

OFFICE OF GRANT & CONTRACT (OGCS) SERVICES

PROCEDURES FOR GRANT/CONTRACT TRANSFERS AT UTA

EFFECTIVE DATE OF POLICY/PROCEDURE: \_\_\_\_\_

DEPARTMENTAL DIRECTOR APPROVAL AND DATE: \_\_\_\_\_

VICE PRESIDENT FOR RESEARCH APPROVAL AND DATE: \_\_\_\_\_

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I. Introduction

This procedure outlines the protocol for the management of grants and contracts to faculty members who are either transferring from/to The University of Texas at Arlington (UTA), or terminating their appointment at UTA. Faculty members who transfer from/to UTA must notify the Office of Grant and Contract Services (OGCS) if any existing and/or pending grants/contracts will accompany the transfer and follow the steps outlined below. Prior approval of the funding agency and current institution is usually required when a Principal Investigator (PI) proposes to transfer his/her pending proposals and/or current awards to a new institution. Since awards are made to the institution on behalf of the PI, the current institution has the prerogative to (if applicable): 1) terminate the research; 2) nominate a replacement PI; or 3) approve the PI's request to transfer the grant/contract to the new institution.

II. Equipment Transfer

The Capital Asset Management (CAM) office is required to maintain an accurate inventory of the institution's capital equipment. The funding agency determines if title to all equipment purchased or fabricated with agency funds either vests with the current institution or is retained by the funding agency. Ownership of equipment that was previously purchased on an award that is now expired will presume to have been determined as part of the OGCS Close-out Procedure. If the equipment is owned by the current institution, the PI may request that it be transferred to the new institution, with the approval of the new institution. Either the new institution or the current institution also has the right to refuse the request. If equipment vests with the funding agency, the equipment can either be returned to the agency or transferred to the PI's new institution. Any equipment transfer or return must be coordinated with the CAM office; OGCS and the PI must follow the procedures outlined below. It is assumed that any piece of equipment that vests with UTA and is not specifically identified for transfer will remain at UTA.

III. PI and OGCS Procedures

**A. Transfer of PI/co-PI from UTA to a new institution, termination of PI/co-PI appointment and nomination of a new PI/co-PI**

1. Pre- and post-award will work together to complete the Grant/Contract Disposition Form (see sample attached) which includes the following:
  - a. Pending proposals on which the faculty member is listed as either PI or co-PI (pre-award)
  - b. Active awards on which the faculty member is listed as either PI or co-PI, UTA account numbers, remaining funds, expiration dates, all capital equipment purchased on the award, and whether the equipment vests with UTA or the funding agency (post-award)
2. The original Grant/Contract Disposition Form is sent to the PI/co-PI; OGCS will retain two copies (one each for pre- and post-award for their tickler files) pending receipt by OGCS of the fully executed form. OGCS will also send the PI/co-PI a blank OGCS Equipment Transfer Form (sample attached). Co-PIs

who will be transferring from UTA should follow steps III.A.5 and III.A.7 below.

3. The PI will complete the Grant/Contract Disposition Form and indicate
  - a. which pending proposals and active awards he/she wishes to transfer to the new institution
  - b. which will remain at UTA and require nomination of a replacement PI, and
  - c. which will be terminated, withdrawn or finished out (if close to expiration)
4. For those grants/contracts that the PI wishes to transfer to the new institution, the PI must write a letter requesting the transfer that must be approved by the Chair and Dean and forwarded to OGCS for approval by the Vice President for Research (see sample Request for Transfer Letter).
  - a. If the transfer request is approved by UTA, OGCS post-award shall prepare an estimate of the obligated balance based on expenditures to-date and anticipated expenditures through the transfer date. Post-award shall send the Request for Transfer letter and the estimated obligated balance remaining at the transfer date to the funding agency.

If the funding agency approves the transfer, post-award shall work with Grant Accounting to prepare necessary financial reports to close out the account(s) and transfer unobligated balances as directed by the funding agency. If equipment shall be transferred to the new institution, post-award shall send the original completed OGCS Equipment Transfer Form to the new institution CAM office (or equivalent) for counter-signature and return to OGCS. The UTA CAM office will not release the equipment for transfer until the counter-signed Equipment Transfer Form has been received. Once the transfer is complete, post-award shall follow the OGCS Close-out Procedure.

If the funding agency does not approve the transfer, OGCS and the PI shall follow subsequent instructions from the funding agency.
  - b. In the event that the transfer request is denied by the Chair, Dean, or Vice President for Research, the individual who has denied the request should nominate a replacement PI. The replacement PI should follow step III.A.5 below.
  - c. In either event, OGCS post-award shall make sure that the latest technical reports have been received from the PI.
5. For those grants/contracts that will remain at UTA under the direction of a replacement PI/co-PI, either the outgoing PI/co-PI or the replacement PI/co-PI must write a letter requesting the change in PI/co-PI, that must be approved by the Chair and Dean and forwarded to OGCS for approval by the Vice President for Research (see sample Request for Change in PI/co-PI Letter). The letter should include justification for the change as well as the vita of the new PI/co-PI.

OGCS post-award will send a copy of the Request for Change letter and the vita of the nominated replacement PI/co-PI to the funding agency for approval of the change.

6. For those grants/contracts that will not transfer to the new institution and for which a replacement PI cannot be identified, the PI must write a letter requesting withdrawal of the pending proposal or termination of the active award that must be approved by the Chair and Dean and forwarded to OGCS for approval by the Vice President for Research (see sample Request for Withdrawal/Termination Letter).

