

# OFFICE OF RESEARCH AND SPONSORED PROGRAMS (ORSP) POLICY INFORMATION AND CHECKLIST FOR NIH AWARDS

## Contact ORSP Grants Administrator

The incoming PI or MUSC Home Department should contact the assigned ORSP Grants Administrator as soon as the decision to transfer grant award is made, typically at least 90 days prior to the anticipated start date of the award at MUSC.

- To find your department or unit's assigned ORSP Grants Administrator click below:
  - <https://research.musc.edu/resources/orsp/contact-us>
- Call the ORSP office if you have questions: 843-792-3838

## PI Transferring to MUSC Responsibilities

- Work with former institution's grants office to initiate transfer/close-out of the award
  - Request and obtain official Relinquishing Statement (completed and signed)
    - Relinquishing Statement will list all equipment to be transferred to MUSC
  - Complete and sign Final Invention Statement
- Prepare "Change of Grantee" application to be submitted to MUSC, which would typically include at minimum:
  - Research plan
  - Update biosketch
  - Statement indicating if/how the overall research plans/goals have changed
  - Progress report (if transferring on anniversary date)

## Former Institution Responsibilities

- Will provide PI with a copy of approved/signed Relinquishing Statement
- Will submit the Relinquishing Statement, Final Financial Report (FFR) and Final Invention Statement to NIH
  - Relinquishing Statement can be completed in advance of anticipated end date at former institution
  - FFR MUST be submitted to NIH within 120 days of end date at former institution

## MUSC Home Department Responsibilities

- Establish an MUSC Net ID for PI
- Once a Net ID is established, request a Cayuse account by emailing OSRP@musc.edu with PI name and MUSC email address
- Prepare/compile "Change of Grantee" application components
  - Face page
  - Budget
  - Updated Biosketches
  - Progress Report (if anniversary date transfer)
  - Updated Other Support (if needed)
  - Facilities & Resources, including estimated effect of the project transfer
  - Checklist
  - Certification of IACUC/IRB approvals including institutional OHRP/OLAW information if needed
  - Detailed list of equipment to be transferred
- Obtain any subaward materials from collaborating institutions (if any)
  - Letter of intent
  - Face page
  - Scope of Work/Budget
- Create, complete (with uploaded application materials) and route IPF
- If desired, a pre-award account may be requested by the department

## MUSC ORSP Responsibilities

- Affiliate PI with MUSC in eRA Commons
- Review ePDS to ensure all regulatory and compliance requirements are addressed (FCOI, IACUC, IRB, etc.)
- Review "Change of Grantee" application for completeness
- Submit the "Change of Grantee" application when finalized and PI has had an opportunity to make any necessary edits
- Set up pre-award account if the department has requested

## Prepare to Submit NIH Transfer Application

**The NIH transfer application process is provided in detail below and may be submitted in electronic (Grants.gov, SF 424 forms) format, or via hard copy (paper/pdf, PHS 398 forms) format, depending on the requirements of the award.**

- Provided the former institution is amenable to transferring the NIH grant award (it is the institution's choice), one of the most important items needed for an NIH award transfer is an Official Relinquishing Statement form completed and signed by the former institution. The PI should request this from the institution where the award currently resides. MUSC will need a copy of the Relinquishing Statement once it has been completed, approved, signed, and sent to NIH for review.
- Next, the PI should begin preparing a "Change of Grantee" application package to be submitted to the NIH. The MUSC home department/division can assist the incoming PI with completing the "Change of Grantee" application components. Once the application is complete, route a fully completed Institutional Processing Form (IPF), with the application materials uploaded, for required ORSP approvals.
- Upon receipt of the fully routed and approved IPF, the ORSP Grants Administrator will review and approve the "Change of Grantee" application on behalf of MUSC. The PI/home department will be notified of any necessary changes. Once this review and institutional approval are completed, the PI and ORSP can coordinate submission to the NIH for review and approval.

