

INSTRUCTIONS FOR REQUESTING TRANSFER OF NIH RESEARCH PROJECTS

When an investigator transfers and requests continued support for a previously approved project at a new location, the NIH requires that a transfer application be submitted through the new institution. This application will receive administrative review to determine if the transfer is appropriate and to determine the level of NIH funding. The decision to authorize transfer of the grant will be based upon the following criteria:

- (1) the project has been relinquished by the original institution,
- (2) the facilities and resources at the new location allow for the successful performance of the project, &
- (3) the investigator plans no significant change in research objectives and level of expenditures from those described in the previously approved project.

If the proposed change of institution does not meet these criteria, competitive review will be required.

To request continued support at a new institution and to accomplish closeout at the original institution, the following must be submitted to the NIH:

A. From the Original Grantee Institution (OLD)

1. Form PHS 3734, Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant. A relocation application will not be processed until this form, signed by the proper institutional officials, has been received by the NIH. This form provides the effective date of relinquishment, estimated Direct and Indirect cost balances, and a statement of intent concerning the transfer of equipment. Since the Relinquishing Statement reflects the current year of the transfer, those amounts should be for the current year only.
2. Standard Form 269, Financial Status Report (available from institution business office). This form must be submitted within 90 days following termination of the project. If there is any money remaining with this grant at "Old" Institution and you want it to transfer to the "New" Institution, please inform the accounting department at the "Old" to state "Any unobligated funds will be carried forward to the University of Massachusetts Medical School" in the Remarks section of the FSR so that it will transfer as well.
3. Form HHS 568, Final Invention Statement and Certification. This form must be submitted within 90 days following termination of the project.

B. From the Proposed Grantee Institution (NEW)

The new institution must submit a grant application on PHS 398 forms with "CHANGE OF GRANTEE INSTITUTION" typed in capital letters across the top of the page. This application should be sent to the Grants Management Specialist. The application should begin the day after the date in which the grant was relinquished from the previous institution (on form PHS 3734).

1. A description of the facilities at the new institution and the probable effect of the move on the project.
2. Copy of the PHS 3734 for inclusion with the transfer application (essential for a mid-year transfer). Please provide a copy of the Notice of Grant Award from the "old" institution to show the future year amounts.
3. Budget pages (current and future years). For modular grants, narrative budget information, including total direct costs and F&A costs for the current period. Be sure note if there are any subs.
4. A list of equipment (which was purchased in whole or in part with grant funds and had an acquisition cost of \$5,000 or more) to be transferred from the original grantee institution. This is usually shown on the PHS 3734. Such a listing in the application represents the new institution's acceptance of title to the transferred equipment.

5. A progress report which will serve in lieu of a final progress report for the original institution.
6. Include the Research Plan from the original application and at the beginning, add a statement concerning the current research plan and an indication of whether the original plan has changed. If changed, provide appropriate details.
7. Biographical sketches and Documentation of the Required Education in the Protection of Human Subject Research Participants for all new professional personnel to be associated with the project.
8. Other support pages for all key personnel.
9. A checklist page indicating the change of grantee institution and former institution. For modular grants, information regarding the number of modules and the basis for computing F&A costs should be provided for future years on the checklist page.
10. IRB and /or IACUC approval letters (if applicable) should be included – most grants will not transfer without these.

This is a “new” project at UMMS and thus requires all the internal forms (routing form, internal budget and COIs for all key personnel) as any other grant application would.

A final copy of the application should also be provided to RFS for our official files.