

INSTRUCTIONS FOR REQUESTING RELOCATION OF PREVIOUSLY APPROVED
BUT NOT YET FUNDED NIDDK RESEARCH APPLICATION

TYPE 1 & 2 APPLICATIONS PENDING FUNDING

When a principal investigator transfers to a different grantee institution and wishes to transfer an NIH-approved, but not yet awarded application, the transfer application may be reviewed administratively by NIDDK program and grants management staff provided:

1. The original grantee institution is willing to relinquish the grant.
2. The investigator plans no significant changes in research objectives and level of expenditures from those described in the previously approved project.
3. The facilities and resources at the new location allow for the successful performance of the project.

If departing from the previously recommended project, or if any other condition above is not met, the original grant will be terminated and the replacement application will be peer reviewed and compete for available funds along with other new applications.

Applicability: Investigators transferring to or between foreign institutions are required to submit a new application from the new institution for peer review; administrative approval may not be given. The application will be reviewed as any new application and must compete for available funds. A grant made to a foreign institution may be administratively relocated to a domestic institution. A training grant, core grant, or program project grant may be transferred only under unusual circumstances.

To request transfer of your PENDING, but not yet funded, NIDDK application to a new grantee institution, you will need to submit the following:

A. From the Original Grantee Institution

1. Formal Withdrawal of Application - This can be done by a letter signed by the official authorized to sign the application, relinquishing interest in the pending application or by submitting a completed "Official Statement Relinquishing Interest and Rights in a PHS Research Project, Form PHS 3734. If the transfer is between nonprofit institutions and if the letter option is chosen for a Type 2, the letter should include a list of equipment to be transferred which was purchased in whole or in part with grant funds and which had an acquisition cost of \$1,000 or more.

If the transfer is between forprofit organizations or from a nonprofit to a forprofit organization, title to equipment purchased in whole or in part with grant funds is vested in the Federal government and the following additional information must be provided for each piece of equipment, along with a statement indicating whether the original grantee or the new grantee will pay the shipping charges: description of item, manufacturer's name, model or type, manufacturer's serial number, unit acquisition cost, date purchased or received, condition, and nonhazardous certification.

SBIR grantees must also submit a statement relinquishing rights to materials, data, and items developed under the grant (Phase II only).

THE CHANGE OF GRANTEE INSTITUTION APPLICATION WILL NOT BE PROCESSED UNTIL THE RELINQUISHING LETTER OR THE FORM PHS 3734, SIGNED BY THE AUTHORIZED INSTITUTIONAL OFFICIAL, HAS BEEN RECEIVED BY THE GRANTS MANAGEMENT SPECIALIST WHOSE NAME AND ADDRESS ARE NOTED ON THE COVERING LETTER.

For Competing Continuation Applications (Type 2)

2. Form SF 269, "Financial Status Report." This is due 90 days after the end of the final budget period at the original institution. The final report of expenditures covers the final budget period, must have no unliquidated obligations, and must indicate the exact balance of unobligated funds. The original grantee should return the form to:

Chief, Grants Section
Division of Financial Management, NIH
Building 31, Room B1B11, 9000 Rockville Pike
National Institutes of Health
Bethesda, MD 20892

3. Form HHS 568, "Final Inventions Statement and Certification." This is due 90 days after the end of the final budget period at the original institution. This report covers the entire period of the grant and must list all inventions that were developed during the performance of work on the supported project (whether or not previously reported). Each statement will require the signature of the principal investigator and an official authorized to sign on behalf of the original grantee organization. The original grantee should return the form to:

Grants Management Branch
Democracy Plaza II
6707 Democracy Plaza, Room 700
Bethesda, MD 20892

B. From the New Institution

1. Form PHS 398 - The new institution should submit the original and four copies of a complete research grant application (PHS 398), with "CHANGE OF GRANTEE INSTITUTION" typed across the top of the face page.

This application should include all the pages of the original application that will change as a result of the move. The new application should be complete (photocopies of the original application may be substituted for those sections that will not change as a result of the change in grantee institution). Be sure to include a new Checklist page. Include a brief description of the probable effect of the move on the project.

2. In addition, for competing continuation applications, a list (under Resources and Environment) of all equipment to be transferred from the original grantee institution which was purchased in whole or in part with grant funds and which had an acquisition cost of \$1,000 or more. Such a listing in the application represents the new institution's acceptance of title to the transferred equipment (not applicable to for-profit organizations) and/or accountability for it.

When the transfer is between for-profit organizations or from a nonprofit to a forprofit organization, title to equipment purchased in whole or in part with grant funds vests in the Federal government.

THE COMPLETED PHS 398 APPLICATION SHOULD BE RETURNED TO THE GRANTS MANAGEMENT SPECIALIST WHOSE NAME AND ADDRESS APPEAR ON THE COVERING LETTER