Transferring Projects from North Carolina State University

Purpose:
Provide a sequence of events that must occur when transferring a project to another qualifying organization from NC State University.

Scope:
This Standard Operating Procedure (SOP) outlines NC State University’s process when a faculty member transfers to another institution and has received permission from his/her department and college to transfer the project. This SOP describes the process to communicate the original information, proceed with developing a disposition plan, gaining required approvals and submitting to sponsor for ultimate approval.

SOP Steward(s):
SPARCS Associate Director, Operations & Operations Manager
Contact via sps@ncsu.edu

Glossary and contacts related to some of the terms used in this SOP:
CRO / GBO = College Research Office or Grant Business Officer
SPARCS = Sponsored Programs and Regulatory Compliance Services
C&G = Contracts and Grants Office
FM = Fiscal Manager
ORC = Office of Research & Commercialization
PI = Principal Investigator
PMR = Project Modification Request
IACUC = Institutional Animal Care and Use Committee
IRB = Institutional Review Board
EHS = Environmental Health & Safety
Grad = Graduate

Important Considerations

- Alert SPARCS and C&G as early as possible, to promote a smooth transition.
- PMR action(s) needed – steps below give details on what PMRs are required.
- Department Head and Dean need to approve the transfer of any grants and equipment leaving NC State University
- Equipment transfers involve other university offices for review/approval
- PMR action for PI / Project Transfer – link any other related PMRs to this one.
- Lab Notebooks / Digital Media are the property of NC State University and should remain here. Copies may be made by departing faculty.
- Final Reports for work done up to date of departure need to be completed prior to departure and an electronic copy given to CRO/GBO and uploaded into electronic system
- Needed information to begin:
  - Effective Date
  - Name and Contact Info for new Institution (including address)
  - Disposition of project/justification
  - Approvals by Department Head and Dean or Ad Hoc them into the PMR approvals.
  - Funds to be transferred
- Graduate Students oversight: review to determine if there will be any graduate students impacted by transferring project and provide a plan for their oversight and protection.
- Lab Shutdown – Notify EHS if there will be any labs shut down and work with them on procedures.
- IRB or IACUC Protocols – Alert IRB and IACUC Offices, if applicable
- Intellectual Property – Alert ORC
- Early Termination PMR may be required.
- Modification of Subaward PMR may be required, if terminating early, if applicable.

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<th>What to Do</th>
<th>When to Do It</th>
<th>Who Does It</th>
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| 1   | **PLAN** the move and begin preparation to request transfer authorizations. CRO/GBO discusses with transferring faculty member:  
- Assess requirements/work needed for Lab shut down. CRO/GBO assures that faculty member is aware that **Lab Notebooks** must remain as the property of NC State. Copies may be made and taken.  
- Reviews potential impact for Graduate Students  
- Completes **Final Technical Report** prior to departure (preferred) or soon after, and a copy sent to CRO/GBO, who will upload to RADAR. CRO/GBO, with faculty member, will determine if/when it should be submitted to sponsor.  
- Remind of potential need to contact applicable IRB, IACUC, ORC offices – see step 3 below. | 5 Months Prior or more | Department, PI and CRO/GBO, SPARCS |
| 2   | Prepare an **INVENTORY** using MS-Excel of all projects under the leadership of the departing faculty member. This list should include the following:  
- RADAR Number  
- PeopleSoft Project Number  
- Sponsor Name  
- Project Title  
- Project Investigators Names  
- Program Officer Name and Contact Information  
- Contract Officers (Agency) Name and Contact Information (include e-mail addresses for these)  
- Planned Disposition (transfer, re-assign PI, terminate, etc.).  
This list should include all projects under the direction of the transferring faculty member, not just the ones planned for transfer. Include in the inventory any subawards/subcontracts that should be terminated and when. Projects that the transferring faculty is a Co-Investigator must follow process for removing. | 5 - 6 Months Prior | PI should work with Departmental Contract Manager, CRO/GBO and FM |
| 3   | **REQUEST** authorization to transfer projects as soon as possible. To begin this process, initiate a **Project Modification Request (PMR)** via that system, and Ad Hoc in the Dept. Head and Dean to give approval of any project to be transferred (or upload an approval document). | 5 Months Prior or more | Departments, PI and CRO/GBO |
Other information that must be provided to SPARCS and other auxiliary units:

- Desired Effective Date
- Amount of transfer
- Point of Contact at new institution
- Department Head and Dean’s approval for transfers, in writing.
- Progress and/or Final Technical Reports (separate documents: work completed and work to be completed)
- Equipment Transfer permission/inventory, if applicable. For equipment that is to be transferred, Dean and Department head approval is required. CRO will work with controller’s office on process for transfer. A separate PMR "Other" action may be needed.
- NOTIFY ORC if any IP has been developed under this grant.
- NOTIFY IACUC if this project contained any IACUC protocols.
- NOTIFY IRB if this project contained any IRB protocols.
- NOTIFY EHS if this project contained any EHS safety plans, etc.

Reference PMR Guide for further information / instructions on PMR actions.

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<td>Once transfer amount is known, a PMR is initiated and routes to C&amp;G. CnG will Ad Hoc SPARCS, who will review the agreement to DETERMINE the appropriate actions to take</td>
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<td>OTHER PMR ACTIONS THAT MAY BE REQUIRED: EQUIPMENT: Initiate a PMR and link it to PI Transfer PMR. Upload any inventory for transferred equipment to PMR. Upload new institution agreement to pay shipping and insurance costs, as applicable. SUBCONTRACT MODIFICATION PMR: Initiate termination of standing (i.e. recurring) subcontracts and request TERMINATION OF ALL SUBCONTRACTS.</td>
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<td>Closeout requests will be administered by Contracts and Grants for financial closeout and directed as usual to the CRO/GBO. CRO/GBO MUST ensure that all subagreements have been properly terminated as described in step number 5 above and must not sign off on close-out statements for subaccounts unless and until the subrecipient has issued a final close-out invoice.</td>
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<td>CRO/GBO should work with PI to determine how the PI can continue work at NCSU, paying for needed supplies and personnel (grad students in particular) until the effective date of the termination (of employment, projects or both). This function is called Project Consolidation and is an important element in a successful and timely transfer. Examples of funding sources that a PI should consider during the project consolidation effort are residual balances in fixed price accounts, institutional funds</td>
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relevant to the various projects or other trust fund accounts. Only externally sponsored projects may be eligible for transfer; fixed price residuals, state or institutional funds or other trust fund balances may not be transferred to other institutions.

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<td>PI must contact their Program Officer to plan for submission of <strong>FINAL TECHNICAL REPORTS</strong> on the terminating contracts. Technical Reports are required on all projects, not just those that are being transferred. An electronic copy of the technical reports must be uploaded to RADAR by CRO/GBO.</td>
<td>1 - 3 Months Prior</td>
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<td>C&amp;G will <strong>SUBMIT FINAL FINANCIAL</strong> documents (i.e. Final Financial Status Reports, final invoice, etc.) to the sponsor for consideration and payment. No further reconciling items or expenditures may affect the accounts after this point.</td>
<td>Immediately upon receipt</td>
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