



## Sponsored Project Administration

<b>Procedure:</b>	<b>Award Relinquishment</b>
<b>Owner:</b>	<b>Sponsored Project Administration</b>
<b>Effective date:</b>	<b>03/01/2018</b>
<b>Last Updated:</b>	<b>04/29/2021</b>

## Background

Awards are made by and between the UVM and the Sponsor. When a Principal Investigator plans to leave UVM prior to an award expiring, UVM may nominate a new Principal Investigator or agree to relinquish the award and equipment purchased using award funds, to the PI's new institution. Disposition of each award is a joint decision between the PI, Department Chair, Dean and SPA.

## Purpose

This document sets forth the procedure for the relinquishment of an award and equipment that will be transferred to a PI's new institution.

## Roles and Responsibilities

### Principal Investigator and Unit Administrator

- Principal Investigators or Unit Administrator have the primary responsibility to initiate the award relinquishment process.
- Principal Investigator should consult and discuss with sponsor's program officer, Department Chair, SPA, RPO and Unit Administrators early and often when leaving UVM.
- Secure Department Chair written disposition instructions for each award.
- Work with SPA, RPO, OTC and other UVM units to properly close out existing awards and complete sponsor relinquishment forms, submit final invention statement and technical reports, as applicable.

### Sponsored Project Administration

- Provide a detail list of the PI's active awards and pending proposals for discussion.
- Determine the amount available to transfer.
- Facilitate the relinquishing process. Review sponsor relinquishing guidelines.
- Work with PI and Unit Administrators to discuss any outstanding issues or action items.
- Assist with completing sponsor relinquishing forms and submit to sponsor.
- Provide final approval for any award relinquishment.



## Definitions

**Relinquishing Statement:** Official statement relinquishing interests and rights to a sponsored project, federal or non-federal.

**SPA:** Sponsored Project Administration

**RPO:** Research Protection Office

**OTC:** Office of Technology Commercialization

**AA:** Award Acceptance Specialist

**FA:** Financial Analyst

**RA:** Research Administrator

**PI:** Principal Investigator

**OSA:** Outgoing Sub-Award Specialist

**ARS:** Accounts Receivable Specialist

**UA:** Unit Administrator (For the purpose of all procedures, Business Unit Administrator, Business Manager, Grant Administrator and Department Administrator are all used interchangeably and refer to the person assisting the PI in the Department.)

## Procedure

### PI and Unit Administrators Initiate Relinquishment

- PI or Unit Administrator should contact your [assigned SPA Research Administrator](#) for a list of active awards and pending proposals.
- SPA RA will assist with identifying any sponsor-specific relinquishing guidelines.
- PI should discuss with Department Chair and secure written disposition instructions for each award and pending proposal.
- PI in coordination with Unit Administrator establish the relinquishment date for each award. No spending may occur after the relinquishing date. The relinquishment date should be the final date of a pay period to ensure accurate effort accounting.
- Identify equipment purchased with award funds that will transfer to the new institution.
- Generate a memo addressed to your SPA RA. The memo should identify the awards, equipment and pending proposals that have been approved for relinquishment.
- The memo for each award should include the following information:
  - PI's name
  - Sponsor name
  - Grant/Award number
  - Amount of unobligated funds remaining (see below)
  - Original Expiration date
  - Relinquishment date
  - Identify Equipment (>\$5,000) being relinquished



- Identify if a Subaward back to UVM is anticipated.
- Name of new Institution
- New Institution contact information (Grants Manager or Authorized Representative)
- Include any special instructions
- Signature of Principal Investigator
- Signature of PI's Department Chair, indicating Approval.
- Submit memo and any completed sponsor relinquishing forms to your [assigned SPA Research Administrator](#).
- SPA will review for completeness and accuracy, provide UVM approval, sign and submit to sponsor.
- PI and Unit Administrators begin the award closeout process as if the award had run to its natural end. This includes approval of effort reports, cost-sharing, and submission of a final progress, invention and property report.

### **Determining the Estimate Unobligated Balance**

- SPA Financial Analyst working with the Unit Administrator calculates the estimated unobligated balance available to be relinquished, less any holdback.
- SPA will holdback a minimum of 10% of unobligated funds, plus any sub-recipient obligations not yet liquidated, to ensure that UVM has funds retained to meet obligations that may be pending in the UVM financial system and not yet charged to the award.
- Any unspent funds still remaining after final close will be transferred to the new institution and become available to the PI for spending. UVM's official close occurs usually within 90-days from relinquishment date.

### **Notify Subrecipients of Early Termination**

- SPA's outgoing Subaward Office upon notification of a relinquishment date will work with the PI and Unit Administrator to issue subaward amendments to each subrecipient, terminating the subaward early due to the award being relinquished.
- Subrecipients should issue a final invoice to SPA as soon as possible.
- New institution is responsible for arranging new subawards with subrecipients.

