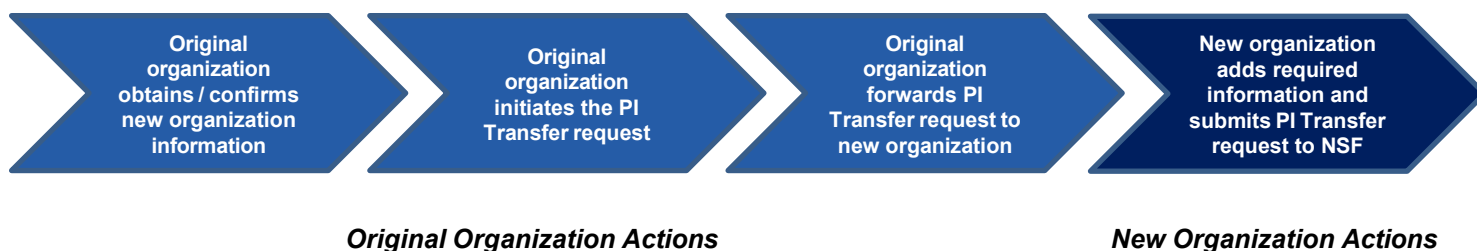- This guide focuses on how the Principal Investigator's (PI) original organization and the PI's new organization prepare and submit a PI Transfer request to NSF in Research.gov to facilitate the transfer of an award and the assignment of remaining unobligated funds to the PI's new organization.

- Requestors are strongly encouraged to refer to *Proposal & Award Policies & Procedures Guide* (PAPPG) Chapter VII.B. for policy guidance governing PI Transfer requests. Policy-related questions should be directed to policy@nsf.gov.

- Contact the NSF cognizant Program Officer or the NSF Grants and Agreements Official for questions about eligibility requirements for the specified award.

- System-related PI Transfer Frequently Asked Questions (FAQs) are available at the end of this guide.

Overview of PI Transfer Request Preparation and Submission Process in Research.gov

Successful submission of a PI Transfer request to NSF involves both the PI's new and original organizations.

Original organization obtains / confirms new organization information	Original organization initiates the PI Transfer request	Original organization forwards PI Transfer request to new organization	New organization adds required information and submits PI Transfer request to NSF

Original Organization Actions   *New Organization Actions*

Steps for PI's Original Organization

Step ① **Original organization** contacts the new organization AOR/SPO/PI offline to obtain or confirm key new organization information prior to initiating the PI Transfer in Research.gov. **This is a critical and necessary step to ensure that the PI Transfer is routed to the correct new organization in Research.gov.**

Key new organization information required for a PI Transfer:

1. Unique Entity Identifier (UEI)

2. New Awardee Organization Name associated with UEI

3. System for Award Management (SAM) Legal Business Name associated with UEI

4. Address associated with UEI

An organization may have multiple UEIs listed with the same or similar names. **It's critical that the correct UEI be selected in Research.gov so that the PI Transfer request is routed to the intended new organization.** PI Transfer requests routed to an incorrect new organization (i.e., an incorrect UEI is selected) will result in delayed submission to NSF and request processing.

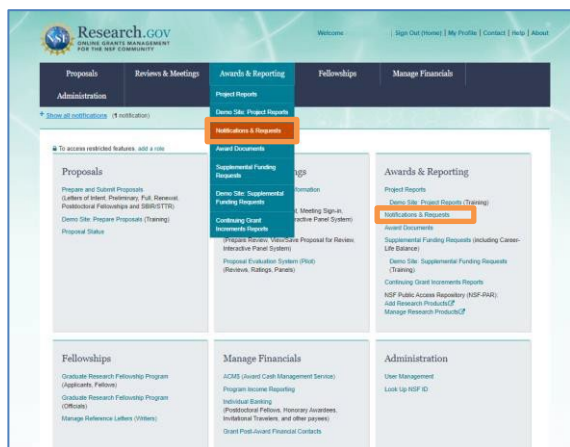**Step** **2** **Original organization** PI, SPO or AOR signs into Research.gov to initiate the PI Transfer request.

