

INSTITUTIONAL TRANSFERS OF GRANTS/CONTRACTS

(NOTE: Experience has demonstrated that the transfer of an award from one institution to another can take up to 90 days to accomplish. If information is not submitted in a timely manner, the PD may experience a delay in resuming the project at the new institution.)

All transfers begin at the institution the PI is leaving and it is his/her responsibility to get the process started. The PI needs to notify both the Program Officer/Contact at the granting agency, AND the grant and contract office of the current institution. Transfers of grant/contract funds from the small agencies/foundations will need to be dealt with on an individual basis. Below are policies for the major Federal awarding agencies.

Note: Equipment transfers are separate from the transfer of the award. Please click [HERE](#) for instruction.

NATIONAL INSTITUTES OF HEALTH

(NIH GRANT TRANSFER QUICK REFERENCE GUIDE FOUND [HERE](#))

http://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch8.htm

8.1.2.7 Change of Grantee Organization

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). A change of grantee organization may be accomplished under most NIH grants if any of the following conditions are met:

- The original grantee has agreed to relinquish responsibility for an active project before the expiration of the approved project period. This includes any proposed change of grantee as a result of a PD/PI on a research project transferring from one organization to another organization. The project under the same PD/PI may be supported at a new organization for a period up to the remainder of the previously approved project period in an amount not to exceed that previously recommended for direct costs (plus applicable F&A costs) for the remaining period.
- The grant to be transferred has been terminated in accordance with 45 CFR part 74.61 or 92.43.
- A non-competing continuation award that is within an approved project period has been withheld because of the grantee's actions (see [Administrative Requirements—Enforcement Actions—Suspension, Termination, and Withholding of Support](#)).

A change of grantee that involves the transfer of a grant to or between foreign institutions or international organizations also must be approved by the IC's Advisory Council or Board.

A grant to an individual may not be transferred.

A successor-in-interest or a name change is not considered a change of grantee (see [Change in Grantee Organizational Status](#) below).

A change of grantee organization may involve the transfer of equipment purchased with grant funds. The transfer may be accomplished as part of the original grantee's relinquishment of the grant; otherwise, NIH reserves the right to transfer title to equipment to the new organization as indicated in [Administrative Requirements—Management Systems and Procedures—Property Management System Standards](#).

A change of grantee request normally will be permitted only when all of the permanent benefits attributable to the original grant can be transferred, including equipment purchased in whole or in part with grant funds. In reviewing a request to transfer a grant, NIH will consider whether there is a continued need for the grant-supported project or activity and the impact of any proposed changes in the scope of the project. NIH will also consider the length of time, the percentage of funds, and the amount of work remaining in the project period. A change may be made without peer review, provided the PD/PI plans no significant change in research objectives and the facilities and resources at the new organization will allow for successful performance of the project. If these conditions or other programmatic or administrative requirements are not met, the NIH awarding IC may require peer review or may disapprove the request and, if appropriate, terminate the award.

A change of grantee organization request must be made before the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or significant delays in processing. Grantees are encouraged to discuss any potential issues with the awarding IC(s) prior to submitting a change of grantee organization request. If requesting a transfer in the middle of a budget period or at the end of the Federal fiscal year, grantees should contact the awarding IC for IC-specific guidance on the timing and preparation of the change of institution application.

A request for a change of grantee organization must be submitted to the Grant Management Officer (GMO). The original institution must include an Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant ([PHS 3734](#)) (relinquishing statement). [The relinquishing statement may be submitted in paper or electronically via the eRA Commons](#). Final FFR Expenditure Data and a Final Invention Statement are due to NIH from the relinquishing organization no later than 90 days after the end of NIH support of the project. Final FFR Expenditure Data should not be submitted until the original institution has received a revised NoA for the relinquished grant.

The PI's affiliation will need to be updated in eRA Commons to include the new institution.

The proposed new grantee institution must provide the GMO with a change of institution application which may be submitted using the PHS 398 or PHS 416-1 paper application forms, or electronically via Grants.gov using the Parent Funding Opportunity Announcement listed at http://grants.nih.gov/grants/guide/parent_announcements.htm. If the original award was the result of a modular application and the grantee will submit a paper change of institution application, the modular procedures apply to the request for change of grantee. If the original

award was the result of a modular application and the grantee will submit an electronic change of institution application, the grantee may submit a detailed budget or streamlined-detailed budget (as described in the FOA).

