BOSTON UNIVERSITY

11/16/2022

PI Transfer to BU
Best Practices

Background and Purpose

Grants/Contracts are awarded to the institution on behalf of a Principal Investigator (PI). The PI has full responsibility for the oversight of a sponsored project, including the design, development and implementation of the technical plan; as well as all administrative aspects, and financial and non-financial compliance aspects of the project. Additionally, the PI is fully responsible for the academic quality of the project and for ensuring compliance with the terms, conditions, and policies of the sponsor and the university.

If a PI is transferring from another institution to BU, the former institution's office of sponsored research will work with the PI/DA/SA on the information regarding the transfer of their awards. Although exceptions may apply, normally, grants are relinquished to the new institution when a PI transfers.

The awarding agency, or sponsor, must give prior approval for all grant/contract transfers.

Documentation

The incoming PI must work with the BU department administrator/school administrator (DA/SA) to create a list, for internal purposes, of transferring projects. A list of transferring projects, and other backup documentation, containing the following information should be collected and sent to the SP Pre-Award RA as soon as it's available:

- Letter of Appointment which documents their start date at BU or other form of confirmation of PI start date (i.e. email from Dept. Chair)
- The name of the old institution, including contact information of their Sponsored Research office
- Sponsor name, Sponsor Award #, Sponsor Contact information (if available), dates/dollars for each award to be transferred
- List of equipment/material to be transferred, if any
- Any other relevant information that will help facilitate the transfer

Process Flow

1. The Documentation referenced above is sent by the DA/SA to SP Pre-Award RA
2. The DA/SA will need to [create a separate proposal](#) for all transferring projects
   a. If PI has not started at BU yet, when preparing the Proposal Summary Form (PSF):
      i. List the incoming PI name and department details in the 'Principal Investigator/Project Director' section of the PSF
      ii. If PI does not yet have a Kerberos account set up (email and UID), then the email and UID fields should be left blank, as they will not have been assigned to the PI yet
      iii. Add details (see bullet 3 above) and short summary regarding the current state of the transfer in the comment field of the PSF.
      iv. Financial Interest Disclosure date will be blank, as the incoming PI will not have the access to enter the internal FCOI system. Expectation is that at the official time of award transfer, the FCOI disclosure will be completed (otherwise, the account is setup on a compliance hold until completed).
      v. Attach a copy of the incoming PI's signed appointment letter (redacted if necessary) or other form of confirmation of PI start date (i.e. email from Dept. Chair)
3. If desired, DA/SA can process IPAR: Advance Account for transferring grants

a. IPAR Form
b. Best Practice
4. When **transfer agreement** is received, SP will work directly with the Sponsor on award acceptance

Q&A

Q1: *The PI/DA has been notified of an upcoming proposal submission, but the PI is not yet a faculty member at BU (future appointment start date)… what do you do?*

A1: Refer to Process Flow point #2 above.

Q2: *How does a Sponsor release funds from the former institution to BU?*

A2: The former institution will work with the PI and Sponsor to finalize the amount to be transferred and relinquished. Then Sponsor would re-issue a new award to BU for the remaining funds.

Q3: *Incoming PI is submitting a proposal and has an existing sponsor system account (i.e. NIH eRA Commons, NSF Fastlane/Research.gov) at their former institution. How is their account affiliated with BU?*

A3: NIH eRA Commons: If account exists from a former institution, that account needs to be affiliated with BU. If no account exists, a new one needs to be created. In both instances, complete the Request for eRA Commons Access Form.
NSF Fastlane/Research.gov: If an account exists from a former institution, the account needs to be unaffiliated for it to be primarily affiliated with BU. PI/DA/SA should work with former institution on unaffiliating their account, if this step is needed. Affiliating with BU to your existing account is managed by the PI directly in their research.gov 'My Profile' page. BU's Unique Entity Indentifier (UEI) is needed to search for the institution. UEI numbers for each campus can be found under "Identification Numbers" on the Institutional Numbers and Rates webpage.

Q4: *How soon can a PI get a new internal account # to start charging expenses and continue their research?*

A4: As soon as a proposal package is on record and approved by SP, the DA/SA can request an IPAR Advance Account (see Process Flow #3 above).

Abbreviations & Definitions

Abbreviations	Definitions
DA	Department Administrator
FCOI	Financial Conflict of Interest
IPAR	Institutional Prior Approval Request
Kerberos	A wide variety of technology services and computing resources will support your work at Boston University. Before you can take advantage of those services, you must create a **BU login name and Kerberos password**. Your BU login name and Kerberos password are used to confirm your identity across most computing resources at the University. Must have a BU ID number and have a current and active status with the University, determined and verified by Human Resources or the Registrar.
PI	Principal Investigator
PSF	Proposal Summary Form
SA	School Administrator
SP RA	Sponsored Programs - Research Administrator
SP	Sponsored Programs
UID	University Identification #

Roles and Responsibilities

Role	Responsibility
Department Administrator/School Administrator	Proposal preparation for transferring award. Complete the PSF, attach supporting documentation regarding incoming faculty appointment, obtain necessary approvals on form, forward documentation to SP Pre-Award RA. Alert Property Management office (property@bu.edu) if PI is transferring equipment to BU.
Principal Investigator	Alert sponsoring agencies of upcoming transfer. Liaise with former institution to ensure relinquishment of previous awards. Works with DA/SA to create a list of transferring grants to BU and also assists with transferring proposal preparation.
SP Pre-Award RA	Upon receipt of the transferring proposal package, review details and confirm the appointment letter is attached. When **transfer agreement** is received, works directly with the Sponsor on award acceptance.

Reference Documents
- **BU Policy on Principal Investigator (PI) Status**
- **BU Research Support, Prepare a Proposal**
- **IPAR Form**
- **Advance Account Best Practice**
- **Sponsor System Account Access**