- Open Research.gov.
- Click **Sign In** located at the top right of the screen to enter credentials.
- **Sign In** on the NSF User Sign In page.
  For more Information on how to **Sign In** please visit the Research.gov Sign In Help page.

Step **3** **Original organization** PI, SPO, or AOR initiates the new PI Transfer request in Research.gov.

- **Select** Notifications & Requests from the Awards & Reporting tile or from the top menu bar on the Research.gov homepage.
- **Click** the Prepare New button on the Notifications & Requests screen.
- **Choose** the Changes in PI/PD, co-PI/co-PD or Person-Months Devoted to the Project at the Initiation of the Awardee Organization (Including PI Transfer) radio button and **click** the Go button.
- **Enter** the Award Number and **click** the Prepare New button.

Step ④ **Original organization** completes Request Details information including selecting a start date of transfer and the new awardee organization.

1. Request Details	2. Transfer Request Documents	3. Review

Grant Transfer Request

Request Details

Start Date of Transfer

*Requested Start Date (mm/dd/yyyy):

Original Organization

Organization Name	Unique Entity Identifier(UEI)	Address
University 1	ABC123DEF456	123 Main Street, CA 917115901 US

New Organization　　　　　　　　　　　　　　　　　　Select New Awardee Organization

- Search for the new awardee organization either by organization name or by UEI using the information from Step 1.
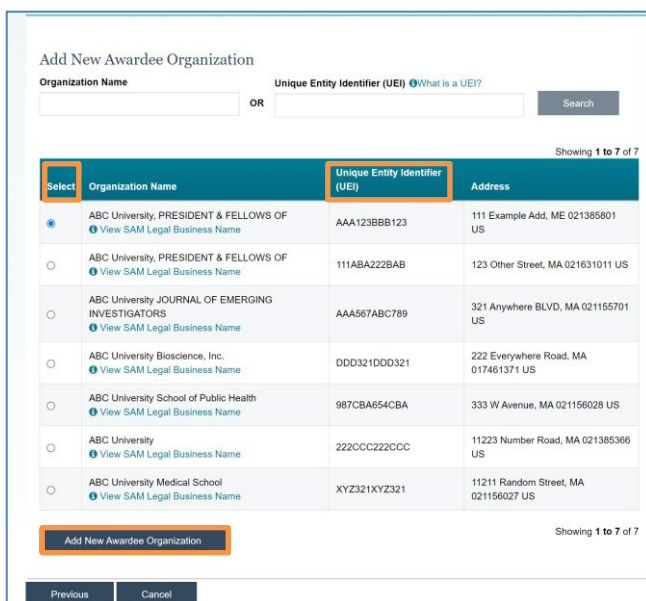- Click the Search button.

Add New Awardee Organization
Organization Name: abc　OR　Unique Entity Identifier (UEI) ❶What is a UEI?　　Search

Add New Awardee Organization

Previous　Cancel

- Confirm the intended new awardee organization by the listed UEI in the UEI column and then select the corresponding radio button.
- Click the Add New Awardee Organization button after confirming the correct new awardee has been selected.

Add New Awardee Organization
Organization Name: ___　OR　Unique Entity Identifier (UEI) ❶What is a UEI?　　Search

