

Sponsored Programs Administration Buzz Session

Grant Transfers In / Grant Transfers Out

March 25, 2026

11:30 – 12:20 PM CT



Grant Transfers In



8.1.2.7 Change of Recipient Organization

https://grants.nih.gov/grants/policy/nihgps/HTML5/section_8/8.1.2_prior_approval_requirements.htm#Change3

- Awards are made to organizations, not individuals
- Prior Approval Request
 - Peer review not required
- Considerations
 - Type of award
 - Remaining for project
 - Work to be done
 - Project period
 - Available funds
 - New institution
 - Facilities
 - Resources



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Timing

- Before anticipated start date, preferably several months in advance
 - *Failure to provide timely notification may result in disapproval of the request or significant delays*
 - *Recipients are encouraged to discuss any potential issues with the awarding IC(s) prior to submitting a change of recipient organization request*
- Implications for budget
 - Middle of current budget period
 - Start of next budget period (anniversary transfer)



Guidelines for the Transfer In of NIH Grants

<https://guides.unmc.edu/attachments/311>

Previous institution	Relinquishes its interest in the grant by submitting <ul style="list-style-type: none">• Relinquishing Statement• Final Invention Statement• Final Federal Financial Report
UNMC	Assumes the administrative, fiscal, and scientific responsibility for the grant by <ul style="list-style-type: none">• Submitting a transfer application• Receiving the NOA from the NIH



Guidelines for the Transfer In of NIH Grants

<https://guides.unmc.edu/attachments/311>

- RSS internal routing and budget forms
- Copy of documents submitted by previous institution
 - Funded application
 - Most recent Notice of Award
 - Most recent progress report
 - Relinquishing Statement



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“Type 7” transfer application

- SF 424 (electronic)
- PHS 398 (“paper”)



Change of Grantee Organization (Type 7 Parent) - PA-24-254

<https://grants.nih.gov/grants/guide/pa-files/PA-24-254.html>

Electronic

- Check
 - Participating ICOs
 - Activity codes
- What's changing and what's staying the same – for example:
 - Overall research plans / aims
 - Facilities and Other Resources, including anticipated effects of transfer
 - Data Management and Sharing Plan
- List of equipment purchased with grant funds to be transferred
- R&R Budget form
 - If original budget was modular - Option to provide just:
 - Personnel costs for PI
 - Other Direct Costs
 - F&A
- Progress report, if anniversary transfer or ICO requests
- Certification of IRB / IACUC approval, if applicable



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Paper

- PHS 398 Face page
- What's changing and what's staying the same – for example:
 - Overall research plans / aims
 - Facilities and Other Resources, including anticipated effects of transfer
- Updated biosketches and Other Support
- List of equipment purchased with grant funds to be transferred
- PHS 398 Budget Forms + Checklist or modular narrative, per original budget
- Progress report, if anniversary transfer
- Certification of IRB / IACUC approval, if applicable



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- Include a statement regarding whether the change in recipient organization is related to concerns about safety and/or work environments (e.g., harassment, bullying, retaliation, or hostile working conditions) involving the PI



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Budget	
If anniversary transfer	<ul style="list-style-type: none">• Relinquished direct costs + appropriate F&A
If mid-year transfer	<ul style="list-style-type: none">• Relinquished direct costs + appropriate F&A, or• May be based on total costs relinquished



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Equipment purchased with grant funds

- During grant, equipment transfers
- After grant, title to equipment vests with institution



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To complete the transfer, the NIH will issue:

- Revised NOA to original institution, de-obligating anticipated unobligated balance
- NOA to new institution, for anticipated unobligated balance
- Financial Management Analyst letter



Dear Sir or Madam:

The unobligated balance of \$ remaining on Grant Number #, formerly awarded to the **University**, is transferred to your organization's account in the Department of Health and Human Services Payment Management System (PMS). The document number listed on your PMS 425, Quarterly Federal Cash Transactions Report is (08) #.

Of the balance transferred:

 A. None is available unless you receive approval from the awarding component.

 X **B.** \$ is available for expenditure under the Federal Demonstration Project or Expanded Authorities.