The **paper application** from the proposed new grantee institution should include, at a minimum, the following:

- PHS 398 Face page
- Budget pages (current and future years). (Under awards resulting from modular applications, the application should include narrative budget information for the current budget period, including total direct cost and the basis for computing F&A costs and, if applicable, future budget periods.) Budgets should not exceed the direct costs (plus applicable F&A costs) previously recommended for any budget period. For transfers in the middle of a budget period, the budget for the initial year may be based on the total costs relinquished only if the grantee has been instructed to do so by the awarding IC. For these applications, grantees will also need to include the Other Project Information and the Senior/Key Personnel components.
- Updated biographical sketches for the PD/PI and existing senior/key personnel and biographical sketches for any proposed new senior/key personnel.
- If transferring on the anniversary date, include the progress report for the current year including a statement regarding the goals for the upcoming year. For all transfer applications include also a statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, provide updated information.
- Updated "other support" page(s), if necessary.
- Resources page, including probable effect of the move on the project.
- Checklist page
- Certification of IRB/IACUC approval, including OHRP and OLAW assurance numbers, if applicable.
- Detailed list of any equipment purchased with grant funds to be transferred to the new organization (inclusion of this list in the transfer application from the new organization indicates its acceptance of title to that equipment).
- Include the overall research plans/aims with a statement noting any changes from the original submission. If there are changes provide justification.

IMPORTANT: Confirm the relinquishing amounts on the 398 form match the funding amount that the new institution is requesting. The beginning date of the grant at the new institution should be the day following the Date of Relinquishment on the 398 form. Encourage the other institution to complete all actions on their end as quickly as possible to avoid delays in research time.

Note: The transfer application should be sent in advance of the requested effective date allowing adequate time for the review (1 month is preferred).

All required documentation to be included in the proposed change of grantee application (paper or electronic) request can be found here: [Change of Grantee Organizational Status](#)

NATIONAL SCIENCE FOUNDATION

http://www.nsf.gov/pubs/policydocs/pappguide/nsf15001/aag_2.jsp

Disposition of a Grant When a PI/PD or co-PI/co-PD Transfers from One Organization to Another Organization

(i) Policy. When a PI/PD plans to leave an organization during the course of a grant, the organization has the prerogative to nominate a substitute PI/PD or request that the grant be terminated and closed out. In those cases where the PI/PD's original and new organizations agree, NSF will facilitate a transfer of the grant and the assignment of remaining unobligated funds to the PI/PD's new organization. This should normally be done with a tripartite agreement (involving NSF, the PI/PD's original organization and new organization), or by a subaward arrangement (in certain circumstances) between the PI/PD's original and new organizations, subject to NSF's consent. (See [AAG Chapter II.B.3.](#))

(ii) Procedures. When a PI/PD plans to leave an organization during the course of a grant, the PI/PD or the Sponsored Projects Office, or equivalent, shall notify the NSF Program Office. If the project is to continue with the original organization, the NSF Program Officer should advise the grantee to nominate a substitute PI/PD (see [AAG Chapter II.B.2g.](#)). If the project is to be continued at the PI/PD's new organization, and if NSF and both organizations agree, formal notification of the impending transfer can be electronically initiated by either the PI/PD or the PI/PD's organization. The amount transferred has to be equal to or less than the unobligated balance.

The request shall include a:

- (a)** brief summary of progress to date;
- (b)** description of work yet to be accomplished;
- (c)** completed on-line transfer request, including total estimated disbursements to date (transfer amount will be automatically calculated, based on the amount entered in total estimated disbursements). The original organization is responsible for including in the total estimated disbursements, any anticipated costs yet to be incurred against the original grant; and
- (d)** detailed line item budget for the transfer amount and any outstanding continuing grant increments.

The original organization concurs with the transfer of the award by electronically forwarding the request to the new organization.

The new organization completes the request by providing a detailed budget for the transfer amount agreed to by both organizations. The new organization must electronically sign the request when submitted to NSF. Submission of the request constitutes agreement by the new organization to assume responsibility for completion of the project effort and to administer the grant (as originally awarded) from the transfer date to completion in accordance with any special terms and conditions and the applicable general terms and conditions that normally govern NSF grants made to the new organization. Special terms and conditions, as appropriate, cited in the original award will convey to the new grantee organization.

NSF will assign a proposal number at the time of submission. This proposal number will become the new grant number when the transfer is approved by an NSF Grants and Agreements Officer.

(iii) Fund Transfer. Upon receipt of the above material, NSF will review the request and, if approved, deduct the specified transfer amount from the original grant and re-establish it under a new grant number at the new organization. Award notification by the NSF Grants and Agreements Officer will constitute NSF approval of the grant transfer. The award notification also will specify the applicable basic terms and conditions that govern the grant.

(iv) Upon transfer of the grant to the new organization, any monetary discrepancies must be resolved between the original and the new grantee. NSF will not intervene in any disputes between the two organizations regarding the transferred amount.

(v) Equipment Transfers. Equipment purchased with NSF funds for use in a specific project should remain available for use for the duration of the project. PI/PDs who are in the midst of projects that included funding for equipment and who will continue the project at a new organization with NSF support should be able to arrange with their original organization to have the equipment transferred with them. Shipping costs for such equipment may be charged to the original or transferred grant as an allowable cost. Budgets should not include funds to "buy" equipment that had been previously obtained with Federal funds.

(vi) Possible Alternatives to the Transfer Process. When the amount of time and funds remaining in a project are modest, and if both the original and new organizations are in agreement, the original organization may issue a subaward to the new organization for completion of the project. This and other possible alternatives should be discussed with the NSF Grants and Agreements Officer.

