GUIDELINES FOR THE TRANSFER OF NIH GRANTS

Guidelines for the Transfer of NIH Grants defines the roles to be taken by UNMC, your previous institution, and the Principal Investigator in transferring an NIH research project from the original grantee institution to the University Nebraska Medical Center (UNMC). If you have questions, please contact the Office of Sponsored Program Administration at 402-559-7456.

We encourage you to begin the process early:

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 a delay in processing.

NIH Grants Policy Statement
December 2003

Overview
Because grants and contracts are normally awarded to the university rather than the investigator, the university must review and approve the transfer of grants or equipment to other institutions. The transfer process involves two key steps: (1) the original grantee institution must relinquish their interests and rights to the grant; and (2) the new grantee institution (UNMC) must assume the legal and administrative responsibilities for your grant-supported project.

Materials
At a minimum, your request to transfer your grant will include these documents:

- Cover letter
- Relinquishing Statement
- Final Invention Statement and Certification
- Financial Status Report
- Select PHS 398 Form Pages
- Progress Report/ Work Statement

Roles
- Principal Investigator: (1) Completes documents to be submitted to NIH on behalf of the original and new grantee institutions; and (2) ensures that UNMC internal documentation requirements are met.
- Original Grantee Institution: Signs and submits to NIH appropriate documentation.
- UNMC: Signs and submits to NIH appropriate documents.
Documentation from the ORIGINAL GRANTEE Institution

Responsibility of the Original Grantee Institution
Before a grant can be transferred to our institution, the original grantee institution must relinquish all legal and administration rights to your grant-supported project. Typically, the sponsored programs office submits required materials on behalf of the Principal Investigator.

Responsibility of the Principal Investigator
The Principal Investigator is responsible for compiling the required information. After studying these “Guidelines,” contact your NIH awarding office for specific instructions related to your award. When all documents are completed, submit the original to the original grantee institution’s sponsored programs office to be forwarded to NIH for review. To expedite the transfer process, UNMC’s Office of Sponsored Programs Administration needs a copy of all documents submitted to NIH.

At minimum, these materials should include:
- Cover letter
- Relinquishing Statement
- Final Invention Statement and Certification

1. Cover letter
   - Directions may vary by institute.
   - On behalf of your current institution, prepare a written statement, in letter format, relinquishing interests and rights to the grant based on instructions from the NIH awarding office. This letter may require a signature line for the institutional official of the original grant institution.
   - This letter should accompany other documents (i.e., Relinquishing Statement and Final Invention Statement and Certification) that require the signature of the original grantee institution’s authorized official.

2. Relinquishing Statement – Using Form PHS 3734 (form page available online at: http://grants.nih.gov/grants/phs3734.pdf),
   - Negotiate the date the original grantee institution will relinquish your grant.
   - Estimate the total amount of direct and indirect costs remaining for the current year of your grant.
   - Tips:
     - Contact the post award official at the original grantee institution for the unexpended balance.
     - Do not include carryover funds from a previous budget period on the relinquishing statement (carryover funds are reported in the Financial Status Report).
     - Anticipate and account for outstanding expenses that have not cleared the grant budget.
   - List each piece of grant-funded equipment of more than $5,000 that will be transferred to UNMC.
   - Sign the completed Relinquishing Statement.
   - Obtain the signature of the original grantee institution authorized official.
3. **Final Invention Statement and Certification** – Using Form HHS 568 (form page available online at: http://grants.nih.gov/grants/hhs568.pdf),

*If no inventions to report:*
- Complete and sign the Final Invention Statement.
- Obtain the signature of original grantee institution’s authorized official.

*If you have inventions to report:*
- Certify the accuracy of this statement.
- List inventions, inventor and date of report to DHHS.
- Determine the type of award (e.g., Research, Health Services, Research Career Program Award) and obtain the signature of the person appropriate for that type.
- Obtain the signature of the original grantee institution’s authorized official.

4. **Financial Status Report** – Request that original grantee institution’s financial office prepare and submit the Financial Status Report (Standard Form 269A –available online at: http://grants.nih.gov/grants/fsr_sf269a_short.pdf) within 90 days of the termination of the grant.

**Documentation from the NEW GRANTEE Institution**

**Responsibility of UNMC’s Office of Sponsored Programs Administration**

Before a grant can be transferred to our institution, the UNMC’s Office of Sponsored Programs Administration must submit to NIH for its approval an original and two copies of the request to transfer your grant.

**Responsibility of the Principal Investigator**

The Principal Investigator must complete the following information (using select forms from the PHS 398 application kit – available online at: http://grants.nih.gov/grants/funding/phs398/phs398.html) and submit them to UNMC’s Office of Sponsored Programs Administration. Instructions for standard as well as modular grant formats are listed below.

**Standard Format**

1. **New Face Page** – Complete and sign Face Page containing UNMC institutional information (pre-populated form page available online at: http://webmedia.unmc.edu/spa/forms/Prefilled_Face_Page.doc). Type “CHANGE OF GRANTEE INSTITUTION” across the top. Sponsored Programs Administration will obtain a signature from UNMC’s authorized official.

2. **Current Year’s Budget Page** (Form Page 4) – Prepare a cost estimate (total costs including both direct and indirect costs as shown on the Relinquishing Statement).

3. **Future Years’ Budget Page** (Form Page 5) – Complete the first column using the figures on Form Page 4. If additional years remain in your project period, complete columns 2-4. Your calculation for additional years should reflect your new salary and UNMC’s fringe benefit rate of 28%. If the line
items vary significantly from the initial grant award, include a justification at
the bottom of the page.