If the amount transferred is unavailable for expenditure, the awarding component may use the unobligated balance to partially fund succeeding budget periods within the project period.

SPECIAL NOTE:

Amounts restricted by the terms and conditions on the former award are not available for expenditure without approval from the awarding component.



Guidelines for the Transfer In of NIH Grants

<https://guides.unmc.edu/attachments/311>

- If human or animal subjects are involved, early communication with the UNMC IRB or IACUC is recommended
- Will UNMC need to subcontract back a part of the award to cover co-investigators, technicians, or comparative medicine charges at the previous institution?
- SPAdmin can affiliate the PI's existing Commons account with UNMC
- Advance accounts for pre-award spending?
- Depending on the transfer date, progress report will be submitted from previous institution or UNMC
- Contact information for previous sponsored programs office is helpful



Grant Transfers Out



Grant Transfers Out – Internal Considerations

Grants are generally made to the University of Nebraska Medical Center as an Institution, not the PI.

Should a PI transfer to another university, UNMC may:

- Relinquish its interest in the award to the other university
 - UNMC Internal Documentation
 - <https://guides.unmc.edu/books/sponsored-programs-administration-guidebook/page/transfer-grants>
 - Complete sponsor requirements
 - Consult sponsor guidelines to make sure whether or not the grant is eligible to be transferred
- Propose a new PI at UNMC
 - Prior Approval from the Sponsor



Grant Transfers Out – Internal Transfer Out Form



VICE CHANCELLOR FOR RESEARCH
Sponsored Programs Administration

AWARD TRANSFER OUT Relinquishment by UNMC to another Institution (REQUIRED FORM)

Purpose: The purpose of this form is to document formally the approval of academic leadership for a proposed 'Transfer Out' of a sponsored award. A sponsored award is held by UNMC as an institution, so institutional approval is needed to support moving an award to another institution for any reason. Most often though, the reason is the movement of a UNMC PI to a new institution.

Required by Sponsored Programs Administration ("SPA"): SPA is unable to initiate communications with the award sponsor before this form is signed by the Department Chair and the Dean/Research Dean of the college or operating unit.

How to Submit to SPA: Please email the completed form (minus the signature of a SPA Manager) to spadmin@unmc.edu.

UNMC Dept. that owns the award:	
UNMC PI of Record (Contact PI):	
UNMC Award/PID #	
Sponsor:	
Sponsor Award #:	
Project Title:	
Is this a MPI award with multiple PD/Pis? If so, name each MPI with their employing institution in parentheses.	

Institutional Approval for the Transfer Out of the Award

Department Chair Name:		College Dean or Research Dean Name:		SPA Manager Name:	
Department Chair Signature:		College Dean or Research Dean Signature:		SPA Manager Signature:	
Date of Signature:		Date of Signature:		Date of Signature:	

SUBMIT VIA EMAIL TO spadmin@unmc.edu



Grant Transfers Out – NIH Documents Submitted by UNMC

Document	Due	Submitted by	Considerations
Relinquishment Statement	Before the requested relinquishment date, preferably several months in advance	SPAdmin , with input from Principal Investigator, department chair, and SPAcctng	<ul style="list-style-type: none"> • Requested transfer date • Anticipated balance of current budget period funds • Consider outstanding commitments • Do not include funds carried forward from previous budget periods • Equipment to be transferred, if purchased during the current cycle
Final Invention Statement	Within 120 days after the relinquishment date	SPAdmin , with input from Principal Investigator and UNeMed	<ul style="list-style-type: none"> • Any inventions that were conceived or first actually reduced to practice during the project to date • Also need to be reported by UNeMed to iEdison
Final Federal Financial Report	Within 120 days after the relinquishment date	SPAcctng , based on SAP	<ul style="list-style-type: none"> • Expenditures • Unobligated balance of grants funds should be zero

Grant Transfers Out – NIH Documents Submitted by UNMC

Relinquishment Statement

Department of Health and Human Services, Public Health Service
**Official Statement Relinquishing Interests and
 Rights in a Public Health Service Research Grant**

Date: 10/24/2025

Name of Institution: UNIVERSITY OF MISSOURI-COLUMBIA.

