PLEASE STAND BY FOR REALTIME CAPTIONS. >> In-N-Out :tran20 Here's What PI Transfers Are All About >> National Council of University administrators is pleased to welcome you to this presentation. In-N-Out: Here's What PI Transfers Are All About. My name is Derian and it's my pleasure to facilitate today's events. We are recording the webinar and will make an archives available within seven business days. Remitted all participant audio and video. If you have any trouble with the program, please send a message in the Q and a panel or email [Indiscernible]. This includes question-and-answer opportunities at the end. Submit a question at any time using the Q and a panel. Our presenters will answer as many questions as time allows. If you would like a copy of the presentation slides or any of the other resources, you can download them from the NCURA learning center where you logged in today. Closed captioning is now available for the live presentation. To access this feature, click on the closed captioning link in the handouts tab. Please enter your questions by clicking on the question icon on your screen and the faculty will be answering questions throughout the program . Following the webinar, from 3:35 to 4:00 p.m. Eastern time, NCURA will host and after the show for him were participants can rejoin for further questions and conversations on the webinar topic the faculty. Sign up is not necessary and we will put a link to the after show form in the chat. You can also reach out to infoattran09 .edu to join us at 3:35 p.m. Eastern. After the show is available to all webinar participants at no additional cost. If you are attending in a group, everyone watching can request a CEU certificate by writing down the verification code announced at the end of the webinar. Instructions for accessing the group CEU certificate are posted on the website page, where the main registrant in your group login today. Please make note of the verification code as it will not be available after the webinar is over. And now it is my pleasure to introduce our presenters for today. Tanya Blackwell , grants and contracts manager, Department of medicine, Duke University. Kay Gilstrap, associate director of research services , university research centers, Georgia State University, . Robyn Remotigue, Director office of research services, School of Public Health, University of North Texas health science Center at Fort Worth. At this point I will turn the program over to Tanya to get us started.

Thank you so much, Dariene. Good afternoon, everyone else. Welcome to and thank you for joining our webinar today. In-N-Out: Here's What PI Transfers Are All About. In case you're wondering , that is a little tribute . I'm a California girl and that's a tribute to In-N-Out burgers and a play on their jingle. Anyways, we are so glad that you have taken the time out of your busy work day to invest in yourselves. We are very grateful that you chose NCURA as a part of your professional development. As stated in our [Indiscernible] and purpose, we address the professional research through educational and professional development programs, the sharing of knowledge and experiences and fostering I diverse collegial and respected global community. So just for being here, by being here, you're helping us to further the mission and purposes of NCURA. Thanks for showing up . I'll start by introducing ourselves. As Darian said, my name is Tanya Blackwell and I'm a grants and contracts manager in the Department of medicine at Duke University. I have been a research administrator since 2008 and a very proud member of NCURA since 2014. Just to tell you a little bit about myself, my favorite thing about research administration is being able to help the nation's best and brightest bring their scientific inquiry and discovery to the real world in ways that make our lives better, safer and healthier. I have a bachelors degree in aerospace engineering from Georgia Tech and a Masters in research administration from Johns Hopkins. I am super honored to be here presenting with my colleagues, Robyn and Kay. Robyn? >> Thanks, Tanya. I'm not sure how to follow that up because you did such a wonderful job of introducing us, as well as the organization. Hi, everyone. I'm Robyn Remotigue, on the founding director of research services here in the School of Public Health at the University of North Texas health science Center. I have more than 25 years of experience in research administration which includes a large amount of that time spent at [Indiscernible] grant university. I am thoroughly enjoying what I do and that's the reason why I am here because I love the opportunity to share out and contribute to our profession. Early in my career, it was many of these kinds of things that I counted on to get me the information that I need to get me the context that I need, and that is what NCURA has done for me. Has provided a connection to my profession and a connection to my colleagues.

No pressure. I'm Kay Gilstrap, and I'm the associate director of research services for the university research centers at Georgia State University. I've been with Georgia State about 10 years and before that, I was at Georgia Tech. I was the research administrator for [Indiscernible] more than 25 years. And I've been a member of NCURA since 2007. Like they both said, NCURA has had tremendous impact on my career , both from a knowledge gained and from the networking and contacts that I've met. So is the best thing that's happened to my career. I think we can get started now. I think we're going to start with a pole. Yes. This is a simple pole just to let us know what area of research [Indiscernible]. Okay. Wow, look at that lady's.

