

Procedures for Research Grant Transfers for Outgoing and Incoming Grantees

Owner: Office of Research Services (ORS)

Approver: Vice-President of Research

Approval Dates: January 2018

1. Purpose

This document describes the procedures associated with the transfer of research grants between eligible institutions, and the responsibilities of the parties involved in the transfer. Adherence to these procedures will ensure that grant transfers meet sponsoring agency regulations, guidelines and terms as well as institutional policies and guidelines. Equally important, Laurentian researchers will be supported efficiently and effectively.

2. Scope and Application

Research grants are awarded to Grantees by various types of sponsoring agencies. The institution is the authorized administrator of the funds. Authorization from the sponsoring agency must be obtained for grants to be transferred from one eligible institution to another. When a Grantee moves from one eligible institution to another, the agencies will consider a request to transfer a research grant held by the Grantee provided that the Grantee has obtained an eligible position at the new eligible institution. Should the request be approved by the agency, the research grant held at the former institution will be transferred to the new institution and consequently all corresponding grant account(s) will be closed at the former institution.

3. Definitions

- 1) Grantee: The individual awarded a research grant.
- 2) Eligible institution: The Grantee's institution that is declared eligible to administer research grants by the sponsoring agency. The eligible institution is the entire legal entity even if a particular component is designated in the award document. The eligible institution is legally responsible and accountable to the funding Agency for the performance and the financial aspects of the grant-supported project.
- 3) Subawards/Subcontracts: As it pertains to this policy, these terms mean an award of financial support subsidiary to a prime agreement (i.e. a grant, collaboration agreement, and other agreements) made by a Grantee to an

- eligible subrecipient. It also includes awards made by a subrecipient to a lower tier subrecipient. It does not include procurement of goods and services through the funds provided in a prime award.
- 4) Sponsoring Agency: The organization that has awarded the Grantee a research grant.
 - 5) Party(ies): A person(s) or organization(s) that play(s) a role in the transfer of grants.
 - 6) Tri-Council Agency: Natural Sciences and Engineering Research Council, Social Sciences and Humanities Research Council, and the Canadian Institutes of Health Research.

4. Procedures

Rules and regulations on research grant transfers vary widely among sponsoring agencies. Transfers can be quite complex, especially those involving subcontracts, graduate students who are continuing their education at the original institution, awards having co-PIs or awards with shorter timelines. The Grantee must consult the ORS **at least 30 days in advance** of the transfer to ensure a timely transfer.

All timelines for research grant transfers are dependent on the receipt of required documents and information as well as on the response and action by the ORS at Laurentian and by other parties outside of the ORS from which, or to which, the grant is being transferred.

4.1 Outgoing Research Grants

For departing Grantees, the Post-Award Officer in ORS will first determine whether the terms of the research grant allows it to be transferred and, if the grant can be transferred, will work with the counterpart at the receiving eligible institution, as well as the sponsoring agency personnel to effect the transfer.

To initiate a grant transfer to another eligible institution, **the Grantee must provide** the Post-Award Officer with:

- 1) a list of all research grants to be transferred, annotated to show the budget and project start and end dates;
- 2) the name of the sponsoring agency(ies);
- 3) award file number(s);
- 4) Romeo file numbers;
- 5) the name and contact information of the agency program officers and grants management staff at the receiving eligible institution.

For outgoing Tri-Council Agency grants, Grantees are expected to follow the instructions in the Tri-Agency Financial Administration Guide found at this [link](#).

Grantees are expected to communicate with the Post-Award Officer in the ORS for all financial form requests (i.e. Forms 300 and/or 303).

For **outgoing research grants NOT originating from a Tri-Council Agency**, all requests will be considered on a case-by-case basis based on the type of grant and on the conditions imposed by the granting agency. ***The Grantee must provide the Post-Award Officer with a signed letter or form from the sponsoring agency to confirm the transfer outlining all transfer requirements, contact information and details*** including totals being transferred. The Grantee must also provide proof that the receiving institution accepts the funds and all conditions pertaining to the funds.

4.2 Incoming Research Grants

In the case of **incoming research grant transfers**, the Grantee must provide the Post-Award Officer with:

- 1) the permission from her/his former institution and the sponsoring agency to have the grant(s) transferred to Laurentian University;
- 2) copies of the award notices, including award terms and conditions;
- 3) a copy of the most recent financial statement;
- 4) a copy of any relevant agreements;
- 5) the name, email address and phone number of the administrator in the research office of the other institution; and
- 6) Laurentian's Research Proposal Approval Form* (online form in Romeo) and NSERC's Form 100 for NSERC grant transfer.

For **incoming Tri-Council Agency grants**, Grantees are expected to follow the instructions in the Tri-Agency Financial Administration Guide found at this [link](#), complete Laurentian's Research Proposal Approval Form* in Romeo and are responsible for gathering all required documents for the transfer of grants to Laurentian University.

For all **incoming grants NOT originating from a Tri-Council Agency**, ***the Grantee must provide the Post-Award Officer with a signed agency, corporation, foundation, or industry letter or form as identified by the funding agency to confirm the transfer outlining all transfer requirements, contact information and details*** including totals being transferred.

*For instructions on completing the Research Proposal Approval Form (RPAF), please contact the Post-Award Officer at 705-675-1151 Ext. 3681. To register and access the RPAF on Romeo please use this link:

<https://romeo.laurentian.ca/romeo.researcher>

4.3 Processing timeline for grant transfer requests

In all cases of grant transfer (outgoing or incoming), the Post-Award Officer will acknowledge the transfer request and forward the request to Laurentian's Financial Services Office within 10 business days only once all required documents are provided. The Post-Award Officer will contact all required Parties to initiate the transfer, including the Financial Services Office. All completed forms and letters (if any) will be emailed directly to the Grantee for submission to the sponsoring agency.

The Post-Award Officer will follow up with Financial Services Office if the grant transfer request is not processed on time.

The Financial Services Office will process the grant transfer request and complete the process within 30 business days of notification from the ORS. Once the process is completed, the Financial Services Office will immediately inform the Grantee as well as the Post-Award Officer in the ORS.

The Post-Award Officer will follow up with the Financial Services Office at the end of this 30-day processing time to make sure that all parties engaged are informed on time.

The Post-Award Officer can be reached by telephone at 705-675-1151 Ext. 3681 and by email at Sharris2@laurentian.ca.