Transfer of the Principal Investigator to Another Institution

It is UCB's policy and practice to allow investigators to take their grants and contracts with them if they move to a new institution. All grant and contract awards are issued to the University (usually to the official name of the institution which is The Regents of the University of Colorado). Accordingly, the University must submit an official relinquishment letter to the sponsoring agency in order for an award to be relinquished by UCB and to be transferred to the principal investigator's new institution. The funding agencies each have their own forms and procedures for accomplishing this transfer. In any event, the funding agency must approve any such transfer of an award. Therefore, it is imperative that the principal investigator quickly make contact with his or her program director at the sponsoring agency to discuss the transfer and any specific needs that the sponsoring agency may have. It is also imperative that the principal investigator make contact with the new institution's counterpart to OCG in order to submit any required proposal or other information to the funding agency and in order to maximize the possibility that the award transfer will occur in a timely manner. It is also imperative that the principal investigator fully understand the amount of time it may take to determine the actual amount of funds remaining in an award account that are to be transferred. Also, issues relating to equipment and other property must be discussed between the principal investigator and his or her department.

It is especially important early in the process for the principal investigator to discuss his or her relocation with the academic unit, OCG, the new institution, and the funding agency when it is contemplated that some of the award funds will be spent at both institutions because some of the work will still be carried on at UCB. Such subcontracting implications can often be complicating factors in the smooth transfer of the award.

Internally at UCB, there must be documentation that the academic unit has no objection to the relinquishment of the grant or contract award. In order to facilitate this, OCG offers a "model" memorandum for use by the units and the investigators as follows:

July 20, 1998
To: Randall Draper, Director OCG
From: Lloyd Thomas, Chair

Dr. James Smith has accepted a position at California College effective September 1, 1997. Dr. Smith has an NSF grant (UCB Project No. 153-8715) which he wishes to transfer to his new institution. The Department does not wish to nominate a substitute principal investigator for this grant and has no objection to the University of Colorado relinquishing this grant. I understand that $20,000 will remain unexpended as of September 1, 1997 and that this amount will be relinquished to NSF for transfer to Dr. Smith's new institution. I also understand that the Department will be completely responsible for any overexpenditure resulting from overestimating the balance of the grant to be relinquished.

Federal sponsoring agencies stipulate that the agencies retain certain rights to all equipment purchased with federal funds. This includes the right to require that items of equipment purchased with federal funds be transferred to a principal investigator's new institution. This is not meant to imply that UCB is a hindrance in allowing investigators to take equipment with them when they leave UCB. It is UCB's policy and practice to allow investigators to take equipment items with them when they move. However, this applies only to those items purchased with non-University funds and not to those items purchased with University funds, including a
faculty member's "start-up" funds. It is possible, however, for a principal investigator to negotiate with his or her department chair with regard to a "trade" whereby some grant-funded items are left at UCB and the investigator is allowed to take other "equivalent" items to the new institution. It is also possible for arrangements to be made with the principal investigator's new institution for the sale of the UCB items. Normally, this policy applies only when the principal investigator is moving to another university and the University will not allow equipment to be transferred to a for-profit entity (e.g., a company). Again, in order to facilitate this, OCG offers a "model" memorandum for use by the units and the investigators as follows:

July 20, 1998
To: Randall Draper, Director OCG
From: Professor James Smith
Subject: Equipment Disposal

I will be leaving the University of Colorado to join the faculty at California College effective September 1, 1997. I would like to take with me the items of equipment listed on the attached sheet.

<table>
<thead>
<tr>
<th>Item Description</th>
<th>CU Tag No.</th>
<th>Serial No.</th>
<th>Account No.</th>
<th>Date Bought</th>
</tr>
</thead>
<tbody>
<tr>
<td>IBM PC/XT</td>
<td>21234</td>
<td>H3459875BN</td>
<td>153-7600</td>
<td>2/96</td>
</tr>
<tr>
<td>Hayes Smart Modem</td>
<td>21431</td>
<td>WZ324</td>
<td>153-7654</td>
<td>3/97</td>
</tr>
<tr>
<td>Epson Printer</td>
<td>21236</td>
<td>2133877748RT</td>
<td>153-7600</td>
<td>2/96</td>
</tr>
</tbody>
</table>

(please provide as much information as possible)

I will be using these items of equipment in the further conduct of my research at my new institution. I will provide a copy of the list of equipment items to the appropriate office at my new institution in order that their property inventory will reflect the addition of these items.

Concurrence:
The Department of Computer Science approves the equipment disposal as proposed herein by Professor Smith.