Showing 1 to 7 of 7

Select	Organization Name	Unique Entity Identifier (UEI)	Address
⦿	ABC University, PRESIDENT & FELLOWS OF ❶ View SAM Legal Business Name	AAA123BBB123	111 Example Add, ME 021385801 US
○	ABC University, PRESIDENT & FELLOWS OF ❶ View SAM Legal Business Name	111ABA222BAB	123 Other Street, MA 021631011 US
○	ABC University JOURNAL OF EMERGING INVESTIGATORS ❶ View SAM Legal Business Name	AAA567ABC789	321 Anywhere BLVD, MA 021155701 US
○	ABC University Bioscience, Inc. ❶ View SAM Legal Business Name	DDD321DDD321	222 Everywhere Road, MA 017461371 US
○	ABC University School of Public Health ❶ View SAM Legal Business Name	987CBA654CBA	333 W Avenue, MA 021156028 US
○	ABC University ❶ View SAM Legal Business Name	222CCC222CCC	11223 Number Road, MA 021385366 US
○	ABC University Medical School ❶ View SAM Legal Business Name	XYZ321XYZ321	11211 Random Street, MA 021156027 US

Showing 1 to 7 of 7

Add New Awardee Organization

Previous　Cancel

IMPORTANT

Please double check that the new awardee organization information matches the information from Step 1 for the new organization:
1. **Organization Name**
2. **SAM Legal Business Name**
3. **UEI** - *Remember that some organizations have multiple UEIs, so it's critical that the correct UEI is selected to ensure a timely and successful PI Transfer request.*
4. **Address Associated with UEI**

- If an incorrect new organization was selected, the original organization can correct that and make a new organization selection by clicking the Select New Awardee Organization button again and repeating Step 4.

- This process can be repeated until the original organization confirms that the selected new organization information (i.e., UEI, Organization Name associated with UEI, SAM Legal Business Name associated with UEI, Address associated with UEI) matches the information from Step 1.

Grant Transfer Request

Request Details

Start Date of Transfer

*Requested Start Date (mm/dd/yyyy):

Original Organization

Organization Name	Unique Entity Identifier(UEI)	Address
University 1	ABC123DEF456	123 Main Street, CA 917115901 US

New Organization　　　　　　　　　　　　　　　　　　　Select New Awardee Organization

Organization Name	Unique Entity Identifier(UEI)	Address
ABC University, PRESIDENT & FELLOWS OF View Contact Information	AAA123BBB123	111 Example Add, MA 021385801 US

Step ⑤ **Original organization** completes Award Amount section and uploads required documents on the Transfer Request Documents page.

The original awardee organization should do an account reconciliation to make sure that they have either drawn down all expenses or have accounted for any expenses not yet drawn down including reviewing such items as unreimbursed payroll expenses, subawardee expenses not yet billed, travel expenses, cost sharing (if included on the original award), and equipment expenses.

- Mandatory document file uploads:
    - Brief Summary of Progress to Date
    - Description of Work to be Accomplished
- Additional optional documents may be uploaded as Other Supplementary Documents.

1. Request Details	2. Transfer Request Documents	3. Review

Transfer Request Documents

Request Details

Transfer Request Documents

ⓘ Important Proposal Preparation Information: Research.gov will check for required sections of the full proposal, in accordance with Proposal & Award Policies & Procedures Guide (PAPPG) instructions described in Chapter II.C.2. The PAPPG requires submission of: Project Summary; Project Description; References Cited; Biographical Sketch(es); Budget; Budget Justification; Current and Pending Support; Facilities, Equipment & Other Resources; Data Management Plan; and Postdoctoral Mentoring Plan, if applicable. If a required section is missing, Research.gov will not accept the full proposal. Proposal preparation instructions for certain types of proposals (see PAPPG Chapter II.E.) and for specific solicitations may deviate from the PAPPG instructions. Please refer to the instructions provided in the funding opportunity for which you are applying. Warning: Information regarding Collaborators and Other Affiliations (COA) is required for most proposal types (PAPPG II.C.1.e). Failure to submit a COA template for each senior personnel will result in proposals being returned without review. For more information, visit Collaborators and Other Affiliations Cover Sheet.

Transfer Request Forms	Last Updated
Required	
Brief Summary of Progress to Date	December 14, 2023 9:59:07 AM
Description of work yet to be accomplished	December 14, 2023 9:59:28 AM
Budget(s)	December 29, 2023 8:59:28 AM
Budget Justification(s)	
Optional	
Mentoring Plan	
Other Supplementary Documents	
Add/Delete Non co-PI Senior Personnel	

Step ⑥ **Original organization** confirms information on the Review page for the proposed PI Transfer request and AOR sends the request to the new organization.

