

STANDARD OPERATING PROCEDURE (SOP)
UW Oshkosh Office of Sponsored Programs

SOP Number: 13
Effective Date:
Last Reviewed: 09/02/2020

Title:
NIH Award Transfer to UW Oshkosh

OSP Contact Information

Business Hours: 8:00 a.m. to 4:30 p.m., Monday-Friday (excluding holidays).

Main: 920-424-3215

E-mail: OSP@uwosh.edu;

Website: uwosh.edu/sponsoredprograms

I. Overview

The following procedure provides guidance on the transfer of federal grant awards to UW Oshkosh from outside institutions. Award transfer is typically necessary when a Principal Investigator (PI) is moving between two institutions and wishes to transfer the grant award with them. The “award transfer” process consists of the original awardee institution providing a statement of relinquishment to the sponsor, and of the new institution submitting their official ‘transfer application’ to the sponsor. The sponsor will review the application to ensure the new institution can successfully complete the project scope of work. Individuals should allow for multiple months lead time to conduct this process.

Federal agencies typically make awards to UW Oshkosh, not to individual PIs. It is within the original awardee institution’s ability to permit transfer of an award. If the former institution does not agree to relinquish an award, they have the ability to name a replacement PI for that award. In this scenario, another option would be for the former institution to subcontract a portion of the award funds to UW Oshkosh. The PI may make this request with the former institution and they may or may not be agreeable.

II. Applicability:

This procedure applies to any persons involved in the award transfer process, including the PI, the UW Oshkosh OSP team, and the PI’s department chair who wish to transfer an NIH award to UW Oshkosh. This procedure applies to any federal award transfer and may vary between funding agencies.

III. Procedure:

1. The PI notifies UW Oshkosh OSP by e-mailing OSP@uwosh.edu. This step can also be completed by having the PI notify their UW Oshkosh College, Department, or Provost, and having those entities notify OSP of the upcoming transfer request.
2. The PI should plan for a minimum of one month lead time for OSP to collect proper transfer paperwork. In addition, allow an additional 2-3 months for review at the funding agency following submission. Additional lead time may be needed if the PI plans to work with a subrecipient institution so that UWO OSP can collect necessary documentation from the intended subrecipient.
3. NIH Guidance on ‘Change of Grantee Organization’ Instructions
 - a. Review [PA-18-590](#) for NIH-specific guidance on transferring an award, in addition to any requirements provided by your Program Officer or Grants Management Specialist (GMS) when you notify them of the requested award transfer.
4. **Responsibilities of PI + Original Institution:**
 - a. Discuss the request to transfer with their chair and/or dean
 - b. Contact their Program Officer or Grants Management Specialist at the funding agency to obtain guidance on transferring the award. Please note that guidance may vary slightly by funding agency.
 - i. This step can also be performed in collaboration with the PI’s OSP at the Original Awardee Institution.
 - c. Contact the Sponsored Programs Office at the Original Awardee institution
 - i. Share information on their intent to transfer proposal
 - ii. Share any guidance provided by the sponsor

- iii. Develop plan for transfer (will it transfer at the beginning of a new funding year, in the middle of a funding year, will any funds be subtracted from the former institution?)
- d. Submit the following documentation to the Program Officer:
 - i. Form PHS 3734: Official Statement Relinquishing Interests and Rights in a PHS Research Grant
 - ii. Form HHS 568: Final Invention Statement and Certification (for NIH awards)
 - 1. Required within 90 days after project terminates but it is desirable to submit it with the transfer request documents
 - iii. Standard Form 425: Federal Financial Report (FFR) (for NIH awards)
 - 1. Submitted within 180 days following termination of the project.

