

**AWARD TRANSFER CHECKLIST**

Please complete this form for each award listed in Section B on the Outbound Assessment. The Award Transfer Checklist documents that all necessary actions were completed prior to the transfer of any award from USC to another organization and ensures internal review and approval by all required parties. This approval will be maintained in the referenced award's file. Please note, an Award Transfer Checklist is required for each individual award transfer, in addition to any form(s) required by the sponsor.

**PLEASE NOTE:** Please clarify your response where necessary in Section O "Comments."

**TRANSFER AWARD INFORMATION**

PRINCIPAL INVESTIGATOR (PI): \_\_\_\_\_

SPONSOR: \_\_\_\_\_

SPONSOR AWARD NUMBER: \_\_\_\_\_

CAYUSE SP PROJECT #: \_\_\_\_\_

NAME OF NEW INSTITUTION THE AWARD IS BEING TRANSFERRED TO: \_\_\_\_\_

CONTACT INFORMATION AT NEW INSTITUTION:

Contact Name: \_\_\_\_\_

Contact E-Mail: \_\_\_\_\_

**SECTION A – FINANCIAL REVIEW**

Note that no expenses can be incurred by USC after the Transfer Date listed below. The estimated amounts listed below will be reported to the PI's New Institution in order for them to prepare revised award documents. That portion of the estimated unobligated balance which has been received will relinquish to USC's sponsor, with potential final adjustments after the award is closed. Department is responsible to resolve any amount differences due to under/over spend, outstanding payments/deliverable, etc.

DATE TRANSFER WILL BE EFFECTIVE: \_\_\_\_\_

ESTIMATED TOTAL UNOBLIGATED BALANCE REMAINING ON AWARD: \_\_\_\_\_

EstimatedTotal Amount Unobligated Direct Cost: \_\_\_\_\_

EstimatedTotal Amount Unobligated F&A Cost: \_\_\_\_\_

**Check the below boxes to certify the following financial close-out actions have been completed:** (Please note that all boxes must be checked prior to final closeout)

- ☐ All expenses to date (including those on any satellite accounts or for outgoing subcontracts) have been processed and accounts reconciled, and that any pending expenses have been included in the estimated amount above.
- ☐ Request to closeout all Outgoing Subcontracts have been submitted in Workday.
- ☐ Effort Certification reports have been completed for all reporting periods required prior to PI Departure Date.
- ☐ All cost sharing commitments have been met and any report(s) have been submitted to the Sponsor.
- ☐ All outstanding cost sharing commitments resolved with Department Chair and/or School Designee.

**Check the below boxes to certify all the following have been completed:** (Please note that all boxes must be checked prior to signature)

All deliverables, technical reports and invention reports due through the date of the official transfer have been submitted.

All disclosures of Intellectual Property which are required under the terms of the Award and the [USC IP Policy](#) have been submitted.

**AWARD TRANSFER CHECKLIST****SECTION C – TRANSFER OF DATA AND MATERIALS**

Please coordinate with [USC Stevens](#) to determine if there are any data restrictions/requirements that must be addressed prior to award transfer. If the PI will transfer data or materials collected, developed, or created under this Award to the New Institution please complete the information below. If there are no data or materials collected, developed, or created under this Award being transferred to the New Institution please select the below box and Move to Section D.

☐ **No data or materials collected, developed, or created under this Award will be transferred to the New Institution (Proceed to Section D)**

**Transfer of Materials:**

Information on materials that will be transferred to the new location (cell lines, clinical samples, etc.) has been provided to your Department Chair and School Research Dean.

☐ **N/A (no materials will be transferred)** ☐ **Yes** ☐ **No**

A request been submitted to [USC Stevens](#) to prepare the Material Transfer Agreement (MTA) for all materials which will be sent to the Department and School for review and put in place with the New Institution prior to the transfer of materials.

☐ **N/A (no materials will be transferred)** ☐ **Yes** ☐ **No**

Any material received from external parties that is not being transferred has been returned/destroyed.

☐ **N/A (materials from external parties)** ☐ **Yes** ☐ **No**

**Transfer of Data:**

A request has been submitted to [USC Stevens](#) to prepare the Data Use Agreement (DUA) For all data to be transferred to the New Institution, which will be sent to the Department and School for review.

☐ **N/A (no data will be transferred)** ☐ **Yes** ☐ **No**

Department Chair and School has approved transfer of data to the New Institution (such approval may be indicated on the DUA).

☐ **N/A (no data will be transferred)** ☐ **Yes** ☐ **No**

If the award contains clauses that limit publication (e.g., DFARS 252.204-7000) or involve the receipt/generation of security sensitive/export-controlled data: you have obtained approval from the Office of Culture, Ethics and Compliance prior to transfer of any data to the new institution.