- The original organization PI or SPO can initiate a PI Transfer request in Research.gov but only the original organization AOR can send the request to the new organization AOR via Research.gov. The screenshot below shows a PI Transfer request forwarded by the original organization PI or SPO to the original organization AOR. The original organization AOR has the option to edit, forward, or delete the request as shown in the Actions column.

- If any information (e.g., new organization UEI) requires correction, click the Previous button to go back and make edits.

- Once the Review page information including required certifications is confirmed, the original organization AOR clicks the Save & Forward to AOR button to send the request to the new organization. The original organization concurs with the transfer of the award by electronically forwarding the request to the new organization in Research.gov.

Step 7 **Original organization** AOR confirms receipt of system-generated email confirmation after the PI Transfer request has been forwarded to the new organization in Research.gov.

- The system-generated email confirmation is sent to the AORs at the original organization and at the new organization. The original organization PI and SPO will also receive the email confirmation if they were involved in initiating the PI Transfer request in Research.gov. The sender email address is NotificationRequests@nsf.gov.

- The new organization accesses the PI Transfer request in Research.gov.

Example System-generated Email Confirmation After Request Sent to New Organization

Subject: A Notification/Request has been forwarded to AOR

Thu Dec 07 11:48:27 EST 2023

Recipient list: johndoe@abc.edu doejohn@abc.edu smithjohn@abc.edu

A Notification/Request has been forwarded to AOR. Please use Research.gov application to view this request.

Award Details

- PI First Name: John
- PI Last Name: Smith
- PI E-Mail address: johndoe@abc.edu
- Award Number: 1234567

Notification/Request Details

Notification/Request Type: PI/PD or co-PI/co-PD Transfer from One Organization to Another

Please use Research.gov application to review and submit this request.

PI Transfer Requests Returned to the Original Organization by the New Organization

- If the new organization returns the PI Transfer request to the original organization, the request will be in the original organization AOR's queue. The original organization AOR can send it to the PI or SPO in Research.gov if they initiated the request for follow-up action.

- **If the PI Transfer request is returned to the original organization, the request may be edited or completely restarted by the original organization. If the request is completely restarted, the original organization must delete the existing PI Transfer request as Research.gov does not permit multiple in-progress PI Transfer requests for a specified award.**

- Once the new organization returns the PI Transfer request to the original organization, the new organization can only view the request in Research.gov.
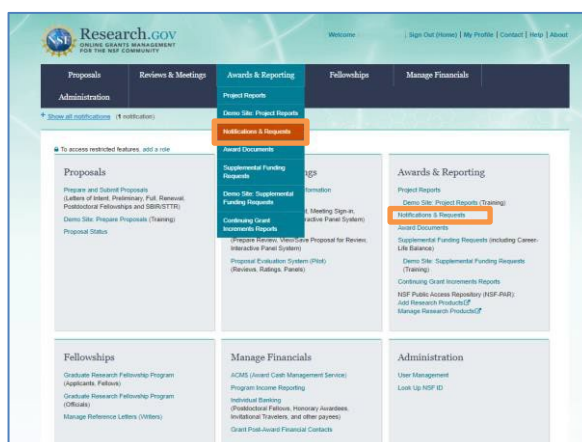

Questions?

IT system-related questions and technical questions may be directed to the NSF IT Service Desk at 1-800-381-1532 (7:00 AM – 9:00 PM Eastern Time; Monday – Friday except federal holidays) or via rgov@nsf.gov. Policy-related questions should be directed to policy@nsf.gov.

Steps for PI's New Organization

Step ① New organization AOR signs into Research.gov to access the PI Transfer request sent by the original organization.

