



DEPARTMENT OF THE ARMY  
US ARMY MEDICAL RESEARCH AND MATERIEL COMMAND  
504 SCOTT STREET  
FORT DETRICK MD 21702-5014

MCMR-AAP-A

6 April 2012

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Assistance Advisory Notice (AAN) 12-01\*  
U.S. Army Medical Research and Materiel Command (USAMRMC) Procedures for  
Transference of Assistance Agreements from One Organization to Another

1. INTRODUCTION. This AAN describes the procedures associated with the transfer of assistance agreements between organizations. Adherence to these procedures will ensure that transfers are handled in a consistent and correct manner.
2. BACKGROUND.
  - a. Federal assistance agreements (grants and cooperative agreements) are awarded to organizations, not directly to Principal Investigators (PIs). Should a PI transfer to another organization, the original recipient organization has the right to determine on a case-by-case basis whether it will retain or transfer the award. If the determination is to transfer, the awarding agency must substantiate its approval of the transfer prior to effecting this change via a modification to the assistance agreement.
  - b. The transfer of the assistance agreement normally will be permitted only when all of the permanent benefits attributable to the original assistance agreement can be transferred; including equipment purchased in whole or in part with assistance agreement funds.
  - c. In the event the recipient desires to continue the project with a substitute PI, the appropriate officials at the recipient organization must advise the awarding activity's Program Office of the substitute PI's name, qualifications, and current and pending support for research from all sources. If approved by Program Office, the Grants Officer will amend the assistance agreement. If not approved, the U.S. Army Medical Research Acquisition Activity (USAMRAA) may take steps to suspend or terminate the assistance agreement.

3. POLICY.

- a. When a PI plans to leave an organization during the course of an assistance agreement, the PI, the sponsored program office, or authorized business official, shall

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\* This AAN supersedes PAN 11-03, 13 May 2011, Subject: U.S. Army Medical Research and Materiel Command (USAMRMC) Procedures for Transference of Assistance Agreements from One Organization to Another

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notify the Grants Specialist/Contract Specialist (GS/CS) administering the award. Upon notification, the GS/CS shall check with the Grants Officer's Representative (GOR) and the Program Announcement/Broad Agency Announcement (PA/BAA) to see if the PI change can be considered by the requiring activity, and if it is allowable in accordance with the PA/BAA.

b. The GS/CS shall discuss transfer procedures with the sponsored program office or the authorized business official. The organization shall consider options available to retain the assistance agreement prior to requesting the transfer.

c. If the organization is willing to transfer the assistance agreement, the organization must provide a signed letter of relinquishment (a sample is contained in Appendix A). The relinquishment statement must be signed by an authorized business official and shall explain the reason the assistance agreement must be transferred with the PI. Point-of-Contact (POC) information for the current organization and the new transfer organization shall include: the name of the new organization; POC's name; phone and e-mail address; and the date the PI will be leaving his/her organization.

d. The GS/CS must gain the GOR's concurrence with the transfer.

e. The appropriate Defense Finance Accounting Service Office must be notified by the GS/CS to stop payments to the relinquishing organization as soon as they are notified by the relinquishing organization of their intent to transfer.

f. The GS/CS shall complete the first portion of the USAMRMC Transfer Evaluation Form (Appendix B) and forward it along with all documentation and the assistance agreement file to USAMRAA's Transfer Specialist.

g. The Transfer Specialist will notify both organizations' POCs and request that all necessary documents be forwarded to them.

h. Upon receipt of those documents, they will be compiled by the Transfer Specialist and forwarded to the GOR for their final approval. At this point, A Record of Environmental Compliance (REC) and Safety Approval, Certificate of Environmental Compliance, Facility Safety Plan Approval, and PI Assurance must be generated for the new organization.

i. After receipt of GOR final approval, the REC and Safety Approval, the Transfer Specialist will prepare a modification for the transfer.

j. The modification will be reviewed and signed by the Transfer Specialist's/ Contracting Grants Officer.

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k. The modification will be distributed and the assistance agreement returned to the GS/CS for future administration.

4. METHOD. All involved are directed to follow the steps in this memorandum for all assistance agreement transfers.

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**ASSISTANCE AGREEMENT TRANSFER EVALUATION FORM**  
**(to be completed by the CSC Contract/Grants Specialist)**

Award Number: \_\_\_\_\_

Submitted by: \_\_\_\_\_ Date: \_\_\_\_\_  
Contract/Grants Specialist

Institution selecting replacement PI:  Yes  No

Institution using subgrant option:  Yes  No

Assistance Agreement to be transferred:  Yes  No

If yes, complete items below & forward to the Transfer (OSC-Specialist)

1. Relinquishment Letter
2. Program allows transfer
3. GOR pre-approval
4. Notify DFAS, stop ALL payments
5. Outstanding HU/AU Issues –yes –no –n/a
6. Original institute up to date on Scientific Reports/Financial Reports
7. Letter of acceptance from new institution

**NOTE:** Transfer Team will send transfer letter (institutions) to both institutes and PIs

1. Original Recipient: \_\_\_\_\_  
 - Contact Person: \_\_\_\_\_  
 - E-mail: \_\_\_\_\_  
 - Phone: \_\_\_\_\_  
 - FAX: \_\_\_\_\_

2. Transfer Recipient: \_\_\_\_\_  
 - Contact Person: \_\_\_\_\_  
 - E-mail: \_\_\_\_\_  
 - Phone: \_\_\_\_\_  
 - FAX: \_\_\_\_\_

3. PI Name: \_\_\_\_\_ Phone: \_\_\_\_\_  
 Email: \_\_\_\_\_ FAX: \_\_\_\_\_

4. Proposal Number: \_\_\_\_\_ GOR: \_\_\_\_\_

APPENDIX A

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**The University Of XXXXX  
Division of Research and Development  
1000 College Drive  
Anytown, USA 11111-1111**

**[www.xxxxxCollege.edu](http://www.xxxxxCollege.edu)**

January 1, 20XX

John Q. Smith  
Grants Officer  
US Army Medical Research Acquisition Activity  
820 Chandler Street  
Fort Detrick, MD 21702

RE: Letter of Relinquishment for Award Number: W81XWH-XX-X-XXXX  
Proposal Title: Medical Research xxxxxxxxxxxx  
Principal Investigator: Sally Jones

Dear Mr. Smith:

The Regents of the University of XXXXX wish to relinquish assistance agreement number W81XWH-XX-X-XXXX. Dr. Jones has transferred from this University to the University of YYYYYY. The Division of Research and Development has determined that the work is unique to Dr. Jones and no suitable replacement exists at the University of XXXXX.

The University of XXXXX has started to close out this award, with an effective date of 31 December 20XX, and requests that USAMRAA transfer the award to the University of YYYYYY. The University will supply a final technical report, a final patent report and a final financial report per the terms and conditions of our award.

Please contact me if you require any additional information.

Regards,

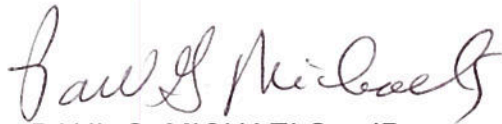
Harry Carrey  
Project Manager

APPENDIX B

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5. PROPONENT. The proponent for this AAN is the USAMRAA Chief, Policy Branch.



PAUL G. MICHAELS, eJD  
Principal Assistant  
Responsible for Contracting

Encls

DISTRIBUTION  
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