

University of Kentucky College of Medicine Sponsored Research Administrative Services	Identification M-SRAS 015 Version 1		Contact: SRAS Manager
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Transfer of New Faculty Sponsored Projects to UK

Purpose

When a new faculty member transfers to UK, he or she may have sponsored projects that he or she would like to transfer to UK. This Standard Operating Procedure (SOP) addresses the transfer process. However, it is important to note at the outset that the sponsor must approve the transfer of any projects to UK from a previous institution. All procedures stated herein regarding the transfer process are with the assumption that sponsor approval will be secured. There may be instances in which a sponsor does not agree to such a transfer. In that case, the new faculty member may seek a subaward from the previous institution to allow for the completion of a portion of the scope of work at UK. Sponsor approval would likely be needed for a subaward to UK from the previous institution.

The transfer process normally has four primary milestones that must be accomplished:

- **Milestone 1:** Securing the previous institution’s relinquishment of the award.
- **Milestone 2:** Successfully submitting all needed information to the sponsor
- **Milestone 3:** Receiving the transfer award from the sponsor.
- **Milestone 4:** Ensuring the establishment of a grant account for the new faculty member’s project.

While this SOP is organized in steps of information-gathering, planning and executing the agreed-upon transfer plan, these steps have the ultimate goal of successfully accomplishing the four above-referenced milestones.

The Grants Proposal Specialist (GPS) in Sponsored Research Administrative Services (SRAS) may learn of the transfer several months prior to the new faculty member’s start date. If so, the GPS should immediately proceed with the information-gathering steps below. If sponsor is open to the possibility of transferring a project to UK, then it may be possible for the GPS to begin budget development, transfer proposal development, and Electronic Internal Approval Form (eIAF) preparation prior to the new faculty member’s arrival. If all materials are complete, the eIAF may be routed in a draft pdf form prior to the faculty member’s arrival, with the understanding that a formal version of the eIAF must be completed upon the new faculty member’s arrival at UK. The routing of a pdf version of the eIAF will allow for the submission of the new faculty member’s proposal application prior to arrival at UK. Importantly, most transfer processes can take several months after the new faculty member’s arrival at UK to complete, subject to securing sponsor approval. Thus, the goal is to work through as much of the process as soon as the GPS is alerted to the transfer, even if the new faculty member has not yet arrived at UK.

Introduction

Grants and contracts for sponsored projects represent a contractual obligation between the grantor and the University for the performance of a specific activity through which the grantor, or sponsor, is entitled to receive some consideration or benefits. The contractual obligation is normally documented by a proposal and award combination, contract, or a written memorandum of agreement. The University assumes full legal responsibility for complying with all requirements imposed by the grantor or sponsor upon acceptance of grants and contracts for sponsored projects, including a requirement for a report of expenditures or a provision for an audit. In turn, the College of Medicine must ensure its faculty is in compliance with all University and sponsor requirements.

Subject to sponsor approval, new faculty members will likely be transferring externally-sponsored projects to UK. If open to the possibility of transferring a project to UK, many sponsors will request that UK, as the faculty member's new institution, submit information in a form that is similar to a sponsored research proposal. For purposes of this SOP, this submission is the new faculty member's "transfer" proposal or application. It usually includes updated programmatic or scope of work information as well as an updated budget based on UK's anticipated project costs. If a contract was awarded to the previous institution, then a new contract with UK as the new awardee will need to be negotiated by the Office of Sponsored Projects Administration (OSPA).

The same University policies that apply to proposal submissions also apply to the submission of new faculty transfer proposals and contracts.

Note that the processes outlined below are subject to sponsor approval. Some sponsors may not entertain the possibility of transferring a project from the new faculty member's previous institution. This SOP will address procedures to ensure compliance with these policies, including:

- (1) **eIAF Preparation:** As with other types of proposal submissions, the eIAF must be fully routed—completed and certified by all parties—three business days prior to a sponsor's proposal submission deadline. This process can proceed with a pdf version of the eIAF prior to the new faculty member's arrival at UK. Late receipt by OSPA will jeopardize submission of the proposal. For transfer proposal applications, it is important to note that there may not be a definite submission deadline. In such cases, OSPA must receive the proposal three days prior to the new faculty member's desired submission date.

