Powering the Advancement of Science

Commons
Change of Institution

System Version (v2.30.0.0)

Document Version (v1.1.0.0)

April 20, 2012

CONTACT US

Document Comments:
We value your feedback on this document. Please submit comments to your eRA Customer Relationship Manager.

For general questions about this module and associated business processes:
Please contact your IC Coordinator. A list of IC Coordinators is available online: http://inside.era.nih.gov/techrep_list.cfm.

Troubleshooting support:
Please contact the eRA Help Desk:

Toll-free: 1-866-504-9552
Phone: 301-402-7469
TTY: 301-451-5939
Web: http://ithelpdesk.nih.gov/eRA/ (Preferred method of contact)
Email: commons@od.nih.gov (for Commons Support)
Email: helpdesk@od.nih.gov (for IMPAC II Support)
Hours: Mon-Fri, 7:00 a.m. to 8:00 p.m. Eastern Time

DISCLAIMER STATEMENT

No data shown in illustrations represents any real account, project, or individual. Any resemblance to actual accounts, projects, or individuals is purely coincidental.

DOCUMENT HISTORY

Date	System Version	Document Version	Description of Change	Author
4/22/2012	v2.30.0.0	v1.0.0.0	Develop initial draft of document	eRA Documentation Team

How are we doing? The User Support Branch (USB) of electronic Research Administration (eRA) is dedicated to serving our community and welcomes your feedback to assist us in improving our user guides. Simply click the hyperlink listed below and complete the questionnaire associated with the user guide.

http://era.nih.gov/era_feedback/feedback.cfm?userguide=ccoi

TABLE OF CONTENTS

1 Introduction **1**
2 Purpose **1**
3 Scope **1**
4 Overview **2**
4.1 Overview 2
4.2 Features 2
4.3 Users 2
4.4 Business Rules 3
4.4.1 Eligible Grants 3
4.4.2 Access to RS 3
4.4.3 RS Reviewers 3
4.4.4 RS Routing Order 3
4.4.5 Validation 4
4.4.6 Other Rules 4
5 Manage Relinquishing Statement **5**
5.1 Relinquishing Signing Official (SO) Responsibilities 5
5.1.1 Start a New RS 5
5.1.2 Create/Edit/Save RS 6
5.1.3 Delete RS 12
5.1.4 Route RS to PD/PI 13
5.1.5 Submit RS 15
5.2 Program Director/Principal Investigator (PD/PI)Responsibilities 17
5.2.1 Edit RS 17
5.2.2 Route RS to Relinquishing SO 21
6 Search/View Relinquishing Statement **24**
6.1 Signing Official (S0) 24
6.1.1 Search for a Grant to Relinquish or to View RS 25
6.1.2 Search for Relinquishing Statements Submitted by Former Institution 28
6.2 Program Director/Principal Investigator (PD/PI) 30
7 eMail Notifications **32**
7.1.1 eMail to the New Institution Contact eMail Provided on the RS Electronic Form 32
7.2 Confirmation eMail to PD/PI & SO from Former Institution Acknowledging NIH Receipt of RS 32

7.3 The Relinquishing Statement (RS) Routed eMail Notification....33
7.4 The Relinquishing Statement (RS) Returned eMail Notification....33
7.5 The Relinquishing Statement Acknowledged by NIH eMail Notification....34
7.6 eMail Acknowledging RS Now Visible to New Institution After IPF is Entered by NIH Internal User....34
7.7 Change of Institution Time Based Reminders....35
7.7.1 Change of Institution Application Reminder Notice (30 Days after RS Submit Date) 35
7.7.2 RS Reminder Notice (30 Days after Change of Institution Application Submit Date) 35
8 Error Messages....37

