

Change of Grantee Institution

Background

A change of grantee institution is the transfer of legal and administrative responsibility for a grant from one legal entity to another before the expiration of the grant. Prior approval from NHGRI is required before a change of grantee institution can occur.

The timing of the transfer should be considered carefully and discussed with NHGRI in advance. A transfer that occurs with the start of the next budget period will facilitate administrative and budgetary considerations for both grantees and NHGRI. These are considered "**anniversary date**" transfers. Normally, if a proposed transfer date is within 90 days of the end of the budget period, NHGRI will expect to issue an anniversary date transfer coinciding with the start of the next budget year. However, if a transfer occurs early in the budget year period, a "**mid-year**" transfer will be carried out. Differing requirements for these transfers are noted below.

Additional information can be found at NIH Policy 8.1.2.7 [Change of Grantee Organization](#).

How to Apply for a Change of Grantee Institution

The request should be sent to the Program Officer and Grants Management Specialist for the grant via email or mail, and includes components from both the original and proposed grantee institutions.

Original Grantee Institution

1. **Relinquishing Statement:** PHS 3734 ([PDF](#)) – select items:
 - The Relinquishing Statement is a key document. If the grantee institution does not officially relinquish the grant, the grant cannot be moved.
 - Provide an **estimated** amount of funds to be relinquished in the **current** grant year.
Note: For "mid-year" transfers, funds listed should reflect ONLY amounts awarded in the current budget period, carryover from previous budget periods should NOT be included. For "anniversary date" transfers, this amount is zero, any prior year unobligated balance will carry over to the new grantee institution via the final FFR.
 - This document states the date the investigator proposes to leave the original institution and the proposed start at the new institution.
 - Any equipment transferring to the new grantee institution should be listed.
2. **Federal Financial Report (FFR):** SF 425 ([PDF](#)). The FFR should not be submitted until the original institution has received a revised Notice of Award (NoA) for the relinquished grant. It is due no later than 90 days after the revised NoA is received.
3. **Final Invention Statement:** PHS Form 568 ([PDF](#)). This form is due no later than 90 days after the revised NoA is received.

Proposed Grantee Institution

1. **Grant Application Face Page:** PHS 398 Form Page 1 ([MS Word PDF](#)).
 - The title of the project (Box 1) should be the title of the original award.
 - The PD/PI must be the same as the PD/PI on the parent award. For Multiple PD/PI parent awards, the Contact PD/PI must be the PD/PI listed.
4. **Project Summary:** PHS 398 Form Page 2 ([MS Word PDF](#)). In the Description section, include:
 - A summary of the goals of the research,
 - Career plans of the PD/PI, and
 - Reason(s) for the transfer of institution.
5. **Budget**
 - **Categorical**

- Detailed Budget for Initial Budget Period, Direct Costs Only: PHS 398 Form Page 4 ([MS Word PDF](#)). **Note:** For “mid-year” transfers, the initial budget request (direct and indirect costs) should equal the total costs stated on the Relinquishing Statement. For “anniversary date” transfers, the direct cost requested should equal the direct costs listed on the original NoA for the project, and the applicable indirect costs for the new grantee institution.
- Budget Summary: PHS 398 Form Page 5 ([MS Word PDF](#)) For either type of transfer, any future year requests should equal the direct costs listed on the original NoA for the project, and the applicable indirect costs for the new grantee institution.
- **Modular**
 - See “mid-year” and “anniversary date” budget information noted above. Narrative budget information for the current budget period, including total direct cost, the basis for computing F&A costs and, if applicable, future budget periods.
- 2. **Progress Report Summary:** PHS 2590 Form Page 5 ([MS Word PDF](#)). Include a statement regarding the goals for the upcoming year. Also include a statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, provide updated information.
- 3. **Biographical Sketch** for all new Senior/Key Personnel ([MS Word PDF](#)). Do not repeat information provided in the parent application. Provide updated other support information, including effort levels, for the PI and key personnel, if applicable.
- 6. **Resources Format Page:** PHS 398 ([MS Word PDF](#)). Provide detailed information about the facilities available at the new institution.
- 7. **Certification of IRB/IACUC approval**, including OHRP and OLAW assurance numbers, if applicable.
- 8. **List of equipment to be transferred**, as presented on the original institution’s Relinquishing Statement. Such a listing in the application represents acceptance of title to the transferred equipment.
- 9. **Checklist Form:** PHS 398 ([MS Word PDF](#)). If this is a modular award please provide breakdown for F&A base exclusions. A checklist is also required for consortium, if applicable.

Note: Concerning “mid-year” transfers – if a non-competing budget year is pending, submission of a separate PHS 2590 application through the eRA Commons will be required.