- Provided the NIH doesn't request additional information, the NIH will process the transfer award notice to MUSC. The PI may begin working once the MUSC grant award account is initiated by ORSP and established by the Office of Grants and Contracts Accounting. Should the PI/home department choose to set up a pre-award account (AT RISK ACCOUNT) prior to receiving the official award notice from NIH, please contact ORSP for assistance with that process.

### NIH Grants Policy Statement Requirements for Change of Grantee Organization applications

The Change of Grantee application package may be submitted using the PHS 298 or PHS 416-1 paper application forms, or electronically via Grants.gov using the Parent Funding Opportunity Announcement listed at [https://grants.nih.gov/grants/guide/parent\\_announcements.htm](https://grants.nih.gov/grants/guide/parent_announcements.htm). If the original award was the result of a modular application and the grantee will submit a paper change of institution application, the modular procedures apply to the request for change of grantee. If the original award was the result of a modular application and the grantee will submit an electronic change of institution application, the grantee may submit a detailed budget or streamlined-detailed budget (as described in the FOA).

The paper application from the proposed new grantee institution (using MUSC's information) should include, at a minimum, the following:

- PHS 398 face page
- Budget pages (current and future years) Under awards resulting from modular applications, the application should include narrative budget information for the current budget period, including total direct cost and the basis for computing F&A costs and, if applicable, future budget periods. Budgets should not exceed the direct costs (plus applicable F&A costs) previously recommended for any budget period. For transfers in the middle of a budget period, the budget for the initial year may be based on the total costs relinquished only if the grantee has been instructed to do so by the awarding IC. For these applications, grantees will also need to include the Other Project Information and the Senior/Key Personnel components.
  - Note: budget should match exactly to the amount listed on the relinquishing statement from the prior institution.
- Updated biographical sketches for the PD/PI and existing senior/key personnel and biographical sketches for any proposed new senior/key personnel.
- If transferring on the anniversary date, include the progress report for the current year including a statement regarding the goals for the upcoming year.
- For all transfer applications: include a statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, provide updated information.
- Updated "other support" page(s), if necessary.
- Resources page, including probable effect of the move on the project.
- Checklist page
- Certification of IRB/IACUC approval, including OHRP and OLAW assurance numbers, if applicable.
- Detailed list of any equipment purchased with grant funds to be 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).

The electronic application from the proposed grantee institution should include, at a minimum, the following:

- SF 424 (R&R) Cover Component
- SF 424 (R&R) Project/Performance Site Location(s)
- SF 424 (R&R) Other Project information:
  - Certification of IRB/IACUC approval, including OHRP and OLAW assurance numbers, if applicable.
  - Facilities and Other Resources, including probable effect of the move on the project.
  - Detailed list of any equipment purchased with grant funds to be 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).
- SF 424 Research & Related Senior/Key Person Profile:
  - Updated biographical sketches for the PD/PI and existing, senior/key personnel and biographical sketches for any proposed new senior/key personnel, and updated "other support" page(s) as necessary.
- Budget pages applicable for activity code (current and future years). If the budget for the original award was submitted in a modular format, use the R&R Detailed Budget form for all electronic applications. Grantee may either complete all of the fields in the R&R Detailed Budget as appropriate or complete only the costs for the PD/PI (Section A), and include the remainder of the direct costs under Section F (Other Direct Costs) Item 8, and Section H (Indirect Costs). (For awards resulting from modular applications, include narrative budget information for the current budget period, including total direct cost and the basis for computing F&A costs and, if applicable, future budget periods.) Budgets should not exceed the direct costs previously recommended for direct costs (plus applicable F&A costs) for any budget period. For transfers during the course of a budget period, the budget for the initial year may be based on the total costs relinquished only if the grantee has been instructed to do so by the awarding IC.
- PHS 398 Research Plan
- If transferring on the anniversary date, include the progress report for the current year including a statement regarding the goals for the upcoming year. For all transfer applications, include also a statement indicating whether the overall research plans/aims have changed from the original submission, and, if so, provide updated information.
- PHS 398 Cover Page Supplement
- PHS 398 Checklist

And, as applicable:

- PHS 398 Career Development Supplemental form
- PHS 398 Fellowship Supplemental Form
- SBIR/STTR Information

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.