NIH Transfer Application Checklist - SOM

# PREPARATION/GENERAL GUIDANCE

[ ]  The transfer process can take **six-eight months** or more to complete. The PI should begin the process **as early as possible**, especially if there are human or animal subjects

[ ] SOMOGC or the PI’s research administrator (RA) should reach out to the NIH Grants Management Specialist (GMS) for guidance about:

* Specific documents/information to include in the transfer application
* Budgeting instructions
* A deadline for submission of the transfer application

[ ] The PI should provide a copy of the original Notice of Award (NOA) and grant application from the prior institution

[ ] Ensure that the previous institution submits a relinquishing statement in Commons using UVA’s UEI (JJG6HU8PA4S5) and SOM contact email (uva\_som\_ogc@virginia.edu)

[ ] Sub-sites [new or existing] must complete UVA’s consortium commitment form (CCF) and provide a detailed budget, justification, SOW, rate agreement, regulatory approvals, and other documents as required for the transfer application

[ ] Once the transfer application is submitted and the Funding Proposal (FP) is in “Pending Sponsor Review” status, the RA may request an advance/at-risk account to begin preliminary spending

[ ] Pre-award costs cannot pre-date the PI’s appointment at UVA

# DOCUMENT GUIDANCE

**FUNDING PROPOSAL**

[ ]  Relinquishing Statement

[ ]  Original NOA from previous institution

[ ]  Original application submitted by previous institution

[ ]  Grant-specific instructions from GMS

[ ]  SOMOGC budget

[ ]  Subaward package (CCF, SOW, Budget, Budget Justification)

**SF424**

[ ]  Abstract

[ ]  Narrative

[ ]  Facilities

[ ]  Equipment

[ ]  IACUC/IRB approvals

[ ]  Rate agreements for UVA + subs

[ ]  HR letters

[ ]  Biosketches

[ ]  Other Support

[ ]  Budget Justification

[ ]  Introduction

[ ]  Specific Aims

[ ]  Research Plan

[ ]  Vertebrate Animals/Select Agents/MPI Plan/Consortium Arrangements/Letters of Support/ Resource Sharing plan/DMS plan/Authentication Plan (if applicable)

[ ]  Human Subjects (if applicable)

# FUNDING PROPOSAL GUIDANCE

[ ]  Create a Funding Proposal in Huron

[ ]  The Funding Proposal type will be “New” since this is a completely new proposal for UVA.

[ ]  The PI must have a UVA computing ID in order to be listed as the PI in the FP and complete

the necessary compliance and training compliance. Please work with HR to get a computing

 ID established as quickly as possible

[ ]  Indicate “Yes” for Q1a on the General Proposal Information tab – “Is this award being transferred from another institution?”

[ ]  Include the NIH grant number (e.g. R01GM123456) in the FP Short Title

[ ]  Indicate the PI’s start date at UVA in Q8 of the General Proposal Information tab

[ ]  Be sure to use a “Type 7” or “Change of Grantee Institution” application package, tailored for the award type (e.g. “Research”, “Mentored Career Dev”, etc)

[ ]  For System to System (S2S) submissions: the Notice of Funding Opportunity (NOFO) is: PA-21-268 [Type 7 (Change of Grantee Organization)]

[ ]  In the Budget Periods and Key Dates tab – use the “Update Periods” button in Q7 to adjust the first budget period as needed. Do **not** click the “Use Advanced Editing” button

# BUDGET GUIDANCE

[ ]  Transfer applications must always be submitted with Detailed Budgets (even if the original application was submitted as Modular)

[ ]  Huron Budget - Ensure the first budget period is prorated based on the transfer date [see the last bullet above in the “Funding Proposal Guidance” section]

* This allows the Huron budget module to automatically prorate the salary and fringe (but you still need to update the CM effort in Budget Period 1 of the SF424 – e.g. 10% of an 5 month period is 0.5CM, not 1.2CM)

[ ]  The first year budget should follow guidance from the GMS about budgeting to direct costs + UVA F&A **or** total costs (backing out UVA F&A from total relinquished amount)

[ ]  Out year budgets should match the most recent NOA direct cost allocations + UVA F&A

