

Form 1301 FR.01
Request to Transfer Residual Balance from Sponsored Awards
Revision Date: 08/11/2015

The University will allow Principal Investigators (PIs) access to residual balances from fixed price accounts, Fee-for-Service or Clinical Trial awards in accordance with the [Procedure 1301 PR.05 Residual Balance Fund Transfers](#).

Prior to the transfer of any residual balance to a departmental account, this form must be completed with all the required information and sent to Office of Sponsored Projects Financial (OSP) or YSM Finance for review and approval. [Industry Clinical Trail awards (44-----) and Clinical Contractual Agreements (W-----) should be sent to YSM Finance, all other requests are to be sent to OSP.]

Date of Request: _____ **Award Number:** _____
Sponsor: _____ **Original Award Amount (I):** _____
F&A Rate (indirect cost)*: _____ **Residual Balance:** _____
Award End Date _____ **Percent of Total Funding (I)*:** _____
Non-Sponsored PTAE0 for balance to be transferred: _____

I confirm the following (*Check all that apply*):

- All work has been completed.
- No outstanding work activities or deliverables remain open or in question with the sponsor (and the terms of the budget have been met for Industry Trials and Clinical Contractual Agreements).
- All technical reports have been received and/or accepted by the sponsor.
- All invoices for the project have been submitted and all payments have been received.
- All applicable expenditures have been charged to the award (I).
- Residual funds are the property of Yale. Such funds may be transferred into PI or departmental special use or discretionary type accounts but shall be used to support the research mission of Yale.
- For Industry Trials only, the OnCore Budget Summary Report and the Sum of Grant Actuals tab from BUG212a have been reviewed and are attached. Signatures below indicate that residual balances are understood and not excessive compared to costs from OnCore and income and expenses from the BUG report.
- For Industry Trials and Clinical Contractual Agreements only, if the PI also has effort on another sponsored award the labor schedule detail from BUG 101a for the PI is attached.
- Page 3 attached for residual balance transfers greater than 25% of the total amount awarded (I).

*** If the award was accepted at less than the full indirect cost rate and has a remaining balance greater than 25%, the residual funds will be retroactively adjusted to reflect a full applicable F&A recovery (depending on the type of award).**

(1) Entry of these fields do not apply to Industry Trials and Clinical Contractual Agreements

 Departmental Lead Administrator Signature

 Printed Name of Lead Administrator

 Principal Investigator Signature

 Printed Name of Principal Investigator

 Dean or Designee Signature (if greater than 25%)

 Printed Name of Dean or Designee

For Official OSP Use Only

- Financial Report Submitted
- Award/Project verified as Fixed Price
- All Payments Received
- Reviewed/Verified variance explanations for balance transfers greater than 25%.

Comment(s): _____

OSP Review: _____ Date _____

OSP Approval: _____ Date _____

For Official YSM Finance Use Only

- OnCore -----Report Submitted
- BUG #---- Submitted
- Detail Labor Schedule attached (if necessary)

Comment(s): _____

YSM Finance Review: _____ Date _____

YSM Finance Approval: _____ Date _____

(Complete this page if balance is greater than 25% of the total amount awarded)

Requests for transfers of Residual Balances greater than 25% of total amount awarded require additional information/documentation. If a significant balance exists as a result of costs not being charged in accordance with the approved budget, a categorical budget line-item identifying the reason for the large dollar variance (indicated below) must be provided. Once this is complete, the request must be approved and signed by either the Dean or Designee and forwarded to OSP for review and approval.

Budget Category	Original Budgeted amount	Actual Expended	Unexpended Variance Dollars / %	Reason for large variance