

## TRANSFER OF AWARDS FROM THE UNIVERSITY OF NEW MEXICO TO ANOTHER INSTITUTION

Awards are awarded to the University of New Mexico, not directly to Principal Investigators. For this reason, UNM must 'relinquish' the award and the awarding agency must approve all award transfers from one organization to another.

### Responsible Parties

**A. Principal Investigators (PIs)** are responsible for:

1. Notifying their respective department, Office of Sponsored Projects (OSP), and Contract & Grants Accounting within 90 days prior to transfer.
2. *Work with* OSP, Contract & Grants Accounting, UNM Inventory, and department as needed on:
  - Subcontracting work back to UNM at current, full F&A rate;
  - Equipment transfers;
  - Transferring cost-sharing obligations to the new institution; and
  - Continuing support of graduate students and postdoctoral fellows.
  - Complete necessary Agency relinquishing statements after verification with departmental staff that all transactions have posted; OSP will work with the PI to verify the correct relinquishing statement is completed.
  - Complete the PI/Award Transfer Notification Form, obtain necessary signatures, and return to OSP.
  - Complete technical reports as well as supply information for patent/invention reports.

**B. Departmental Staff and/or PI** are responsible for:

1. Concluding transactions as such processing JV's, EAPAF's, and cost transfers.
2. Making any necessary adjustments to award accounts for departing PIs.
3. Establishing the final transfer amount based on total charges to-date and estimated future charges up to the date of transfer. Any expenditures in excess of the final obligated amount to UNM will have to be covered by either the PI's over-expenditure index or another departmental unrestricted index.

**C. Contract & Grant Accounting** shall:

1. Verify the final transfer amount after it is determined by the PI/Department.

**D. The Office of Sponsored Projects (OSP)** shall:

1. Review and institutionally endorse the paperwork involved with each award transfer.

If you have questions, please contact The Office of Sponsored Projects [osp@unm.edu](mailto:osp@unm.edu)

PI/Award Transfer Notification Form

**PI Name:** \_\_\_\_\_ **Phone:** \_\_\_\_\_ **Email:** \_\_\_\_\_  
**Alternate POC Name:** \_\_\_\_\_ **Phone:** \_\_\_\_\_ **Email:** \_\_\_\_\_  
**Department:** \_\_\_\_\_ **Sponsor:** \_\_\_\_\_  
**Award Number:** \_\_\_\_\_ **Cayuse Number:** \_\_\_\_\_ **Banner Grant Number:** \_\_\_\_\_  
**Grant Title:** \_\_\_\_\_  
**Proposed date of Transfer:** \_\_\_\_\_ **Amount to be transferred: \$**  
MM/DD/YYYY (final transfer amount determined by PI/Dept. and verified by C&G Accounting)  
**Current Subcontracts (Institution or Company Name)** \_\_\_\_\_

New Institution Name/Department: \_\_\_\_\_

OSP Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_

**Signatures certify that the following have been negotiated to the satisfaction of the PI, Department and College. Check all boxes that apply.**

- Subcontracts back to UNM at current full F & A rate; If yes, name the new PI at UNM:
- Equipment Transfer (list all):
- Support of grad students/ fellows
- Notifications have been made to Compliance Offices including but not limited to:
  - IRB     IACUC     Biosafety     Conflicts of Interest     Inventory
- Final/Interim reports completed. (if applicable) If not, expected date of Completion is:
  - Patent/Invention (or Patent questionnaire sent to C&G Accounting)
  - Technical
- Agency relinquishing statements
- C&G Accounting has been notified so they can complete the Final Financial and Final Property Reports
- Agency cost sharing requirements have been met. Determine what cost sharing requirements, if any, will transfer to the new institution.

PI \_\_\_\_\_ Date \_\_\_\_\_  
Dept. Financial Representative \_\_\_\_\_ Date \_\_\_\_\_  
Dept. Chair \_\_\_\_\_ Date \_\_\_\_\_  
Dean \_\_\_\_\_ Date \_\_\_\_\_

*By signing this form, all parties agree on the final transfer amount. Any expenditures in excess of the final obligated amount (less the transfer amount) will be covered by the department.*

Please forward this form and appropriate attachments to the Office of Sponsored Projects [osp@unm.edu](mailto:osp@unm.edu)