

Transfer of Grants

Related University of Missouri Policies

[Policy 27025 - Facilities and Administrative Costs](#)

[Policy 27001 – Establishing an Award](#)

[Policy 27003 - Cost Sharing/Matching](#)

Related Sponsored Programs Administration Procedures

[Advance and Pre-Award Accounts](#)

[Cost Share](#)

[Proposal Submission Deadlines](#)

[F&A Cost Recovery](#)

[Electronic Proposal Signature Routing Sheet \(ePSRS\)](#)

Overview

The process of transferring awards from one institution to another requires negotiation between the sponsoring agency, the investigator's prior (old) institution and the investigator's new institution. The arrangements are made by the two Sponsored Programs offices in consultation with the principal investigator and his/her department at both the prior and new institution. Matters to be addressed are: the form of transfer; determination of the unobligated balance; differences in facilities and administrative (F&A) rates; and the funding gaps created by the time required to closeout and re-issue the project. The transfer process can take several months depending on the complexity of the project being transferred, and the number of parties involved. It is important to remember that grants are awarded to institutions, not individuals; therefore, the grantee institution must "relinquish" the grant back to the sponsor and then sponsor must approve of a grant transfer to the new organization.

For both incoming and outgoing grant transfers, considerations include:

Approval for the grant relinquishment– When the Principal Investigator (PI) on a grant changes institutions, the decision about whether the grant will stay at the current institution or will be transferred will require the approvals of the PI, the department chair and the division or school dean. Other investigators or key personnel should be notified of any decision.

Intellectual Property (IP), Data Use, Materials –Most Universities policies stipulate that any IP created is owned by that institution. If a PI plans to use any of that owned IP for research projects they want to transfer, they will need to obtain permission or a license to use that IP at the new institution. Likewise, they will need to check on permission from the current institution to use data previously generated or owned and ensure that any materials they may need to bring with them are approved to be moved.

Subcontracts – Active subcontractors will need to be notified and the subcontract with the prior institution notified for closeout. A new subrecipient commitment with the new institution will need to be obtained for inclusion in the grant transfer application that will be submitted by the new institution.

Equipment – The PI will need to review any award agreement for projects that involve equipment purchases. If equipment has been purchased on a grant, it may be able to be moved to the new institution.

Procedures

To transfer awards received at another institution to the University of Missouri (MU), a new faculty member should first discuss the status of their awards and their plans with the sponsor(s), current and new academic home department/college, and MU's Sponsored Programs Administration (SPA) offices.

Responsibilities

Below is an outline of responsibilities as they relate to the transfer of a grant to University of Missouri:

The new to MU faculty member will need to obtain the anticipated or actual unobligated balance amount to be transferred from their old institution. The PI, with assistance from their new MU Academic home department will prepare a *new proposal* (change of institution application) for the remaining/relinquished balance amount to be transferred for each sponsored project to be transferred. These new proposals will most likely consist of:

- A budget reflecting MU salary, fringe benefits, and F&A costs.
- A budget justification.
- A project description that usually consists of a progress report and a description of the work that remains to be done on the project.
- Sponsor required application package and/or any additional sponsor requested information or forms.
- Internal approval forms called an electronic Proposal Submission Routing Sheet (ePSRS) with investigator (s), department/division, and dean signatures.
- Financial Conflict of Interest documentation, if required.

A transfer from another institution to MU may occur in a variety of ways:

New award to the University of Missouri – When an award and its remaining balance is to be transferred in entirety to MU, the principal investigator's previous employer must formally relinquish the award and provide the unobligated balance. The PI submits a new MU proposal (change of institution application) to the sponsor. The sponsor then awards the project to MU.

Subcontract to University of Missouri – When only a portion of the work is to be transferred, a new principal investigator is named at the former institution (with prior approval of the sponsor) and the original (new to MU) PI submits a subcontractor proposal from MU to his or her former institution. The former institution will then issue a subcontract to MU.

New award to University of Missouri with a subcontract back to prior institution – When the majority of the work will take place at MU, but a portion remains at the old institution, a principal investigator at the old institution submits a proposal to MU which is then incorporated into the proposal (change of institution application) submitted by MU to the sponsor. When the award arrives at MU, a subcontract is issued back to the PI's prior/old institution.

