Agenda

➤ OVPR/SPS News and Information
  • AMS Pre-Award Module
  • Revised SPS IPAS Form
  • FDP Subawards
  • Internal Budget Templates
  • Infoed Updates

➤ NIH News and Information
  • NRSA Stipend, NOT-OD-17-003
  • Appendix and Post-Submission Material
  • Effort During a No-Cost Extension
  • Final RPPR (F-RPPR)
  • Revised SF424 Application Guide

➤ NSF News and Information
  • Revised FAQs and Proposal & Award Policies Procedures Guide

➤ GRANTS.GOV News and Information
  • Grants.gov Workspace

➤ ASK SPS
  • PI Leaving UConn Health – what do I do with his/her active grants?
Pre-award requests can now be submitted via the pre-award module in AMS.

For more information/guidance on the process see:

Grants Management Pre-Award Implementation/Requirements
The IPAS+ Institutional Review and Approval Form has been revised.

Due to data management reporting, SPS will not be able to process IPAS+ requests prepared on the older form version after February 1st.

**Significant Change:** To coincide with the new AMS Pre-Award Module, the Pre-Award Request box has been removed.

Please be sure to read through the new IPAS+ form as changes have been made throughout the form. Additional reminder to include the corresponding back up material as required for your request.
A requirement of OMB’s Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (“Uniform Guidance”), mandates stronger internal controls of federally funded awards.

To meet these mandates, the internal workflow process for initiation and oversight of UConn Health’s federally funded subawards has been revised.

Beginning Tuesday, January 17th
FDP Subawards (accounts 78501/78502) will now be processed through Sponsored Program Services.
Subpart D – Post Federal Award Requirements

§200.303 Internal Controls:

The non-Federal entity must:

(a) Maintain effective internal control over the Federal award that provides reasonable assurance that the non-Federal entity is managing the Federal award in compliance with Federal statutes, regulations and terms and conditions.

(b) Comply with Federal statutes, regulations, and the terms and conditions of the Federal awards.

(c) Evaluate and monitor the non-Federal entity's compliance with statutes, regulations and the terms and conditions of Federal awards.

(d) Take prompt action when instances of noncompliance are identified, including noncompliance identified in audit findings.
§200.331 Requirements for pass-through entities

Administrative (mostly covered by using the FDP template):

- Federal Award Identification
- Subrecipient name and unique identifier
- Federal Award Date
- Subaward Period of Performance
- Total amount of funds obligated
- CFDA Number and Name

Management:

- Performing a risk assessment of the subrecipient
- Monitoring the subrecipient (federal debarment lists, required progress reporting, corrective action plans, etc.)
- Follow-up to monitoring efforts – actively issue management decisions regarding findings identified during the monitoring process
What does this mean for Departments?

There isn’t a huge change in the workflow from the department end of the process. The major changes will be on the SPS end (behind the scenes) that ensure our institution has the proper controls in place to meet the new Uniform Guidance requirements.
Department makes the initial determination of whether the federal award involving a subcontract will be a Subrecipient (FDP) or a Contractor. This will be made and verified at the time of proposal routing (SPS will verify)

Guidance for determination of Subrecipient (requiring FDP subaward) versus Contract (contractor/vendor/consultant):

**SUBRECIPIENT** – An entity that will carry out part of an award received by the university.
- ☐ Carries out a portion of the award (e.g. conducts research)
- ☐ Will have performance measured in relation to meeting objectives of the program
- ☐ Will be responsible for programmatic decision making and adhering to applicable Federal program requirements specified in the Federal award; and,
- ☐ In accordance with its agreement, uses the federal funds to carry out a program for a public purpose specified in the authorizing stature, as opposed to providing goods or services for the benefit of the pass-through entity.

**CONTRACTOR/VENDOR/CONSULTANT** - An entity from which the university will purchase goods or services for its own use in carrying out the award.
- ☐ Provides similar goods or services to many different purchasers within normal business operations
- ☐ Normally operates in a competitive environment
- ☐ Provides goods or services that are ancillary to the project (supports the primary activity)
- ☐ Is not subject to compliance requirements of the federal program as a result of the agreement (e.g., IRB Human subject or IACUC Animal protocol congruence and approvals and/or FCOI), though similar requirements may apply for other reasons.

See “Subrecipients versus Consultants” for additional information

Note: this determination will be part of a revised internal routing form which will be available on our website soon
Determination is made that the federally funded subaward falls within the **SUBRECIPIENT** criteria.

