Inbound Transfers of Principal Investigator Awards to USC

1. Advance Inbound Assessment

Prior to extending an offer to a faculty candidate transferring awards to USC, the school should conduct an advance assessment of existing contracts and grants at the prior institution. The purpose is to evaluate the funds and activities that would realistically come to USC, recognizing that awards are made to institutions (not individuals), and that research data, materials and equipment are owned by the prior institution.

The Inbound Assessment should be completed by the school and/or department based on public information sources along with information contained on the candidate’s C.V. and application. The school should make a qualititative assessment – taking into account all available information – of the likelhood that the award would transfer to USC, and the challenges associated with transferring the award.

The school should not ask the candidate to provide confidential information, such as award documents or personnel information about other employees of the prior institution.

1. Upon completion, the Advance Inbound Assessment should be reviewed and approved by the Vice Dean for Faculty affairs. If the expected total dollar transfer exceeds $5 million, the Vice President of Research must also review and approve the assessment.
2. Taking the assessment into consideration, the school should carefully consider an appropriate offer, aligning space and resources with the expected size of the incoming program.
3. As soon as an offer is extended and accepted by the faculty recruit, the department chair and/or the Vice Dean for Faculty affairs should provide the approved Inbound Assessment to the Research Administrator (RA) handling the award transfer(s), who will be responsible for coordinating all transfer steps.
4. **Executing Inbound Transfers**

Upon the faculty candidate’s acceptance of the USC position, the research administrator may begin to execute transfers, in cooperation with USC units, and in cooperation with the incoming faculty member and prior university.

1. The RA should contact the incoming faculty member to review the Inbound Assessment, and ask him/her to indicate which awards he or she would like to transfer to USC.
2. The RA will next use the Incoming Award Transfer Checklist for each desired transfer. The Checkist covers a full range of considerations when a Principal Investigator (PI) is moving from another institution to USC. Please ensure that all relevant steps are promptly executed, and documented on the Award Checklist.

The research administrator (an all others involved in the process) must recognize that the prior institution may choose not to release an existing award, and some desired transfers might not occur. Please consult agency guidelines for more information on their processes for transferring awards.

To facillitate the timely transfer of awards:

1. Departments/schools must promptly provide the completed Inbound Award Assessment document to the assigned research administrator (RA).
2. For each award approved to transfer, consult with the incoming PI on which steps of the Inbound Award Transfer Checklist are applicable (e.g., IRB, IACUC, EHS, etc).
   1. Provide a copy of the the checklist(s) to the incoming PI for his/her review and approval. As in the initial assessment, do not ask the incoming PI to provide confidential information.
   2. For each award transfer, submit a proposal via Kuali Coeus consistent with current proposal submission processes.
   3. DCG will coordinate with the previous institution and sponsor regarding the applicable award relinquishing and transfer process for each respective award.
3. As the transfer steps are executed, the RA and DCG should keep the PI and department/school up to date on progress.
4. Retain a record of the completed Inbound Award Transfer Checklist consistent with current School procedures.

Please note: The Inbound Assessment supplements current faculty recruitment processes of the Unversity and School.