Symposium for Research Administrators
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PI’s Coming and Going – What Do I Do?

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So.....is the PI coming or going?

We will cover the information needed to effectively facilitate the transfer of

And then

PI coming into the University of Wisconsin-Madison.

PI leaving the University of Wisconsin-Madison.
All grants and contracts, both Federal and non-Federal, are awarded to the institution, not directly to Principal Investigators.

If a PI wants to change institutions, the grantee institution will determine on a case-by-case basis whether it will retain, transfer, or terminate the award.

As the grantee institution, it must approve the relinquishment of an award to formally transfer an award to the PI’s new institution.

The awarding agency or sponsor must also approve all grant/contract transfers.

Change of Recipient Organization

Informational materials are required from the Grantee Institution (where they are coming from) and New Institution (where they are going).

Incoming PI Transfer Checklist

https://www.rsp.wisc.edu/pitransfers/

Appointment Set-Up:
- Activate HRS appointment to be visible in WISPER.
- Activate UW NetID

Awards:
- Talk with PI and their institution.
- How many awards are transferring to UW?
- Review sponsor’s policy for award transfer.

WISPER:
- Each award needs it’s own WISPER record with a detailed budget, SOW, & sponsor transfer reqs.
### Incoming PI Transfer Checklist

[https://www.rsp.wisc.edu/pitransfers/](https://www.rsp.wisc.edu/pitransfers/)

**Compliance/UW Trainings:**
- Effort, FCOI and human subjects

**Protocols:**
- Human Subjects, Animals and Biosafety

**Equipment:**
- Possible implications if federal award and University property mgmt. rules.

**MTAs & DUAs:**
- Complete MTA/DUA forms in WISPER.

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### Outgoing PI Transfer Checklist

[https://www.rsp.wisc.edu/pitransfers/](https://www.rsp.wisc.edu/pitransfers/)

**Award Staying at UW:**
- Prepare a change of PI request in WISPER.
- Letter signed by outgoing & new PI, addressed to sponsor’s grants specialist.

**Award Transferring:**
- Prepare sponsor specific transfer/relinquishment materials.
- Materials submitted to RSP and sponsor for approval.

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### Outgoing PI Transfer Checklist

[https://www.rsp.wisc.edu/pitransfers/](https://www.rsp.wisc.edu/pitransfers/)

**Review Agency rules:** Terms & conditions of the award will determine whether an award can be transferred.

**Approvals:**
- Transition plans need to be approved by dean’s office and then submitted to RSP.
- Agency/Sponsor has to approve all transfer requests.
Outgoing PI Transfer Checklist

Stop all spending: UW cannot relinquish an award until all expenditures have been paid and posted.

Communication:
- PI should contact sponsor technical program officer.
- Contact dean’s office and RSP accountant to determine the options for transferring the award.
- Meet with department chair/administrator to develop a transition plan/checklist.

Contracts:
- Generally not transferable.
- Terminate completely and re-issued to institution.
- Sponsor may require UW to issue subcontract to new institution.

Sponsored Funding: Proposals and current awards

Student and Staff: Moving or staying, and future supervisor/mentor/funding

Equipment: Transfer, sell or keep

Supplies & Expenses: Planned disposition and pending travel & purchase commitments

Internal Funding: Type and contact appropriate office to close

Tangible Assets/Data: Tangible Research Property & Research Data Policy
Remember……

- Is the person coming or going?
- Are awards/equipment coming or going?
- Communicate with the other institution.
- Talk with the PI.
- Review processes at the RSP website:
  - https://www.rsp.wisc.edu/pitransfers/

Timing is EVERYTHING

- To ensure there are no disruptions to funding, make sure the agency receives a transfer application and relinquishing statement at least two months before switching institutions.
- Once the agency receives the relinquishing statement, transfer request, and any further documentation they might need, they'll issue your new Notice of Award within 30 days, usually much sooner. However, if theyissue the notice at the end of the fiscal year, you may need to allow extra time given the heavier workloads facing your business office and agency staff.
- The agency will start your new award on the first day of the month they receive all your paperwork. In other words, if they receive all your documentation on August 28, they'll issue your new award on August 1 (even if they don't give you your actual notice until September).
- End dates for your budget period and grant project period will remain the same.

Thanks so much…….. Questions from this presentation???

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