

Relinquishments and Early Terminations

Relinquishment/Transfer of an Award

A Relinquishment transfers an award and returns funds back to the sponsor giving up the awarded Institutions right to the funding. If another Institution takes over the award, the sponsor re-issues the award as a new award to that Institution since it is not a transfer directly from the awarded Institution to the new Institution.

With a relinquishment, timing is critical. NIH requires prior approval and expects to be notified at least three months prior to the date of transfer. Any notification after this time could cause delays that could adversely impact research. Please also consider that transfer applications that come close to the end of the Fiscal Year may be deferred for processing until after the fiscal year closes. The Office of Grants and Contracts (OGC) recommends that departmental administrators collaborate closely with transferring Principal Investigators (PI) to proactively gather and communicate information to ensure a seamless transition. It is the PI's responsibility to work with his/her department to initiate the relinquishment process ***prior to the expiration of the approved project period, as well as prior to the anticipated start date at the new institution.***

NIH usually will not consider or approve the transfer of a grant in a no-cost extension period, except under an extraordinary circumstance. If a recipient believes they have an extraordinary circumstance that NIH should consider, they must contact both the assigned grants management specialist and program officer prior to requesting a transfer of a grant in a no-cost extension.

The relinquishment/award transfer is a two-step process where the awarded institution must submit a relinquishing statement through eRA Commons, and the receiving institution must submit an application via Grants.gov using the Parent Funding Opportunity Announcement listed.

Early Terminations

An early termination shortens the life of the project prior to completion. Some reasons might include:

- Sponsor and/or Principal Investigator (PI) decided to end the project earlier than planned.
- PI is leaving the University.
- Programmatic or financial reasons to end a project earlier than planned.
- Receipt of a competing renewal that overlaps a previous competing segment.
- Early terminations may also involve a de-obligation or revision of the award amount.

How to Request a Relinquishment or Early Termination:

There are multiple steps and approvals required to transfer or terminate an existing active award(s) to another institution when a Principal Investigator (PI) is leaving CU Anschutz Medical Campus.

The request is initiated with the sponsor and the process depends on sponsor guidelines. Some federal agencies such as NSF and NIH have an online process but, for the non-federal awards the transfer or termination may be managed through email correspondence with the sponsor.

Typically, a transfer will involve relinquishing the unexpended balance on an award back to the sponsor and the termination of an award will often require a final report.

The PI and/or Department Administrator will need to work with the Office of Grants and Contracts (OGC) Postaward Administrator to ensure there are no outstanding encumbrances or deficits and to determine the final transfer amount and the OGC Postaward Manager will submit the transfer request.

1. For ALL Sponsored Projects

Complete these items for sponsored project awards and/or proposals:

- Determine if the award is eligible for transfer per the Sponsor's policies and/or terms and conditions.
- Obtain all approvals from both Institutions, including Department Chair/Dean.
- Departing PI must coordinate with the new Institution to prepare and submit any required proposal documents.
- Complete and submit the "OGC Internal Relinquishment_Transfer Template" (website location under A-Z (Relinquishment and Transfer)).
- Complete and submit the "NIH Safe and Respectful Workplace" form (website location under A-Z (Relinquishment and Transfer)).
- Determine if current proposals need to be transferred to a new institution.
- Complete and submit all reports up to transfer date.
- Complete effort certification prior to departure date.
- Coordinate with OGC Postaward Administrator to reconcile accounts and expenditures, complete financial reports and closeout awards.
- Work with OGC Subcontracts Office for awards with subcontracts to ensure de-obligations and closeouts are completed.
- All signatures must be collected on all forms from the Principal Investigator (PI) and Dean/Chair of the Department.