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RAF Policies and Guidelines

Office of Research Administration and Finance

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Guide for Transferring Research Projects to Northeastern University

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Northeastern University

OFFICE OF RESEARCH ADMINISTRATION and FINANCE (ORAF)
Guidance for Transferring Research Projects to Northeastern University

The following information is provided for researchers transferring to Northeastern University (NU). Suggested action steps include:

1. Contact the Sponsoring Agency for their specific transfer guidelines and procedures.
2. Inform both Department and central Research Office at your former institution of transfer date.
3. Determine if the grant will be transferring to NU or being retained by the former institution (you will need to work with both your former Department and central Research Office)
4. Work with your former department and central Research Office to ensure that all appropriate expenses have been charged to the grant, complete all required paperwork to both transfer and close the grant out at former institution, including detail of any materials or equipment to be transferred.
5. Contact ORAF as soon as your appointment is finalized; we can provide advice on putting together the require transfer materials for each agency and work with you to develop a NU budget with the remaining grant funds.
6. If there are any sub-awards, contact all sub-recipients to let them know that there is an anticipated change of the prime award recipient and to anticipate the submission of a new letter of intent, scope of work and budget, as well as the issuance of a new sub-award.
7. Work with department administrative staff and ORAF pre-award contact to put together the transfer proposal materials.

For NIH (non-modular application) this will include:

- Face page;
- Copy of the Relinquishing Statement from the former institution;
- Budget pages (current and future years);
- Updated biographical sketch (for all key personnel);
- Progress report;
- Statement indicating whether the overall research plans/aims have changed from the original submission, and if so, providing updated information;
- Updated “other support” page(s), if necessary (for all key personnel, as appropriate);
- Resources page;
- Checklist page;
- Certification of IRB/IACUC approval, if applicable; and
- If the change includes the transfer of equipment purchased with grant funds, the application must include a detailed list. This list, as part of a transfer application, serves as an acceptance of title by NU.

For NIH (modular application):

- Face page;
- Copy of the Relinquishing Statement from the former institution;
- Narrative budget information, including total direct costs and F&A costs for the current budget period;
- Updated biographical sketches (for all key personnel);
- Updated “Other support” pages (for all personnel);
- Resources page;
- Checklist page; and
- If future budget periods remain, information regarding the number of modules and the basis for computing F&A costs.

NIH may request additional information in its review of the transfer request.

A change of grantee institution request should be made prior to the anticipated start date at the new organization and preferably several months in advance.

NIH does not generally transfer grant awards in the final year of the project.

For NSF:

Grant transfers are processed via Fastlane's Notifications and Requests. This process starts with the former institution's SRO (Sponsored Research Office); once the original SRO has completed their section of grant transfer (with input from the transferring PI), they will forward the grant transfer request to the new SRO. Upon e-mail notification from Fastlane, NU's SRO will work with the PI to complete the grant transfer request – generally this will involve the completion of an NU budget and certification of IRB/IACUC approval as appropriate.

See detailed instructions for a grant transfer at the Fastlane website section entitled PRINCIPAL INVESTIGATOR (PI) TRANSFER (https://www.fastlane.nsf.gov/documents/pi_transfer_1.jsp)

For Other Funding Agencies:

Transferring PIs should work with both their former institution's central Research Office and NU's ORAF for specific transfer instructions for other federal agencies and corporations/foundations.

At a minimum, the relinquishing form should contain:

- Effective date of transfer/relinquishment;
- Estimated unexpended direct and F&A cost balances from the current budget period and the projected budget(s) for any out-years;
- A statement of intent concerning the transfer of equipment;
- Progress report and any anticipated changes to the research

Please keep in mind that some agencies will not transfer research grants; in such cases, you may need to keep the research project at your former institution, have a new PI approved by the awarding agency, and have your portion of the research subawarded to NU.

Also, please keep in mind that grant transfer will take a significant amount of time to effect; please plan to work with your former institution and NU's ORAF as soon in the transfer process as possible.

Questions?
Please call ORAF at 617-373-5600 and ask for a member of the Pre-Award Team