OGCS will send a copy of the Request for Withdrawal/Termination letter to the funding agency. Pre-award will handle pending proposals. Post-award will handle active awards and follow either agency guidelines or termination clause instructions. This may include a final technical report from the PI. Post-award shall follow the OGCS Close-out Procedure.

7. The complete set of documents will include the approved Grant/Contract Disposition Form, the approved OGCS Equipment Transfer Form, and approved request letter from the PI/co-PI (either a Transfer, a Change in PI/co-PI, or a Withdrawal/Termination).
8. Pre- and post-award shall provide the Sponsored Research Office at the new institution with copies of any requested documents pertaining to pending proposals and active awards.

**B. Transfer of PI to UTA from another institution with an existing award or pending proposal**

1. For pending proposals and existing awards that the PI plans to transfer to UTA, OGCS pre-award should contact the PI's current institution Sponsored Research Office to obtain the following information:
  - a. If the PI has written approval from the current institution to transfer the proposals and/or awards, provide a copy to OGCS.
  - b. If the funding agency has been notified in writing of the transfer, provide a copy to OGCS.
  - c. Confirm the agency and PI contact information.
  - d. If not already provided by the PI, obtain a full copy of any pending proposals and existing awards.
  - e. Determine the anticipated transfer date of existing awards.
  - f. Request the dollar amount of funds remaining in the account as of the anticipated transfer date. This information may be provided in a variety of formats, such as a final financial report, NSF Grant Transfer Request, or an email from the current SRO.
2. If the PI is transferring equipment to UTA, he/she must complete the OGCS Equipment Transfer Form. The PI should also indicate on this form which equipment was purchased from funds of existing awards that are also being transferred to UTA. OGCS pre-award will send a copy of the Equipment Transfer Form to CAM.
3. All incoming grant transfers shall be handled as new proposals. This includes all steps in pre-award proposal review and processing.

4. For pending proposals, if the agency requests a revised budget, pre-award shall work with the PI to prepare same. For existing awards, pre-award shall work with the PI to prepare a new budget based on the remaining amounts obtained in step III.B.1.f and submit same to the agency if required.

SAMPLE REQUEST FOR TRANSFER LETTER

(This letter is to be written by the PI who is planning to transfer to another institution. It is addressed to the PI's current chair and requires approval by the Chair, Dean and Vice President for Research.)

DATE

Dr. (Chair)  
Department ABC  
The University of Texas at Arlington

Dear Dr. (Chair):

Effective (date of intended transfer) I plan to transfer my employment to (new institution). I am currently the PI on the awards and/or pending proposals listed on the attached form: (list active awards and/or pending proposals on OGCS Grant/Contract Disposition Form). I hereby request that these awards and/or proposals be transferred to my new institution.

Sincerely,

(Name of faculty requesting transfer)

Approved by:

\_\_\_\_\_  
(Name), Chair Date

\_\_\_\_\_  
(Name), Dean Date

\_\_\_\_\_  
(Name, Vice President for Research Date

Disapprovals or exceptions: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**SAMPLE REQUEST FOR CHANGE IN PI/co-PI LETTER**

(This letter is to be written by either the outgoing PI/co-PI or the replacement PI/co-PI. It is addressed to the PI/co-PI's current chair and requires approval by the Chair, Dean and Vice President for Research.)

DATE

Dr. (Chair)  
Department ABC  
The University of Texas at Arlington

Dear Dr. (Chair):

Effective (date of intended transfer) I (or name of current PI/co-PI) plan to transfer employment to (new institution). I (or name of current PI/co-PI) am currently the PI and/or co-PI on the awards and/or pending proposals listed on the attached form: (list active awards and/or pending proposals and whether PI or co-PI status on the OGCS Grant/Contract Disposition Form). Request is hereby made that Dr. (name of replacement PI/co-PI) be designated as the replacement PI/co-PI on this or these awards or proposals. I have decided not to transfer these awards or proposals to my new institution because (justification) and have suggested Dr. (replacement) as the replacement for the following reasons. (Justification)

Sincerely,

(Name of faculty requesting transfer)

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Approved by:

\_\_\_\_\_  
(Name), Chair

\_\_\_\_\_  
Date

\_\_\_\_\_  
(Name), Dean

\_\_\_\_\_  
Date

\_\_\_\_\_  
(Name, Vice President for Research

\_\_\_\_\_  
Date

Disapprovals or exceptions: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**SAMPLE REQUEST FOR WITHDRAWAL OR TERMINATION**

(This letter is to be written by the PI who is planning to terminate employment at UTA and will not be transferring any pending proposals or active awards to a new institution, and/or will not select a replacement PI. It is addressed to the PI's current chair and requires approval by the Chair, Dean and Vice President for Research.)

DATE

Dr. (Chair)  
Department ABC  
The University of Texas at Arlington

Dear Dr. (Chair):

Effective (date of intended termination) I plan to terminate my employment at UTA. I am currently the PI on the awards and/or pending proposals listed on the attached form: (list active awards and/or pending proposals on OGCS Grant/Contract Disposition Form). I hereby request that the awards be terminated and/or proposals be withdrawn.

Sincerely,

(Name of faculty requesting transfer)

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Approved by:

\_\_\_\_\_  
(Name), Chair

\_\_\_\_\_  
Date

\_\_\_\_\_  
(Name), Dean

\_\_\_\_\_  
Date

\_\_\_\_\_  
(Name, Vice President for Research

\_\_\_\_\_  
Date

Disapprovals or exceptions: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_