Process to Reallocate Project Funding

Executive Summary

This document outlines the process used by the Borders, Trade, and Immigration Institute to provide for timely reallocation of research funds from terminated projects.

A. Goal

To clearly explain the process and delineate requirements to reallocate project funding from terminated projects to alternate research project(s) selected by the Office of University Programs Project Manager (PM) and Board of Directors (BOD).

B. The Process

1. **Project Review.** Each BTI Institute research project each year undergoes: (i) three progress reviews (by the BTI Institute Research Committee); (ii) a work plan development/review for the following performance year (by the BTI Institute Research Committee); (iii) a work plan review and approval (by OUP and the Project Champion).

    Additionally, BTI Institute research projects are reviewed by the Board of Directors and Office of University Programs during scheduled biennial reviews. Research Projects are reviewed based upon criteria established in "*COE Biennial Review Process, DHS S&T Office of University Programs – Standard Operating Procedures*" (undated).

2. **Termination.** Research projects funded under the Cooperative Agreement may be terminated for a variety of reasons to include: loss of Principal Investigator (e.g., due to illness, death, loss of job); lack of sufficient progress; or if its research is deemed no longer relevant by Project Champions and/or prospective customers and end-users.

    Should the BTI Institute Project Team determine that the funded research project has made insufficient progress or that the research is no longer relevant, the BTI Institute Project Team may submit a recommendation through the BTI Institute Director to the Office of University Programs Program Manager for project termination.

    As a professional courtesy, prior to submitting the recommendation for termination, the Institute Director will inform the Principal Investigator and the leadership of its partner university of the pending action.

Research projects may also be terminated by the decision of the Office of University Programs PM and Board of Directors.

Final decision on termination of OUP-funded research projects rests with the Office of University Programs.

3. **Project Closure.** Upon notice to the Project Principal Researcher of the OUP decision to terminate, research ends. The Project Principal Investigator, in coordination with their university's Finance Office, will follow the project termination procedures specified in their subcontract.

4. **Alternate Project List.** The BTI Institute will request and maintain a list of unfunded research projects as submitted through prior Request for Proposals (RFPs). The Director, BTI Institute, will request a list of previously proposed, but unfunded research projects, ranked by the Board of Directors and PM based on need.

5. **Project Nomination.** Within seven days of a project termination, the Director of the BTI Institute, will review the Alternate Project List and provide nominations to the Office of University Programs PM of the top three projects most suitable for reallocation of remaining funds. The Director will offer to discuss the nominations with the PM and Board of Directors.

   As a consideration, not as a requirement, the BTI Institute's Director or designated official may seek the insight and guidance of the BTI Institute's Executive Advisory Board members on the nominations and rankings, prior to submission to OUP.

6. **Project Approval.** The Office of University Programs will decide which research project will be funded and the amount of that funding. Typically, the PM will notify the Director, BTI Institute in writing of OUP's decision (email is sufficient).

7. **Notification of Award.** Within three working days following project confirmation and written approval by the PM the BTI Institute will notify the new Project Principal Investigator and partner university that their project is considered for funding, outline required next steps, identify members of the BTI Institute Project Team in support of that research, and schedule an introductory meeting/orientation.