

**US Army Medical Grants
POLICY ON CHANGE OF ASSISTANCE INSTITUTION**

1. When a PI leaves an institution, options for continued support are (in order of the Government's preference):

a. Original institution shall propose another PI with equal or better credentials than the original PI (Subject to approval by the Contracting Officer's Representative and Contracting Officer). A copy of the replacement's Curriculum Vitae (CV's) shall be sent to the contract specialist for review and approval/disapproval.

If this option is not feasible, please provide details justifying the reasons that it is not feasible to the contract specialist prior to proceeding with paragraph b. below.

b. The grantee shall consider a subgrant to the PI's new institution. The subgrant shall be similar to the agreement between the current organization and the Government. A copy of the proposed subgrant shall be sent to the contract specialist to obtain Contracting Officer concurrence.

If this option is not feasible, please provide details justifying the reasons that it is not feasible to the contract specialist prior to proceeding with paragraph c. below.

c. The remainder of the project term may be proposed for support at the new institution on behalf of the same investigator. **In this case, the new institution must request support of the project***, with:

1) no significant change in research objectives, and

2) no significant change in the level of funding.

d. If the options presented in paragraphs a. through c. above are not feasible, support will be terminated.

WHEN THE DETERMINATION IS MADE TO TRANSFER, FUTURE PAYMENTS TO THE ORIGINAL INSTITUTION WILL BE STOPPED IMMEDIATELY.

2. A change of institution on behalf of the same PI may be made:

a. without competitive review and for the remainder of the project period in an amount not to exceed the previously approved budget.

b. if the change meets all other applicable requirements of this policy.

c. if there is no significant change in research objectives or level of funding for direct costs, and

d. if the facilities and resources at the new location allow for the successful performance of the project.

If there is a period of 6 months or less remaining in the research term of the grant, **a transfer to a new recipient institution shall not be considered. Consideration of any transfer is at the discretion of USAMRAA.**

Attachment 1

3. PROCEDURES: When the PI departs the recipient institution after award and the project is to be supported at another institution:

a. **Written “consent to transfer” is required from the original institution, and**

b. Submission of a request for support from the new institution is required. Support may be continued at the new institution provided that:

1) The project is no longer supported by assistance funds at the original institution; the PI plans no significant change in research or level of funding from those previously approved for the project.

2) **The new institution submits an application (i.e., cost proposal for the available funds (by cost category) and technical proposal along with the request) for support of the project.**

4. A request for support will not be processed until a “Consent to Transfer” is submitted by the original institution.

Following notification of approval of the transfer, the original grantee shall submit the following to the grant specialist:

- 1) Final Financial Status Report
- 2) Final Patent Report (DD Form 882)
- 3) A Final Technical report, encompassing the research from inception to the date the PI discontinues working on the project;
- 4) Refund check (if necessary) – **made payable to the new grantee**, but sent to the grant specialist along with other documentation. This check should return all money not used including any interest due.

5. **New institution must:**

a. Submit a complete proposal with “Change of Grantee Institution” typed in bold capital letters across the top of the face page and budget page.

b. Application must include:

- 1) Description of the research
 - 2) Description of the facilities
 - 3) Probable effects of the move on the project
 - 4) Biographical sketches of all professional, personnel associated with the project
- and
- 5) Information to support applicable animal or human use, a Facility Safety Plan, Certification of Environmental Compliance
 - 6) Representations and Certifications**

6. USAMRAA Responsibilities:

a. After receipt of aforementioned documentation:

1) USAMRAA will execute the transfer with tripartite modification containing signature lines for officials from the original institution, new institution, and Government Grants Officer.

2) Ensure the transfer of remaining funds from the original institution to the new institution by releasing the check submitted by the original grantee.

Checklist – All of the items below must be received prior to the actual transfer:

- Justification that the PI cannot be replaced;
- Justification that the original organization cannot subcontract or subgrant;
- A letter of consent to transfer must be received from the original institution;
- Technical proposal received from the new organization specifying that there is no significant change in research objectives or level of funding for direct costs (the budget from the new institution cannot exceed the amount of funding that remains on the original grant);
- The proposal and budget from the new institution must be reviewed and approved by the COR;
- A facilities safety plan must be received and approved by our safety office (Ken Sung);
- A Certificate of Environmental Compliance (CEC) must be submitted to the contract specialist and approved by our environmental office;
- Reqs & Certs** from the new organization;
- Animal use and human use information must be submitted to the contract specialist and approved by the appropriate RCQ offices;
- Closeout documents for the original grant, submitted to the contract specialist as follows:
 - 1) Final Financial Status Report
 - 2) Final Patent Report (DD Form 882)
 - 3) Final technical report.
 - 4) Refund check (if necessary) – made payable to the new grantee, but sent to the grant specialist along with other documentation.

*** It is the current grantee's responsibility to inform the proposed grantee of its' responsibilities/requirements. The grant specialist (i.e. the Government) will not solicit the information from the proposed grantee. If all required information to transfer the grant is not received in a reasonable time, the grant specialist may (at his/her discretion) take the necessary steps to terminate the grant.**

**** Representations & Certifications are attached. These may be forwarded to the new institution.**