**CHANGE FOR THE DEPARTMENT:**
- Initiating Requisition in Husky Buy
Attachments to include in the Husky Buy Requisition:

CHANGE FOR THE DEPARTMENT:

NEW:
- FDP Request Form – to replace current contract request form upload
- Information and Compliance Form for Subrecipients (Consortium Statement)

NO CHANGE FOR THE DEPARTMENT:

SAME:
- Subrecipient budget
- Subrecipient budget justification
- Subrecipient scope of work

NEW FEATURE TO WORKFLOW PROCESS:
- Department ability to review the FDP agreement before it goes to the Subrecipient for signature
Additional behind the scenes activity to meet UG requirements:

To comply with new UG requirements, once the Husky Buy Requisition is with SPS for review/processing, SPS will request the following directly from the subrecipient:

- Subrecipient Profile Questionnaire: related to UG risk assessment requirements.
- SPS will retrieve audit in the Federal Audit Clearinghouse. If not available, SPS will contact subrecipient to request current fiscal year audit.
- Confirmation of SAM registration.
- SPS will perform required risk assessment.

No change from previous internal process:

- IRB/IACUC approval letters, if applicable
Determination that the contract is a contractor/vendor/consultant:

NO CHANGE IN WORKFLOW PROCESS – NO CHANGE FOR DEPARTMENT

Note: In the case of split funding (state and federal) of sponsor please contact Sunita Singh (ssingh@uchc.edu), x2468 for guidance
Sample FDP Agreement Request Form:

Complete all sections of this form and obtain all necessary signatures. Attach the completed form and required attachments to your Purchase Requisition (PR) or Change Order Request (COR) in HuskyBuy.

**Action:**
- ☐ New FDP Request/Competitive Renewal
- ☐ FDP Amendment/Supplement – PR #: ______________________

**Info Ed Log #:** ______________________

**Subrecipient #:** ______________________  **Subrecipient PI:** ______________________

**Amount Funded This Action:** $ __________

**Subward Period of Performance:** Start: __________  End: __________

**Agreement Type:**
- ☐ Cost Reimbursement
- ☐ Fixed Price

**Allow Subrecipient Carryforward:**
- ☐ Yes
- ☐ No (Default is Yes; check No, if applicable.)

**For New FDP Request/Competitive Renewal only:**

- ☐ Will there be incremental funding? Yes ☐ No

**Incrementally Estimated Total:** $ __________

**Estimated Project Period:** Start: __________  End: __________

**For Subrecipients involved with Human Subjects:**

- ☐ Human Subjects Data: Not Applicable
- ☐ Applicable

- ☐ If applicable, human subjects data will be exchanged under this Agreement (check all that apply):
  - ☐ From Subrecipient to UConn Health
  - ☐ From UConn Health to Subrecipient

- ☐ UConn Health PI will set forth the terms of the exchange of human subjects data (select one):
  - ☐ Via a separate Data Use Agreement
  - ☐ To be defined in the Additional Terms section

**Required Attachments:**
- ☐ Subrecipient Budget
- ☐ Subrecipient Budget Justification
- ☐ Subrecipient Scope of Work
- ☐ Consortium Statement

**Omission of any required attachments may result in a delay in processing your request.**

**Notes/Special Instructions:**

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My signature below confirms that I have reviewed and approved the information on this form and any supporting documents.

**Dept. Administrator Name** ________________  **Signature** ________________  **Date** ________________

**Principal Investigator Name** ________________  **Signature** ________________  **Date** ________________
### Sample Compliance Form for Subrecipients:

**Office of the Vice President for Research**  
**Sponsored Program Services**

**INFORMATION AND COMPLIANCE FORM FOR SUBRECIPIENTS**

All subrecipients must complete this form when submitting a proposal to UConn/UConn Health or at the time requested by UConn/UConn Health. This form is required to be signed and dated by an authorized organizational representative.

#### GENERAL PROPOSAL INFORMATION

<table>
<thead>
<tr>
<th><strong>ORIGINATING SPONSOR:</strong></th>
<th>Click here to enter text.</th>
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<tbody>
<tr>
<td><strong>PROPOSAL TITLE:</strong></td>
<td>Click here to enter text.</td>
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<tr>
<td><strong>UCONN/UConn HEALTH</strong></td>
<td>Click here to enter text.</td>
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<tr>
<td><strong>PRINCIPAL INVESTIGATOR:</strong></td>
<td>Click here to enter text.</td>
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#### SUBRECIPIENT INFORMATION