- Open Research.gov.
- Click **Sign In** located at the top right of the screen to enter credentials.
- **Sign In** on the NSF User Sign In page.
For more Information on how to **Sign In** please visit the Research.gov Sign In Help page.

Step ② New organization AOR selects Notifications & Requests from the Awards & Reporting tile or from the top menu bar on the Research.gov homepage.

Step ③ New organization AOR locates the PI Transfer request sent by the original organization AOR.

- New organization AOR has the option to edit, submit, or delete the request as shown in the Actions column.

- Once the original organization forwards the PI Transfer request to the new organization, the original organization can only view the request in Research.gov.

Step 4 **New organization** AOR completes PI Transfer request information and uploads required documents on the Transfer Request Documents page.

- New Primary Place of Performance can be updated by the new organization if necessary.

- New organization updates the Budget on the Transfer Request Documents page by allocating the unobligated balance amount from the "Other" row/column to the appropriate Budget sections.

- New organization uploads the Budget Justification file on the Transfer Request Documents page.

- New organization uses the Optional section of the Transfer Request Documents page to:

  - Upload a Mentoring Plan. A Mentoring Plan is mandatory if the Budget section includes funding for postdoctoral fellows or graduate students.

  - Upload other supplementary documents.

  - Add or delete non-co-PI Senior Personnel.

Step ⑤ **New organization** AOR reviews the PI Transfer request information and submits it to NSF or returns it to the original organization.

- **Submit to NSF:** New organization uses the Save & Submit to NSF button to submit the PI Transfer request to NSF.

    ▪ Submission of the request constitutes agreement by the new organization to assume responsibility for completion of the project effort and to administer the award (as originally awarded) from the transfer date to completion in accordance with any special terms and conditions and the applicable general terms and conditions that normally govern NSF awards made to the new organization. Special terms and conditions, as appropriate, cited in the original award will convey to the new recipient organization.

    ▪ Once the PI Transfer request is submitted to NSF, the request cannot be withdrawn, edited, or deleted by the new organization or the original organization.

- **Return to Original Organization:** New organization uses the Return to Preparer button to send the PI Transfer request back to the original organization. Once the PI Transfer request is returned to the original organization, the original organization can edit or delete the request. If the request is completely restarted, the original organization must delete the existing PI Transfer request as Research.gov does not permit multiple in-progress PI Transfer requests for a specified award. Once the new organization returns the PI Transfer request to the original organization, the new organization can only view the request in Research.gov.

- **Continue Working on In-progress Request or Cancel Request:** New organization uses the Cancel button to leave the request in an in-progress state in Research.gov and work on it later. The Cancel button can also be used by the new organization to return to the Items Needing Action page to delete the PI Transfer request. The Delete option is in the Actions column (*see screenshot in New Organization Step 3*).

Step **6** **New organization** AOR confirms receipt of system-generated email confirmation after the PI Transfer request has been submitted to NSF in Research.gov.

- The system-generated email confirmation is sent to the to the AOR at the new organization and the AOR of the original organization. The original organization PI and SPO will also receive the email confirmation if they were involved in initiating the PI Transfer request. The sender email address is NotificationRequests@nsf.gov.

- The status of the PI Transfer request in Research.gov changes to Submitted to NSF.

Example System-generated Email Confirmation After Request Sent to NSF

A Notification/Request has been submitted to NSF

NotificationRequests@nsf.gov <NotificationRequests@nsf.gov>
To: DIS ITSIS Notifications and Requests Support; DIS ITSIS Notifications and Requests Support; DIS ITSIS Notifications and Requests Support; +42 more
Tuesday, February 20, 2024 at 1:20 PM

Tue Feb 20 13:20:43 EST 2024

Recipient list:

This is the AOR's copy of this notification/request. Please note all requests require NSF approval prior to taking action.

Award Details

- PI First Name: John
- PI Last Name: Smith
- PI E-Mail address: johndoe@abc.edu
- Award Number: 1234567

Notification/Request Details

Notification/Request Type: PI/PD or co-PI/co-PD Transfer from One Organization to Another

Please use Research.gov application to review and submit this request.

