, direct the PI to the former institution's sponsored project's office.
3. Obtain the program officer/contact information for the sponsor and the former institution's sponsored projects administrator.
4. Contact the former institution's sponsored projects administrator for
 - a. Any sponsor instructions they have received for transfer of the project.
 - b. Copies of the award notices and the formal relinquishing statement.
 - c. The balance of funds being transferred to NAU
5. Request that the PI provide
 - a. Any submitted technical reports
 - b. A copy of the proposal(s) submitted related to the project
 - c. A list of the project objectives that have been completed
 - d. A list of the project objectives that will be completed at NAU
 - e. Any other technical/scientific/programmatic items the sponsor requires NAU submit to effect the transfer
6. Determine whether the project involves any special review processes, such as humans, animals, biosafety, etc. If so, it is important to provide the incoming faculty member with the [Research Safety & Compliance](#) website. In order to avoid disruption to the project, special review processes should be started as soon as possible.

7. If the project involves the transfer of equipment, advise the PI to:
 - a. Discuss the transfer and any needed space required to house it with the unit chair and/or dean.
 - b. Provide the sponsor's guidance related to use of the transferred equipment, after the project ends.
 - c. Advise PI that all transferred equipment must be notified to [Property Control](#)

8. If the PI will sub-award a portion of funds back to the former institution to allow specific objectives to be completed there, include the former institution's budget.

PROPOSAL REVIEW AND APPROVAL

1. As with all proposals, transfer proposals must follow the standard routing and approval process.
2. The transfer proposal must be forwarded to OSP for review and approval prior to submission
3. OSP must advise PI of any communications with the transfer institution that impacts the preparation and submission of the transfer proposal
4. OSP will submit the proposal to the sponsor for review

Submission of the transfer proposal does not constitute an award. Accounts are only set up upon receipt of an award to NAU from the sponsoring agency

PREAWARD ADVANCE ACCOUNT REQUEST (if needed)

PI: A [Sponsored Project Action Request \(SPAR\) form](#) should be completed and submitted.