☐ **N/A (No Publication and/or restriction/export controlled/security sensitive data)** ☐ **Yes** ☐ **No**

You have secured approval from the Sponsor's contracting officer prior to transfer of any security sensitive/export-controlled data.

☐ **N/A (No export controlled/security sensitive data)** ☐ **Yes** ☐ **No**

**SECTION D – AWARDS WITH MULTIPLE PIs and/or SCHOOLS**

This section applies to awards that have multiple PI's and where multiple schools are involved, please complete the required information below. If this award does not have multiple PIs and/or multiple schools, please select the below box and proceed to Section E.

☐ **This award does not contain multiple PIs and/or multiple schools. (Proceed to Section E)**

All PI's named in the award and their Schools have been notified and have agreed to the award transfer:

☐ **Yes** ☐ **No**

All faculty with Satellite accounts off this Award have been notified of the pending award transfer:

☐ **Yes** ☐ **No**

**SECTION E – OUTGOING SUBCONTRACTS**

This section applies to awards that have outgoing subcontracts that are currently active. Please complete the below information. If this award does not contain any active outgoing subawards please select the below box and proceed to section F.

☐ **This award does not contain any active outgoing subawards. (Proceed to section F)**

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The Subrecipient PI and Authorized Reps at the subrecipient's institution have been notified of the award transfer:

☐ Yes ☐ No

Amendment(s) on the Outgoing Subcontract(s) have been executed revising the end date and/or terminating the outgoing subcontract prior to the date of the award transfer:

☐ Yes ☐ No

Final invoices accounting for all expenses incurred by the Subcontractors have been received and payment made:

☐ Yes ☐ No

**SECTION F – ANIMAL SUBJECTS**

This section applies to awards that have Animal Subjects. Please note that transfer of animals to another PI at USC or to a new institution may involve up to 30-60 days for review and approval. You will want to work with [Institutional Animal Care and Use Committee](#) (IACUC) and/or [Department of Animal Resources](#) (DAR). Please plan accordingly. If your award does not have Animal Subjects, then you can select the box below and move to Section G:

☐ **This award does not contain any Animal Subjects. (Proceed to Section G)**

DAR notified with the expected final date for animal work. (Remaining animals must be transferred to another PI or institution prior to departure.)

☐ Yes ☐ No

If transferring the protocol to another USC Principal Investigator, IACUC amendment has been filed in [I-STAR](#):

☐ **N/A (not transferring protocol)** ☐ Yes ☐ No

DAR notified on whether animals will be transferred to new institution or disposition options discussed:

☐ **N/A (not transferring protocol)** ☐ Yes ☐ No

Departing PI access to animal resources building(s) has been terminated:

☐ Yes ☐ No

**SECTION G – HUMAN SUBJECTS**

This section applies to awards that have human subjects. Please complete the below information and consult with [IRB](#) Officer if you are unsure on how to proceed. If your award does not have human subjects, then you can select the box below and move to Section H

☐ **This award does not have human subjects. (Proceed to section H)**

Continuing Review Application requesting closure of the study has been submitted if work has been completed.

☐ **WORK NOT COMPLETED** ☐ Yes ☐ No

A fully executed IRB Authorization Agreement (IAA) in place to cover IRB oversight of the study during transition.

☐ Yes ☐ No

The transferring PI's name has been removed from section 2.1 of the [iStar](#) application.

☐ Yes ☐ No

If the PI will perform human subjects research at the new institution, an amendment to the [iStar](#) application is approved identifying in section 6 the new collaborating site.

☐ Yes ☐ No

If any of the study will continue at USC an amendment changing the PI and removing the transferring PI from personnel list submitted.

☐ **N/A (Study will not continue at USC)** ☐ Yes ☐ No

For faculty who plan to take research data or specimens from USC human research studies, they have been provided proof for IRB's approval.

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☐ N/A (Will not take research data and/or specimens outside USC) ☐ Yes ☐ No

If a DOD Human Research Protection Office (HRPO) review was obtained, HRPO has been informed of the transfer and any documentation provided.

☐ N/A (DOD HRPO review was not obtained) ☐ Yes ☐ No

**SECTION H – CLINICAL TRIALS**

For awards that are clinical trials please complete the below information. For industry sponsored clinical trials you will want to work with the [Clinical Trials Office](#) (CTO). If this award is not a clinical trial, please select the below box and proceed to section I.

☐ This award is not a clinical trial. (Proceed to Section I)

If USC will remain a site for the project: contact information for the new USC PI given to CTO and a revised amendment has been submitted in [I-STAR](#).

☐ N/A (USC will not remain a site) ☐ Yes ☐ No

You have provided information to CTO on any expected Data Use Agreements related to the transfer.