This e-mail was sent from an address that cannot accept incoming email therefore please DO NOT REPLY TO THIS MESSAGE.

Questions?

IT system-related questions and technical questions may be directed to the NSF IT Service Desk at 1-800-381-1532 (7:00 AM – 9:00 PM Eastern Time; Monday – Friday except federal holidays) or via rgov@nsf.gov. Policy-related questions should be directed to policy@nsf.gov.

1. **Why should the original organization contact the new organization offline to confirm the new organization's UEI prior to initiating the PI Transfer request in Research.gov?**

   An organization may have multiple UEIs listed with the same or similar names. It's critical that the correct UEI be selected in Research.gov so that the PI Transfer request is routed to the intended new organization. PI Transfer requests routed to an incorrect new organization (i.e., an incorrect UEI is selected) will result in delayed submission to NSF and request processing.

2. **Who can initiate a PI Transfer request at the PI's original organization?**

   The original organization PI, SPO, or AOR can initiate a PI Transfer request in Research.gov. If the PI or SPO initiates the PI Transfer request, it must be forwarded to the original organization AOR. Only the original organization AOR can forward the PI Transfer request to the PI's new organization in Research.gov.

3. **Who is the recipient of the PI Transfer request at the new organization?**

   The PI Transfer request is sent to the AOR(s) of the new organization. The new organization AOR(s) will receive a system-generated email notification when the PI Transfer request is forwarded from the PI's original organization in Research.gov.

4. **Who submits the PI Transfer request to NSF?**

   The new organization AOR submits the PI Transfer request to NSF in Research.gov. Once submitted to NSF, the PI Transfer request cannot be withdrawn or edited by either the new or original organization.

5. **Who can return the PI Transfer request to the original organization and what happens to the request?**

   The new organization AOR can return the PI Transfer request to the original organization AOR. If the PI Transfer request is returned to the original organization, the request may be edited, deleted, or completely restarted by the original organization. If the request is completely restarted, the original organization must delete the existing PI Transfer request as Research.gov does not permit multiple in-progress PI Transfer requests for a specified award. The original organization AOR can delete the request by selecting the Delete option in the Actions column of the Items Needing Attention table on the Notifications & Requests page. Once the new organization returns the PI Transfer request to the original organization, the new organization can only view the request in Research.gov.

6. **What actions are available to each organization after the PI Transfer request is forwarded to the new organization?**

   The original organization can only view the request in Research.gov. The new organization AOR can either submit the request to NSF, return it to the original organization, or delete it.

7. **What actions are available to each organization if the PI Transfer request is returned to the original organization?**

   The new organization can only view the request in Research.gov. The original organization AOR can return the request to the initiator (i.e., original organization PI or SPO), edit the request and forward the request again to the new organization, or delete it.

8. **Are there differences in what I should enter in the Budget section for standard grants versus continuing grants?**

   When the PI Transfer request is forwarded from the original organization to the new organization, all funds in the current year budget are entered under Other Direct Costs. The new organization must reallocate budget funds to the appropriate line items in the current year budget for both standard and continuing grants before submitting the request to NSF. Additional budget years will display for continuing grants, and the new organization has the option to revise the allocations inherited from the original organization for the other years. Please see the *Proposal & Award Policies & Procedures Guide* (PAPPG) Definitions section for how NSF defines standard grants and continuing grants.

9. **What happens to a subaward(s) if an award is transferred to a new organization through a PI Transfer?**

   If NSF approves the proposed PI Transfer from the original organization to the new organization and the process has been completed, the new organization can then initiate a Subawarding, Transferring or Contracting Out Part of an NSF Award request in Research.gov to add the subaward(s). Refer to *Proposal & Award Policies & Procedures Guide* (PAPPG) Chapter VII.B. for more information and contact the NSF Grants and Agreements Official if you have questions.