To ensure the University deadline is met, the procedure for preparing an eIAF should be started at least 10 business days prior to the University's internal deadline. This requires the new faculty member and Department Administrator (DA) to provide to the GPS information outlined in the eIAF preparation SOP. In addition, if multiple colleges are involved, additional lead time is recommended. See "Internal Approval Process via the Electronic Internal Approval Form (eIAF) for Non-Clinical Trial Sponsored Project Grant Proposals/Applications" on the SRAS website at: <https://research.med.uky.edu/sops>.

- (2) **Project Budget Development:** Research transfer proposals may include a budget, often with a detailed breakdown of the financial support requested from the sponsor. The PI must ensure that the budget developed reflects the best estimate of the costs requested to complete the tasks outlined in the transfer application. The College of Medicine requires a detailed budget regardless of the sponsor's requirements. See "Sponsored Project Budget Development (all but Clinical Trials)" on the SRAS website referenced above.

- (3) **Project Proposal Preparation:** Per University Administrative Regulation 7:3, Section V, the final version of a faculty member's proposal must be provided, ready to submit by OSPA, no later than three business days prior to a sponsor's proposal submission deadline. The same applies to transfer proposals. The GPS will work with the PI to review sponsor guidelines and assist in compiling the transfer proposal application. See "Sponsored Project Proposal Preparation (all but Clinical Trials)" on the SRAS website referenced above.

While these and other SRAS SOPs apply to projects that new faculty members transfer to UK, subject to sponsor approval, this SOP addresses issues specific to transfer applications. In particular, it specifies an orderly process for gathering new faculty member information and planning how the transfer process will proceed. It also addresses the option of pursuing a subaward from the new faculty member's previous institution, should the sponsor deny a request to transfer the project to UK.

Types of Transferred Sponsored Projects

Ongoing Projects: The new faculty member may have ongoing projects on which he or she will continue to work after transfer to UK. These ongoing projects are typically handled in one of two ways:

- Upon sponsor approval, the previous institution will relinquish its interest in the award per the sponsor's instruction, and UK will receive an award from that sponsor (normally after preparing a full or partial proposal with the project's remaining budget for sponsor review), or
- The previous institution will keep the award, appoint a new PI, and provide UK with a subcontract for a portion of the remaining work to be completed at UK. In that case, UK will work with the previous institution to negotiate a subaward. This may be an option should a sponsor deny a request to transfer the project.

Pending Proposals: The new faculty member may also have pending proposals that were submitted by the previous institution. If an award is anticipated, the GPS will follow the steps below to determine, subject to sponsor approval, if the previous institution will relinquish its interest in the submission prior to award, if any.

Industry-Funded Clinical Trials: The new faculty member may also continue an industry-funded clinical at UK, subject to sponsor approval. In this case, the steps below should be used to determine if the study will be closed down at the previous institution and whether the sponsor will provide UK with a contract for the project. If a new contract will be awarded, then the GPS must alert OSPA's Contracts Team so that contract negotiations can commence.

Procedure: To coordinate a smooth transfer of active and/or pending sponsored projects for new faculty members. The GPS will follow the steps prescribed below. Note that these steps are subject to sponsor approval of the project transfer. In addition, SRAS has sponsor-specific "tips" documents for sponsors such as the National Institutes of Health (NIH) and the Department of Defense (DoD).

