



Policy and Procedure Manual

SUBJECT/TITLE: Departing Faculty Fiduciary and Grant Policy and Procedures

PURPOSE: Provide guidelines and policies for fiduciary responsibility grants management, and laboratory transfer for a departing faculty member in the Carver College of Medicine

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INTRODUCTION

It is the intent of this policy to allow the separation of faculty from the University of Iowa’s Carver College of Medicine (UI-CCOM) to their gaining institution to be performed as efficiently and responsibly as possible. This policy recognizes that faculty may have fiduciary and research obligations at the UI-CCOM that will extend past the date of physical departure. This is in addition to University of Iowa policies as found in the Operations Manual.

<https://opsmanual.uiowa.edu/>

UI-CCOM POLICY

Expenditures

Expenditures or reimbursements from a departing faculty member’s research account(s) will require approval from the department DEO or delegate upon notice of termination. Expenditures and reimbursements should be consistent with baseline spending. Baseline spending will be determined by the department administrator based on historical spending and will include encumbering the appropriate accounts to sustain lab operations prior to and post departure.

Equipment & Computers/Peripherals

Equipment and computers/peripheral transfers to new institution will require department and CCOM Research Office approval.

- When purchased with institutional funds or extramural grant funds that have expired, the UI-CCOM expects payment from the new institution at equal to or greater than book value of equipment. The University of Iowa Property Management Office maintains an inventory of book values for capitalized equipment (purchase price > \$5K). When purchased with extramural grant funding that is currently active, the

- equipment can be transferred at no cost to the new institution. Appropriate forms are required to be submitted for this transfer. See “Requests to Transfer Equipment to New Institution” under ‘CHECKLIST & RESOURCES’ below for the steps.
- If the departing faculty requests transfer of computers and/or peripherals, HCIS will need to be notified as early as possible to start the process and prepare the computer and peripherals for transfer.
 - See “CHECKLIST & RESOURCES” for additional information.

Internal Funding

The following are the UI-CCOM policies for management of internal funds for the departing faculty member:

- Gift Funds: Gifts not expressly named to the faculty member with explicit use for their identified research portfolio will revert to the college or department.
- Start Up or Discretionary Funding: Any remaining start up or discretionary funding will be returned to the source -- department, college, or university in the same percentage as it was provided.
- Notify the CCOM Office of Research of the planned departure so they can help track these internally funded accounts.
- The departing faculty will not purchase, or request to purchase, new equipment/computers/peripherals using institutional funds.

Lab Shut Down

When the departing faculty has a lab to shut down before moving to new institution, a few steps are required:

- Faculty are responsible for cleaning out their labs before departure. If the responsibility is left to the CCOM Facilities office, the department may be charged for that expense.
- Contact the Environmental and Health Safety Office (EHS) for proper lab shut down.
- Contact the CCOM Office of Research (com-research@uiowa.edu) to assist in lab clean out
- See “CHECKLIST & RESOURCES” for additional information.

Lab Personnel

If lab personnel are placed on furlough status as a result of the faculty departing the institution, there is a hierarchy for funding furloughed staff:

- Primary Funding Source – extramural or start-up funds subcontracted to the University of Iowa from the new institution
- Secondary Funding Source – Faculty Development funds, gifts, professorships or chair endowments.
- Tertiary Funding Source – Department budget.

Contact your HR representative for further information and procedures.

Research

Forms and Plans

When the departing faculty conducts research, the Division of Sponsored Programs (DSP) website should be reviewed and appropriate forms submitted. There are several steps to closing out and/or transfer externally-funded projects, especially when the research includes human subject research, animal research, select agent research, and subawards. The DSP website outlines all the required steps for transferring materials, data, and grants. See “CHECKLISTS & RESOURCES” for links to DSP for grant transfers; EHS for lab shut down; Human Subjects Office and Animal Resource Office for transferring data and materials.

Timeline

Transferring research projects to the new institution is a process that can take up to a couple of months. It is dependent on the funding agency, the requests for transfer submissions by the faculty or department, relinquishments and determining the appropriate funding plan for staff and research remaining at the UI. Starting this process as soon as possible will ease the transition.

RESPONSIBILITIES

Departing Faculty Member

It is incumbent on the departing faculty member to notify their departmental leadership, including the department administrator, as soon as possible to allow for a responsible and timely transfer of research grants, materials, data, equipment and/or lab personnel to the gaining institution, as well as determine the proper funding for ongoing expenditures prior to and post departure.

The faculty member will work with their DEO and department administrator to establish a departure plan to include: the sustainment of lab operations prior to departure in addition to post departure, the transfer of research grants, including the associated data, materials, equipment, and lab personnel; proper close out of research laboratory, including closing out IRB and IACUC protocols; and submitting final reports.

Department Administrator

The department administrator will be responsible for:

- Reviewing historical spending, establishing baseline spending, and encumbering the appropriate accounts to sustain lab operations prior to and post departure as

determined by the plan. This includes establishing funding for furloughed staff and/or graduate students.

