

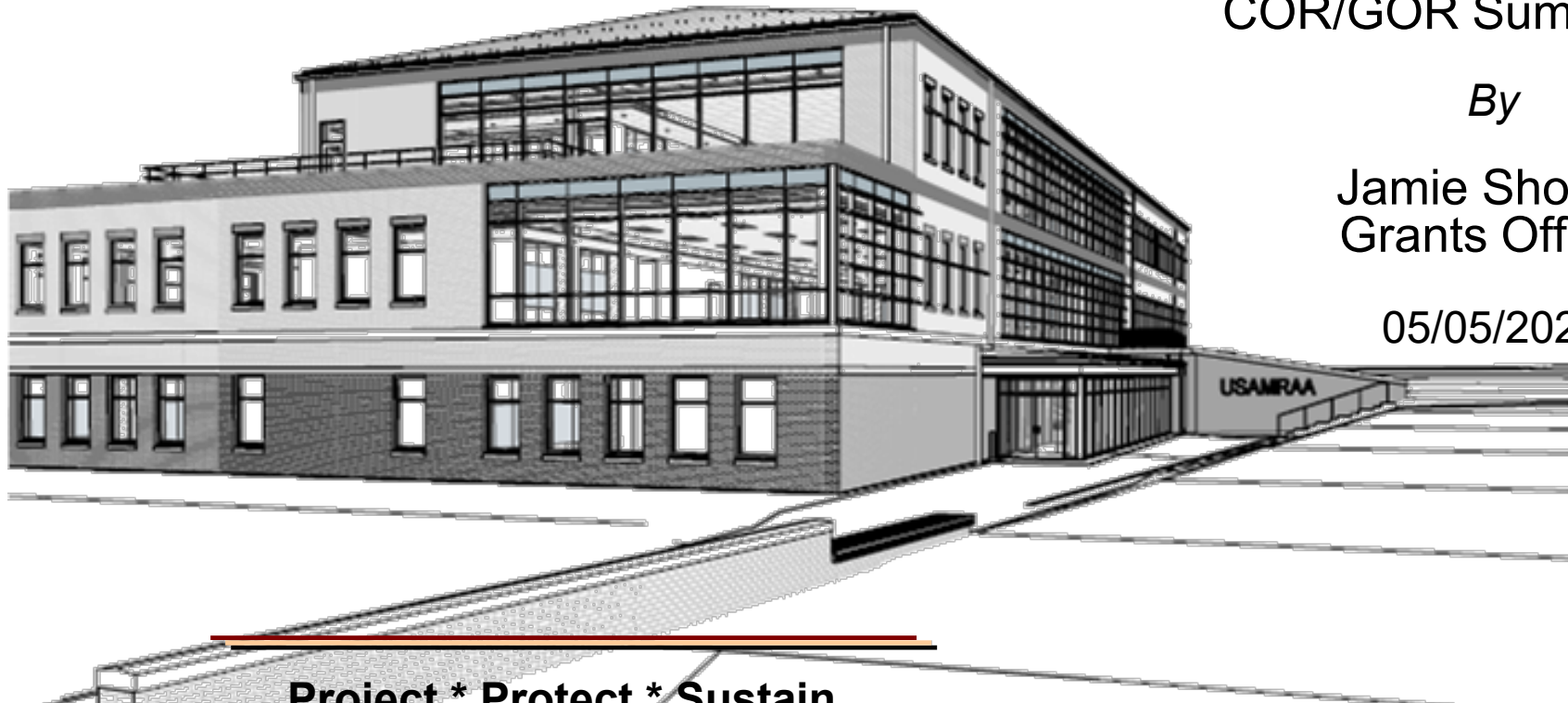
Grant Transfers (Pre/Post Award)

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By

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- ▶ What is a Grant Transfer?
 - ◆ What is the difference between pre-award vs. post-award?
 - ◆ Is it a new award or modification?
 - ◆ What does the process entail?

