Department Resource Guide

Transferring Research *INTO* CU Boulder

Purpose

**This guide is intended to provide a framework specific to sponsored projects and research that can be customized by each department.**

The guide was created by a team of representatives from CU Boulder departments and staff from the Office of Contracts and Grants (OCG). It is a starting point to identify the many steps and resources available when PIs new to CU Boulder are transferring sponsored projects from their previous institution.

This guide does not attempt to cover every aspect of bringing a new faculty member/PI into CU Boulder. Each department and institute has their own processes, needs and requirements when hiring and onboarding new faculty and staff.

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| Offer Letter |  |
| * A signed CU Boulder offer letter by the PI and CU representatives and a university appointment are required before a PI and department start all of the necessary steps to transferring awards | More detail under Personnel Actions |

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| PI Initiates Transfers at Institution they are LEAVING |  |
| * Your new PI needs to notify the sponsored projects office the institution they are leaving and their award sponsor(s) to start the process of transferring awards | [PI Quick Start](https://www.colorado.edu/ocg/resources-transferring-research-cu-boulder)  [PI Step-by-Step Guide](https://www.colorado.edu/ocg/resources-transferring-research-cu-boulder) |

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| Proposals Required for Transferring Awards |  |
| In order for OCG to setup and submit proposals for a new PI, the following needs to be in place:   * PI must have a university appointment entered in the Human Capital Management (HCM) system |  |
| * PI must complete their **Disclosure of External Professional Activities (DEPA)** | [DEPA Submission Website](https://www.colorado.edu/researchinnovation/coi/disclosure-form-depa) |
| * PI will complete OCG’s standard procedures for creating new proposals at CU Boulder including a Proposal Submission Request (PSR) form and budget for each award transferring | [Proposal Submission Procedures](https://www.colorado.edu/ocg/detailed-proposal-process)  [PSR Form](https://www.colorado.edu/ocg/prepare-proposals/online-psr-form) |
| * PI will work with the OCG Proposal Analyst assigned to their CU Boulder department/institute | [OCG Directory](https://www.colorado.edu/ocg/directory) |
| Image result for note iconCU Boulder incorporates the indirect cost percentage based on the CU Boulder’s IDC Rate Agreement. This may mean that PIs that had a lower or higher rate at their previous institution would need to re-budget to account for the changed indirect cost rate. Additionally, re-budgeting should include all differences in applicable CU Rates such as tuition, GRA salary, benefits, PI’s salary, etc. |  |

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| Personnel Actions |  |
| * Offer Letter: PI can be Research Professor, Tenured, Tenure Track Faculty member and should receive an offer letter with a set date for a paid appointment with the department/institute | [Eligibility Chart](https://www.colorado.edu/ocg/policies-procedures-guidelines)  [Offer Letter Template](https://drive.google.com/file/d/1y9l-PCsygfsdJST53nXkYTyuU6XZV37P/view)  [HR Resources](https://www.colorado.edu/hr/hiring#research_faculty-379) |
| * It is necessary to set up a courtesy appointment for PI’s that want to submit proposals or have awards transferred to CU Boulder **before** their permanent appointment starts.   Suggested types:  Visiting Professor category   * Assistant – job code 1403 * Associate – job code 1402 * Full – job code 1401 |  |
| Image result for note icon The Person of Interest (POI) position does not translate to the PeopleSoft Finance System for SpeedType set up on awards. In order for a PI to be set up on a SpeedType prior to their permanent appointment start date, use the visiting professor category.  PIs cannot have two permanent appointments. A PI can retain affiliation with a courtesy appointment at their previous institution once they have their CU permanent appointment. A PI can have a courtesy appointment with CU while they are still permanent at the institution they are leaving in order to gain access to systems they need to get started at CU. |  |
| * Funding Administration for graduate students | [Funding Administration Webpage](https://www.colorado.edu/graduateschool/funding/funding-administration) |
| * VISA requirements for international employees are determined by department/institute based on if they were already performed at prior institution | [International Students](https://www.colorado.edu/isss/cu-departments/hiringhosting-international-students-scholars/international-scholars-j-h-e-pr/j-1-5)  [International Scholars](https://www.colorado.edu/isss/scholars) |
| * Department/institute ensures that the PI has completed all online required training through Skillsoft for access to CU Marketplace, procurement and travel cards | [Access Training Requirements](https://www.cu.edu/psc/policies/access-training-requirements) |
| * Departments/institutes planning to cover moving expenses must follow Employee Service’s Moving Procedures | [Employee Moving Procedures](https://www.cu.edu/employee-services/payroll/moving)  [How to Buy Moving Services](https://www.cu.edu/psc/procurement/commodities/how-buy-moving-services) |
| Types of Research Positions   * Research Associate (RA) (also known as a Post-doc) * Professional Research Assistant (PRA) - Bachelor's degree or higher to qualify * Graduate Research Assistants (GRA) - students at a Graduate academic level * Temp Aids - can be paid hourly or salaried, individual does not have to transfer to CU to be hired this way. Temp aid however can only be employed up to 9 months, no benefits provided. * Person of Interest (POI) Pre-employment: Person Of Interest , in a pre-employment status allows the individual to have access to CU systems without an official appointment and submit proposals * Person of Interest (POI) Affiliate: Person Of Interest, with an Affiliation with the University allows an individual to CU Systems and to submit proposals to CU Boulder prior to an official appointment | [Person of Interest Types](https://www.cu.edu/doc/hcmjaid-poi-typespdf-4)  [Person of Interest Form](https://www.cu.edu/doc/personal-information-worksheet-add-or-modify-personpdf) |
| Ways to Transfer Other Personnel Coming with the PI (related research lab, personnel or students)  **Research Associates** that wish to transfer   * Hire a Research Associate with the Research personnel offer letter   **Research Associates** that do not wish to transfer   * Hire as a Visiting Researcher (1313), Temporary Researcher (1314) or Research Affiliate (1315)   **Graduate Research Assistants** that wish to transfer (GRA)   * Transfer as a student   **Administrative Staff**   * Hired at CU as employee or as a POI Affiliate   **Hourly Students** (Undergraduates or Graduate students)   * Temporary Aids - if student doesn't transfer as a student with CU they can be hired as a temporary aid for up to 9 months, no benefits * Graduate Student conducting research can be hired as a Temporary Researcher (1314) | [HR Resources](https://www.colorado.edu/hr/hiring#research_faculty-379) |

