

Institutional Transfer of Grants/Contracts

Revised: February, 2008

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All transfers begin at the institution the PI is leaving, and it is his/her responsibility to initiate the process. Prior to moving to SFSU, the PI must notify both the Program Officer/contact at the granting agency, and the SFSU Grants Administrator. Transfers of grant/contract funds from small agencies/foundations must be dealt with on an individual basis. Below are policies for some of the major Federal awarding agencies.

NATIONAL INSTITUTES OF HEALTH

NIH specifies some basic requirements in an extensive document, available online at:

http://grants.nih.gov/grants/policy/nihgps_2003/NIHGPS_Part7.htm

The principal conditions that must be met to obtain NIH prior approval to transfer an award from one institution to another are condensed in the following section:

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, including construction 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 PI on a research project transferring from one organization to another organization. The project under the same 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.”

Prior approval from NIH is required and the request for transfer approval must be submitted before the expiration of the approved project period.

Additional text exists in the original version of the NIH document. The following sections are directly from NIH's regulations. Please use the URL listed above for the complete version of these guidelines.

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 Institute or Center's Advisory Council or Board.

A grant to an individual may not be transferred. However, an individual fellowship may be transferred to a new sponsoring organization. The transfer process will be the same as for a change of grantee organization. A change in an individual fellow's department or sponsor within the same organization is not considered a change of grantee organization. A successor-in-interest or a name change is not considered a change of grantee.

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 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.

A change of grantee request normally will be permitted only when all 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. A change may be made without peer review, provided the 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 office may require peer review or may disapprove the request and, if appropriate, terminate the award.

A request for a change of grantee organization must be submitted to the Grants Management Officer (GMO) and must include an Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (PHS 3734) (relinquishing statement) and a Final Invention Statement and Certification from the original grantee as well as an application (PHS 398 or 416-1) from the proposed grantee or sponsoring organization. (A final FSR is due to NIH from the relinquishing organization no later than 90 days after the end of NIH support of the project.) If the original award was the result of a modular application, modular procedures apply to the request for change of grantee. For awards using the PHS 398, the application from the proposed grantee should include, at a minimum, the following:

- Face page
- Budget pages (current and future years) (Under awards resulting from modular applications, the application should include narrative budget information, including total direct and F&A costs for the current budget period and, if future budget periods remain, information about the number of modules and the basis for computing F&A costs for all future years)
- Updated biographical sketches for the PI and existing key personnel and biographical sketches for any proposed new key personnel
- Statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, providing updated information
- Updated "other support" page(s), if necessary
- Resources page
- Checklist page
- Certification of IRB/IACUC approval, if applicable
- Detailed list of any equipment purchased with grant funds being 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).

NIH may request additional information necessary to accomplish its review of the request. Acceptance of a relinquishing statement by NIH does not guarantee approval of a transfer application for the continued funding of a project.

NIH will accomplish a change of grantee organization by issuing a revised Notice of Grant Award (NGA) to the original grantee reflecting the revised budget/project period end dates, deletion of any future-year support, and deobligation of remaining funds, if applicable. (A deobligation of funds will be based on the estimated grant expenditures through the relinquishment date, as determined from the relinquishing statement.) Concurrently, the new grantee will receive an NGA reflecting the balance reported on the relinquishing statement or, if the change of grantee organization occurs on the anniversary date of the project, the NGA to the new grantee will reflect the previously committed direct cost level plus applicable F&A costs). This amount is subject to change as a result of the closeout of the original grant and may be adjusted downward.

NATIONAL SCIENCE FOUNDATION

http://www.nsf.gov/pubs/policydocs/papp/aag_2.jsp#IIB2h

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

Procedures: When a PI plans to leave an organization during the course of a grant, the PI 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 (see *AAG Chapter II.B.2g*). If the project is to be continued at the PI's new organization, and if NSF and both organizations agree, formal notification of the impending transfer can be electronically initiated by either the PI or the PI's organization. The most current Federal Cash Transaction Report must be posted to NSF's financial accounting system prior to submitting the PI transfer. The amount transferred must be equal to or less than the unobligated balance.

The request shall include a:

- Brief summary of progress to date;
- Description of work yet to be accomplished;
- 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 the total estimated disbursements, and any anticipated costs yet to be incurred against the original grant.
- 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.

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

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 (e.g., NSF GC-1, FDP, or other Terms and Conditions). 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.

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's in the midst of projects that included funding for equipment and who 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 was previously obtained with Federal funds.

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)

A grant may transfer from one institution to another if the awardee institution for the existing grant is willing to relinquish all remaining funds under the award, and the institution identified as the potential recipient of the remaining funds meets the eligibility requirements under the applicable program.

PI's must contact the CSREES program staff associated with the existing award (identified in Block 4 of Form CSREES-2009, Award Face Sheet) to facilitate the transfer of a grant from one institution to another institution. To transfer the grant to a new institution, an original and two copies of the following documents must be submitted through the Program Specialist 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.

The CSREES 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 "CSREES Grants.gov Application Guide"); complete the appropriate forms; and where and how to submit the forms.

Applications must be prepared according to the agency. The *CSREES Grants.gov Application Guide* provides additional information in order to prepare a PD/PI transfer application.

http://www.csrees.usda.gov/funding/grant_forms/electronic_app_guide.pdf

(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 or PI may experience a delay in resuming the project at the new institution.)

DEPARTMENT OF DEFENSE

If the Grantee wishes to change the scope of work of a project being transferred from another institution, 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 the award. Support for the project may not continue without the active direction of the PI approved for, and identified in, the Grant. If the approved PI 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:

- Appoint a replacement PI with the approval of the Grants Officer, or
- Relinquish the Grant, in which case the Grant shall be terminated in Accordance with the “Termination” provision in *DoDGARs 32.61* for institutions of higher education.

DEPARTMENT OF EDUCATION

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

DEPARTMENT OF ENERGY

Contact Program Officer for instructions.

DEPARTMENT OF THE INTERIOR

Contact Program Officer for instructions.

EPA

Contact Program Officer for instructions.

NASA

Contact Program Officer for instructions.

Note: For transfers of awards funded by agencies other than those listed above, the PI needs to contact an ORSP Grants Administrator as early as possible, in order to establish the transfer process.

RELATED DOCUMENTS

- [NIH Grants Policy Statement](#)
- [Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant \(PHS 3734\)](#)
- [PHS 398](#)
- [PHS 416-1](#)
- [NSF Award and Administration Guide Chapter II-Grant Administration](#)
- [CSREES Grants.gov Application Guide](#)
- [USDA-Form SF-269 \(Financial Status Report\)](#)
- [Department of Defense- *DoDGARs 32.61*](#)
- [Department of Education-*34 CFR Part 74.25*](#)