

## Office of Sponsored Programs Change of Institution Policy

The Departments/ PIs are responsible for notifying the Office of Human Resources, Office of Facilities Management, Office of Contracts and Grants Accounting, Office of Sponsored Programs, and the Office of Research Integrity as soon as known and preferably 90 days prior to a faculty member terminating his/her position and transferring their research program to another institution. In unusual circumstances, we understand 90 days notice may not always be possible. To assist in notifying the appropriate persons the following are the appropriate contacts at UNCG:

Office of Human Resources Contact: Please contact to the Human Resource contact assigned to your school or Department. See HR website for guidance. [https://hrs.uncg.edu/hr\\_directory/](https://hrs.uncg.edu/hr_directory/)

Office of Facilities Management Contact: Jon Soter, Director, 336-334-5684 [jasoter@uncg.edu](mailto:jasoter@uncg.edu)

Animal Resource Center: Kevin Todd, (336) 334-5176, [ori@uncg.edu](mailto:ori@uncg.edu)

Office of Sponsored Programs: Joy M. Dismukes, Director, 336-334-5640, [research@uncg.edu](mailto:research@uncg.edu)

Office of Research Integrity: Melissa Skillings, Director, 2336-56-0253, [ori@uncg.edu](mailto:ori@uncg.edu)

Office of Contracts and Grants Accounting: Bill Walters, Director, 336-334-5824, [grants@uncg.edu](mailto:grants@uncg.edu)

### Requirements for Transferring Research Programs to a New Institution.

Review the faculty member research portfolio, including their mentoring responsibilities.

- All reporting requirements (financial reports, final invention statements, final progress report) must be complete, in accordance with the funding organization, for research programs that are in the process of ending and/or have ended.
- All deficits must be cleared.
- All encumbrances must be resolved and cleared.
- All final invoice(s) from subcontractors received and accepted (UNCG is the prime awardee).
- All final invoicing to subcontractors must be processed, sent and paid.
  - All amended sub-agreements must be received and accepted in OSP.
- All outstanding receivables need to be collected.
- Effort certification of PI and key personnel through date of termination.
- Any equipment a faculty member wishes to transfer to the new institution must be reviewed with and approved by the Department Chair. For any approved piece of equipment recommended by the Department Chair for transfer, an Equipment Transfer Form must be completed with the appropriate departmental signatures and submitted for approval from the Controllers Office prior to relocation. <https://fix.uncg.edu/forms/>

### **Laboratory Personnel Remaining After Faculty Member Termination Date**

Laboratory personnel funded by external funds will end their employment at UNCG when those funds are no longer committed by the sponsor. In most cases, that will correspond to the date of the faculty member's termination date. Please begin this process as soon as the transfer is known. Laboratory personnel funded by other accounts (e.g. recruitment packages, endowments, etc.) will end their employment no later than the termination date of the faculty member. Exceptions must be approved by the Vice Chancellor for Research and Engagement. The PI/Department should notify the Office of Human Resources and the Office of Sponsored Programs if the PI/Department wants the laboratory personnel to continue employment at UNCG. Please note one of the following criteria must be met for laboratory personnel to remain employed at UNCG and work in the laboratory:

- Funds must be identified and either in an account or committed by the sponsor to support salary and wages, fringe benefits and accrued vacation.
- Another onsite PI is identified and assumes responsibility for supervision and supporting salary and wages, fringe benefits, and accrued vacation.

If none of the above criteria are met, the laboratory personnel will receive their termination notices. The date of termination will correspond to the faculty member termination date.

### **Animal Resource Center (ARC) Requirements Prior to Closing a Laboratory**

Arrangements for care and final disposition of animals must be secured before final termination can be completed.

- If animals are being relinquished and will remain at UNCG a Principal Investigator must be identified for all active animal protocols and the change of PI addenda must be submitted and approved by the Institutional Animal Care and Use Committee.
- All personnel departing the institution must be removed from all animal protocols by the PI prior to departure.
- If animals are being transferred to another organization arrangements for shipping the animals must be finalized with the receiving institution.
- Funds must be identified and either in an account or committed by the sponsor to pay applicable per diem, handling, testing and transporting charges necessary to transport the animals to the receiving institution.
- All controlled substances purchased through the ARC Drug Enforcement Agency License must be relinquished to the ARC even if another PI is assuming responsibility for the protocols.

## **NIH and UNCG Requirements Prior to Transferring Research Programs**

In accordance with the NIH Grants Policy, NIH requires 90 days notification prior to transfer.

- Final Invention Statement and Official Statement Relinquishing Interests must be complete and signed. The forms can be located on the NIH website: <http://grants.nih.gov/grants/forms.htm>
  - Final Invention Statement (FIS) is completed via eRA Commons by the PI/Department. Once completed the PI/Department notify OSP. UNCG Launch reviews, and if appropriate, approves the completed document. OSP submits the FIS via eRA Commons or returns the document to the department/center/institute if additional information is required.
  - The signed Official Statement Relinquishing Interests is sent to OSP for their review. Also, please work with your CGA representative to provide a copy of the most current Income and Expense Statement and an analysis supporting (direct and indirect) the funds to be relinquished, if they differ from the Income and Expense Statement. It is best to submit the Official Statement Relinquishing Interests as soon as possible.
- The Official Statement Relinquishing Interests should be submitted to the sponsor by OSP.

### **UNCG Office of Research Integrity Requirements**

Before leaving the university, PIs should review any outstanding projects with IRB approval. Projects should either be moved to a closed status or the current PI should request a change to the study PI via a modification. In the event that a PI leaves the University and the University keeps either the original data or a copy of the data, the PI must identify another member of the research team at UNCG to assume a custodial role.

If a PI leaves the University, the default protocol is for the PI to take copies of Research Data and Materials, but for all primary Research Data and Materials to remain in the custody of the University. A PI may, though, request transfer of the primary research data to their new institution as part of either a request to transfer a project in its entirety or a request to transfer the data only. The request process is initiated through a formal data transfer or materials transfer agreement to be drafted and approved by the Dean of the College/School employing the PI (or Unit Head) in partnership with the Vice Chancellor for Research and Economic Development, and reviewed by University Counsel. Please review the Access to and Retention of Research Data Policy for further information and instructions: [https://policy.uncg.edu/university\\_policies/access-to-and-retention-of-research-data-2/](https://policy.uncg.edu/university_policies/access-to-and-retention-of-research-data-2/)

No research program will be relinquished or transferred if any of the above items remain in a pending status.

## OSP Change of Institution and/or Termination Form

**Submit the completed form to [research@uncg.edu](mailto:research@uncg.edu)**

Complete form as soon as known and preferably 90 days prior to a faculty member terminating his/her position and transferring their research program to another institution. In unusual circumstances, we understand 90 days notice may not always be possible.

Name of Faculty/PI:

Termination Date (attach letter of resignation):

Faculty Space/Room(s) Vacating:

Department:

Department Contact:

New Institution:

New Institution Contact:

New Institution UEI#:

Research Programs Planning to Transfer/Terminate (add additional lines or attach spreadsheet if necessary):

Fund #	Funding Institution	Remain at UNCG	Transferring out of UNCG

**Review/Approve (sign and date):**

Office of Human Resources	Date
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Office of Space and Facilities Planning	Date
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Office of Sponsored Programs	Date
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Animal Resource Center	Date
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Office of Research Integrity	Date
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Contracts & Grants Accounting	Date
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