Outbound Award Transfers for Principal Investigator’s Leaving USC

1. Outbound Assessment

Prior to approving award transfers, the school should conduct an assessment of active contracts and grants.

The Outbound Assessment should be completed by the departing faculty member.

1. The Assessment should identify all active contracts and grants where the departing faculty member is a named Principal Investigator.  
   1. As applicable, the Assessment should identify and secure the approval of any proposed replacement Principal Investigator(s) for awards remaining at USC.
2. Upon completion, the Outbound Assessment should be reviewed and approved by the Dean or Dean Designee.
3. Taking the Assessment into consideration, the school should carefully consider the appropriateness of maintaining the award(s) at USC, including the availability of a replacement Principal Investigator and continued space and resources of the sponsored program.
4. Upon completion, the Assessment should be reviewed and approved by the Vice President for Research.
5. As soon as the award transfer is approved, the school should provide the approved Outbound Assessment to the Research Administrator (RA) handling the award transfer(s), who will be responsible for coordinating all transfer steps.
6. The RA should forward a copy of the approved Outbound Assessment to the Department of Contracts and Grants.
7. **Executing Outbound Transfers**

Upon approval of the outbound transfers, the RA may begin to execute transfers, in cooperation with DCG and other applicable USC units.

1. The RA should contact the outgoing faculty member to review the Outbound Assessment, and ask him/her to identify the specific USC units to contact based on the scope of the work (e.g., IRB, IACUC, EHS, etc).
2. The RA will next use the Outgoing Award Transfer Checklist for each desired transfer. The Checkist covers a full range of considerations when a Principal Investigator (PI) is moving from USC to another institution. Please ensure that all relevant steps are promptly executed, and documented on the Award Checklist.

Upon receipt of the Outbound Assessment, DCG will designate a DCG Lead to coordinate the Award Transfer process with the RA, school and departing PI. *Note, the DCG Lead is typically delegated to the DCG Officer assigned to the majority of proposals and awards for the transferring PI.*

Once assigned, the DCG Lead will review the Assessment, identify the award disposition plan (i.e. transfer, termination, closeout, PI change, etc.) and any sponsor requirements for the approved action.

1. For Award Transfer(s): DCG will coordinate with the RA on the preparation and submission of any required award relinquishment forms.
2. For PI Change(s): DCG will coordinate with the RA on the preparation of a PI Change request consistent with sponsor policies.
3. For Termination(s): DCG will prepare and submit the termination notice to the sponsor consistent with award terms and conditions and termination/closeout obligations.
4. For Closeout(s): DCG will inform PI and school of any outstanding required final report(s) consistent with award terms and conditions.

To facillitate the timely transfer of awards:

1. Schools must promptly provide the completed Outbound Award Assessment document to the assigned research administrator.
2. For each award approved to transfer, first determine which steps of the Outbound Award Transfer Checklist are applicable.
3. Coordinate with the New Institution to prepare and submit any required proposal documents associated with the award transfer.
4. As the transfer steps are executed, the RA should keep the PI, school and DCG up to date on progress.
5. Retain a record of the completed Outbound Award Transfer Checklist consistent with current school procedures.

Please note: The Assessment process supplements existing internal inventory checks that each school has developed for researchers leaving the University. Departing faculty should meet with their Dean or designee to obtain final clearance for all remaining relevant issues.