



UNIVERSITY OF MIAMI POLICY AND PROCEDURE MANUAL

TITLE:	Grant/Contract Transfers Policy	REFERENCE: New
CATEGORY:	Office of Research Administration	PAGE: 1 of 2
		SUPERSEDES: New
APPROVER:	Barbara A. Cole Associate Vice President Office of Research Administration	VERSION: New EFFECTIVE: 03/31/2016

PURPOSE:

The purpose of this policy is to identify how transfers apply to sponsored activities in accordance with 2 CFR 200, Federal and State regulations, as well as sponsor terms and conditions.

Failure to comply with UM's policies and procedures may result in audit findings, suspension of sponsored activities, closer monitoring by the sponsor, delays in final payments, and/or other enforcement actions imposed by the sponsor. This policy applies to all Federal and non-Federal sponsored activities, including all externally funded clinical trials.

SCOPE:

All UM personnel must be aware of the complex and detailed rules provided under Federal and non-Federal regulations as well as the terms and conditions of the individual sponsored activity. While compliance with all applicable requirements is essential, it is equally important to maintain an open research environment that welcomes the participation of researchers from around the world as part of UM's mission. To maintain this balance, UM personnel must be familiar with this policy in addition to the Federal and non-Federal regulations on sponsored activities.

It is the responsibility of all UM personnel to be aware of UM policies and exercise reasonableness in managing all sponsored activities appropriately.

The Office of Research Administration is responsible for providing information to sponsoring agencies that demonstrate the University has fulfilled the terms and conditions of receiving the award.

The Office of Research Administration is responsible for helping UM personnel understand and comply with this policy.

All faculty, including voluntary faculty and courtesy appointments.

- Faculty emeriti engaged as active researchers on UM research activities.
- Researchers, including research staff, postdoctoral fellows, and research associates.
- Graduate students, undergraduate students, and interns involved in research programs.

- Staff in departments, centers, institutes, and administrative offices charged with responsibilities under this policy.
- Consultants, agents, and volunteers associated with research and scholarly activities, as well as in departments and offices charged with responsibilities under this policy.

POLICY:

It is the policy of the University of Miami to facilitate grant/contract transfers – into and out of UM – as appropriate.

- When a Principal Investigator (PI) intends to relocate from UM and TO a new institution, it is the PI's responsibility to work with his/her department to submit a request through ORA for the relinquishment of each grant/contract. Grant/contracts are awarded to UM, not the PI; therefore, UM has the ultimate authority to determine if the grant/contract is retained or relinquished to the PI's new institution. If it is determined that the grants/contracts will transfer, PI/department will work with ORA to reconcile and close out each. Then, ORA will work with sponsor and new institution to facilitate the transfer.
- When a PI intends to relocate from another institution and TO UM, it is the PIs responsibility to provide his/her UM Home Department the necessary grant/contract information. The Home Department will work with ORA to provide the necessary documents and approvals. Then, ORA will work with the sponsor and the prior institution to facilitate the transfers.

It is important for PI and Home Departments to recognize that the transfer process involves various steps and interactions amongst many parties. As a result, transfers can take approximately 6 months. PIs are encouraged to start the process as early as possible to ensure timely processing.

DEFINITIONS:

Please refer to UM's Office of Research Administration (ORA) website for a list of acronyms and terms commonly used in sponsored/ research administration grants, contracts, and cooperative agreements: <http://ora.miami.edu/assets/pdf/ora-policies/glossary.pdf>

PROCEDURE:

UM personnel are to use [UM's ORA website](#) for guidance on matters pertaining to sponsored activities.

UM personnel are to follow the Standard Operating Procedures (SOP) outlined, as well as utilize the various required forms and templates that have been implemented for the activities related to this policy.

UM personnel should contact the Pre or Post Award staff for consultation if additional information is needed. Contact information can be found on [UM's ORA Contacts Webpage](#).