GRANT ADMINISTRATION:
HOW DO I TRANSFER A GRANT OR AWARD TO ANOTHER INSTITUTION?

Introduction

Grants are awarded to Principal Investigators (“PIs”) at authorized institutions by sponsoring agencies. The National Institutes of Health (“NIH”) is the only federal agency that has explicit forms and instructions for the transfer process. Authorization from the NIH awarding office must be obtained for federal grants to transfer from one institution to another. Other agencies should be contacted to determine what is necessary to implement the transfer.

The PI/Administrator may contact the receiving institution’s Administrator for assistance transferring the grant to their institution.

The Einstein PI notifies the Department Administrator (“Administrator”) of the pending transfer. The Administrator notifies Einstein Grant Accounting in writing with the exact transfer date and provides a detailed description of the item(s) being transferred from Einstein to the receiving institution:

1) Grant(s) and components (e.g., sub-contracts, cores, and projects of existing grants) that will be transferred and those that may remain;
2) Equipment to transfer; and/or
3) Personnel expected to transfer from Einstein

The Principal Investigator (PI) - Transfer To/From Another Institution (“Transfer Form”) (Figure 1), Request for Transfer of Equipment (Figure 2), and Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (“Relinquishing Statement”) (Figure 6) must be completed for all transfers of grants or awards from Einstein to another institution.

Forms

- Principal Investigator (PI) - Transfer To/From Another Institution (Figure 1)
- Request for Transfer of Equipment (Figure 2)
- Tracking the Processing of Pre- and Post Award Documents (Transmittal Form) (Figure 3)
- Final Invention Statement and Certification (Figure 4)
- Final Invention Statement and Certification Template (Figure 5)
- Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (Figure 6)
- Financial Status Report (Figure 7)

NOTE: Grant close-out procedures (see Section 6.5, How Do I Close Out An Expired Grant or Award) utilize forms that are also applicable to grants or awards transferred to another institution (i.e., Final Invention Statement and Certification, Financial Status Report, and Final Progress Report).
Procedure

To initiate the transfer of an existing grant to another institution, the Einstein Administrator notifies Grant Accounting with key information provided by the PI (i.e., date of the transfer, grant(s) or their components to be transferred, staff staying and staff who are leaving, equipment to be transferred, etc.).

1. The Einstein Administrator initiates a Transfer Form (Figure 1), which can be obtained from Grant Accounting or from the Finance website and completes the top half of the form.

2. The PI/Administrator lists the Federal/Agency Number ①, Einstein Number ②, and Project Period/Relevant Dates ③ for each grant or award, then completes the Summary Status of Tasks to Complete (“Summary Status”) ④ section of the Transfer Form based on the Legend of Tasks to Complete ⑤ section by:
   - checking-off (X) the appropriate box(es) for a “Yes” answer for items listed in columns 1, 2, and 3 and
   - checking-off (X) the appropriate box(es) in columns 4, 5, and 6 for documents that are “Final” (completed) and have been received.

   NOTE: Briefly describe each item being transferred (personnel or equipment), if necessary, in the Comments/Plan/Disposition ⑥ section. Enter the information in the Further Comments/Plan/Disposition and/or Personnel/Equipment (“Further Comments”) ⑦ section if additional space is needed.

![Figure 1](image-url)
Complete columns 1-5 of the Summary Status column section of the Transfer Form, as follows:

- **Column 1** – The Administrator lists equipment being transferred to the receiving institution in the **Comments/Plan/Disposition** section and enters a check-mark (X) in the appropriate box(es) on the Transfer Form.

Obtain a **Request for Transfer of Equipment** form (Figure 2) from the Grant Accounting Property Manager, Room 1108 Belfer, complete it, and return it to the Grant Accounting Property Manager. The Property Manager obtains the necessary authorizations and returns a copy of the **Request for Transfer of Equipment** to the Administrator.

- **Column 2** – Identify personnel being transferred to the receiving institution in the **Comments/Plan/Disposition** section of the form.

- **Column 3** – Prepare PSFs via the University’s YESS system, if necessary, to reallocate Time & Effort/Payroll distribution for personnel who will remain at Einstein. Prepare termination or other PSFs, if necessary. [[insert hyperlink to YESS]]

Grants should be closed for the following entries (4 and 5):

- **Column 4** – The PI prepares a **Tracking the Processing of Pre- and Post Award Documents** ("Transmittal Form") (Figure 3) and pairs it with a **Final Invention Statement and Certification** ("Invention Statement") form (Figure 4) for each transfer.

- **Column 5** – The PI prepares a **Final Progress Report**, a 2-3 page summary of progress toward the achievement of the originally stated goals, a list of significant results (positive or negative), and a list of publications resulting from the grant and gives it to the Administrator. (See Procedure 6.5, "How Do I Close Out an Expired Grant or Award?" for additional information regarding the **Final Progress Report**.)

**NOTE:** Where applicable, the **Request for Transfer of Equipment**, **Invention Statement**, and **Final Progress Report** may be submitted directly to the NIH via eRA Commons, according to the terms and conditions of the grant.

3. The **Transfer Form** is submitted to Grant Accounting to complete column 6.

4. Grant Accounting prepares a NIH **Relinquishing Statement** (Figure 6) for each grant or award being transferred to the receiving institution, obtains authorizations from the appropriate persons, and returns the completed **Relinquishing Statement(s)** and **Transfer Form** to the Administrator.