- Submitting the appropriate paperwork to suspend the faculty member's PCard privileges with the UI Purchasing Department.
- Cancel and/or collect all UI-provided services for the faculty member, such as parking pass/departmental placard and keys and key cards.
- Establishing a workflow to approve purchases for the departing faculty member with the DEO, CDA and/or Vice Chair for Research included in the approval process.
- Allocating funds to ensure any accounts payable are paid with the appropriate funding source, especially to support graduate students and furloughed employees. It is the departing faculty's responsibility these positions are supported after they leave the institution.
- Establish an HR complimentary appointment for faculty member, when applicable. Example: Departing faculty will remain an investigator on a project for which access to data, etc, is only allowable for those that are UI employees.
- When departing faculty conducts research, ensuring proper lab shut down and research-related agreements and equipment are appropriately dispatched in accordance with the relevant compliance offices. See "CHECKLIST & RESOURCES" for the steps.

COMMON PITFALLS

Data Ownership and Transfer Data collected or obtained at the university is owned by the university. When data is collected from human subjects from a clinical trial or other research project, the IRB must be contacted to ensure the data is allowed to be transferred in accordance with UI policies, sponsor policies and the informed consent documentation. Data includes lab notebooks, case report forms and any clinical trial information as well, as these are necessary for audit requirements. See the [Research Data Policy](#) for further details.

Equipment/Supply Transfers It cannot be assumed that equipment or computers are free to be transferred to another institution without approval from the faculty's department, and perhaps the sponsor, as well as Capital Asset Management (if requesting to transfer a capital asset – purchased for \$5,000 or more). See '**Equipment & Computers/Peripherals**' in the CCOM Policy section for details of what can and cannot be transferred.

Lab Cleanup Faculty sometimes leave the UI without cleaning out their labs appropriately or completely. If the CCOM Facilities Office ends up being responsible for the cleanup, the faculty's department may be charged for the expense.

Maintaining Lab Personnel/Graduate Students after Departure Please remember that if there will be any staff or graduate students remaining at the university after the faculty departs then funding mechanisms will need to be established before departure. This may include leaving some of the research funding at Iowa to cover these costs, or establishing a subaward agreement to Iowa from the new institution. It is the responsibility of the faculty to support any furloughed

employees.

Ownership of Funds It is a common misconception that internal and external funding is owned by a faculty member. In fact, funding is owned by the university. This includes external grants and contracts. All external funding is awarded to the University of Iowa, not to any employee of the university (faculty or staff). Therefore, the university, by way of the Dean's office and/or the Division of Sponsored Programs, is the responsible party for approving any transfer or use of funds by the departing faculty member.

Transferring Grants The University of Iowa is the recipient of all external funding. Any request to transfer funds/grants is at the discretion and approval of the university, not the principal investigator. Work with your department administrator and the Division of Sponsored Programs when requesting to transfer grants. Forms that are required to be completed when requesting the transfer of grants. This can be overlooked until very late in the process, which adds more time than necessary to complete any approved transfers.

Transferring Materials Any materials collected, purchased, or produced is the university's property. When purchased, collected or produced with external/grant funding, the funding agreement will be the guidance to follow for rights to share or transfer the materials. Work with your department administrator and the Division of Sponsored Programs when requesting to transfer materials.

CHECKLIST & RESOURCES

Equipment Transfers

- <https://cam.fo.uiowa.edu/capital-assets-management/policies-and-procedures>

External Funding

- Review the Division of Sponsored Programs website for "PI Transfer/Departure/Change of Status" information and necessary forms to complete.
<https://dsp.research.uiowa.edu/pi-transferdeparturechange-status>

Furloughed Staff

- Contact your HR Representative

Human Subjects Office

- https://hso.research.uiowa.edu/resources-faculty-staff#PI_change

Lab Shut Down

- Contact the Environmental and Health Safety Office for lab shut down procedures
<https://ehs.research.uiowa.edu/lab-safety/laboratory-close-out-procedure>

Office of Animal Resources

- <https://animal.research.uiowa.edu/animal-shipping-and-other-institutions>

PCard

- Contact the Purchasing Department to suspend PCard.
<https://ap-purchasing.fo.uiowa.edu/procurement-card>

Requests to Transfer Equipment to New Institution

- <https://cam.fo.uiowa.edu/capital-assets-management/forms#title-transfer-of-university-equipment>

Requests to Transfer Computers and/or Peripherals to New Institution (HCIS Enterprise Service Center (ESC)

- https://service.uiowa.edu/CherwellPortal/UIHCPortal?_=6fc344b4#0

Transferring Materials (specimens, animals, etc) or Data to New Institution

- Materials: Submit an '*Outgoing Material Transfer Agreement (OMTA) Request Form*' to DSP to transfer any materials to new institution. <https://workflow.uiowa.edu/form/outgoing-omta-request>
- Data: Submit a '*Non-Monetary Routing Form*' for the transfer of data to the new institution. https://uiris.uiowa.edu/non_monetary/index