Initial Information-Gathering from UK Sources

1. Upon learning of a new transferring faculty member, the GPS must first notify the DA of the transfer. The DA is responsible for informing the new faculty member of the transfer process and that the SRAS GPS is the primary point of contact for transfer-related matters. From that point, the DA should be included on any communications regarding the transfer, unless the DA requests otherwise. The DA may not have all of the information outlined in Items 2-5, and may refer the GPS to the PI, the previous institution or someone else who may have the needed information. However, all of this information is listed as an information request to the DA in order to provide a starting point for collecting information.
2. The GPS will likely learn of a new faculty member transfer to UK via the DA, OSPA Research Administrator (RA) or another faculty member. Upon learning of the transfer, the GPS will alert the SRAS Director and Pre-Award Manager and provide them with information as it becomes available for addition to the SRAS New Faculty Member Transfer Spreadsheet.
3. The GPS will then confirm the anticipated UK home department assignment with the department's DA.
4. Once the home department is confirmed, the GPS will alert the RA, cc the RA on all future correspondence, and request the following information, at a minimum, from the DA:
 - a. New faculty member's anticipated start date at UK
 - b. If the new faculty member has not yet arrived at UK, the new faculty member's email and phone number where he or she can be reached prior to arrival
 - c. When available, the new faculty member's LinkBlue ID and UK email address and phone number
 - d. Previous institution name and sponsored projects contact, including name, email and phone number
 - e. Whether the new faculty member has a spouse, partner or other family member who will be transferring to UK as well or if she or he has a family connection with someone else who is currently employed by UK. This information may be needed to assess and address any potential conflicts of interest.
 - f. What grants, if any, the new faculty member is planning to transfer (including pending proposals), subject to sponsor approval
 - g. What grants, if any, the new faculty member anticipates submitting in his or her first year at UK and whether any proposal submissions are anticipated prior to arrival
 - h. For eIAF preparation purposes, whether the new faculty member has identified as senior key personnel (co-Investigator or Other Significant Contributor, for example) any other faculty members, lab staff or other personnel who are also transferring to UK. If so, the following initial information will be needed for each: name, title, anticipated start date, and contact information.

A Note on the Transfer of Equipment: A new faculty member may be transferring equipment from his or her previous institution to UK. For example, for NIH transfers, the previous institution will report NIH-funded equipment to be transferred on the relinquishing statement filed prior to UK's submission of the grant transfer proposal application. The new faculty member should notify his or her DA about the equipment. The DA will assist the new faculty member with the process, which includes ensuring that the equipment is properly entered into UK inventory.

5. If the new faculty member is planning to transfer one or more sponsored projects (or pending applications) to UK, subject to sponsor approval, the GPS will request, at a minimum, the following information from the DA for each grant:
 - a. Sponsor name
 - b. Project title and sponsor ID or identification number for the project

- c. Contact person (including title, email address and phone number) for the sponsor
- d. Whether the new faculty member had concerns with the GPS establishing contact with the previous institution's OSPA office or anyone else who may have needed information and eventually establishing contact with the sponsor
- e. Whether the sponsor is aware of the potential transfer and, if so, has indicated a willingness to entertain a transfer request.

Initial Information-Gathering from the New Faculty Member

1. The GPS will follow-up with the new faculty member in an email to let him or her know that the GPS will assist with the transfer of sponsored projects, subject to sponsor approval, and that the GPS will be contacting the new faculty member's previous institution to coordinate any anticipated transfers.
2. The GPS will also request any information regarding proposals that the new faculty member is anticipating submitting on UK's behalf within the first year of arrival, including any proposals to be submitted prior arrival.
3. The GPS will request whether the sponsor is aware of the potential transfer and, if so, whether the sponsor has indicated a willingness to entertain a request for transfer.
4. The GPS will confirm whether he or she may establish initial contact with the new faculty member's previous institution.
5. The GPS will confirm whether he or she may establish initial contact with the sponsors of any transferring projects.