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<tr>
<th><strong>ADMINISTRATIVE OFFICE ADDRESS:</strong></th>
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<tr>
<td><strong>CITY:</strong></td>
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<td><strong>CONGRESSIONAL DISTRICT:</strong></td>
<td>Click here to enter text.</td>
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<td><strong>STATE:</strong></td>
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<td><strong>PHONE:</strong></td>
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<td><strong>FEIN #:</strong></td>
<td>Click here to enter text.</td>
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<tr>
<td><strong>ADMINISTRATIVE CONTACT:</strong></td>
<td>Click here to enter text.</td>
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<td><strong>EMAIL:</strong></td>
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#### PERFORMANCE DATES AND SUBRECIPIENT COSTS

<table>
<thead>
<tr>
<th><strong>PERIOD OF PERFORMANCE</strong></th>
<th>Click here to enter a date.</th>
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<tr>
<td><strong>TOTAL SUBRECIPIENT COSTS</strong></td>
<td>Click here to enter a date.</td>
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<tr>
<td><strong>Direct Costs</strong></td>
<td>$</td>
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<td><strong>F&amp;A</strong></td>
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#### REQUIRED DOCUMENTS

- [ ] Budget
- [ ] Budget Justification
- [ ] Scope of Work
- [ ] F&A Rate Agreement

#### REQUIRED CERTIFICATIONS

If sponsored by NSF, Subrecipient Institution certifies that a Responsible Conduct of Research (RCR) Training Plan is in place consistent with NSF requirements.

The Subrecipient, PI or any other individual participating in this project are not debarred, suspended, or otherwise excluded from or ineligible for participation in federal agency, assistance programs or activities.

If sponsored by a federal agency, Subrecipient Institution certifies that it has an active SAM registration.

#### DOES THE PROJECT INVOLVE

<table>
<thead>
<tr>
<th><strong>HUMAN SUBJECTS?</strong></th>
<th>Yes</th>
<th>Human Subjects Assurance Number</th>
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<tbody>
<tr>
<td><strong>ANIMAL SUBJECTS?</strong></td>
<td>Yes</td>
<td>Animal Welfare Assurance Number</td>
</tr>
<tr>
<td><strong>COST SHARING?</strong></td>
<td>Yes</td>
<td>Cost Sharing Amount</td>
</tr>
<tr>
<td><strong>STAFF COSTS?</strong></td>
<td>No</td>
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*Revised 12/13/16*  
*Page 1 of 2*
The new/revised forms can be obtained on our SPS website:
Proposals/Forms section:

http://research.uchc.edu/sps-proposals/forms/
New Compliance Form for Subrecipients

- Updated in accordance with new Uniform Guidance requirements for Subrecipient monitoring.
- UConn Health and UConn Storrs will implement the same form.
- Must be collected from all subrecipients on proposals submitted to SPS on or after **January 17, 2017**.

**Subrecipient Organizational Information:** *Assists in Subaward Issuance*

<table>
<thead>
<tr>
<th><strong>SUBRECIPIENT INFORMATION</strong></th>
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<tr>
<td><strong>SUBRECIPIENT INSTITUTION:</strong></td>
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<td><strong>ADMINISTRATIVE OFFICE ADDRESS:</strong></td>
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<td><strong>ADMINISTRATIVE CONTACT:</strong> Click here to enter text.</td>
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<tr>
<td><strong>SUBRECIPIENT PRINCIPAL INVESTIGATOR:</strong> Click here to enter text.</td>
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</table>
Compliance Form for Subrecipients

Proposal Information: *Associates Form with Proposal and Ensures their Central Office Agrees with Information in Application*

### General Proposal Information

**Originating Sponsor:** Click here to enter text.

**Proposal Title:** Click here to enter text.

**UCONN/UCONN Health Principal Investigator:** Click here to enter text.

### Performance Dates and Subrecipient Costs

| Period of Performance | Total Subrecipient Costs | Direct Costs | $ |
|-----------------------|--------------------------|--------------|
| Click here to enter a date. **to** Click here to enter a date. | $ | $ |

### Does the Project Involve

<table>
<thead>
<tr>
<th>Human Subjects?</th>
<th>Yes</th>
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<tr>
<td>Animal Subjects?</td>
<td>Yes</td>
<td>No</td>
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<td>Cost Sharing?</td>
<td>Yes</td>
<td>No</td>
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**Enhanced COI Certification: Ensure Compliance with Applicable Regulations**

**A. SUBRECIPIENT FCOI POLICY STATEMENT FOR PUBLIC HEALTH SERVICES (PHS), NATIONAL SCIENCE FOUNDATION (NSF) OR OTHER SPONSORS REQUIRING ADHERENCE TO THE PHS REGULATIONS (choose one response)**