### **Complete Sponsor Relinquishing Statements and Reports**

- PI with assistance from SPA RA will review the award conditions and complete relinquishing forms required for each sponsor.
- SPA signs and submits final relinquishing forms to Sponsor with a copy to the new institution.
- PI prepares and submits to the sponsor final programmatic report.

### **Transferring Equipment**

#### **Equipment Purchased from an Active Award being Relinquished**

- Equipment purchased on a single active award that has been approved for relinquishment may be transferred to the PI's new institution without reimbursement for the cost of the equipment to ensure the research can continue without interruption.
- If the equipment was purchased using funds from multiple awards, the determination will be made on a case by case basis. Contact SPA RA to discuss.



- The PI may be charged for ancillary costs such as dismantling or shipping and handling costs which should be paid for by the new Institution.

#### **Equipment Purchased from Expired Awards**

- Equipment purchased on expired awards or on any other funds will be reviewed on a case by case basis with the PI, Chair, Dean, SPA Director, and Cost Accounting.
- If the transfer is approved without charge, ancillary costs such as dismantling, shipping, and handling costs should be paid for by the new institution.
- If selling the equipment to the new institution, sponsor approval may need to be obtained. Please coordinate with SPA and UVM's Property Office.

#### **Coordinate with Research Protections, Office of Technology Commercialization**

- The PI in coordination with the Unit Administrator is responsible to ensure proper close out of all human subject, animal, and biohazard protocols with RPO.
- The PI in coordination with the Unit Administrator responsible to ensure proper closeout of intellectual property agreements and material transfer agreements with OTC.

#### **Award Closeout and Final Financial Report**

- SPA FA will coordinate with the Unit Administrator to ensure that all amendments and final invoices have been received from the Subrecipients.
- SPA FA will confirm with the Unit Administrator that all expenses have posted and effort has been reviewed.
- SPA FA prepares the Final Financial Report (FFR) and submits to sponsor as outlined in award agreement terms and conditions.
- SPA ARR remits any unspent funds to the sponsor as outlined in the terms and conditions of the award. Unobligated balances are returned back to the sponsor, and the sponsor is responsible for releasing those funds to the new institution with a revised Notice of Award.
- SPA FA will perform final accounts receivable reconciliations and complete closeout procedure as appropriate in PeopleSoft.
- SPA AA processes written notice from the sponsor that clearly identifies the relinquishment amount and date. SPA AA will check with the FA and RA to confirm reporting & other requirements have been completed.
- SPA AA will complete a checklist to change the (1) end date (2) financial reporting milestones if indicated on sponsor's notice, and (3) billing limit.
- The checklist will be entered by the Set-up Specialist and a notification will be sent to the PI and Unit Administrators.

#### **Process for Specific Federal Sponsors**

##### National Institutes of Health (NIH)

- SPA RA submits the NIH Relinquishing Statement form PHS3734, into eRA Commons.
- PI prepares and submits the NIH Final Invention Statement HHS 568, via Commons. If inventions are disclosed all information needs to be confirmed by OTC prior to submission.
- SPA FA prepares and submits the Final Financial Report, via Commons.
- NIH, upon receipt of new institution's transfer application, will issue a grant award.



**National Science Foundation (NSF)**

- PI with assistance from SPA RA submits a PI Transfer Request initiated via NSF FastLane.
- SPA FA completes the funding and expenditure information with the transfer amount automatically calculated.
- PI prepares and submits NSF “Annual Project Report” via FastLane.
- NSF, upon receipt of new institution’s transfer application, will issue a grant award.

**National Aeronautics and Space Administration (NASA)**

- PI prepares and submits any final required reports to NASA. Refer to Cooperative Agreement Manual on the NASA website.
- SPA FA prepares and submits Final Financial Report form SF-425 to NASA Grants Officer.
- SPA RAA returns any unobligated balance back to the sponsor.
- NASA will issue award modification to relinquish funds awarded to UVM.
- NASA, upon receipt of new institution’s transfer application, will issue a grant award.

**All other Federal or non-Federal Sponsors**

- Contact SPA RA and coordinate with program officer for sponsor-specific requirements.

**Helpful Links**

**National Institutes of Health (NIH)**

- [Grants Policy Statement](#)

**National Science Foundation (NSF)**

- [Grant Guidelines](#)

**National Aeronautics and Space Administration (NASA)**

- [Relinquishment, Article 6.3](#)

**Document Change Record**

Date	Version	Author	Change Details
03/01/2018	1	SPA	Initial release
05/25/2018	1.1	SPA	Removed Inactive Link
4/29/2021	1.2	SPA	Link Update