Initial Information-Gathering from the New Faculty Member's Previous Institution

1. The GPS will make the RA aware that communication is being established with the previous institution and provide the RA an opportunity to suggest information to be requested.
2. The GPS will follow-up with the previous institution (likely the OSPA office) and request, at a minimum, the following information about each transferring project or pending proposal:
 - a. Confirm the sponsored projects that are anticipated to be transferred to UK
 - b. Confirm the pending applications that are anticipated to be relinquished by the previous institution
 - c. Confirm whether work has been done at the previous institution on any transferring projects
 - d. For ongoing or recently awarded projects, confirm that the previous institution will relinquish the award, subject to sponsor approval, or whether the award is anticipated to stay at the previous institution with a subaward to UK for any remaining work to be performed by the new faculty member
 - e. Confirm the timeframes for the previous institution's relinquishment of existing awards or pending proposals and/or issuance of a subaward to UK
 - f. For any subawards to be issued to UK, confirm what information the previous institution will require UK to submit
 - g. For any ongoing projects to be transferred, the start and end dates at the previous institution
 - h. Sponsor contact for any awards that will be transferred (name, title, email address, and phone number)
 - i. Whether the sponsor is aware of the impending transfer and, if so, whether the sponsor has indicated a willingness to entertain a transfer request

- j. For any transferring projects or pending applications, request, at a minimum, the previous institution's proposal, proposal guidelines, project budget, award or contract, and estimated remaining balance, if available
 - k. Whether the previous institution is expecting a subaward for completion of any work on a transferring project.
3. The GPS will notify the RA and DA of any anticipated subawards back to the previous institution. This may be an option should the sponsor deny a request to transfer a project.
 4. The GPS will follow-up with the new faculty member for any items that are needed and alert him or her if the GPS will contact the sponsor. Importantly, the GPS must copy the DA on any such communication.

Initial Information-Gathering from the Sponsor

1. If sponsor approval is unclear, the GPS will coordinate with the new faculty member and the OSPA RA to confirm whether the sponsor is open to the possibility of a project transfer.
2. For any transferring projects with at least initial sponsor approval, the GPS will first review any sponsor guidelines for whether a proposal application or other information must be submitted by UK to facilitate the transfer.
3. After consulting with the RA, the GPS, either directly or via the RA, will confirm with the sponsor what must be submitted, when any items are due, and when the award is anticipated to be issued to UK.
4. If the new faculty member has programmatic-related concerns, the GPS should encourage him or her to contact the sponsor's Program Officer.

Planning

1. Once the GPS has gathered the necessary information, the GPS will provide an initial "planning" email to the new faculty member, copying the DA, RA and any other contacts the new faculty member may designate. The email will outline the process for the transfer of each project, subject to sponsor approval, and establish a general timeframe for eIAF preparation and budget and transfer proposal preparation and submission.
2. The GPS will work with the new faculty member to make any needed revisions to the plan and will confirm the new faculty member's approval of the plan and estimated timeframes.
3. The GPS will specifically address whether a pdf version of the eIAF will be prepared prior to the new faculty member's arrival, if the new faculty member would like the transfer proposal submitted prior to arrival. In this instance, the new faculty member will complete the formal eIAF process upon arrival. The GPS will assist the new faculty member.
4. The GPS will ask when the new faculty member anticipates starting work on any transferring projects. If work is anticipated to start prior to completion of the transfer, the GPS will alert the new faculty member to UK's process for establishing an "expected" or "e"-account. The process generally requires the department or center's Chair/Director to provide an email agreeing to cover any and all expenses incurred in the event that the sponsor fails to provide the award as anticipated. An e-account can be set up for an amount that is less than the total anticipated award. The DA and Department Chair will be involved if an e-account will be requested.

Submission of Proposals Prior to a New Faculty Member's Arrival at UK

1. The new faculty member may have one or more proposals ready for submission prior to arrival at UK.
2. The GPS will confirm with the DA that this is acceptable to the department.
3. The GPS will complete a pdf version of the eIAF and provide it in an email to the new faculty member and the others who would normally certify the eIAF. The email also should contain the standard eIAF attachments (abstract, budget, justification, comments, etc.) and should have the current certification from the eIAF form. The GPS will ask for a return email from each certifier saying "I certify".
4. The GPS must also provide the new faculty member with a pdf version of the Conflict of Interest (COI) Financial Disclosure Form for completion. Once completed by the new faculty member, the GPS must forward the form to OSPA's COI Administrator. The COI form does not route with the email eIAF due to confidentiality concerns.
5. Once all required parties have certified, the GPS will forward the eIAF, attachments and documentation of all certifications to the RA for review and processing.
6. Upon arrival at UK, the new faculty member will be assigned a LinkBlue ID. At that time, the GPS must prepare a revised eIAF through the UK grants management system. That will serve as UK's official record of internal review for the proposal submission.
7. The GPS will review and approve for submission to OSPA any such proposals and work with OSPA for final approval and, unless PI-submitted, submission to the sponsor.

