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| **UMMS INCOMING PI – NIH FORMS AWARD TRANSFER REQUIREMENTS** |
| A transfer may be processed electronically with NIH if done before the Investigator’s start date. Please refer to <http://grants.nih.gov/grants/guide/pa-files/PA-12-270.html> to ensure that the grant mechanism is available. The opportunity will be available in Cayuse. Post start date transfers will be requested via paper submission. |
| 1. | Application face page (PHS Form 398) Insert “CHANGE OF GRANTEE INSTITUTION” typed in capital letters across the top of the page. <http://grants1.nih.gov/grants/funding/phs398/fp1.pdf>  | ☐ |
| 2. | Sponsor Statement (for K mechanism transfers) | ☐ |
| 3. | Progress Report - <http://grants.nih.gov/grants/funding/2590/2590.htm> | ☐ |
|  | Anniversary date transfer (cycle start date): provide a progress report for the current year, including a statement regarding the goals of the upcoming year. |  |
|  | Mid-year transfer: provide an updated progress report including a statement regarding the goals of the remaining period of committed support |  |
| 4. | Resources Format page (PHS Form 398) | ☐ |
| 5. | Budget pages (PHS Form 398) for current & future years Modular grants: provide narrative budget justification, including total direct costs and F&A costs for the current budget period. <http://grants.nih.gov/grants/funding/phs398/modbudget.pdf>  | ☐ |
|  | If the grant currently includes salary support for 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. | ☐ |
| 6. | Provide explanation if the unobligated balance and/or relinquished amount (including prior-year carryover) is greater than 25 percent of the current year’s total budget. | ☐ |
| 7. | Statement concerning current research plan and an indication of whether original plan has changed. | ☐ |
| 8. | Updated PHS 398 biographical sketches for Key Personnel | ☐ |
| 9. | Updated Other Support for Key Personnel | ☐ |
| 10. | PHS 398 Checklist Page |  |
|  | Modular grants: information regarding the number of modules and the basis for computing F&A costs should be provided for future years on the checklist page.Check the box for Change of Sponsoring Institution under Type of Application and include the name of the former institution on the same line. | ☐ |
| 11. | Approved concordant IRB/IACUC/IBC, if applicable | ☐ |
| 12. | Certification of Human Subjects Training (CITI), if IRB applicable, for all personnel involved in the design and conduct of human subject research. | ☐ |
| 13. | A list of equipment (which was purchased in whole or in part with grant funds and has an acquisition cost of $5,000 or more) to be transferred from the original grantee institution. Such a listing in the application represents acceptance of title to the transferred equipment. | ☐ |