We have a very nice mixture but as expected, we have mostly departmental college , center administrators here because these are , the PI price has its typically housed in the Department or the college at central level. So thank you so much for participating in our poll . All right. Of course, I'm a bit biased but I think that you chose one of the most important topics for webinar and research administration. I have worked in research administration and the department level for different institutions . And in my experience, managing the PI transfer process is pretty much falls under the other duties as assigned. . There often lacks adequate documentation and guidance about how, the ins and outs of the process. In this webinar, we will take a look and demystify the entire PI transfer process. I will talk about the PI transferring in and provide you with some guidance and tools in preparing for and managing your new incoming faculty and then Robyn and Kay will highlight what you can do to support your PIs that are transferring out of your institution . They will go into detail about specific contracts that require specific special considerations and through it all, the three of us will share how communication really impacts all of the stakeholders and sharing our tips and tricks to make it as smooth and efficient process for you. So I will begin with the incoming faculty. When I thought about this topic, I realized that what is so important because only work at a research institution, that means that they are putting in a lot of energy and effort towards attracting faculty that are going to do research. So it may be that the institution invests in housing, state of the art equipment, facilities , or they really curate a class of eager graduate students. They do all of this to pull out all the stops to attract the world's best and brightest to come to research at the institution. Understandably so, they make this investment in attracting the faculty because they know they can look forward to their experience and their expertise and their new ideas. But for the research administrator, that means that there's a lot of work that requires our time and energy and our attention. These are things that, especially nowadays, we are all, we all have a shortage of. So I will just talk about how you can help with the incoming faculty member in an efficient way and with all the grace that it deserves and requires. So I feel like what's most important is to remember that each situations is unique , and that it's really important for you to be able to know what things to look for and the questions to ask. You also have to work with people throughout different departments and areas at both of the institutions. So really going in with a collaborative mindset will help you stay sane in the process . And of course, the process is specific and unique to each situations, but developing a checklist is something that you can customize quickly and will help you standardize the process so that you are not reinventing the wheel every single time. So that's what we will be talking about today. Let's start with communication and teamwork. Communication and teamwork, of course, are very important to on boarding new faculty. Everybody has a role to play and the only way to effectively manage this massive process is to communicate and to use communication and teamwork. So one thing that you will know and be able to communicate, or should be able to know and communicate after this presentation is everybody's role in the process. So we will talk about each one of these starting with the incoming PI. Oh, I'm sorry. I forgot there's animation there. so we have incoming PI and the department staff , the previous institution and compliance. Those are all the areas, all the different players you will have, communication and teamwork with. So he will start with the incoming PI. So first and foremost, incoming PI is responsible for communicating his or her intentions . Has the PI can communicated with the previous institution and informed them of such intentions? Technically, we should never be the ones to communicate this information . The PI's intentions are not just limited to their intentions of transferring institutions . Other considerations include who and what the PI wants to bring to your institution . Sometimes the PI's want to bring equipment , samples, data or personnel with them. And sometimes they want to maintain their recruitment and enrollment status in their clinical trials. So whatever these intentions are, they need to be communicated by the PI to both institutions. But, as we know, that's in a perfect world. Sometimes, you have to seek this information and so the PI may not know what you need to know to do your job and facilitate the process. So be prepared to ask the questions to get the information and the documents that you will need. My recommendation is to schedule a meeting with the PI , especially now we can do it virtually. Or if not, you can schedule a phone call. But I find that that helps to save time down the line because you can get all the information up front and it spares you the multiple emails going back and forth of all these things. I have also experienced, I feel like they are typically very eager to work with you because they don't want to have a disruption in their research . So they want to hit the ground running, as they say, when they get to your institution. So working closely with you on the process of transferring is their key to doing so and I would recommend leveraging that eagerness to get the information that you need on the onset. So now we will talk about the departments staff and HR at the previous institution, no, at your current institution. So I know that every institution is structured differently so this may not fit across the board , but there are people outside of research and administration that you have to collaborate with when you're working with API transfer and they're on boarding process. So depending on the structure, it may be dormant part mental staff like business manager or a division administrator or your institution may call it something else but that person who does the personal aspects or it could be a human resources department. But there's information that you may need from them such as the information that's on the PI's offer letter. What is their start date , their salary, their position and their title? Are they tenure-track? Do they have tenure? All of these things, as we know, impact how we facilitate and manage the research. Is there a startup package and doesn't allocate any resources, whether it's time or equipment or funding for the incoming faculty member's research? And with or without that , you also want to know how much effort is available for their research . Does the PI meet PI status requirements and what that process looks like at your institution. So these are all questions that you will need answered as you work through the various pieces of the puzzle of transferring the PI from previous institution to yours. It's likely that you will get that information from your department or HR staff that handles that function at your university. Then, of course, you will naturally want to work with the previous institution of your incoming faculty member. So you will need a comprehensive list of their active and their pending grants, and again, you want to ensure that if all the parties are all the same page with the intentions pertaining to the transfer of those grants. So what grants will transfer to your institution and which ones will stay there . This is also a good opportunity to get a hand of these documents that are typically stored in the department. So that could be the PI's bio sketch or their current, pending and other support forms. Any of those types of routine documents that you keep on your department level . You will want to work with the previous institution to get that information . You can also request copies of NOAA's. You should request copies of the NOA's for the current grants , and then you will want to work with the central