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| Transferring Lab Equipment / Property |  |
| * PI should catalog all capital equipment (both standalone equipment and fabrications) they would like to transfer and provide to your CU Boulder department/institute   Property transfers generally fall into four situations:   * **Government titled property** is coordinated with their current institution, the CU Boulder OCG Property Officer, CU Boulder Property Accounting and the sponsor * **Property purchased on an inactive award** is coordinated with their current institution, the OCG Property Officer and the sponsor * **Property purchased on an award being transferred to CU** is coordinated directly between PI, their current institution and their CU Boulder department/institute * **Bailment agreement** is arranged for equipment not owned or will not be owned but will be used at CU Boulder | [Sample Equipment Inventory](https://www.colorado.edu/ocg/resources-transferring-research-cu-boulder) |
| * CU Boulder department/institute notifies Environmental Health & Safety (EH&S) of property that is transferring for their review of items that may require EH&S involvement |  |
| **Government Titled Property**   * PI coordinates with their current institution and CU Boulder’s OCG Property Officer to determine if equipment is eligible for transfer |  |
| * OCG Property Officer works with OCG Grant/Contract Officer and CCO Property Accounting Office to ensure all eligible government titled property is relinquished or subbed to CU Boulder and correctly linked to the new award at CU Boulder |  |
| * A Fabrication Tag Request is needed if the PI is transferring an incomplete fabrication | [Fabrication Tag Request](https://www.colorado.edu/controller/forms/fabrication-tag-request-form) |
| **Property From Inactive Awards**   * PI coordinates with their current institution and their CU Boulder department/institute to negotiate price for equipment, transfer, moving costs, insurance and other details, including: |  |
| * PI gets signatures from the institution they are leaving for the list of equipment |  |
| * PI and the institution they are leaving determines value |  |
| Image result for note iconIf a Current Market Value cannot be determined, CU Boulder generally considers a 25% reimbursement of the property’s original value to be reasonable. Any equipment purchased on an award that is being relinquished or subbed out to CU Boulder is not subject to reimbursement and should only be liable for shipping and/or moving costs. |  |
| * The PI’s institution they are leaving generates an invoice to CU with the Purchase Order number included |  |
| * CU Boulder department/institute works with the PI to obtain a list of approved vendors for transfer through the Procurement Service Center (PSC) |  |
| * PI arranges for designated personnel at each end of the transfer process to pack-up and handover to transport at current institution and designated personnel to receive equipment/property at CU Boulder |  |
| **Property & Equipment Transferring with Award Being Relinquished to CU**   * Any property that was purchased on the award that is being relinquished to CU should automatically transfer with the incoming PI so it is available for use to complete the project |  |
| * Any equipment purchased on an award that is being relinquished or subbed out to CU Boulder is not subject to reimbursement and should only be liable for shipping and/or moving costs |  |
| * CU Boulder department/institute works with the PI to obtain a list of approved vendors for transfer through the Procurement Service Center (PSC) |  |
| * PI arranges for designated personnel at each end of the transfer process to pack-up and handover to transport at current institution and designated personnel to receive equipment/property at CU Boulder |  |