PI Responsibilities

Contact the Sponsored Programs Office at old and new institution as soon as possible, prior to the anticipated transfer so that the offices can begin the transfer process. Contact the sponsor's Contracting Officer, Program or Scientific Officer, and/or Grants Management Specialist as appropriate.

- Notify the old institution's academic department chair, and/or the college dean of the planned departure and obtain approval to take the grant to the new institution.
- Notify the sponsoring agency Program Officer of the anticipated transfer and obtain their approved/next steps to transfer the grant.
- Review the original award documentation for sponsor requirements, including cost sharing requirements, if applicable. Determine the amount of any remaining obligations for cost sharing commitment to be transferred to the new institution.
- Work with the old institution's sponsored programs office to close out any subcontracts or other agreements related to the award, if applicable.
- Work with the old institution to prepare the agency specific relinquishing forms, if applicable.
- Work with the new MU academic home department to prepare any proposal materials required by the sponsor, and the internal forms required for the approval of the proposal.
- When received, assist with reviewing and approving the new MU grant award, as well as provide any additional items as required by the sponsor, the department, and SPA.

Department Responsibilities

- Along with the PI, review the original award documentation for sponsor requirements, including cost sharing requirements, if applicable. Determine the amount of any remaining obligations for cost sharing commitment to be approved as part of the proposal submission.
- Assist the PI with preparing any proposal materials required by the sponsor.
- Prepare the internal budget and approval forms (ePSRS) required to approve of the transfer or change of institution proposal.
- Route the completed application and internal materials to the Sponsored Programs Administration offices for review and submission by the Authorized Institutional Official to the sponsor.
- When an award is received, assist the PI to review and provide any additional information or information required by the sponsor or SPA.

Sponsored Programs (SPA) Responsibilities

- Serve as an administrative resource in the preparation of all materials related to the transfer application.
- Review the application for transfer of the grant and all the internal documents for completeness, accuracy, and compliance with agency and university requirements prior to submission,
- Submit the transfer request to the sponsor and provide such confirmation to the PI and the department and college.
- When an award is received, review the applicable terms and conditions, and coordinate any additional requirements prior to issuance of the award to the PI and department.

Resources

[Incoming Grant Transfer Checklist](#) - A checklist that includes a list of information that will assist with the development of a new proposal to be submitted by MU for the grant being transferred.

[Grant Fact Sheet](#) – Information such a Business Officers, Organizational type and related identifiers, indirect cost rates, fringe benefits rates, tuition remission specific to MU.

[Sponsored Programs Administration Webpage](#) – Contacts, Organizational Charts, Procedure Guide, Service listing, and other information specific to MU SPA.

Agency Specific Information

National Institutes of Health (NIH)

- How to Transfer an NIH Grant :
http://www.niams.nih.gov/funding/Policies_and_Guidelines/transfer_institution.pdf.
- NIH Grants Policy Statement:
http://grants.nih.gov/grants/policy/nihgps_2010/nihgps_ch8.htm#_Toc271264936
- PHS 3734 Official Statement Relinquishing Interest and Rights in a PHS Research Grant (<http://grants1.nih.gov/grants/phs3734.pdf>)
- HHS 568 Final Invention Statement and Certification (<http://grants1.nih.gov/grants/hhs568.pdf>)

National Science Foundation (NSF)

- FastLane Transfer Request Instructions:
https://www.fastlane.nsf.gov/NSFHelp/flashhelp/fastlane/FastLane_Help/fastlane_help.htm#what_is_the_pi_transfer_request.htm
- NSF Policy:
http://www.nsf.gov/pubs/policydocs/pappguide/nsf15001/aag_2.jsp#IIBg

National Aeronautics and Space Administration (NASA)

- NASA How-to Guide: <http://science.nasa.gov/researchers/sara/how-to-guide/>
- NASA FAQ: <http://science.nasa.gov/researchers/sara/faqs/#15>

Department of Defense (DoD)

- Contact the Program Officer

Department of Education

- Contact the Program Officer

Department of Energy (DOE)

- Contact the Program Officer

Department of the Interior

- Contact the Program Officer

Need Help?

Contact SPA at grantsdc@missouri.edu or (573) 882-7560

Creation Date

06/13/2022

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