office, theirs and yours for the transfer of those grants. It's very important to remember because sometimes PI's forget that the awards are issued to the institution, and not the PI. So it's up to the institution to decide whether and they are going to transfer the grant or if it's going to stay with their institution and then they will subcontract the work out to your institution. But either decision, you are going to be instrumental in the process . So if the award is being transferred with the PI, then the old institution will have to work with the sponsor to relinquish the award , and whatever the balance is remaining on the PI's last day will be the award amount of your new transfer award. So the process can vary depending on the sponsor , but the general idea and the process are the same. Then conversely, if they decided to keep the award, then they will subcontract to your institution and typically, this starts with like basically a proposal because it's going to be considered a new award to your institution and you want to , this is going to be the way that you are going to transfer that PI's portion of the overall project to your institution. So at both the department and at the central level, I think this is also a good opportunity to get some insight into what it's like working with this particular faculty member. Because, of course, as you develop this relationship with this faculty member, you will develop your own thoughts and opinions. But there is a lot of value in getting a heads up. So this me API that's very hands on with his or her research, or there might be someone that's difficult to reach or get a response from. This type of insight can help you navigate that relationship while it's very fresh in your building it. Also planning and preparing for it, you might want to know is this a heavy hitter? Do they submit a lot of proposals? Are they last-minute or do they kind of laid low in terms of research? Those are all just ideas for helping you to prepare for this new faculty member. Last but not least, last in the presentation but not last in the process, you want to work with the compliance team . The compliance teams at both institutions. So if the PI is involved in human subject research or animal subject research, you will have to get involved with your IRB or IK CUC. Once you know the intention the PI has with the transfer of the grants, then you can start to work with the IRB and the IA CUC offices to get approvals in place and everything that needs to be established at your institution. Again, there is minimal disruption to the PI's research. How the projects are being handled will definitely influence the type of approvals that you will need in place. There may be an IAA which is an IRB authorization agreement or reliance agreement made between the previous institution and yours , or if the award is coming to your institution and there were sub awards, you may also need to work with your compliance offices to establish approvals between your institution and these now new sub awards that you have. Then also, whether or not they originally used a centralized IRB or local IRB impacts how you work through the process and the transfer. So making sure that the compliance topics are part of your transfer process is very important . Now, I will talk about in the case where they are transferring an existing award. So in my opinion, the most important document when it comes to the transferring of existing awards is the relinquishing document. This conveys that the intentions of the transfer , to transfer the project from the old institution to your institution have been effectively communicated to all parties . Most especially to the sponsor . It provides the approval to do so. It also provides all the information that you will need in order to go about receiving the award. So I just want to remind you not to forget to get the information from the old institution , the historical information from the old institution, including all of the notice of awards. This is especially important when you have a project without years because if you just got this year's and OA, you wouldn't have all of the information of what you can expect and how much was awarded for the upcoming years. That would make it more difficult to help support for faculty once they arrive at your institution. Also for preparing for your incoming awards, you want to know the current balance and then the balance that is forecasted by the end of the PI's appointment. Chances are you will be made aware of this transfer before their last day and so the balance that they have may not be what the balance is going to end up after all the expenses and salaries have posted up through their last day. It will help you plan , maybe you will have to do a no-cost extension shortly after you receive the award , or maybe you have to alert the PI as to how the budget is going to be impacted by the changes in your institutional rates and the cost of things that your institution . Because it may seem that it's small, but changes in the institutional frame and overhead rates can really impact how much the PI can spend in certain areas. So giving them this information and making sure they are aware of these differences and allow them to plan accordingly. Then, of course, as I mentioned before, you will want to have the IRB information and the documents and if there are any sub awards , if the PI had sub awardees at the previous institution, then those would have to be terminated there and then reestablished at your institution. So it's a lot of simultaneous processes that have to happen. There's a lot of information and a lot of communication that has to go on , but getting all of this information and the appropriate contacts on the front end will help you tremendously in transferring existing awards. Then what about in the case where they decide to keep the project at their previous institution ? In that case, my recommendation would be to basically treat the award as a brand-new proposal. While it may not be new to your PI, it will be new , a new award to your institution. So remember, the awards are issued to the institution. Not the PI. So if the award is going to remain at the old institution, the agreement will be amended to change the PI. This almost always requires prior approval from the sponsor, so the old institution will have to facilitate that process before they can sub award to your institution with that PI now as the sub award PI. Once that happens and it's under the direction of the new PI, then you basically will submit a proposal to the old institution to receive that PI's portion of it. So I really think it's important at this time to remember that this is now your PI and you are representing their interests . So it may be that you have to facilitate some negotiations of the budget again . It may be that they can't do the same level of work , if they don't have the same capabilities at your institution, or things cause considerably more or less at your institution. So they may have to amend the budget or the scope of work to be able to able to accommodate. Maybe they don't have their grad students that they had other old institution. So there are a lot of factors where you represent the best interest of your PI now at their previous institution . Again, it's just important to have all of these conversations up front because we don't want there to be any surprises for anybody . This process, as we know, can be very exhausting in and of itself. It requires a lot of keeping track of different things and so , as we mentioned a couple of times, I think that a checklist is a really useful tool to help you go through this process. So we have an example of a checklist and this is one that we use at Duke University for a PI that's transferring to Duke. I won't grow into great detail with it , but I think it's a great way to demonstrate the different types of information that you will need and the questions that you will want to be prepared to ask. >> We had a question, but I think this is one that we can address after the show.