- Subrecipient hereby certifies that its institution has implemented and enforced an FCOI policy compliant with the PHS Financial Conflict of Interest regulations (Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought, and Responsible Prospective Contractors: 42 C.F.R. Part 50 and Part 94) for applications requesting PHS funding **OR** an FCOI policy compliant with NSF’s Policy on Conflict of Interest for applications requesting NSF funding **AND** further, the subrecipient will report identified FCOIs for its investigators to UConn/UConn Health within **30 days** of discovery, allowing UConn/UConn Health sufficient time to report identified FCOIs to the awarding agency.

- Subrecipient hereby certifies that its institution does **not** have an FCOI policy compliant with the 42 CFR Part 50 and Part 94 for applications requesting PHS funding **OR** NSF’s Policy on Conflict of Interest for applications requesting NSF funding. Subrecipient certifies that it will have a compliant policy in place at time of award **AND** further, the subrecipient will report identified FCOIs for its investigators to UConn/UConn Health within **30 days** of discovery, allowing UConn/UConn Health sufficient time to report identified FCOIs to the awarding agency. Names of individuals working on this project who are responsible for design, conduct, or reporting of the research are shown below and Significant Financial Interest Review (SFIR) Form(s) is/are attached. The SFIR form can be found at [http://research.uconn.edu/sps-proposals/forms/](http://research.uconn.edu/sps-proposals/forms/).

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<tr>
<th>SFIR Form Attached</th>
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<tbody>
<tr>
<td>Subrecipient PI:</td>
<td>Individual #2:</td>
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<td></td>
<td>Individual #3:</td>
</tr>
<tr>
<td></td>
<td>Individual #4:</td>
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**B. SUBRECIPIENT FCOI POLICY STATEMENT FOR FUNDING OTHER THAN PHS, NSF OR OTHER SPONSORS REQUIRING ADHERENCE TO THE PHS REGULATIONS (choose one response)**

- Subrecipient hereby certifies that its institution has an active and enforced conflict of interest policy.

- Subrecipient hereby certifies that its institution does **not** have an active and/or enforced conflict of interest policy.
Compliance Form for Subrecipients

Compliance Certifications: *Ensures Compliance with Applicable Regulations*

<table>
<thead>
<tr>
<th>REQUIRED CERTIFICATIONS</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
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<tr>
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<td>not debarred, suspended, or otherwise excluded from or ineligible for participation</td>
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<tr>
<td>active SAM registration.</td>
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**SUBRECIPIENT CERTIFICATION**

The information, certifications and representations above have been read, signed and made by an authorized official of the subrecipient named herein. The appropriate programmatic and administrative personnel involved in this application are aware of agency policy in regard to subawards and are prepared to establish the necessary inter-institutional agreement consistent with those policies. The information submitted within the proposal is true, accurate, complete, is the original work of the subrecipient’s PI, and to the best of my knowledge has not been used by other individuals in the preparation and submission of a similar grant application.

In accordance with C.F.R. Part 25 Appendix A, subrecipient must provide its SAM unique identifier prior to issuance of a subaward (account must be active and remain active throughout the life of the subaward). Any work begun and/or expenses incurred prior to the execution of the subaward agreement are at the subrecipient’s own risk.
SPS has available for your use two budget templates:

- Budget Worksheet
- Award Budget Template

Please be sure to use the correct budget template for the appropriate budget need (for budgeting purposes or for award set up purposes).
InfoEd is on its way to becoming the system of record for all transactions processed through the SPS pre-award office.

- Signed routing material is now being uploaded into InfoEd under the attachment section in the InfoEd log.
- For new users, please complete the UConn InfoEd Account Access Request Form.
- For technical assistance with the InfoEd Portal, please email your inquiry to: era-support@uconn.edu.
Ruth L. Kirschstein National Research Service Awards (NRSA) Postdoctoral Stipends, Training Related Expenses, Institutional Allowance, and Tuition/Fees Effective for Fiscal Year 2017

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<th>Career Level</th>
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<th>Stipend for FY 2017</th>
<th>Monthly Stipend</th>
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<td>$47,484</td>
<td>$3,957</td>
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<td>$45,444</td>
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<td>$3,987</td>
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<td>$47,288</td>
<td>$48,216</td>
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<td>6</td>
<td>$55,296</td>
<td>$56,400</td>
<td>$4,700</td>
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<td>7 or More</td>
<td>$57,504</td>
<td>$58,560</td>
<td>$4,880</td>
</tr>
</tbody>
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Notice Number: NOT-OD-17-003
Appendix and Post-Submission Material