UNITED STATES DEPARTMENT OF AGRICULTURE (USDA) & NATIONAL INSTITUTE OF FOOD AND AGRICULTURE (NIFA)

USDA:

To facilitate the transfer of a grant to a new institution, an original and two copies of the following documents must be submitted through the Program Specialist (PS) to the CSREES/NRI from the original grantee institution:

- A letter to the PS/NPL, signed by the Authorized Organizational Representative relinquishing the remaining funds on the original grant.
- Form SF-269 (Financial Status Report), which reflects the total amount of grant funds being transferred to the new institution.

From the new grantee institution, an original and two copies of the following documentation must be submitted through the PS to the CSREES/NRI:

Grants.gov Paper Application Package http://www.csrees.usda.gov/funding/all_forms.html
Containing:

- SF 424 (R&R) Form – Must contain original signature of the Authorized Organizational Representative (AOR).
- Research & Related Other Project Information Form – Includes assurance information related to the use of human subjects and animal care and use, National Environmental Policy Act exclusions, and summary statements.
- Research & Related Senior/Key Person Profile Form – Includes biographical sketch and current & pending support information.
- Research & Related Budget Form – The amount of grant funds being transferred must match the original institution's SF-269 Financial Status Report exactly. The budget must begin at the date of grant
- CSREES Supplemental Information Form – Must have program code name and program code information entered exactly as it is provided from the PS or NPL.

Applications must be prepared according to the "Project Director/Principal Investigator Transfer Application Guidelines – FY 2007." The "CSREES Grants.gov Application Guide: A Guide for Preparation and Submission of CSREES Applications via Grants.gov" is additional information needed in order to prepare a PD/PI transfer application. If there is any discrepancy between the two documents, the information contained in the RFA is overriding.

NIFA:

http://www.csrees.usda.gov/home/faq_grant_management.html#circumstances

PDs must contact the NIFA program staff associated with the existing award (Program Point of Contact identified in Block 4 of Form NIFA-2009, Award Face Sheet) to facilitate the transfer of a grant from one institution to another institution.

To transfer the existing grant, an original and two copies of the following documents must be submitted to the NIFA program staff (Program Point of Contact identified in Block 4 of Form NIFA-2009, Award Face Sheet) by the existing awardee organization.

- A letter from the authorized organizational representative (AOR) (the letter must be signed by the AOR) addressed to the NIFA program staff identifying that the awardee institution is relinquishing the remaining funds on the grant.
- A final Form SF-269 (Financial Status Report), the amount noted on Field 10.p (Field 10.i if using the short form) of the final SF-269 reflects the total amount of funds remaining on the grant. This would be the amount available to transfer to a different institution.

The NIFA program staff will provide a request for application (RFA) to the institution identified as the potential recipient of the remaining funds. The RFA will include instructions such as how to access the application package (including necessary forms and the "NIFA Grants.gov Application Guide"); complete the appropriate forms; and where and how to submit the forms.

DEPARTMENT OF DEFENSE

The Grantee must consult the Grants Officer before deviating from the research objectives defined in the grant proposal or any subaward, transfer or contracting out of substantive program performance under this award.

Support for the project may not continue without the active direction of the Principal Investigator approved for, and identified in, this Grant. If the approved Principal Investigator severs his or her connection with the Grantee or otherwise relinquishes active direction of the project, either permanently or for a significant length of time (three months or more), the Grantee must either:

- 1) Appoint a replacement Principal Investigator with the approval of the Grants Officer, or
- 2) Relinquish the Grant, in which case the Grant shall be terminated in Accordance with the "Termination" provision in either **DoDGARs 32.61**, for institutions of higher education, hospitals, and other non-profit organizations or **DoDGARs 34.51** for for-profit organizations, as appropriate.

DEPARTMENT OF EDUCATION

According to 34 CFR Part 74.25, budget or programmatic changes need prior approval of the Department of Education. Contact the designated Program Officer for transfer process.

NASA

<http://science.nasa.gov/researchers/sara/faqs/#15>

If you have a grant that is already in progress which needs to be transferred to the new institution then please contact your program officer as soon as possible. If you have a grant pending then let your program officer know even if you are not certain when you are moving to the new institution (we will keep your secret). Bottom line: it is really hard to get money back once it has been sent to the first institution.

Technically, grants belong to institutions not PIs. Since the grant belongs to the old institution, we have to get the old institution to agree in writing to give up the grant. Then, the new institution has to submit a proposal with a budget because they are getting a new grant, and this grant requires a proposal. The new proposal should be identical to the old proposal but with a budget and signature from the new institution for the work remaining. Finally the program officer must justify the acceptance of what is in effect an 'unsolicited' proposal from the new institution. Any grants you submit before you move should be submitted from the new institution if at all possible. If that cannot be done, the PI and the new institution should both send letters to the program officer stating that the research will be done at the new institution.

DEPARTMENT OF THE INTERIOR

Contact Program Officer for instructions.

ENVIRONMENTAL PROTECTION AGENCY

Contact Program Officer for instructions

DEPARTMENT OF ENERGY

Contact Program Officer for instructions.