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| Transferring Research Materials / Supplies |  |
| * PI should catalog all non-capital equipment, research materials and/or supplies they would like to transfer and provide to your CU Boulder department/institute | [Sample Materials Inventory](https://www.colorado.edu/ocg/resources-transferring-research-cu-boulder) |
| * CU Boulder department/institute provides list of materials to Environmental Health & Safety (EH&S) for their review of items that may require EH&S involvement | [EH&S Website](https://ehs.colorado.edu/)  [EHSbio@colorado.edu](mailto:EHSbio@colorado.edu)  [EHS@colorado.edu](mailto:ocgproperty@colorado.edu) |
| * PI coordinates with their current institution and their CU Boulder department/institute to negotiate price for materials and/or supplies, transfer, moving costs, insurance and other details, including: |  |
| * PI gets signatures from the institution they are leaving for the list of materials |  |
| * PI completes any required Materials Transfer Agreements with CU Boulder’s OCG Contract Administrator designated for the department/institute | [MTA Submission Form](https://www.colorado.edu/ocg/manage-awards/types-agreements/material-transfer-agreements-mtas)  [ocgcontracts@colorado.edu](mailto:ocgcontracts@colorado.edu) |
| * PI and the institution they are leaving determines value |  |
| * Upon agreement of the items to be transferred, costs, etc., CU Boulder department/institute generates a Purchase Requisition |  |
| * The PI’s institution they are leaving generates an invoice to CU with the Purchase Order number included |  |
| * CU Boulder department/institute works with the PI to obtain a list of approved vendors for transfer through the Procurement Service Center (PSC) |  |
| * PI arranges for designated personnel at each end of the transfer process to pack-up and handover to transport at current institution and designated personnel to receive materials at CU Boulder |  |

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| Lab Setup (Environmental Health & Safety) |  |
| * PI should notify CU Boulder department/institute of all lab/facility needs, including: * Specialized equipment needs * HVAC requirements * Nature/type/quantity of research materials used |  |
| * CU Boulder department/institute and the PI coordinate with CU Boulder’s Environmental Health & Safety(EH&S) for lab inspections and applicable safety trainings   Contact EH&S for information and requirements for:   * Radioactive materials (Radiation Safety Committee) * Biological materials including recombinant DNA (Institutional Biosafety Committee) | [EH&S Website](https://ehs.colorado.edu/)  [EHSbio@colorado.edu](mailto:EHSbio@colorado.edu)  [EHS@colorado.edu](mailto:ocgproperty@colorado.edu) |

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| Animal Subjects |  |
| * PI should arrange for the review and approval of the animal protocol   + Provide the IACUC Protocol Number on the Proposal Submission Request Form (PSR) | [Office of Animal Resources](https://www.colorado.edu/researchinnovation/oar)  [oaroffice@colorado.edu](mailto:oaroffice@colorado.edu)  [iacucoffice@colorado.edu](mailto:iacucoffice@colorado.edu) |
| * PI coordinate the transfer of animals (may require Materials Transfer Agreement) | [MTA Submission Form](https://www.colorado.edu/ocg/manage-awards/types-agreements/material-transfer-agreements-mtas)  [ocgcontracts@colorado.edu](mailto:ocgcontracts@colorado.edu) |

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| Human Subjects |  |
| * PI works with CU Boulder’s Institutional Review Board (IRB) to discuss transition plan for the management of human subject research projects, including: * Arrange for the review and approval of the protocol * Provide the IRB Protocol Number on the Proposal Submission Request Form (PSR) | [Institutional Review Board](https://www.colorado.edu/researchinnovation/irb)  [irbadmin@colorado.edu](mailto:irbadmin@colorado.edu) |

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| Controlled Research |  |
| * PI arranges for the review and approval of the protocol and applying for any necessary licenses with Export Controls | [Office of Export Controls](https://www.colorado.edu/researchinnovation/export-controls)  [OEC-OCG@colorado.edu](mailto:OEC-OCG@colorado.edu) |

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| Intellectual Property |  |
| * PI identifies any background IP (inventions, patents, software, etc.) that they created and need for research at CU Boulder | [vpcontact@colorado.edu](mailto:vpcontact@colorado.edu) |
| * PI works with OCG IP Legal Counsel and Venture Partners at CU Boulder to complete necessary agreements to utilize background IP at CU Boulder | [Venture Partners Website](https://www.colorado.edu/venturepartners/)  [ocgcontracts@colorado.edu](mailto:ocgcontracts@colorado.edu) |

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| Other Contractual Obligations & Gifts |  |
| * PI terminates or transfers responsibilities for other contractual obligations to CU Boulder, for example: * Material Transfer Agreement * No Cost Collaborations * Bailment Agreements * Data Use Agreements * Non-Disclosure Agreements | [ocgcontracts@colorado.edu](mailto:ocgcontracts@colorado.edu) |
| * PI notifies sponsor(s) of these changes |  |
| * PI coordinates with their CU Boulder department/institute’s designated OCG Contract Officer | [OCG Directory](https://www.colorado.edu/ocg/directory) |
| * PI identifies any research gifts eligible for transfer to CU Boulder and department/institute connects PI with their designated advancement representative |  |