eIAF, Budget and Proposal Development

1. **Other SRAS SOPs:** The GPS will follow the SRAS SOPs for eIAF, Budget and Proposal Development.
2. **Pdf Version of the eIAF Prior to New Faculty Member Arrival:** The pdf version of the eIAF is prepared and routed in the same way as specified in the preceding section. The GPS will assist the new faculty member with this process and ensure that a formal eIAF is prepared after the new faculty member's arrival.
3. **Role of the DA in eIAF, Budget and Proposal Development:** The DA should be copied on all correspondence for all items in this section.
4. **Conflict of Interest Financial Disclosure:** During eIAF preparation, the GPS must contact OSPA's COI Administrator with the new faculty member's contact information, including email address. The COI Administrator will add the new faculty member to the COI SMART system. At that point, the GPS can provide the new faculty member with the link to the COI SMART system for financial disclosure confirmation.
5. **Human or Animal Subjects Designations:** If human or animal subjects are anticipated, the GPS should compare any documentation from the previous institution, such as the proposal, with information provided by the new faculty member, to determine whether the human or animal subjects designation will likely remain the same after transfer. If not, the GPS should refer the new faculty member to UK's Office of Research Integrity (ORI). The GPS should also suggest that the new faculty member contact the sponsor (program officer and/or grants management specialist) to discuss how any such issues should be addressed in the transfer proposal.
6. **Transfer Project and Budget Start Dates:** For multi-year projects that transfer mid-way during the current budget period, the GPS may need to coordinate with the RA and the sponsor to

confirm the appropriate budget start date. In some cases, the sponsor may first award the next budget year's funding and require UK to request the previous institution's unobligated balance, if any, as carry-forward funding.

7. **Anticipated Award Amount for UK:** The GPS may need to clarify with the sponsor the total amount to be awarded to UK. Options vary among sponsors. The transfer may be awarded in the amount of:
 - a. UK's anticipated direct costs plus F & A calculated according to UK's federally negotiated rate
 - b. The previous institution's total awarded amount (ie, total direct costs awarded to the previous institution, plus F & A calculated at the previous institution's F & A rate).
8. **Estimated Award Amount:** For ongoing awards, the previous institution may need a minimum of several months to process the closing of the award and provide a final financial figure for the amount to be relinquished. However, the GPS can use an estimated amount provided by the previous institution (or the sponsor). For example, in the case of National Institutes of Health (NIH) award transfers, the previous institution will provide NIH with a Relinquishing Statement that estimates its expected unobligated, or remaining, balance. It is standard practice at UK to use that estimated relinquishment amount to proceed with eIAF and transfer proposal preparation, including budget development. Any adjustments can be made by UK and the sponsor once the previous institution completes its final financial reporting and internal close-out procedures, which will yield the final amount to be relinquished.
9. **Subcontract to Previous Institution and F & A Impact:** If UK must award F & A costs to the previous institution as part of a subcontract that was not anticipated at the time of the original award, then the new faculty member may need to consider the implications of a reduced direct cost budget. This could include negotiations with the sponsor for an increased budget or reduced scope of work. The GPS will also alert the RA as to the anticipated subcontract.

ROLES AND RESPONSIBILITIES

Principal Investigator (PI)/New Faculty Member is responsible for:

Initial Information-Gathering from UK Sources:

- Once transfer to UK is finalized, providing UK home department's DA with information about any projects anticipated to be transferred, subject to sponsor approval, or proposals to be submitted upon (or before) arrival.

