

Date :

Dear Dr. :

In order to assist you with a smooth transition of grant support, please follow the instructions below. These instructions provide information concerning transfer requirements and copies of forms necessary for the transfer.

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 an administrative review by grants management and program staff 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:

- the project has been relinquished by the original institution;
- the facilities and resources at the new location allow for the successful performance of the project; and
- the investigator plans no significant changes 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.

NOTE: It is recommended that the PI contact the Program Official to discuss the feasibility of the move; the Program Official will then review the request approve or disapprove the scientific information on the new application.

A. From the Original Grantee Institution please submit:

- ❖ Form PHS 3734, Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant can be downloaded at the following URL: <http://grants.nih.gov/grants/phs3734.pdf> . A transfer application will not be processed until this form, signed by the proper institutional officials, has been received by the National Institute of Mental Health (NIMH). This form provides the effective date of relinquishment, estimated unexpended Direct Costs and Facilities and Administrative (F&A) Costs balances from the current budget period (**carry-over of funds from previous budget periods should not be included in these amounts**), and lists any transfer of equipment of an acquisition cost of \$5,000 or more.
- ❖ Form HHS 568, Final Invention Statement and Certification, can be downloaded at the following URL: <http://grants.nih.gov/grants/hhs568.pdf> . This form must be submitted within 90 days following termination of the project.
- ❖ Standard Form 269, Financial Status Report (FSR) can be downloaded at the following URL: http://grants.nih.gov/grants/fsr_sf269_long.pdf and must be submitted within 90 days following the relinquishing date of the project. **In the remarks section of the final FSR, please note that any remaining unobligated funds must be reflected as**

“CARRYOVER” in order for the funds to be transferred to the new institution.

B. From the New Institution please submit:

- ❖ Form PHS 398, Application for a Public Health Service Grant, is available from your institutional business office or downloadable at the following URL: <http://grants.nih.gov/grants/funding/phs398/phs398.html> . The new institution must submit an application with "**CHANGE OF GRANTEE INSTITUTION**" typed in capital letters across the top of the page. This application should be sent in advance of the requested effective date allowing adequate time for the review (several months is preferred). Please send this application to my attention at the bottom of this e-mail.
- ❖ **(For K Awards) - An official letter, from the new institution, naming a qualified sponsor/mentor in accordance with instructions in the PHS 398 grant application kit (Rev. 5/01).**
- ❖ A description of the resources at the new institution and the probable effect of the move on the project.
- ❖ **Budget:**

Non-Modular/Categorical Grant Award:

Mid-year Transfer:

Please submit a detailed budget for the transfer budget period and include a budget for future year commitments if applicable. (*Note: The transfer budget (DC + F&A) should not exceed the Total Costs relinquished from the previous institution.*)

Anniversary Date Transfer:

Please submit a detailed 12-month budget for the noncompeting budget period and include future year commitments if applicable. (*Note: Future year commitments should be based on the previously established Direct Cost levels.*)

Modular Grant Award:

Mid-year Transfer:

Please submit a modular budget for the transfer budget period and include a budget for future year commitments if applicable.

Anniversary Date Transfer:

Please submit a modular budget for the noncompeting budget period and include future year commitments if applicable. (*Note: Future year commitments should be based on the previously established Direct Cost levels.*)

If the grant currently includes salary support for the PI or any other transferring member of the project and continued salary support is not required at the new institution, a statement regarding the proposed rebudgeting of these funds is required.

- ❖ An updated progress report (PHS 2590) that will serve in lieu of a final progress report for the original institution.
- ❖ A statement concerning the current research plan and an indication of whether the original plan has changed. If changed, provide appropriate details.
- ❖ Biographical sketches of all new key personnel to be associated with the project.
- ❖ Other support pages for all key personnel.
- ❖ Special justification when requesting the transfer of a budget period with less than 6 months remaining

Please feel free to contact me at the number reflected below or via email should you have any questions regarding the above.

Sincerely,

Grants Management Specialist
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Bethesda, MD 20892-9605 (Domestic / Foreign Only)
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Required Forms:
PHS 3734
HHS 568
PHS 398