4. **Budget Justification** (bottom of Form Page 5) – (1) Include a budget
justification that reflects changes in salary and fringe benefits and/or any
change in percentage of effort. (2) Indicate whether the overall research
plans/aims have changed from the original submission, and if so, provide
updated information.

5. **Biographical Sketch** – Provide an updated copy of the PI’s biographical
sketch.


7. **New Resources Page** – Describe the facilities available at UNMC.

8. **Progress Report** – Provide a progress report as follows:
   i. For an *Anniversary Date Transfer*, prepare a progress report for the
current year, including a statement regarding the goals for the upcoming
year (instructions and form page available online at:
   ii. For a *Partial Year Transfer*, prepare an updated current progress
report, including a statement regarding the goals for the upcoming
year.

9. **Work Statement** – Provide a statement indicating whether the overall
research plans/aims have changed since funding of the most recent
competing application. If the research plans/aims have changed, details
of the change must be provided.

10. **New Checklist Page** – Complete the checklist page using UNMC rates
(below). Under TYPE OF APPLICATION, check “CHANGE of
Grantee Institution” and type in the name of the former institution.

    **UNMC’s Rates**: UNMC uses a Modified Total Direct Cost Rate of 47%
for research conducted on campus. The off-campus (e.g., Omaha
Veteran’s Administration Medical Center) rate is 26%. Modified Total
Direct Costs are based on total costs less capital equipment, tuition, and
subcontracts costs over $25,000 on each subcontract. Our DHHS
Agreement is dated 11/08/04. UNMC is a smoke free workplace.

11. **Certification of IRB/IACUC Approval** – If applicable, include
documentation of regulatory approval from the UNMC for the use of human
subjects or animals.

12. **Equipment** – If applicable, list each piece of grant-funded equipment of more
than $5,000 that will be transferred to UNMC. This list, as part of a transfer
application, serves as an acceptance of title by UNMC. NIH may request
additional information necessary to accomplish its review of the request.

**Modular Format**

1. **New Face Page** – Complete and sign Face Page containing UNMC
institutional information (pre-populated form page available online at:
http://webmedia.unmc.edu/spa/forms/Prefilled_Face_Page.doc). Type
“CHANGE OF GRANTEE INSTITUTION” across the top. Sponsored
Programs Administration will obtain a signature from UNMC’s authorized
official.

2. **Budget** – Prepare narrative budget in modular format, including total direct
costs and F&A costs for current budget period.

3. **Biographical Sketch** – Prepare an updated copy of the biographical sketches for all key personnel in modular format.

4. **Other Support Page** – List information on other support on the Biographical Sketch page in typical modular format.

5. **New Resources Page** – Describe the facilities available at UNMC.

6. **Progress Report** – Provide a progress report as follows:
   
   i. For an *Anniversary Date Transfer*, prepare a progress report for the current year, including a statement regarding the goals for the upcoming year (instructions and form page available online at: http://grants.nih.gov/grants/forms.htm).
   
   ii. For a *Partial Year Transfer*, prepare an updated current progress report, including a statement regarding the goals for the upcoming year.

7. **Work Statement** – Provide a statement indicating whether the overall research plans/aims have changed since funding of the most recent competing application. If the research plans/aims have changed, details of the change must be provided.

8. **New Checklist Page** – Complete the checklist page using UNMC rates (below). Under TYPE OF APPLICATION, check “CHANGE of Grantee Institution” and type in the name of the former institution.

   **UNMC’s Rates**: UNMC uses a Modified Total Direct Cost Rate of 47% for research conducted on campus. The off-campus (e.g., Omaha Veteran’s Administration Medical Center) rate is 26%. Modified Total Direct Costs are based on total costs less capital equipment, tuition, and subcontracts costs over $25,000 on each subcontract. Our DHHS Agreement is dated 11/08/04. UNMC is a smoke free workplace.

9. **Certification of IRB/IACUC Approval** – If applicable, include documentation of regulatory approval from the UNMC for the use of human subjects or animals.

10. **Equipment** – If applicable, list each piece of grant-funded equipment of more than $5,000 that will be transferred to UNMC. This list, as part of a transfer application, serves as an acceptance of title by UNMC. NIH may request additional information necessary to accomplish its review of the request.
Internal UNMC Approval

Internal UNMC approval forms must accompany the grant transfer information. Specifically, Sponsored Programs Administration will need:

1. **Research Plan** – Submit the research plan from original application. NIH does not require a copy of the research plan as part of the request for approval to transfer because it is part of your original application. Because UNMC Sponsored Programs Administration is originating a file for your grant application, we will need a copy of the original proposal (appendices not included).

2. **Internal UNMC Forms** – Contact your department administrator to help you complete these forms and to obtain the required signatures:
   - Grant Application/Contract Proposal Approval Form
   - Internal Budget Form (available online at: http://webmedia.unmc.edu/spa/forms/budget_form%202-17-05.xls)
   - University of Nebraska Disclosure of Interest

3. **Regulatory Approvals**
   - IRB
   - IACUC
   - IBC

**Contact Information**

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**Enclosures**

- PHS Grants Policy Statement - Change of Grantee Organization
- PHS Form 3734 - Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant
- HHS Form 568 and Instructions - Final Invention Statement and Certification
- Sample PHS 398 Form AA (with UNMC information)
- UNMC projected full-time employee benefit rates for grants
- UNMC Federal Government Indirect Cost Rate Agreement
- UNMC Grant Application/Contract Proposal Approval Form
- UNMC Internal Budget Form
- UNMC Disclosure of Interest Form