Initial Information-Gathering from New Faculty Member:

- Providing the GPS with any requested information about the previous institution, transferring projects, preliminary sponsor approval, and/or anticipated proposals, including:
 - Any applications to be submitted during the first year at UK
 - Any applications to be submitted by UK prior to arrival
 - Confirming that the GPS may establish initial contact with the previous institution
 - Confirming that the GPS may establish initial contact with any sponsors of transferring projects

- With input from the GPS, contacting the sponsor to resolve any programmatic or scope of work concerns or approval issues
- Alerting the GPS to any concerns about contacting the previous institution or sponsor

Initial Information-Gathering from the Sponsor:

- Contacting the sponsor if the new faculty member has any programmatic concerns

Planning:

- Working in consultation with the GPS for an agreeable transfer process and timeframe
- Confirming for the GPS whether the eIAF process will begin prior to the new faculty member's arrival
- Confirming whether work on a project may start prior to completion of the transfer

Submission of Proposals Prior to New Faculty Member's Arrival at UK:

- Confirming whether he or she will have any proposals to be submitted via UK prior to arrival
- If so, supplying the GPS with any requested information, certifying the pdf version of the eIAF, and providing a financial conflict of interest disclosure
- Providing the GPS and OSPA review and approval of any such proposals
- Completing of the electronic eIAF once a LinkBlue ID is assigned upon arrival at UK
- Completing the online financial disclosure in COI Smart upon arrival at UK

eIAF, Budget and Proposal Development:

- Providing information or feedback as detailed in the SRAS SOPs for eIAF, Budget and Proposal Development
- If the transfer proposal will be submitted prior to the new faculty member's arrival, completing steps as specified by the GPS to complete the pdf version of the eIAF and, upon arrival, completing the formal eIAF with the GPS's assistance.
- After being provided with system-access instructions by the GPS, completing the financial disclosure in the COI Smart system
- If any transferring projects will have human or animal subjects, contacting the UK Office of Research Integrity (ORI) for the necessary approvals
- Discussing with ORI, and possibly the sponsor, any change in human or animal subjects designation from what was determined at the previous institution
- Consulting with the GPS, sponsor, DA and others as needed to determine the appropriate project and budget start dates for UK and anticipated award amounts
- Consulting with the GPS, sponsor, DA and others as needed to identify and mitigate the impact on the direct cost budget of any subawards back to the previous institution

Grants Proposal Specialist (GPS) is responsible for:

Initial Information-Gathering from UK Sources:

- Upon learning of a transfer, notifying the DA and including the DA on any correspondence related to the transfer
- Confirming with the DA the new faculty member's UK home department assignment
- Making the DA the initial point of contact for collecting information about the new faculty member and his or her initial projects
- Notifying the SRAS Director and Pre-Award Manager of any new transferring faculty members and potential projects that will transfer to UK; this information will be added to the SRAS New Faculty Member Transfer Spreadsheet by the Pre-Award Manager
- Notifying the RA of any transfers and cc'ing the RA on all pertinent correspondence
- Requesting, at a minimum, from the DA:
 - Anticipated start date
 - Current email and phone number
 - LinkBlue ID, if/when available
 - Previous institution name and sponsored projects contact (including email and phone number)
 - Family member(s) who might be coming to UK as faculty or employees (or other family relationships with existing faculty or staff)
 - Grants, clinical trials or other sponsored projects anticipated to be transferred, subject to sponsor approval
 - Pending proposals anticipated to be transferred to UK, subject to sponsor approval
 - Whether the sponsor is aware of the potential transfer and, if so, has indicated a willingness to entertain a transfer request
 - Sponsored project proposals to be submitted during the first year at UK
 - Senior key personnel who are transferring to UK and will be on eIAFs for potential projects and information about such personnel's anticipated roles and contact information
- For sponsored projects (or pending applications) that may be transferred to UK, subject to sponsor approval, requesting from the DA:
 - Sponsor name
 - Project title
 - Sponsor ID number for the project
 - Whether the PI has concerns about the GPS contacting the previous institution and/or any sponsor(s)