5. Responsibilities of PI + UWO OSP:

- a. Award transfers will follow the standard internal process for proposal submissions and internal review. These procedures can be found here:
 - i. [SOP #1: Proposal Submission](#)
 - ii. [SOP #2: Internal Review & Signature Routing](#)
- b. Confirm with PI that they have notified their sponsor, former institution's chair/dean, and OSP of their upcoming departure. If not, PI should review item III.3 above
- c. Confirm with the PI that approval from the sponsor and the former institution to relinquish the project to UW Oshkosh has been granted. If not, the PI should communicate with their former institution's OSP.
- d. Contact the former institution's OSP for:
 - i. Any transfer instructions received by the sponsor
 - ii. Copies of award notice and formal relinquishing statement
 - iii. Balance of funds to be transferred to UW Oshkosh
- e. PI should submit to UWO OSP:
 - i. Any submitted technical reports
 - ii. Copy of the proposal submitted under former institution
 - iii. A list of project objectives that have been completed
 - iv. A list of project objectives to be completed at UW Oshkosh
 - v. Any other technical, programmatic, or standard items required by the sponsor to complete the transfer packet. This list may vary by sponsor. Please seek guidance from your Program Officer for their required document listing. General guidance shows that sponsors typically ask for the following documentation:
 - 1. SF 424 (R&R) Cover Page
 - 2. SF 424 (R&R) Project/Performance Site Location(s)
 - 3. SF 424 (R&R) Other Project Information
 - 4. R&R Budget (and R&R Subaward Budget, if applicable)
 - a. For NIH awards: If the original award was submitted in a modular format, NIH may prefer that the new budget be submitted in Modular format as well, if applicable. Otherwise, a Detailed Budget must be submitted
 - i. Note: Detailed budgets are still required for internal purposes at UWO, even when a Modular Budget is submitted to NIH
 - b. UWO OSP has a budget worksheet template that can be used to draft a revised budget.
 - 5. Budget narrative(s)
 - a. If UW Oshkosh will subaward a portion of the award funds to back to the former institution, include the former institution's project budget and budget narrative.
 - 6. SF 424 (R&R) Senior/Key Person Profile
 - a. Updated Biosketch for PI/Senior Personnel(using proper sponsor format)
 - b. Updated "Other Support" page
 - 7. Statement on Research
 - a. Statement indicating whether the overall research plans/aims have changed from the original submission
 - 8. Certification of IRB/IACUC approval and assurance numbers, if applicable
 - a. If the project involves use of live vertebrate animals, human subjects, or potentially biohazardous materials then the PI should contact the appropriate compliance team at IACUC@uwosh.edu or IRB@uwosh.edu, or biosafety@uwosh.edu

9. Facilities and Other Resources
 - a. Include a statement on probable effect of the move on the project
 10. Detailed list of equipment to be transferred to UW Oshkosh. This list serves as assurance that equipment titles will be accepted by UW Oshkosh.
 - a. If award involves equipment transfer, PI should discuss the transfer and needed space with the department chair and/or dean
 - b. Provide sponsor's guidance related to use of the transferred equipment, after the project ends.
 11. Any additional documents that may be required by the sponsor
 12. Internal Review Form (IRF) for UW Oshkosh. This is a 2-page document that the PI includes with their application materials and submits the entire packet to OSP@uwosh.edu.
6. Proposal Review and Approval
- a. Transfer proposals follow the standard routing and approval process as with any grant proposal. Initiate the internal review process by sending the IRF and the proposal packet to OSP@uwosh.edu.
 - i. Please allow five business days for all internal reviewers to review and approve the packet, or to provide comments or suggestions for edit.
 - ii. The PI will be notified once all internal approvals are received
 - iii. OSP will set up the appropriate application in Grants.gov or Fastlane/Research.gov and will upload the internally-approved documents to the application.
 - b. The transfer proposal must be shared with OSP for internal review and approval prior to submission to the sponsor
 - c. OSP will communicate with the PI regarding any situations that impact the preparation and submission of the transfer proposal
 - d. OSP will submit the transfer application to the sponsor for review
 - e. Once NIH approves the transfer request, UWO OSP will work with the Grants Accountant to set up the award at the University. The PI should plan to attend an award startup meeting with OSP pre-award staff and the Grants Accountant to review any award terms and conditions established by NIH.

IV. Guidance Documents/Policy Links

UW-Madison Research and Sponsored Programs website: "Transfer of NIH Grant to Another Institution."
 Found at: <https://www.rsp.wisc.edu/awardmgt/nihtransfer.html>

NIH [PA-18-590](#): Change of Grantee Organization

Additional Guidance: A transfer request should be made multiple months in advance of the anticipated performance period start date. Failure to provide timely notification may result in the request being disapproved or significant delays in processing at UW Oshkosh or during sponsor review.

A change of grantee request will normally be permitted only when all of the benefits attributed to the original grant can be transferred. During review, the sponsor will determine if there is a continued need for the grant-supported project. A change may be made without competitive review, provided the PI plans no significant change in research objectives and the facilities at the new institution would still allow successful completion of the project.

The original grantee must provide a Relinquishing Statement. Acceptance of a Relinquishing Statement by the sponsor does not guarantee approval of the transfer application submitted by the new institution.

The sponsor will issue a new award notice to the new institution that will include the remaining balance of funds on the award. The original institution will also receive a revised notice of award that will reflect revised end dates, deletion of future-year support, and de-obligation of remaining funds.

V. Templates/Forms

VI. Definitions

Principal Investigator: The primary individual responsible for project oversight, management, and completion. Also known as 'PI.'

Transfer of Sponsored Project: When faculty at another institution accept a position at UW Oshkosh and wish to transfer their grant/contact with them. The process that involves obtaining approval from the sponsor, the former institution, and the new institution is known as "Transfer of Sponsored Project."

Transferring PI: The Principal Investigator that is transferring to UW Oshkosh from a different institution

VII. **Contact Information:** For questions or comments please contact OSP@uwosh.edu or 920-424-3215

VIII. **Revision History:**

Created: 06/17/2020

Revised: 07/27/2020, 09/02/2020