

Grant Transfers

Sponsored projects are awarded to the University of Maine System Acting through the University of Maine (UM), not directly to the Principal Investigator (PI). If a PI plans to leave UM for a new institution during the course of a sponsored project, UM has the prerogative to retain, transfer, or terminate the award. In those cases, where UM and the new institution agree, ORA will facilitate the transfer of the award to the PI's new institution, which includes requesting sponsor approval for the transfer.

It is important to allocate enough time for the transfer process; therefore, the request should be made well in advance of the expected start date at the new institution.

Grant Transfer to Another Institution

To initiate a transfer, the PI must complete and submit to ORA a signed <Faculty/Research Exit Checklist>. The approval of the appropriate Department/School chair/director indicates their willingness to relinquish the award.

In addition to the Faculty/Research Exit Checklist all requests must include:

- contact information of the office equivalent to ORA at the new institution;
- the effective date of the transfer; and
- sponsor approval if already obtained from the sponsor [non-federal projects only].

ORA will review the award terms and conditions and advise the PI on what documents are needed to formally request a grant transfer. Factors to consider:

1. If the grant will not be transferred will a new PI be selected for the UM award? (If yes, this process will be a <change of PI> and not a grant transfer.)
2. If there are project staff members staying at UM, will there be a subaward issued back to UM from the new institution, OR will staff be assigned to other awards?
3. Are there subawards on the current award? All active subawards will need to be closed out prior to the transfer (Note: Closeout of a subaward requires the receipt of an invoice from the subawardee marked "Final.")
4. What will be the relinquishment date (generally, last day at UM)?
5. What is the unobligated balance to be transferred to the new institution? This is the amount unspent/unencumbered at the relinquishment date and may involve some estimates by the PI. The amount will be verified by ORA.
6. Are there any cost share obligations under the award?
7. Has there been any intellectual property developed?
8. Is there any equipment associated with this award that is to be transferred to the new institution?
9. Are there any compliance protocols (IRB, IACUC, rDNA, etc.) to close out?
10. Is there a lab to be closed?

11. Will any related project staff members, such as graduate students, transfer to the new institution with the PI?

General Process for Transferring an Award

1. Stop all spending on the award as soon as is practical. Transfer staff to other awards, if possible.
2. Notify ORA as soon as possible to complete an <PI Transfer Exit Session Checklist>. Note that transfers can take time to complete.
3. Complete the <Faculty/Researcher Exit Checklist>. This form must be completed, signed and returned to ORA before ORA can submit any transfer request to the sponsor.
4. For those sponsors that require a letter of request, PIs may prepare, on letterhead, a letter addressed to the sponsor's grants specialist or contracting officer and program manager. Remember that the award belongs to UM, so leave a place for ORA to add a signature block for the authorized official who will sign on behalf of The University. This relinquishment letter should contain the following:
 - The sponsor's award number
 - The effective date of relinquishment
 - The relinquished amount as of the date of transfer
 - A statement of intent concerning the transfer of equipment
5. Send the transfer request letter to the umgrants@maine.edu. Your request will be forwarded to post award staff. ORA will send this letter to the sponsor on behalf of the University.
6. Repeat this process for all awards to be transferred.

Note on Transfer of Contracts

Note that while federal grants are often transferred between institutions based on the relocation of a PI, contracts are generally not transferrable, but instead may be terminated completely and re-issued to a new institution. Likewise, sponsors may require that UM retain the original contract and issue a new subcontract to the PI's new institution. Regardless of the award type, the steps outlined above should be followed. Any questions regarding this process may be directed to the ORA Post Award Services staff.