Okay, perfect.

It's about relinquishing statement about how long it takes and as with everything in this department and research administration, it depends. So that's a conversation.

Exactly.

Also, tenure, just for the audience, your checklist is going to be provided as a supplemental material to the audience . So they will get that information at the end.

Awesome. So we are not going over it now?

No.

Oh, okay.

Yeah, we will give that to them as a supplemental document and then after the show as well , if they want to discuss that, then we can go into details with that as well.

Perfect. Thank you, Robyn. I got a little confused about that so I apologize, everybody . They will be providing a checklist and I did highlight some of the parts of the checklist of that align with some of the points that I brought up in the previous slides with regards to information that you will want to get from your PI and the previous institution in preparing you for the transfer of your faculty member into your institution specifically, when they are transferring their grants. Again, the grants or the contracts are staying at the old institution then essentially you just treat it like you do any other preaward process. So if you have questions after you received it, then please come to the after the show and we can talk some more in detail about it. With that, before I hand it off to Robyn, I just wanted to remind you of a few things. So while you are talking with your PI about their active and pending projects, you also want to inquire about any of their upcoming proposal submissions. This happened to us recently where we had a PI coming in and he wanted to apply for three grants before his actual start date. That was a very good information for us to have because we had to figure out how to work with, transferring his current grants as fig figuring out how to submit with new grants and all the ins and outs that we had to do in advance of his actual start date at our institution. So just prepay prepared for the fact that they may want to hit the ground running or they may be transferring at a time where it's not really feasible to wait until they are at your institution to do the proposals. So you will want to really get that information on the front and make sure that you have there PI status at your institution . In some cases, like at Duke, a PI cannot submit until they have this PI status established. That requires partnering with the department and the business staff there. So again, it's a lot of collaboration, a lot of communication and getting things as quickly and early as possible. Then you also want to review the PI's eRA Commons account. Make sure they have their affiliation set up correctly with your institution, especially if they plan to submit to the NIH. You will want to save yourself the time and have that set up before they even come to your institution . Then I think it warrants saying that this process is and can be also daunting for the PI's. Essentially, they are the new kid, right? So this is your chance to familiarize the PI with your institutional practices and set them up for success at your institution. So what are the relevant research offices at your institution and what are their acronyms and what do they mean and what do they do? Because as we have established, this can vary from institution to institution. When I worked at children's , we had the office of research administration which served as the departmental research administration team . And here at Duke, the office of research administration is actually our central office that has the authorized official signature and all of that. So there's a disconnect there. Then they are basically the equivalent of what was our office sponsored program at [Indiscernible]. So understanding for the PI's can be very difficult for them to know the difference between their previous institution and yours, and who are there key contacts for doing what parts of their research process at your institution. So this is a good opportunity for you to aid them and give them that information. You also want to make sure that they know what systems your institution uses and what roles they have within those systems. For example, at Duke, they have PI attestation process that is embedded in our sponsored project system that not met our proposals. So if they are not aware that everything will stop until they have completed their PI attestation because they didn't have that process of their previous institution, things can be unnecessarily delayed. So you want to let them know what automated or routine notifications they can expect, what they should be on the lookout for and what will require their attention and their response. So I think that giving them this inside scoop will not only be beneficial to them , but will help save you time by making sure they know how to navigate your institution and hopefully , fingers crossed, prevents them from doing things that create unnecessary cleanup with things you've done incorrectly on your end. Through it all, you just want to work proactively to be a good partner to both your incoming faculty member and the old institution. This is a chance to build rapport with your new faculty member , as well as others in the profession because you never know, they could be your next Coke presenter at NCURA. So it's very important that you take this opportunity to build this rapport with people and also you can protect yourself professionally by using this time to set appropriate boundaries and establish your communication needs and preferences, while learning those of your incoming faculty. So I will leave you with this slide because I think it really captures a lot of the important aspects of building rapport and they are good reminders, especially when we are dealing with what could be a very stressful process . So you will want to cop P go by their names which they want. You have some PI's who are very particular and definitely demand and expect that you call them Dr. so and so. Rightfully so, they have learned that credential. Then you have others that prefer you call them by your first name or it could be a different name altogether. So you want to make sure you have that information just to make sure that you start out on the right foot with them. Then you want to listen actively, ask questions , but more importantly, show empathy because we are all human and that can manifest and show up in a lot of ways. So you can do this by finding common ground and remembering and reminding yourselves and each other that we all want the same thing. So following their lead will also help make sure that you move through things at the right speed . And above all else, I would say that if you show up a true and genuine to who you are , and you ensure that you build that rapport on a solid foundation, that is sustainable . That's all I have for now . Are there any questions for me before I pass it over to Robyn and Kay? All right. Now Robyn and Kay will talk about the faculty exit process. >> Before we do that, there's a poll about what you just presented on. So if you will all participate in the poll and I will see what everyone voted. 9 the details that you provided, tenure. Which of the following is needed for transferring grants to your institution for a new faculty member? Yes. As Tanya mentioned, relinquishment letter and that was in her opinion the most important thing that all of the above will help for a smoother transition. So now let's talk about the faculty exit process. As we know, when you start with faculty , when you find out that they are leaving, that's key. So your first notice of departure which is what we are going to talk about. So the first thing is to get a list of projects. If you have been working with them then you should already have that. But you need to know everything that they have going on at the moment. You need to know who they are paying and then you're going to need to know who they are planning to take with them and who they are not. So then you are involving [Indiscernible], which we will talk about later. Then cease spending on the associated projects. That's always a fun conversation to have with your PI's about you have to stop spending. When do you want them to do that. If they are subawards, on their grants, that's going to take longer because you have to wait until they close so that they can send you their final invoice. Of course, they have to be alerted. If it's a very simple grant that just has the faculty salary and maybe a postdoc salary, then you can easily plan for that because they are going to be paid through whatever their last day is. But having that conversation is very important and when you're working with wet labs which a lot of my research centers are wet labs, there's always unexpected things that come up. Including when I had someone leave then we were getting invoices after they left for things that they had purchased. So it's planning for the unexpected, which is not the easiest thing to do. So all of that involves communication. 's are talking about communication , about who do you talk to . The key in working with faculty is they need to understand what is required of them. So when they let you know , which I've had people let me know six months ahead of time which is terrific. I've had people let me know one month ahead of time which is also terrific. But it also had somebody leave my sending an email to the chair two days before they left. That was very interesting, but we are talking about exiting. So if you have six months, then your golden. If you have a month, then you have a lot of work to do and a lot of people to talk to. So the first thing that you do is you obtain contact information for their new institution. It's great if they can give you your counterpart. So if you're in the department and you're working with [Indiscernible] department , or if not, somebody in the central office or whomever that they have already been talking to. Chances are, they have already been talking to someone. Sometimes they give you the chair's name which is interesting. So hi, I need to know who I need to talk to. But get their contact information for where they are going. Then you're going to have to notify your institution stakeholders. Your central office needs to know, hey, this faculty members leaving. He has this list of grants and this is what is happening. Other people in the department. So if you are a director, then you have to work directly with them not that need to know and you say you tell everybody. Whoever it is in the department needs to know. HR because obviously if they have people that they are paying, then that is going to have a huge impact. It also impacts graduate students. At Georgia State, our students are not hired through HR. They are hired through the graduate student office and if they are undergrads, they are hired through a different student office. So you need to let them know. Then of course if there's faculty, if they are subject matter expert that has faculty that report to them and they are taking this faculty with them, then your faculty affairs office or whatever it is that grants the institution will need to know because at Georgia State, faculty are not hired by HR but staff. Everybody else's. So talking about , let's talk about the current awards. When you're looking at the current awards, you need to determine which are active and how long they're going to be active. If they transfer them , how long they will be active after their term date. So if they're going to be active for one month and there's not enough money to ask for accost extension, does it make sense to transfer that grant? Probably not. You're probably going to have a conversation with the PI about that because you will want to take everything even if it's only a month. But if there's enough money that they ask for accost extension, then you're going to get into some other communication with the institution they are going to because they will have to get it there and ask for a cost eccentric. And not at which we'll go into more detail but the statement has to be received and approved by HR before it can be returned. You need to discuss the faculty intentions. What do they want to take with them ? If they have a co-PI at the institution, maybe they decided to leave it with the co-PI and then just sub to the new institution. So you need to find out what they would like to do. Then you have to get the approvals. So the chair has to approve , the Dean if you're in a college may have to approve. I'm in the University research center so our vice president would have to approve. [Indiscernible] so there's a level of approvals or just because they decided they want to do with it doesn't mean that's necessarily what's going to happen. So they need to understand that. Then there's eligibility of an award transfer per sponsor poly species. Many years ago, the American heart Association would not transfer a grant when the PI left. With the PI left, you had to return the funds. So it all depends on the sponsor. What are their policies . Private, if it's a contract, then what are the policies? What are the terms and conditions within that policy? In your notice of award. Weather is a copy of a contract or copy of a notice of award or whatever it is you need to understand the sponsor policies about what can transfer and what cannot. So Robyn will not talk to us about [Indiscernible].