# GENERAL APPLICATION GUIDANCE

**[Instructions below are general guidelines. Defer to specific instructions from the GMS as applicable.]**

[ ]  **R&R Cover Tab**

[ ] Federal Identifier/Box 4a – List grant serial # e.g. CA123456 (do not include mechanism type/”R01” or year/”-01”)

[ ] Type of Application/Box 8 – Revision > Other > [Indicate “Change Grantee Org” in the comment field]

[ ] Period of Performance/Box 12 – the start date should be at least one day after date of submission in order to pass system validations. [This does not affect the actual start date of the award at UVA, which will be relinquishing date +1]

[ ]  **Cover Page Supplement Tab**

[ ] Check “Change of Grantee Institution” and provide the name of the PI’s previous institution

[ ]  **Other Project Information Tab**

[ ] Abstract/Narrative/References

* + Submit the originals from the previous institution/application unless any changes are necessary [add header/label to each document to indicate no changes, if applicable]

[ ]  Facilities and Other Resources

* + Submit updated information for UVA’s facilities and include a statement about the anticipated effect of the move on the project (or state “none”)

[ ]  Equipment

* + Submit updated information for UVA-based equipment
	+ Include a list of equipment purchased with grant funds that will transfer with the grant

[ ]  Other Attachments (as applicable)

* + UVA’s current rate agreement
	+ Sub site(s)’ current rate agreement(s)
	+ IRB/IACUC approvals
	+ A progress report (including progress since last report/RPPR, if required)
	+ HR letter from both UVA and prior institution [see [NOT-OD-20-124](https://grants.nih.gov/grants/guide/notice-files/NOT-OD-20-124.html)]
	+ Other items as requested by GMS

[ ]  **Senior/Key Personnel Tab**

[ ]  Biosketches

* + PI’s updated biosketch (to include the new appointment at UVA)
	+ Updated biosketches of any existing or new Key Personnel

[ ]  Other Support

* + Updated Current/Pending Support for all Key Personnel (excluding Other Significant Contributors)

[ ]  **R&R Budget Tab** [Modular budgets are not allowed for transfers]

[ ]  The start date of Period 1 must match PoP start date on SF424 Cover Page to pass system

validations, but the budget should reflect costs/effort for the full first budget period (based on

the PI’s start date)

[ ]  Follow instructions from the GMS for first year budget amounts

[ ] Option 1: Budget to the total costs relinquished for that year. UVA’s F&A should be backed

 out of the total amount relinquished. Out years will be budgeted to the direct costs allocated on the most recent NOA + UVA’s F&A

[ ]  Option 2: Budget to the direct costs relinquished + UVA F&A. Out years will be budgeted to

the direct costs allocated on the most recent NOA + UVA’s F&A

[ ]  *If instructed by the GMS:* For a grant transferring on the anniversary date – budget to the direct costs allocated on the most recent NOA + UVA’s F&A. In this situation, the relinquished amount should not be included in the budget. Any relinquished/unobligated amount remaining at the prior institution will be awarded to UVA once the prior institution’s Final Financial Report (FFR) has been accepted by NIH

[ ]  **Research Plan Tab**

[ ]  Introduction – required for transfer applications. Use this attachment to indicate whether changes to the Specific Aims and Research Plan are needed and address any other specific information about the transfer application (e.g., IRB/IACUC reviews are pending, new subs or foreign components being added, changes in Key Personnel, etc)

[ ]  Specific Aims/Research Plan

* + Submit the originals from the previous institution/application unless any changes are necessary

[ ]  Vertebrate Animals

* + Include updated information about animal involvement and facilities at UVA

[ ]  Update Select Agent Research/MPI Plan/Resource Sharing/Authentication of Resources/LOS for UVA info as needed

[ ]  Update Data Management and Sharing Plan for UVA

[ ]  Subcontracts [new or existing]

* + Provide the Consortium/Contractual Arrangements attachment as necessary [including new subcontracts back to the original institution]

[ ]  **Human Subjects and Clinical Trials (HSCT) Tab**

[ ]  Include updated information about human subject involvement at UVA and complete all fields as needed for changes from the original institution