Standard transfer restrictions as stated in the Program Announcement (PA):

- ◆ "An organizational transfer of an award will not be allowed in the last year of the (original) period of performance or any extension thereof."
 - ✗ Maximum period of performance on new awards is 4 years

- ◆ "An organizational transfer of an award supporting the Initiating or Partnering PI is not allowed, except under extenuating circumstances that will be evaluated on a case-by-case basis and at the discretion of the Grants Officer."
- ◆ "The organizational transfer of an award supporting a clinical trial is strongly discouraged and in most cases will not be allowed. Approval of a transfer request will be on a case-by-case basis at the discretion of the Grants Officer."
 - ✘ Transfers on these types of awards would stop performance on all recipients jeopardizing the funds for all.

▶ Things to Consider:

- ◆ Do not agree to any transfer.
- ◆ Do not request or accept any relinquishing or acceptance documentation from the PI or Business Official before checking with the Specialist and the Grants Officer.
- ◆ Check the PA to make sure it is not prohibited, e.g., clinical trials, etc.
- ◆ Check the funding (i.e. expenditure/disbursement rates, expiration of funds, etc.)
- ◆ Check on the progress of the research
- ◆ Only a Grants Officer can make the final determination

Pre-Award vs Post-Award

- ▶ If a recipient requests a Pre-Award Transfer the following items are needed prior to the start of all other negotiations:
 - ◆ Letter of relinquishment from OLD organization's Business Office
 - ◆ Letter of acceptance from NEW organization's Business Office, verifying the original peer reviewed SOW /Scope of Work won't be changing
 - ◆ Submission of a proposal package reflecting the NEW organization's acceptance (an updated SF424 Research & Related Application for Federal Assistance / Project/Performance Site Location(s) Form / Research & Related Senior/Key Person Profile found on Grants.gov)

- ▶ **Process for Post-Award Transfer:**
 - ◆ **PI or Business Official** notifies Specialist or SO/GOR that PI is moving to a new organization.
 - ◆ **Recipient** has the **option** to:
 - ✗ Keep award and replace PI
 - ✗ Keep award and enter into a subaward with the PI's new organization
 - ✗ **Relinquish award in order to transfer it to the PI's new organization.**
 - ✗ This is usually the recipient's/PI's preference. Recipient is not required to replace PI or enter into a subaward.
 - ✗ The Business Official must submit a **written relinquishment of award** (email or letter). Relinquishment must state:
 - » **Willingness to relinquish award**
 - » Where PI is moving
 - » Effective date of move
 - » New organization's Business Official's contact information
- ▶ **Note:** Pre-award costs on a post-award transfer are not a given. Incurrence of preaward costs are not authorized without prior written approval of the USAMRAA Grants Officer. Official approval of preaward costs and of the transfer will be in the form of an award modification signed by the USAMRAA Grants Officer.

Post-Award Grant Transfers cont.

- ▶ Process for Transfer:
 - ◆ **Specialist Must (initial steps):**
 - ✘ Check the PA (if applicable) under which award was funded to see if transfers are prohibited. The Broad Agency Announcement does not prohibit transfers. Most PAs state that transfers will be considered on a case-by-case basis.
 - ✘ Check the award Terms and Conditions to see if a transfer was prohibited. This would be a “special” term. This would be rare.
 - ✘ Obtain a preliminary recommendation for approval from the GOR/SO and GO.
 - ✘ Make a note in the WAWF voucher log to notify the Procurement Technician so that either no additional payments are made or to see the Specialist before processing any additional payments
 - ✘ Request Final (close out) documents from Relinquishing Organization.
 - ✘ Final DD882 (which needs to be reviewed and concurred by GOR and legal)
 - ✘ Final SF425 with zero balance or refund balance (usually only applicable for old advance payment awards)
 - ✘ Annual report from the PI covering up to the date of the transfer.
 - ✘ If applicable, a list of equipment being transferred to the new organization.
 - ✘ Request Documentation from New Organization
 - ✘ Revised Budget – make sure that the budget is within the funding restrictions set forth in the PA
 - ✘ Revised SOW
 - ✘ PCPS/UEPS documents for any **new** personnel
 - ✘ Additional documents may be required – see transfer checklist

Any Questions?

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