Thanks, Kay. We are going to talk about some key items required of the PI. As we talked about, the award and tenure emphasize this a very well that the award is made to the institution and not the PI. As much as they like to think that they are the key person on that person which they are, and as much as they would like to think that it was made to them, yes, their expertise is needed but the award was made to the institution. So you do need to seek approval from department chair or your Dean regarding the transfer of the award. Just making sure that everyone is okay. That indeed this project and the PI will transfer it out and take it with them. So this approval is needed. Then you need approval from the new institution to accept the new award, the award transfer. Why is this important? It's an important step because depending on the type of the award being transferred, there could be any number of things involved with this award project. For this project. So, for example, if it's a class not that project, does that institution were the PI's going, can accept a classified project? Do they have the facilities to maintain people? All the stuff that goes along with accepting a classified project. If it requires a lab facility? You would hope that the faculty member took the opportunity to discuss this during that whole acceptance., But do they have a lab? So just making sure that the new institution is on board with accepting that new award transfer. And then the point of contact as we have mentioned from the new institution. Got to make sure and I typically look most research administrators, I will copy several different people on the email to make sure that one of those folks is the right person for me to be talking to. So let's talk about those approvals. Once the approvals are secured, what's next? In some cases, you are going to need to loop in the PI, the PI's department to help for a smooth communication process. You are going to need to seek assistance from the central office to relinquish the grant or contract, but always looking in that PI to making sure they are engaged through the whole process and that there are no surprises on their part and that they truly understand what is happening. Also, remembering is as reached church administrators, we are also advocates during the process. We are advocates for the PI and we are advocates for the institution. We do a lot of communication with everyone. Then you're going to make that initial contact with the new institution. So let's talk about what happens if the award is not transferred and that can happen if it is not transferred. In this particular situation, the PI still coordinates with the department chair and the Dean for a replacement PI. Again, keeping in mind that the award is made to the institution. Then the sponsor approval is required for the PI change. This is important because you want to keep in mind, again while the award is made to the institution, there may be certain circumstances where the expertise is critical to the mission of the project . And it may be just the fact that the PI holds the expertise that is critical to making sure this project is carried out and done as it needs to be done. So sometimes the funding agency is very key and helping to make those determinations because say, for example, if the department chair says no, I really want to keep this project here because we have had several students on it. We've had this involved in it and it's done this for our institution, well, that's all well and good. However, the agency, the funding agency may not see the same thing and then they want the project to switch and go over, make the change and move over with the faculty member whose transferring. So in that particular case, as my colleagues have mentioned, there may be subawards that will be needed for a PI to continue work. If the project is not going to be transferred. So again, as we mentioned, communication early on in the process to understand all the key elements that will be taking place. Now, Kay, you will move on and talk to us a bit about financials, correct?

Yes. So financials . As a departmental award person, this is my favorite topic. The departmental post award person needs to coordinate with central office to certify expenditures. So what do we mean by certify expenditures? Of course there's effort that the faculty will have to certify depending on how your institution handles it. But even if you do it annually, they will need to certify or confirm before they leave of whomever was paid on that particular project for that time.. Again, when should spending sees? As I mentioned before, if you have subcontracted [Indiscernible] , if you had biweekly employees then they will be on that biweekly timesheet and then that payment occurs. If they are waiting on a travel reimbursement, depending on your institution, you may make travel reimbursements in a week or three months. It depends on where you are.