☐ Yes ☐ No

For Studies registered in [Clinical Trials.Gov](#) Protocol Registration System Administrator (PSR) has been notified of the award transfer.

☐ Yes ☐ No

**SECTION I – RESEARCH INVOLVING BIOHAZARDS MATERIALS and/or RECOMBINANT DNA**

For awards involving biohazards or recombinant DNA please complete the below information. If this award does not involve biohazards or recombinant DNA, please select the below box and proceed to section J.

☐ This award does not involve Biohazardous Materials/recombinant DNA. (Proceed to Section J)

[Institutional Biosafety Committee](#) notified for assistance with disposal/transfer of material.

☐ Yes ☐ No

**SECTION J – RESEARCH INVOLVING WET LABS or SPECIALIZED LABORATORY FACILITIES**

For awards involving wet labs or specialized lab facilities please complete the below information. If this award does not involve wet labs or specialized lab facilities, please select the below box and proceed to section K.

☐ This award does not involve Wet Labs or Specialized Laboratory Facilities. (Move to section K)

[Environmental, Health and Safety](#) (EHS) notified via email 30 days prior to shutdown date.

☐ Yes ☐ No

EHS “Waste Disposal Request” completed for any unwanted hazardous materials prior to closeout. (Note: Any hazardous material left behind may result in charges to PI/Department for proper disposal.)

☐ Yes ☐ No

**SECTION K – EXPORT CONTROLLED RESEARCH**

For awards involving export-controlled information please complete the below information. If you are unsure please consult with your DCG officer and/or the [Office of Culture, Ethics and Compliance](#) (OCEC). If this award does not involve export-controlled information, please select the below box and proceed to section L.

☐ No export-controlled data or information was received or generated in this Award (Move to Section L)

The Office of Culture, Ethics and Compliance notified.

☐ Yes ☐ No

If the departing employee is a foreign national returning to their home country and they have participated in any type of export-controlled research or project: Office of Ethics and Compliance notified to determine what (if any) data may be taken back to their home country. (Controlled data may not be transferred out of the country without review and approval from the OCEC. The foreign national employee will also be required to sign an export attestation prior to transferring any permitted controlled data outside of the US)

☐ N/A (PI is not a Foreign National or is not returning to home country) ☐ Yes ☐ No

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If the departing employee intends to transfer export-controlled equipment, materials, biologics, and/or data to another institution/ entity: Office of Ethics and Compliance has been notified to ensure that all documentation and export controls requirements are met. (The OCEC will work with the receiving institution/ entity to ensure that requirements are met for the transfer.).

☐ N/A (no export-controlled data, materials or info will be transferred) ☐ Yes ☐ No

**SECTION L – EQUIPMENT**

This section applies to awards where there was equipment acquired/purchased. If equipment was acquired/purchased, please check the box below and attach a list with the requested information. If there was no equipment acquired/purchased under this agreement, please select the below box and proceed to section M.

- ☐ There was **no** purchase of equipment under this Award (Move to Section M)
- ☐ There was purchase of equipment under this Award and a list of all equipment purchased **has been attached to this transfer** which clearly indicates (1) the type of equipment and (2) if the equipment will be transferred or remain at USC.

**SECTION M – IF PORTION OF THE SCOPE OF WORK WILL REMAIN AT USC AFTER TRANSFER**

If the PI intends to subcontract back to USC in order for the scope of work to continue at USC, please complete the below information. If none of the scope of work will remain at USC, please select the below box and proceed to section N.

☐ **No portion of the scope of work will remain at USC. (Proceed to section N)**

A USC subcontract Proposal (including scope, budget and budget justification) has been prepared and approved in the Cayuse system for submission to the New Institution.

☐ Yes ☐ No

An eligible USC PI has been identified and agrees to continue the USC scope of work under a subcontract agreement back to USC.

☐ Yes ☐ No

**SECTION N – FOR TRANSFER OF NIH FUNDED AWARDS**

This section is specific to transfers for NIH funded awards. If this award is NIH funded, please complete the below information.

The Principal Investigator has ongoing or recent investigations of misconduct of any kind, including but not limited to professional misconduct or research misconduct.

☐ Yes ☐ No

**SECTION O - Comments**

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**REVIEW AND APPROVAL OF AWARD TRANSFER**

The below parties have reviewed the above Award Transfer Checklist and certify that the information is correct to the best of their knowledge. The parties approve the transfer of this award to the New Institution.

Signature - Lead Unit Post Award Administrator	Signature – School Research Administration Office
(If Industry Clinical Trial) Signature - CTO Contracts Manager	Signature – SPA Manager or Designee
(If Equipment was purchased) Signature – Equipment Management	Signature – Department of Contracts and Grants