Initial Information-Gathering from New Faculty Member:

- Establishing contact with the new faculty member and:
 - Explaining the GPS's role in the transfer process
 - Requesting information on any applications that the new faculty member might submit during his or her first year at UK
 - Requesting information on any applications to be submitted by UK prior to arrival
 - Confirming whether the sponsor is aware of the potential transfer and, if so, whether the sponsor has indicated a willingness to entertain a request for transfer
 - Confirming that the GPS may establish initial contact with the previous institution
 - Confirming that the GPS may establish initial contact with any sponsor(s)

Initial Information-Gathering from the New Faculty Member's Previous Institution:

- Prior to establishing contact with the new faculty member's previous institution, consulting the RA for what information may be needed
- Establishing contact with the previous institution and confirming:
 - Sponsored projects or pending applications to be transferred
 - Whether the sponsor has provided a willingness to entertain a transfer request
 - For ongoing or awarded projects, what scope of work, if any, was performed at the previous institution
 - Timeframes for the relinquishment of transferring projects and/or applications
 - Anticipated subawards to UK for any projects remaining at the previous institution (which may be an option in the event of a sponsor's denial of a transfer request)
 - For anticipated subawards, what information UK must submit to the previous institution
 - Start and end dates for ongoing or awarded projects or subawards
 - Sponsor contact information (name, title, email, phone and address)
 - Whether the sponsor is aware of any transfers
 - Whether the previous institution is expecting a subaward from UK regarding a transferring project

Initial Information-Gathering from the Sponsor:

- If sponsor approval is unclear, coordinating with the new faculty member and the OSPA RA to confirm whether the sponsor is open to the possibility of a transfer
- GPS will review guidelines for transfer application requirements
- After consulting with the RA, either the GPS or the RA will confirm with the sponsor application requirements, submission timeframe, and anticipated award timeframe

Planning:

- Sending the new faculty member an email (copying the DA and RA) outlining the details of the transfer process for each sponsored project, subject to sponsor approval, and establishing an anticipated timeframe for submission of any transfer proposal applications
- Addressing whether a pdf version of the eIAF will be prepared prior to the new faculty member's arrival and, if so, ensuring that a formal eIAF is prepared after the new faculty member's arrival
- In light of the anticipated transfer timeframe, asking the new faculty member whether work is anticipated to start prior to finalizing the transfer, and, if so, outlining the option of an "expected" or "e"-account.

Submission of Proposals Prior to New Faculty Member's Arrival at UK:

- Confirming with the new faculty member whether he or she is planning to submit any proposals through UK prior to his or her start date and, if so, confirming with the DA that that is acceptable to the department
- Initiating a pdf version of the eIAF for certification and obtaining of the pdf version of the new faculty member's FCOI
- After the new faculty member's arrival at UK, ensuring that the eIAF is completed in the electronic system as well as the COI in the COI SMART financial disclosure system
- Reviewing and approving any proposals and sending to OSPA for approval and submission

eIAF, Budget, and Proposal Development:

- Following related SRAS SOPs for eIAF preparation, budget development and proposal submission
- If the new faculty member would like to submit the transfer application prior to arrival, assisting with preparation of a pdf version of the eIAF and ensuring completion of the formal eIAF after arrival
- Copying the DA on all items within this section of the SOP
- Contacting the OSPA COI Administrator with the new faculty member's information, including email address, and requesting addition to the COI SMART online financial disclosure system
- Once the new faculty member is added to the system, supplying the new faculty member with instructions for accessing the COI SMART system and ensuring completion of the disclosure prior to eIAF routing
- Reviewing any documentation from the previous institution and comparing with UK documentation to identify if a human subjects or animal subjects designation will change from that which was originally in place at the previous institution. If so, forwarding the new faculty member to UK's Office of Research Integrity (ORI) for a determination and also suggesting the new faculty member consult the sponsor for guidance
- Coordinating with the new faculty member and sponsor for the optimal project and budget start date options as well as the anticipated award amount
- If a finalized award amount is not available from the sponsor, using the best estimate, which will likely be based on the amount that the previous institution plans to relinquish, unless additional information indicates otherwise
- For transfers that involve a subaward to the previous institution, reviewing the budget for any negative impact created by the addition of the subaward indirect costs to direct cost budget, which may not have been anticipated during the initial proposal phase at the previous institution. If there is a negative impact, coordinating with the new faculty member and sponsor on options to mitigate the impact on the scope of work
- Notifying the RA of any possible subawards from transferred projects