Hours tends to not be a week. So I tend to call in our troubled person and say look . I really need this because this person is leaving and we need this within a month , whatever month it is they're leaving. We need it now. Were by this time. And then if they have ongoing gas cylinder rentals that need to be stopped . Whoever handles that part of it and how it's ordered. That needs to be stopped. If they have a [Indiscernible] for their project, some institutions allow that, then I would recommend taking their [Indiscernible] card away immediately. That's just my recommendation. Again the PI's may not like that, but P card spending can really, especially if they slip into allowable costs which I'm not accusing faculty of doing that on purpose because I don't think they do. But a lot of times when there's an allowable cost, it's because they're just not aware. But when they are moving, if they decide I'm moving this project, and everything is going with it, so I will by shipping supplies and charge it to my P card so it will default to this grant because they are moving it, that's an allowable cost. So those are things to be aware of. You want to make sure your accounts are reconciled. We all know best practices to do it monthly and some institutions require it and some don't. But whatever your institution does, you need to make sure before they leave that everything is reconciled so that you know that everything on their is where it should be, is allowable and [Indiscernible]. So the financial reports are completed. Central office completes at our institution, submits the final financial reports, but we have a process at our institution to get them ready for that. So a checklist of what has to be done. What's ready. What outstanding not that we are expecting. And then awards. So once the awards are closed out and the final FFR is submitted then you can submit the relinquishing statement which again is done by your central office. Then the central office , when they relinquish statement gets to the sponsoring agency , it all depends which we will talk about. We will talk about that but want to make sure we get through everything. We will talk about that . So we talk about financials and we talked for proposals. If they have pending proposals, what you do with them? That I have found to be again, because I'm a [Indiscernible] person, proposals can be challenging when they have been submitted and it's been around the nine month period and a lot of agencies are already reviewing them or getting ready to review them and that kind of thing. So you have to know and talk to your PI about, do you want to withdraw it and then resubmit it from your new institution at the next date? If it's NIH or NSF it has a different deadline or any of the definite deadlines. We would have to wait until the next deadline. Or because you cannot , so I will share an example. We had a faculty member that moved to our institution. She had an outstanding proposal, but instead of her previous institution notifying NIH that she was leaving, they went ahead and accepted the proposal. As an award because the award notice was received and they accepted it. Then he were trying to push it and NIH was not happy at all. Don't do that. Don't accept a proposal when you know that they are not going to be there anymore. That's one tip that I have for you. So effort reporting. I briefly talked about effort reporting. It's coordinating the efforts or medication that I mentioned if you do it quarterly . If you do it monthly, if you do it annually. However you do it , it still has to be done prior to their leaving because it has to be firsthand knowledge and no one will know better than that PI. Even if they transfer the grant to other PI's that your seems institution. So the grant is not leaving. That PI still needs to certify their effort even if they don't have to certify other people who will continue working on there. but anyone who's leaving and that needs to be certified. And you want to confer with your central office that all the certifications have been completed. So that you're in communication with them so that nothing falls through the cracks. Because the worst thing is after they have left, it's not a priority for a PI to go back to their previous institution to certify anything. So just a tip on that. Then data management. So depending on what type of research that your faculty member is doing, as Robyn mentioned, if it's classified research, what happens to that data? So you need to understand and identify how data is to be stored . If it can transfer to the other institution. If it does, what is needed and make sure your faculty member is aware of what is needed. If you do retain it, then it needs to be stored in secure place that has easy access. Back in the old days when it was in filing cabinets, that was a little more difficult to do than it is now that most everything is digital. In our digital world, and makes storing data in a secure place with access much easier than who has the keys. So what was worse when it was locked in a room and then the filing cabinet was locked and no one had a key to the filing cabinet. It took our facilities plenty of time to pop the lockout so we could get to it. So know where your access needs to be. Than equipment. You need to know what your terms and conditions say regarding equipment. As far as who retains [Indiscernible]. Typically it's the institution. So depending on what it is, it is your chair and your Dean were going to allow that to be transferred or if it's transferred, it has to be purchased. Then you have to give the funds back to the agency. You can't make a profit off of it. So you need to find out what the list of equipment is related to the PI's projects and that were purchased by the PI. And you need to refer to the awards is to determine the disposition. Again, look at the terms and conditions of what did they say about what can be transferred and what can't and who retains title and how you can dispose of the equipment. Typically, if it's NIH or NSF, especially in NIH if you purchase equipment with those funding and you have other people that can use it that have federal funding, it's fine to leave it there. What you need to know that for sure. If it's being transferred with the PI, so you have to determine what the fair market value is and how to do that. Then the institution needs to purchase it . Then shipping charges. You don't want to forget how much it costs to ship something, especially when we are talking about something that maybe is equipment that has to be in special packaging and that kind of thing. So you need to know what those are and you need to know your institutional policy. Georgia state, they consider anything over $3000 equipment even though we all nod back $5000. Is an ongoing better. I will tell you about it later. So the $3000, I had a faculty member that purchased a laptop with his sponsor funds , two years before he left. It cost $3100. So he asked me if he could take it. I wasn't thinking, I didn't check Georgia state. I had no idea that they thought equipment was anything less than 5000, so I said yes, you can take it. Our first inventory came around and they said you will have to ask for that back. I said okay. So I had to ask for it back. That was a mess and somewhat embarrassing. So know what your institutional policies are about that for equipment. Hopefully, your institution does with the federal government says. Then what are some other items to consider? So human subjects. If it's transferring and do they take the human subject data with them? If they do, how do they transfer it? If they have signed documents, I don't know what they are called. Saying you can use their information. Do those go with them? If they do, how is it shipped? Animals. You may think because your PI works with animals all the time that they know the rules. I have a PI in the past who just shipped his animals by U.P.S. and they all died in transit. So he lost all of that data and all of that. They had been breeding these mice for years and so they lost all of it. It was just gone. Plus, they didn't do it appropriately because as you all know, there is plenty of rules and laws about how to manage animals and how you treat them and how you transport them. So make sure that they know that you can't just load them on U.P.S. And biosafety. What are those records? Where are they? Are they transferring anything that is sensitive? What kind of close to they have? Intellectual property. Most institutions believe or there are policies that intellectual property resides with the institution. So that something that the PI will have to have discussions about with not only is Dean and his chair, but depending on how far it goes up to an office that manages your intellectual property. Then lab inspections. If they are leaving and they are leaving a lot of their equipment and that kind of thing, you need to have the lab inspected. I would also recommend having them inspected before they actually leave and then after they leave, so you know everything is the way it should be and that nothing is a hazard for whomever will move into that lab next. So I think I have covered everything on our slides. We have a third bowl about when a faculty member exits . It will be up in just a moment if you all could participate again. Which of the following is not necessary for transferring grants to your institution for a new faculty member? Will give you about a minute or so. Are we ready for the results? Graduate student names. Transfer for a new faculty member, graduate student names are not necessary. So thank you everyone. You guys are rock stars. Robyn will now talk about material transfer agreements and [Indiscernible] interest documents.