---

1 The Personnel Status Form (PSF) can be completed online via the YESS system.

2 eRA Commons is an online system where research organizations and grantees, grantor agencies, and Federal staff at NIH can access and share administrative information relating to research grants.
5. Based on the completed Relinquishing Statement(s), the Administrator completes the Summary Status of Tasks to Complete ("Summary Status") section of the Transfer Form for each grant or award by checking-off (X) the appropriate box for each item listed in columns 1, 2, and 3 for a “Yes” answer and indicating which documents are “Final” (completed) in columns 4, 5, and 6, based on the Legend of Tasks to Complete.

Request for Transfer of Equipment

![Request for Transfer of Equipment](image)

*Figure 2*
INSTRUCTIONS: This form will be used to log-in and track the processing Pre- and Post Award documents from Grant Accounting through Central Administration.

- Complete the Department and Contact Information
- Check Pre-Award OR Post Award box (but not both). NOTE: Continuations are Pre-Award.
- Provide Project Title (if Pre-Award) OR 9526 # (if Post Award), whichever is applicable.
- Check the box below that identifies the type of document to be processed.
- Send/deliver to Grant Accounting, Administrative Assistant, Belfer 1108, 718-430-2309, in Box/Bin (outside B1108D)

Fold or Tear Here - Attach Form Below to the Outside of the Folder

Department ____________________________ Contact ____________________________

____________________________ Name ____________________________
PI _______________________________ Name ____________________________

Date ____________________________ Delivered ____________________________

CHECK ONE: CAYUSE ENTERAL

☐ Pre-Award

Project ______________________________
Title: ______________________________
First Five Words ______________________________

Check one from below:
☐ Application (GA 6743 packet)
(If Continuation -> 9526-_______)

Follow-Up To:
☐ JIT
☐ INFO: Missing Info
☐ FLUP: Other ____________

Upon Award:
☐ MOD: Original Budget Modification
☐ ACPT: Acceptance
☐ AGMTS: Agreements
☐ UA: Other ____________

☐ Post Award - Grant Oversight

9526- ________

X X X X

Check one from below:
☐ NON: Continuation Follow-Up

or

Follow-Up To:
☐ EXT: Extension
☐ RBGT: Redo

☐ FLUP: Other ____________

End of Project Period:
☐ REL: Relinquishing Statement
☐ INV: Final Invention Statement

☐ NRSA: Activation/Termination Notice

☐ EOPP: Other ____________

For Grant Accounting Use:
Summary of Scanning Cayuse Application File Upon File Download and Folder Set-up:

Other Depts: ____________________________

Other Inst.: ____________________________

Part II / Proposal Summary

Alignment Check

Part II

Summary If Different

Yes No

Yes No

Human

Animal

Hazards

Comments / Notes

Consider Upon Review

January 5, 2011 How Do I Transfer A Grant Or Award To Another Institution? Page 5 of 10
Final Invention Statement and Certification (Modified* Einstein Hard Copy)

![Final Invention Statement and Certification](image)

*This federal form, which has been modified to provide a designated area for the PI's signature and printed name \( \Phi \), is prepared by the Administrator.

Figure 4 is an example of an Invention Statement where there were no inventions (as indicated by the Administrator having typed the word “NONE” \( \Phi \) in the first box under the column heading Title of Invention).

The DHHS Grant or Award Number must appear in the designated box \( \Theta \) on the form. If there had been an invention, the period covered by the Invention Statement (i.e., the project period of the grant or award at a particular grantee institution \( \Theta \)), the name of the inventor, invention title, and date reported to DHHS would have been entered on the form. Each Invention Statement requires the signature \( \Theta \) of an official authorized to sign on behalf of the institution (currently Robert Ness).

The original of the completed Invention Statement is returned to the grantor that funded the grant or award. Grant Accounting retains a copy for their records.
Final Invention Statement and Certification Template (Online at the eRA Commons Website)

Figure 5

Figure 5 is an example of a Final Invention Statement Template (“Invention Statement Template”) where there were no inventions (as indicated by the Administrator having typed the word “NONE” in the first box under the column heading Title of Invention).

If there had been an invention, the DHHS Grant or Award Number must appear in the designated box on the form. The period covered by the Invention Statement Template is the project period of the grant or award at a particular grantee institution, the Name of the Inventor, Invention Title, and Date Reported to DHHS fields are entered on the form. Each Invention Statement Template requires the signature of an official authorized to sign on behalf of the institution (currently Robert Ness).

The original of the completed Invention Statement Template is returned to the grantor that funded the grant or award. Grant Accounting retains a copy for their records. The Invention Statement Template can be found on the eRA Commons website: (https://commons-era.nih.gov/commons).
Grant Accounting obtains authorizations from the Einstein Financial Officer and authorized Official and returns the completed original **Relinquishing Statement** (Figure 6) to the Administrator.

The Einstein Administrator forwards a copy of the **Relinquishing Statement** to the Department Administrator of the receiving institution. The original is submitted to the grantor (e.g., NIH), as noted on the form.
The NIH requires Grant Accounting to prepare and submit a **Financial Status Report** (Figure 7), within 90 days of the closeout of the grant. (Other grantor agencies may have different submission time requirements.)
Note: Contact Grant Accounting for guidance regarding existing applications and/or grants being transferred from Einstein to another institution. For additional assistance, contact the Notice of Award’s NIH Program Official or review the NIH Grants Policy Statement at http://grants.nih.gov/grants/policy/nihgps_2003/index.htm.