LIST OF FIGURES

Figure 1: Commons Status Screen Displaying Change of Institution Link 5
Figure 2: Status - Change of Institution Seach Screen 6
Figure 3: Status Result - Change of Institution Screen 6
Figure 4: Status Result - Change of Institution Screen 7
Figure 5: Manage Relinquishing Statement Screen 7
Figure 6: Manage Relinquishing Statement Screen Displaying Previous RSs in Accepted for Consideration Status 8
Figure 7: Manage Relinquishing Statement Screen Displaying Edit Feature 8
Figure 8: Relinquishing Statement Screen 9
Figure 9: New Institution - Search Screen 10
Figure 10: New Institution - Search Screen 10
Figure 11: New Institution - Search Result Screen 11
Figure 12: New Institution - Search Screen Displaying Entering an Institution Name Not Registered 11
Figure 13: Manage Relinquishing Statement Screen Displaying Delete Feature 12
Figure 14: Delete Relinquishing Statement Screen Displaying Delete Message 13
Figure 15: Route Relinquishing Statement Screen 14
Figure 16: Route Relinquishing Statement Screen 14
Figure 17: Manage Relinquishing Statement Screen 14
Figure 18: Relinquishing Statement Screen 15
Figure 19: Submit Relinquishing Statement To NIH Screen 16
Figure 20: Manage Relinquishing Statement Screen 17
Figure 21: Status Result - List of Applications/Grants Screen 17
Figure 22: Relinquishing Statement Screen 18
Figure 23: New Institution _ Search Screen 19
Figure 24: New Institution - Search Screen 19
Figure 25: New Institution - Search Screen Displaying Found Institution 19
Figure 26: New Institution - Search Screen 20
Figure 27: Relinquishing Statement Screen 21
Figure 28: Relinquishing Statement Screen 22
Figure 29: Route Relinquishing Statement Screen 23
Figure 30: Route Relinquishing Statement Screen with OK Button 23
Figure 31: Status Screen Displaying Change of Institution Link 24
Figure 32: Status – Change of Institution Screen 24
Figure 33: Search for Grants Section on Status Results – Change of Institution Screen 25
Figure 34: Status Result - Change of Institution Screen 25
Figure 35: Manage Relinquishing Statement Screen 26
Figure 36: Action Column on Manage Relinquishing Statement Screen 26
Figure 37: Relinquishing Statement Screen 26
Figure 38: Relinquishing Statement PDF 27
Figure 39: Action Column on Manage Relinquishing Statement Screen 28
Figure 40: View Routing History Screen 28
Figure 41: Search for Relinquishing Statements Section on Status Results – Change of Institution Screen 28

Figure 42: Status Results - Search for Relinquishing Statements Screen 29
Figure 43: View Relinquishing Statement Screen 29
Figure 44: Status Result - List of Applications/Grants Screen 30
Figure 45: Status Information Screen 30
Figure 46: Relinquishing Statements Screen 31

1 Introduction

Previously a Change of Institution was processed manually. To streamline the process, the Change of Institution can now be processed electronically. This document contains an overview of the eRA Commons Change of Institution electronic functionality.

2 Purpose

The purpose of this document is to show users how to use the eRA Commons Change of Institution functionality.

3 Scope

The document covers all Change of Institution functionality in this initial release of the function.

4 Overview

4.1 Overview

The Commons **Change of Institution** process allows the extramural grantee institution to submit an electronic version of a Relinquishing Statement (RS) to the Grants Management community for processing and allows the other grantee institution that is proposed to take over the relinquished grant to access the submitted RS.

The institution holding the grant must complete a Relinquishing Statement through eRA Commons that states it is giving up the grant and identifies the receiving institution. The receiving institution must submit an application via Grants.gov using the Parent Funding Opportunity Announcement listed at http://grants.nih.gov/grants/guide/parent_announcements.htm. Please look for an NIH Guide Notice.

NOTE: This functionality only applies to NIH grants. This is an open pilot. This means that either the electronic process documented here can be used or the traditional paper process can be used.

4.2 Features

The Commons system has the following features to accommodate a Change of Institution:

- Create, view, update, save, submit, and route the RS via the *Commons Status* screen
- Create RS in PDF format upon submitting the RS to the Agency
- Event generated and time sensitive eMail Notifications to appropriate users

4.3 Users

The following users are involved in the Change of Institution process.

