

Instructions for a Change of Sponsoring Institution Application for NRSA Fellowships (F30, F31, F32 and F33) and non-NRSA Fellowships

These instructions are provided in addition to the Ruth L. Kirschstein National Research Service Award Individual Fellowship Application (PHS 416-1) Instructions. They provide general guidance on the application procedures for a Change of Sponsoring Institution for Kirschstein-NRSA Individual Fellowships (F30, F31, F32 and F33) and non-NRSA Individual Fellowships.

The required documentation for a change of sponsoring institution for fellowship may vary depending on the NIH awarding component [also known as awarding Institute/Center (IC)]. While general guidance is provided below, the fellow is strongly encouraged to contact the awarding IC for specific guidance prior to any proposed change(s) and preferably several months in advance.

NIH has transitioned the Individual Fellowship application for new, renewal and resubmission applications to electronic submission using the SF424 (R&R) Fellowship Application Package and Application Guide. However, applications for a Change of Sponsoring Institution must be submitted on the paper PHS 416-1, <http://grants.nih.gov/grants/forms.htm> and directly to the awarding component, not through Grants.gov.

The sponsoring institution is financially responsible for the use and disposition of fellowship funds. NIH prior approval is required to transfer the legal and administrative responsibility of an Individual Fellowship application from one sponsoring institution to another prior to award or for a transfer of a funded fellowship before the expiration date of the approved project period.

NIH prior approval is also required for a change in sponsor and/or change in scope of the approved research training. Note, a change in scope may require submission of a new application through the peer review process. A change in an individual fellow's department or sponsor within the same sponsoring organization is not considered a change of sponsoring institution.

A request to an NIH awarding component to change sponsoring institutions must be made before the anticipated start date of the transfer, preferably several months in advance. Failure to do so may likely result in a delay in processing or denial of the request.

A change of sponsoring institution may occur prior to initial award, on the anniversary date or on a date within a budget period (i.e., mid-year). The preferable effective date of a change of institution is the anniversary date.

If the awarding component approves a change in sponsoring institution for a funded fellowship, a revised Notice of Award is issued to the original/former sponsoring institution to reflect the amended budget/project period end dates, decrease in the award amount and deletion of any future year commitments, as appropriate.

A separate Notice of Award is issued to the new sponsoring institution to reflect the start date, the remaining stipends and institutional allowance for the current year and any future year commitments, as applicable.

The Original/Former Sponsoring Institution must submit the following documentation to the NIH awarding component:

1. A letter on institutional letterhead countersigned by the fellow, sponsor and sponsoring institution business official (or an email routed through appropriate channels) requesting

approval to transfer the fellowship to the new institution. It should include information on the proposed date of the transfer and whether the proposed training will continue as originally approved. The letter should state that the original/former institution relinquishes all interests in and rights to the fellowship. (Note: If a mid-year transfer is proposed, the letter should include the balance of the stipends as of the date of the transfer.) This letter may serve as the official relinquishing document and be in lieu of a Relinquishing Statement (PHS 3734).

2. A Termination Notice (PHS 416-7) <http://grants.nih.gov/grants/funding/416/phs416-7.pdf> must be submitted by the original/former sponsoring institution. Item 6. of the Termination Notice should reflect the specific dates the fellow was supported at the original/former institution. In Item 7, provide the amount of stipend and number of months and days for each year supported at the original/former institution. Do not include the Institutional Allowance or any tuition as part of the stipend amount. Indicate in Item 8. that the Termination Notice is submitted due to a "Change of Sponsoring Institution". (Note: An additional Termination Notice will be required from the new sponsoring institution once all of the support has terminated.)

The New Sponsoring Institution must submit an original, signed transfer application:

Although new, renewal and resubmission applications for individual fellowships have transitioned to a new application package and instruction, the application for Kirschstein Individual National Research Service Award Fellowship (PHS 416-1) must still be used by the new sponsoring institution for the transfer application. The forms and application instructions can be found on the NIH Forms & Applications page at <http://grants.nih.gov/grants/forms.htm>.

The following forms and information must be submitted:

- **Form Page 1:** Face Page (Items 1-14)

A completed Face Page with original signature. Note, if the application is submitted to the awarding component as a PDF document, the Face Page must clearly show the signature of the Authorized Official at the new sponsoring institution. If animals or human subjects are to be used in the research training at the new sponsoring institution, IACUC and/or IRB approval should also be included in the transfer application. Certification of IRB review and approval must be provided and accepted by the awarding component before the research training may occur. Before activities with animals may begin, verification of current IACUC approval must be provided to the awarding component.

- **Form Page 2:** Sponsor/ Co-Sponsor Information (Items 15-17)

Assuming the sponsor is not changing, this information should reflect the new contact information for the sponsor. If the transfer application also includes a request for a change in sponsor, refer to Section 5.8 of the PHS 416-1 application instructions for required Sponsor and Co-Sponsor information (Items 15 and 16). Include a CV of the new sponsor/co-sponsor and use continuation pages as necessary.

Note: A Sponsor/Co-Sponsor Biographical Sketch Format Page must be submitted if there is to be a change in sponsor.

Research Proposal (Item 17) - This section is not required unless the research to be carried out after the transfer is a change from that originally approved.

- **Form Page 3:** Goals, Activities Planned, Training Site(s), Human Embryonic Stem Cells (Items 18-21)

Items 18 and 19 are not required unless there is a change from the original submission. For Item 20, complete the information for the new Project/Performance (Training) Site. Use a continuation page if additional space is needed to list additional project/performance sites. For Item 21, complete the information on Human Embryonic Stem Cells, as requested.

- **Form Page 4:** Table of Contents
- **Research Training Plan:** Include the research training plan from the original application so that the new sponsoring institution has a record of what was peer reviewed and approved. A scanned image of the original submission is stored in the eRA Commons. The training at the new sponsoring institution is expected to continue as described in the original peer reviewed and approved application. Include a statement regarding whether the research training plan will continue as originally proposed or how/why the previously approved research training plan may change. A new research training plan is required if a change in scope is planned. In addition, changes in scope may require submission of a new application through the peer review process. Fellows are reminded to consult with awarding component staff regarding any proposed change in research plan prior to submission of a formal request for a change in institution.
- **Training Plan, Environment, Research Facilities:** Following the instructions in section 5.8.3 of the PHS416-1 to address this section at the new sponsoring institution.
- **Checklist Form Page:** Under Type of Application, please check the box for Change of Sponsoring Institution and include the Name of the Former Institution in the space provided. The rest of the checklist need only be completed, as applicable.
- **Progress Report:** If the transfer is to occur on the anniversary date, in addition to the application pages above, please also include Form Pages 2 and 3 of the Progress Report for Continuation Support of Kirschstein-NRSA Individual Fellowships PHS-416-9, <http://grants.nih.gov/grants/funding/416-9/phs416-9.htm> and a completed Targeted/Planned Enrollment Table Format Page or the Inclusion Enrollment Report Format Page, if applicable.

Note: Letters of reference are not required for a transfer application.

Submitting Change of Sponsoring Institution Application Material

All change of sponsoring institution application materials (relinquishing letter/statement, transfer application, termination notice) from both the original/former and new sponsoring institutions must be submitted directly to the NIH awarding component (IC). In most cases, all materials will be submitted to the assigned grants management specialist. However, consult the awarding component (IC) for specific submission instructions. Do **not** submit the transfer application to the Center for Scientific Review nor attempt to submit it through the Grants.gov submission process.