Department Administrator (DA) is responsible for:

Initial Information-Gathering from UK Sources:

- Alerting the GPS to any anticipated faculty transfers
- Upon either learning of a transfer or upon request by GPS, confirming that the DA's department will be the new faculty member's home department assignment
- Informing the new faculty member of the UK transfer process and referring the new faculty member to the SRAS GPS for any transfer-related matters
- Providing the following information, to the extent possible, to the GPS upon request:
 - Anticipated start date
 - Current email and phone number
 - LinkBlue ID, if/when available
 - Previous institution name and sponsored projects contact (including email and phone number)
 - Family member(s) who might be coming to UK as faculty or employees or other family relationships with existing UK faculty or employees
 - Sponsored projects anticipated to be transferred to UK, subject to sponsor approval
 - Pending proposals anticipated to be transferred to UK, subject to sponsor approval

- Sponsored project applications to be submitted during the first year at UK
- Senior key personnel who are transferring to UK and will be on eIAFs for potential projects and information about such personnel's anticipated roles and contact information
- For each anticipated transferring grant, provide the following information, to the extent possible, upon GPS request:
 - Sponsor name
 - Project title
 - Sponsor ID number for the project
 - Whether the PI has concerns about the GPS contacting the previous institution and/or any sponsors
 - Whether the sponsor is aware of the potential transfer and, if so, has indicated a willing to entertain the transfer request

Initial Information-Gathering from New Faculty Member, Previous Institution, and Sponsor:

- During these phases, provide any information requested by the GPS, to the extent possible
- Provide any feedback needed regarding correspondence with these information sources
- Provide the GPS with any other developments that might impact the transfer

Planning:

- Providing any feedback on the transfer process outlined and estimated timeframe provided by the GPS
- Providing any feedback and approving the preparation of an e-account request, if the new faculty member would like to start work on the project prior to the completion of the transfer
- Coordinate with the department Chair/center Director and new faculty member on the preparation of any e-account requests

Submission of Proposals Prior to New Faculty Member's Arrival at UK:

- Confirming that the department finds any such submissions acceptable prior to the new faculty member's arrival
- Coordinating on any information requested for eIAF preparation or proposal submission, upon GPS request, such as the new faculty member's LinkBlue ID once assigned

eIAF, Budget and Proposal Development:

- Providing support during these steps, as outlined in the other SRAS SOPs on eIAF, budget and proposal development
- Providing any GPS-requested information or other feedback, to the extent possible, regarding such items as:
 - Project and budget dates
 - Anticipated award amount
 - Estimated award amounts for eIAF purposes
 - Impact of any subawards on the new faculty member's direct cost budget

ABBREVIATIONS

DA—Department Administrator

COI—Conflict of Interest (financial disclosure that must be completed in COI SMART system)

DoD—Department of Defense

eIAF—electronic Internal Approval Form

F&A—Facilities and Administration rate (indirect cost rate UK negotiates periodically with the federal government)

GPS—Grants Proposal Specialist (located in Sponsored Research Administrative Services)

LinkBlue ID—UK's identifier assigned to UK employees, including faculty, upon official start at UK; necessary to access many of UK's internal online financial and grants management systems

NIH—National Institutes of Health

ORI—Office of Research Integrity

OSPA—Office of Sponsored Projects Administration (OSPA) PI—Principal Investigator

RA—Research Administrator (in the Office of Sponsored Projects Administration)

SRAS—Sponsored Research Administrative Services