

NIDDK INSTRUCTIONS REQUESTING RELOCATION (TRANSFER) OF 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; and (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.

The change of grantee institution application cannot be processed until both the application and relinquishing statement/letter have been received. An award cannot be issued until the NIDDK staff have reviewed and approved the application. We ask that these documents be submitted no later than two (2) months prior to the anticipated start date at your new institution to allow for our administrative review.

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

From the Original Grantee Institution

Form PHS 3734, Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (<http://grants2.nih.gov/grants/phs3734.pdf>). A relocation application will not be processed until this form, signed by the proper institutional officials, has been received by the NIDDK. This form provides the effective date of relinquishment, estimated Direct and Facilities and Administrative (F&A) cost balances from the current budget period (carry-over of funds from previous budget periods should not be included in these amounts), and a statement of intent concerning the transfer of equipment.

Standard Form 269, Financial Status Report (http://grants2.nih.gov/grants/fsr_sf269a_short.pdf). This form must be submitted within 90 days following termination of the project. **Note:** Any unobligated funds remaining must be reflected as carryover (in the Remarks Section of the FSR) to the new institution in order for the funds to be transferred.

Form HHS 568, Final Invention Statement and Certification (<http://grants2.nih.gov/grants/hhs568.pdf>). This form must be submitted within 90 days following termination of the project.

From the New Institution

Form PHS 398, Grant Application (<http://grants2.nih.gov/grants/funding/phs398/phs398.html>) (also available from institution business office). The new institution must submit an original plus two copies of the transfer application. If the original award was the result of a modular application, modular procedures also apply to the request for change of grantee. This application should be sent to:

U.S. Postal Service mail use:
NIDDK File Room
Two Democracy Plaza, MSC 5456
6707 Democracy Blvd., Room 730
Bethesda, MD 20892-5456

FedEX, UPS, or other courier use:
NIDDK File Room
6707 Democracy Boulevard, Room 730
Bethesda, MD 20817

The application from the proposed grantee should include, at a minimum:

- Application face page with "CHANGE OF GRANTEE INSTITUTION" typed in capital letters across the top of the page;
- Budget pages (current and future years); *For modular grants*, narrative budget information, including total direct costs and F&A costs for the current budget period;
- Resources page (including a description of the facilities at the new institution and the probable effect of the move on the project);
- A progress report for the current year and a statement concerning the current research plan and an indication of whether the overall research plan/aims have changed from the original submission, and, if so, provide appropriate details;
- Updated biographical sketches for key personnel;
- Updated "other support" page(s), if necessary;
- Checklist page; *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;
- Certification of IRB/IACUC approval, if applicable;
- Human subjects education certification for key personnel, if applicable; and
- If applicable, a list of equipment (which was purchased in whole or in part with grant funds and has an acquisition cost of \$5,000 or more) to be transferred from the original grantee institution. Such a listing in the application represents acceptance of title to the transferred equipment. NIH may request additional information necessary to accomplish its review of the request.

Note: Applications requesting the transfer of previously recommended support may be submitted without regard to the deadline dates indicated in the Form PHS 398 instructions.

References

NIH Grants Policy Statement (http://grants2.nih.gov/grants/policy/nihgps_2003/nihgps_2003.pdf)