Address (city and state):

COLUMBIA, MO, UNITED STATES, 652110001

Principal Investigator/Program Director: XXXXXXXX

on Public Health Service grant number 5R01HLXXXXXXX-04 will resign position at this institution and has expressed a desire to continue the research project at the UNIVERSITY OF NEBRASKA MEDICAL CENTER. Contact email at the new Institution: sara.dejano@unmc.edu

In view of the fact that we do not wish to nominate another principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of 08/30/2025 and to relinquish all claims to any unexpended and uncommitted funds remaining in the grant as of that date, as well as to all recommended future support of this project.

Equipment costing \$5,000 or More Transferring with the project (itemize)	Unexpended Balance - Estimated
	The unexpended balance on termination date of \$504672 calculated on basis of total amount awarded for the grant year, will be approximately Direct Cost - \$331680 Indirect Cost - \$172992
That portion of the estimated unexpended balance which has been received will be returned to the Public Health Service, upon request, with a final adjustment, if required, to be made after the grant account has been audited.	
Official Authorized to Sign Application	
Signature	
Typed Name	
Title Signing Official	



Grant Transfers Out – Other Considerations

Subaward back to UNMC

- Co-Investigators
- UNMC will need to provide subproposal for the new institution to include UNMC as a subrecipient in their transfer application
 - Letter of Intent, Statement of Work, Budget/Budget Justification
 - RSS Internal Forms – New PID due to sponsor change

RPPR Submission

- NIH should be consulted as to which institution should submit
- Recent example – RPPR appeared available for UNMC to submit in era Commons, however NIH asked that the new institution submit RPPR with transfer application

Contacts at new institution's Sponsored Programs Office

- Reach out early!



Grant Transfers Out – Revised Notice of Award

UNMC will receive a revised Notice of Award from the NIH after the NIH accepts the Relinquishment Statement. The revised NOA may do the following:

- Revise budget/project period end dates
- Delete future-year support references
- Deobligate funds (in applicable)
 - Deobligation of funds will be based on the estimated grant expenditures through the relinquishment date, as determined from the relinquishment statement or the available balance in PMS, whichever is less.

https://grants.nih.gov/grants/policy/nihgps/HTML5/section_8/8.1.2_prio

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

INFORMATION: In accordance with the relinquishing statement dated 08/04/2025, this revised award terminates support for this project on 07/31/2025. This award will be transferred to UNIVERSITY OF CINCINNATI.



How do faculty members transfer data to their new institution?

University of Nebraska Policy:

Executive Memo 41, Policy on Research Data and Security, provides that the data is the University's. Original data generally stays at the University. Any transfer of copies of data when a PI leaves the University must be pursuant to a **written agreement**. Upon request of the PI, copies of data can be transferred to a new institution. The PI's new institution must agree to various things including to accept ongoing custodial responsibilities for the data. Accordingly, some type of agreement with the new institution is required to permit data transfer if the campus determines it will permit the PI to take a copy



How do faculty members transition data to their new institution?

Data Use Agreement:

- Faculty will need to engage Sponsored Programs Administration for a Data Use Agreement.
- SPA will request Chair/Dean sign off for the transfer of data.
- A UNMC faculty member will be named as UNMC PI for the data transfer (this cannot be the faculty member that is leaving).
- If any Protected Health Information is being shared – UNMC and recipient institution will need an active IRB protocol. It is most expedient for all data to be de-identified.
- For any transfers of materials – engage Jeff Andersen in UNeMed for a Material Transfer Agreement.



Propose a New PI at UNMC – NIH Prior Approval Request (PAR)

<https://www.era.nih.gov/recipients/seek-prior-approval-for-withdrawal-of-grant/request-change.htm>

SPA submits PAR request through era Commons

- Needed from the Requested PI
 - Biosketch
 - Other Support
 - Effort commitment
 - Human Subjects Education (if applicable)
- Effective Date
- Justification Document



Q&A