Thank you, okay. So colleagues, the first thing I want to mention before I start talking about MTAs is that we are not going to get a deep dive into these topics about MTAs, MTAs, confidentiality agreements and such because there are in-depth and [Indiscernible] sessions on MTAs including a plethora of information out there on YouTube Tuesdays. So the YouTube to say has a wonderful library and if you really want to delve into these topics that I'm about to talk about a little bit further, then these YouTube Tuesdays are really the best including providing them to your faculty members as quick little links to give them tips about it. So again, for purposes of today, we will touch on the MTAs to provide you with something to think about . Additionally, if you are unsure about this process completely after we have talked about it today, I want to encourage you to find your appropriate point of contact that your institution who can tell you a little bit more about the process and how it works at your institution. I guess that would go for anything that was discussed today if you're unsure about something. Reach out to your folks in your central office and make that connection and get them to help you get pointed in the right direction. So for material transfer agreements , and MTA is a legal contract to facilitate the exchange of materials and associated data between researchers , as well as to protect the interests of the researchers and their institutions. So think about that. It's exchange of information and it provides protection. You have receiving , you have MTAs that handle both receiving, which is incoming materials , or you have ascending which handles the outgoing materials that require and MTA. Again, understanding who handles what at your institution is really important because some institutions operate differently with regards to incoming and outgoing. It has a different set of stakeholders that are involved. I encourage you to find that out. Let's talk next a little bit about why are MTAs important? They are important , as I mentioned, it protects the providing institution from any potential liability and may restrict the use and further distribution of materials. And also gives providers certain rights to the results of the research in which the material or information is to be used. So you can think of it that MTAs offer specific and clear guidance as far as whether , regardless of whether the materials are incoming or outgoing, it's going to provide you with specific, clear guidance. I have an example here on the next slide . I will talk about this true example for me. It happened here at our school, public health, where we had a PI leaving and they were planning to bring saliva samples necessary to continue the work on a funded research project. Now, colleagues, this is a really good example of everything that we have been talking about today about communication early on in the process, and really knowing it all and having no surprises . Unfortunately, in this particular case, this was a surprise. Happened and it actually happened during our faculty lab exit process where we were doing the closeout of the lab and the faculty member informed us that they wanted to take their saliva samples with them. Well, it got a little more interesting because who's going to pay for this? Good question, right? Who is going to pay for the cost of any associated costs with the saliva samples leaving our institution and was the other institution prepared and aware that the faculty member was going to bring those with them? The answer is , no. The other institution, the new institution was not aware that the faculty member had them. We were unaware and these saliva samples also required special handling . You can just package them up like case faculty member with the animals and U.P.S. These saliva samples have to be packaged in a certain way. Refrigerated. Dry ice. The whole nine yards. But the key thing was his who was going to pay for that? If you are fortunate, as Kay said and you have maybe six months which is a long time to prepare for somebody leaving. I would welcome that. But if you have a lot of time, these are things that you can discuss with a faculty member because hopefully, they have had conversations with the institution where they are going. Is this something that could be in their startup package to help them cover those costs? So hopefully the PI has made arrangements with the new institution and I will spare you all the details with this. But it was quite messy. The end result, the faculty member ended up being able to take the saliva samples. In addition to that institution agreeing to it, they had to have a place to put them. And it required special refrigeration. So all those are associated costs that need to be well thought out.

Robyn, real quick, we have a question that I think might be quick to answer here, but is that not discussed during the exit process of the PI leaving? The exit portion?

You know that's a good question. Today, our colleagues will get a copy of the faculty exit checklist, and that is absolutely not brought up in the entire discussion. I am baffled and totally unaware why even the questions were asked. It was not mentioned. So I have no answer as to why that happened, but we do have a faculty exit checklist and the colleagues here will receive that to see the kinds of things that we ask and that are involved in our lab exit process. But it's caused a lot more delving into look at the actual research project to see what's been done over time. So we do a little more preparation before we actually get into the exit now. That's a good question. Thank you. So other items to consider with MTAs. Again, we talked about discussions should take place early to understand the PI's intentions of taking any material. Also, what is being taken and is it actually associated with the project? All of these items should be discussed with the PI in planning for the transfer at a project. You want to start early for the process. Again, who is covering those costs? And getting up front approval of charges is highly encouraged. Who is making arrangements for the shipment? I mean, that takes personnel. That takes somebody actually, and well , because unfortunately with the timing, and not to get back into the [Indiscernible] of all that but in this particular situation, we had the PI that left. He left before we were even really finished. So that added a whole other layer of kind of mess. And plan for materials once received. So if you are the recipient of materials that are coming in , are there any special storage requirements and are you prepared? Right. Somebody just put in the chat, I think everybody can see this. You also have to check with the IRB and subject releases to know if the sample can be taken. Very good point. Yeah, all that was checked with us as well. I think the greatest shock was that the unknowing that the saliva samples were being taken. Okay. Let's talk about nondisclosure agreements , otherwise known as NDAs. Other names for the , it's a memorandum of understanding is what we hear. MW. Confidential disclosure agreement, CDA's. Or proprietary information agreement. PI case. So let's talk now about what are NDAs. What are NDAs ? It's a contract between at least two parties which outlines confidential materials or knowledge the parties wish to share with one another for certain purposes , but wish to restrict from generalized use. It also provides again protection of nonpublic information . Nondisclosure agreements, they can be mutual or one-way . What do we mean by that? Mutual means that both parties will be disclosing and sharing information with each other. So it's mutual. It's both ways. Whereas one way , it means just that. Is just one party will be sharing the information. So regardless , it's a protection event. Nonpublic information and it's a contractual arrangement between both parties. So I believe now, 10 yeah and okay, we will launch into our fourth poll. Kay, do you want to tell us about that pool?

Sure. So this poll is going to ask which of the following are not considered an NDA? So Robyn just went through NDAs and what you can call them. She talked about MTAs. A few more minutes. Or not minutes, a few more seconds. Okay. MTA. Yes. When you have access to this presentation , you will see that a material transfer agreement is different from a nondisclosure agreement which is also a memorandum of understanding and the CDA and PIA. Thank you, everyone.

All right. Moving on . What I have done here for myself is just provided you guys , or not for myself but for all of you , just a reminder to create a checklist and 10 yeah has when that she's sharing. This is when I'm sharing. This is the upper snapshot of the checklist that we use for outgoing faculty exit transfer checklist. You will get the more completed version that will be shared with you and I want to say that I cannot take any credit at all for this tracklist. I need to give credit to a lot of my esteemed colleagues because when I, as I mentioned to you all, I'm the founding director here in the School of Public Health and one of the first things that I had to do when realizing, first of all, a faculty member left and I was totally and completely unaware. So that communication , as we all talked about, was really important for me to begin and development with the Dean. So I went right to the Dean and the department chairs and said, when you know somebody is leaving and they have research , my team is the first team or our team, office of research services is the first place that needs to know so we can help make arrangements. Because before that time, it was just really chaos. It was chaos. We had laptops leaving. We had an audit and then the state auditor came in and they wanted to know where the laptop was. And the laptop was in the middle of the Metroplex with the PI that used to be here. They said they were borrowing at it temporarily and then bring it back. I'm sure I'm not saying anything that y'all haven't heard before. I'm sure. A lot of times I've heard many scenarios. For me, type a personality as we have to get a handle on this and we need a very organized process. So I used collaborative , [Indiscernible] collaborate and say on the departmental side and even on the academic, medical side, I'm looking for ideas, suggestions. Please share with me what you are doing. So I got a lot of great feedback and a lot of great comments, and I took it and pieced it together and came up with the document that I thought would work. Not only did I work with my team on the document, but we ran it through our central office and shared it with the central office to say, hey, what am I not thinking about? What else should we be including here? Because at the end of the day, I just wanted a very organized process so that we knew what was going on. I didn't like all those surprises. With that being said, I just want to make sure that I give credit to all my wonderful [Indiscernible] colleagues out there so if you are one of them, thank you for sharing your information with me and my team. So Tanya, I think you will move us into the next slide with some great final words?