Materials That Will Be Accepted In The Appendix Section:

➢ For all applications:
  • Blank informed consent/assent forms
  • Blank surveys, questionnaires, data collection instruments
  • FOA-specified items

➢ For applications proposing clinical trials:
  • Clinical trial protocols
  • Investigator’s brochure from Investigational New Drug (IND)

NIH Guide Notice NOT-OD-16-129
Effort During a No-Cost Extension

With the exception of grant programs that have an effort requirement, or where terms and conditions prohibit such reductions, NIH will not require prior approval for the reduction in effort for Senior/key personnel named in the Notice of Award during a no-cost extension. However, consistent with the NIH Grants Policy Statement Chapter 8.1.1.3, recipients are reminded that for active NIH awards, the PD/PI and other Senior/key personnel named in the NOA must devote a measurable level of effort.

Note: this applies to NCE period only. Prior approval is required for reduction in effort of PI or senior key person named in NOA reducing effort of 25% and greater during awarded project periods.
Final progress reports submitted after January 1, 2017 will now need to be submitted as a Final RPPR (F-RPPR). Any other submission format will be rejected and you will need to resubmit in the Final RPPR format.

Format of the Final RPPR is very similar to the annual RPPR. One of the differences between RPPR and the Final RPPR is that not all sections will be part of the final report. For example, Section D – Participants; Section F – Changes; and Section H – Budget will not be part of the Final RPPR. Instead of a PDF upload, the information will be entered into RPPR-like screens. The new screens will include a new Section I – Outcomes.

**Significant Change:**

NIH will no longer accept the progress report contained in the Type 2 application to serve in lieu of a separate final progress report. NIH will request that organizations submit an “Interim-RPPR” while their renewal application (Type 2) is under consideration.

**Deadlines Remain Unchanged:** Final RPPR no later than 120 days from the project end date.

**Completion and Submission of the F-RPPR:** Follows the current process for interim/annual RPPRS. F-RPPRS are to be completed by the PI and submitted to eRA Commons by your SPS Project Officer.

*NIH Guide Notice: NOT-OD-17-022*
Revised SF424 (R&R) Application Guides and Supplemental Instructions Available

- NIH has updated its application guide and supplemental instructions. Minor changes to the layout and style and several clarifications to the current Forms-D instructions have been made.

- Goes into effect for applications due on or after January 25, 2017

Youtube video: Using our New Application Guide

NIH Guide Notice: NOT-OD-17-023
REVISED FAQs AND PROPOSAL & AWARD POLICIES AND PROCEDURES GUIDE

- NSF has issued a revised set of Frequently Asked Questions (FAQs) on Proposal Preparation and Award Administration.

- These FAQs accompany the NSF Proposal & Award Policies and Procedures Guide, in effect for proposals submitted or due, and awards made on or after, January 30, 2017.

- Webinar on the new PAPPG will be held on January 19th at 1PM.
Grants.gov News and Information
Grants.gov Workspace

- Workspace is an enhanced application submission feature, which helps organizations and individuals create, complete, and submit grant applications (similar to NIH ASSIST).

- Workspace allows for multiple people to use a shared online space for completing individual forms and submitting the final application. These form sets can be filled out simultaneously by different users, instead of using the single PDF form set.

- Good for DOD submissions.

- Requires an institutional AOR to assign you a “Manage Workspace” role.
Department Administrators
News and Information
PI Leaving UConn Health?

- **PI TRANSFERRING TO ANOTHER INSTITUTION AND IS REQUESTING HIS AWARDED GRANTS BE TRANSFERRED TO THE NEW INSTITUTION**
  - Prior approval from sponsor
  - Relinquish documents (to be submitted to SPS via IPAS & Request for Award Transfer or Relinquishment):
    - Letter of request signed by PI, and SPS Project Officer
    - Documentation of Chair approval
    - Final report of expenditures
    - Final invention
    - Final scientific report
    - Relinquishing Statement (NIH)
    - Is any equipment being transferred?

- **PI LEAVING UCONN HEALTH, AND THE AWARDED GRANTS WILL STAY AT UCH WITH A NEW UCH PI**
  - Prior approval from sponsor for change of PI
  - Internal routing reflecting the new PI, compliance related matters
    - Fund set up under new PI
See you at the next
SPONSORED PROGRAM ADMINISTRATION MEETING

February 8, 2017