

PI Transfers – Past, Present, and Future (NIH)

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OUTGOING INSTITUTION (OI)

Most NIH Awards are allowed to be transferred to new institutions with NIH prior approval. An Institution may opt to propose a new PI and keep an award instead of transferring when the PI of an award is moving to a new institution. Award close-out after an award is relinquished follows the same rules as an award that terminates as planned. Awards such as fellowships and career development awards cannot change PIs.

CONSIDERATIONS

1. IS THE AWARD ELIGIBLE FOR TRANSFER?
2. WILL WE BE TRANSFERRING EQUIPMENT?
3. IS THE CURRENT BUDGET PERIOD ENDING SOON? SHOULD WE WAIT?
4. WHAT NEEDS TO BE DONE TO CLOSE OUT?

WHAT'S THE HOLD UP?!



A RELINQUISHING STATEMENT IS ONLY AN ESTIMATE. OUR AWARD IS NOT REDUCED WHEN IT IS SUBMITTED TO NIH. ACTUAL AMOUNT RELINQUISHED IS BASED ON THE FEDERAL FINANCIAL REPORT FILED BY CONTRACTS AND GRANTS ACCOUNTING

BASED ON FEDERAL UNIFORM GUIDANCE, WE WILL HAVE UP TO 120 DAYS TO SUBMIT A FINAL FFR. UNTIL THAT HAPPENS, THE UNOBLIGATED BALANCE WILL NOT TRANSFER TO THE NEW INSTITUTION.



Outgoing Tasks

Months to/from target

Incoming Tasks

PI Notify CSS of planned transfer	6	
Dean/Chair Approve transfer	5	PI Notify CSS of incoming award
Estimate unobligated balance	4	Prepare budget with OI unobligated balance
Relinquish via eRA Commons to NIH	3	CSS Route Phoebe proposal to SPO
	2	SPO Submit proposal to NIH
Award modified to Expire in PAS	1	Fund Advance expenditures with Department approval (Optional)
	Target Start Date	
	1	NIH Issues Notice of Award
	2	Award Set up by SPO
Close-out award officially with FFR	3	
	4	
Wrap up with NIH acceptance of FFR	5	
	6	SPO Modify award to incorporate OI unobligated balance

NEW INSTITUTION (NI)

Incoming transfer awards to UC Berkeley are considered new projects, which have the same administrative requirements as any new proposal. SPO must have a Phoebe proposal record 5 days in advance of target submission to NIH, in accordance with the Vice Chancellor for Research's proposal policy. All compliance checks are also required including Conflict of Interest, IRB, and IACUC approval.

CONSIDERATIONS

1. HAS PI ACCEPTED A POSITION AT BERKELEY?
2. WAS THE ORIGINAL BUDGET MODULAR?
3. WILL WE NEED MORE FUNDS TO ACCOMMODATE UCB F&A RATE?
4. WILL WE BE SUBAWARDING BACK TO THE OUTGOING INSTITUTION?

WHAT'S THE HOLD UP?!

NEW FACULTY MEMBERS AT BERKELEY WILL NOT HAVE A BERKELEY EMAIL, A CALNET ID, OR A RECORD IN PHOEBE. CSS SHOULD WORK WITH HR AND PHOEBE HELP TO GET NEW INDIVIDUALS SET UP BEFORE THEY ARRIVE



ANNIVERSARY TRANSFERS CAN MOVE MORE QUICKLY BECAUSE THE NEW INSTITUTION CAN BUILD A BUDGET BASED ON FUNDING THAT IS ANTICIPATED FOR THE FOLLOWING BUDGET PERIOD.