Thank you, Kay and Robyn and everybody. I think that this was a very heavy topic that was covered in a short period of time. Ultimately, I think the lesson learned here in our final words are that it really requires communication . This entire process revolves around effective communication and partnership and being a part of it. NCURA is a great opportunity to practice these skills, developing , working with your colleagues through NCURA helps to facilitate that process of asking those questions and being proactive in your communications with your colleagues at other institutions. Because whether you are managing the faculty coming in, as I talked about, or facilitating the faculty transferring out, like Kay and Robyn talked about, we have to communicate with each other. Because at the end of the day, we are the ones that make it all happen. So outside of that, I don't have anything else to share. Kay , Robyn?

I was going to say Tanya, you brought up a good point about the fact that just knowing who those points of contact are at the institutions, it's interesting because you never know who you're going to be reaching out to and it could be one of those NCURA con leagues which is really helpful in the process of the whole faculty transferring in or out. I think everyone would agree that it is helpful when you have that NCURA connection. You don't have to halve the connection but it is helpful when you can recognize a name. When you see somebody and you recognize a person in the email. Like I know them . It's going to be great. It will be a great working process.

Right. I would also reiterate that when faculty leave , it's knowing who on your campus to talk to because it's going to involve so many different offices, if they have hired people , it could be the graduate student office, undergrad office. The faculty affairs office and then HR . Capital assets. Everybody has some kind of capital assets office. [Indiscernible] any of those protocols . They need to be made aware and then of course central office. It's not just by the way, this is happening. This is happening. What do you need? And then going and making sure that you provide to them what they need. That's why six months is helpful. I've only had six months one time, Robyn. Full disclosure.

I'm glad you brought up what you said too because our central office has an offboard questionnaire. So you will see that in our faculty exit checklist that I'm providing to you all, there's also a link and we make sure that they get the link and an email to answer the central office offboard questionnaire , just to make sure. And that sort of triggers all those different points of contact 2K, like you mentioned. All those compliance kinds of things.

Right. >> I want to reiterate Robyn's point because a lot of times, especially if you get involved in research , development at your institution, there may not be existing checklists or things that you can use, but you may be responsible for putting together that process . So leverage your NCURA contacts. Go to collaborate when you go to conferences and you talk to people and you get their contact information. Remember, I was at this workshop and this person facilitated this process at their institution and reached back out . Because, as we know, NCURA is collaborative and it's all about networking. So you don't have to reinvent the wheel . There's a wealth of information and resources out there we share amongst ourselves. This is my checklist and nobody else can use it. We want everybody to be successful because we never know who we are going to end up working with or working for . So just keep in mind that you have resources , even if there aren't any readily available at your institution , you have them available through NCURA.

Right. So Tanya, you said resource and it made me think about on the NCURA website, there is a place now that you can go for resources . It's like your resource library, so to speak. I know they NCURA staff engages a lot with people all over universities all over him a globally, to get them to actively contribute to this resource library. So that's another place. So we have a lot of good places to go to.

Definitely.

Do we have any other questions from the audience?

That we can answer quickly before we move over?

How much time do we have? We have six minutes. >> We can go ahead and talk about the relinquishing question . The question was, what is the average time? We will go bye-bye track record because the last person I had, it took over a year to get everything relinquished. But the problem was she was asking her program grants management office for a carryover fund, which by the time we got involved, it was nine months into it and so I'm looking at everything and it dawned on me, she wasn't calling it relinquishing funds. The relinquished funds. She was calling it carryforward. So when I reached back out and said you're talking about relinquished funds and they were like, oh, we thought we already did that and they hadn't for one of them. The other one, they had six months before but there was just a mess up. [Indiscernible] so we were able to get it and no cost extensions. So knowing the right verbiage is very important , as far as getting the relinquishing statement. I have also, when we were having people transfer in, asked for copies of those relinquishing statements. Especially when it's from the institution that's used to doing this, it's something they do pretty frequently. She happened to come from [Indiscernible] that they had never done it before. They had only five people there, five PI's at their entire's institution who did research. So they didn't really understand the process. So by her providing me with the contact information, I reached out to them and we talked through it. I explained what I needed. But then that person left after a month or so after that. So then it was following back up and figuring out who to talk to. So the relinquishing statement, in general, can take I guess 3 to 6 months. You don't want to go by my record.

As a general rule of thumb I agree with you, okay. I would say at least at a minimum, three months. Because of any kind of surprises that could happen in between there. I think that just less of faculty member know that it's not going to happen overnight. It just doesn't happen. I like the fact, Tanya, that you brought up earlier that engaging with the faculty member , even prior to them coming and landing at the institution, is so important because it establishes that rapport . It really touches on that whole slide that you have there with all the different communications. But it really does establish your rapport . What it does during that time is it helps them understand that, hey, you are going to be needed for this whole process. While we like to think as research administrators, we can make magic happen because some people think we can, we need a lot of collaboration to help all this get processed.

Right. So I think with that, we can start with the closing and the transition.

Thank you and with that we will conclude today's webinar. On behalf of the national Council of University research administrators, thank you for your participation in today's event and a special thank you to our speakers. If you would like a copy of the presentation slides, you can download them using the same link used to log in. The recording of today's program will be available on the NCURA online Learning Center within seven business days. We would like to get some feedback from you on today's presentation. You can access the survey on the same page where

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[Event Concluded]