1. Signing Official (SO)
    a. The original institution's SO can perform the following RS functions: Start a new one, View, Edit, Save, Route, Cancel, Delete and Submit RS to Agency.
    b. The receiving institution's SO can perform the following functions: View RS
2. Project Director/Principal Investigator (PD/PI)
    a. The original institution's PD/PI can perform the following RS functions: View, Edit, Save, Cancel changes, and Route the RS to the SO for submitting to the Agency.
3. NIH Internal User

a. The internal user can perform the following RS functions: View, Save, Cancel changes, and Link the RS.

4. Grants Management Official (GMO) or Grants Management Specialist (GMS)
    a. The GMO or GMS can perform the following RS functions: View, Receive, and Return the RS.

4.4 Business Rules

4.4.1 Eligible Grants

All awarded and active grants are eligible to be relinquished except for the ones with the following statuses:

- 02 – Withdrawn
- 21 – Ineligible organization - application withdrawn
- 30 – Withdrawn by Institute/Center (IC)
- 34 – Administratively withdrawn by IC prior to review or council

Subprojects, Institutional Allowances, and Supplements are excluded from being eligible.

RS(s) may be submitted for any activity code.

4.4.2 Access to RS

Only users with the SO authority at the grantee institution can access the **Change of Institution** option on the *Commons Status* screen.

The RS can be accessed only by the SO for grant applications from their grantee institution eligible for transfer.

Only the SO for the grantee institution has the authority to submit the RS to the Agency.

The RS can be accessed by the PD/PI for grantee applications where the PD/PI role is the current reviewer of the RS.

The internal user is able to access the RS in *Submitted* or *Accepted for Consideration* status and is able to update the **New Institution Name**, **IPF code** and **DUNS** number of the new institution to which a grant is relinquished.

4.4.3 RS Reviewers

If the SO initiated the RS and routed it to the PD/PI, then the PD/PI can review, edit specific fields, save and route the RS back to the SO.

Any SO at the grantee institution is able to create, review, edit, save, route, and submit the RS.

4.4.4 RS Routing Order

The next reviewer in the list of valid next reviewers is always the contact PD/PI on the application. The current user is not shown in the list of valid next reviewers on the RS. If SO is the current reviewer, then the contact PD/PI is the next reviewer by default.

If the PD/PI is the current reviewer, the SO who initiated the RS is the first and default entry in the list on the RS. All other users with the SO role appear alphabetically by last name after the first entry. The information displayed for each valid next reviewer is as follows: Name (LAST, FIRST).

If the SO routes the RS to the PD/PI, the *Route to Next Reviewer* screen is named: *Route to PD/PI*.

If the PD/PI routes the RS to the SO, the *Route to Next Reviewer* screen is named: *Route to SO*.

The RS can be routed back and forth between the SO and the PD/PI for an unlimited number of times.

4.4.5 Validation

PD/PI verification is not required. The SO is able to submit the RS without routing it to the PD/PI.

The PD/PI has edit capability only for the **New Institution Name i**nformation and **Contact information** in the new *Institution Section* of the RS.

Saving the RS does not execute any validations. The RS is validated upon submitting it to the Agency. The exception is that new Institution data is validated upon routing the RS by the PD/PI to the SO.

The RS cannot be submitted to the Agency with validation errors, but the RS can be submitted to Agency with validation warnings.

RS(s) submitted for pre-award are not validated for the costs relinquished. They can be zero or the original application's requested funds amounts.

4.4.6 Other Rules

The system allows multiple RS submissions. The SO is able to submit a new RS only if no RS has been submitted or if the existing RS(s) have been acknowledged (*Accepted for Consideration* or *Refused* status) by the Grants Management Specialist (GMS) user.

The RS can be deleted by the SO from the relinquishing institution if it is in the *SO Work In Progress* (WIP) state and has *never* been submitted to the Agency.

All submitted and accepted versions of the RS(s) are visible to the receiving institution.

Grant applications for the new institution should be submitted within thirty days after the Relinquishing Statement is submitted from the former institution.

The Relinquishing Statement should be submitted within thirty days of the grant application for the new institution.

5 Manage Relinquishing Statement

5.1 Relinquishing Signing Official (SO) Responsibilities

5.1.1 Start a New RS

The Change of Institution process is initiated by the Signing Official (SO) for the original grantee institution that has agreed to relinquish responsibility for an active grant. This must occur before the expiration of the approved project period.

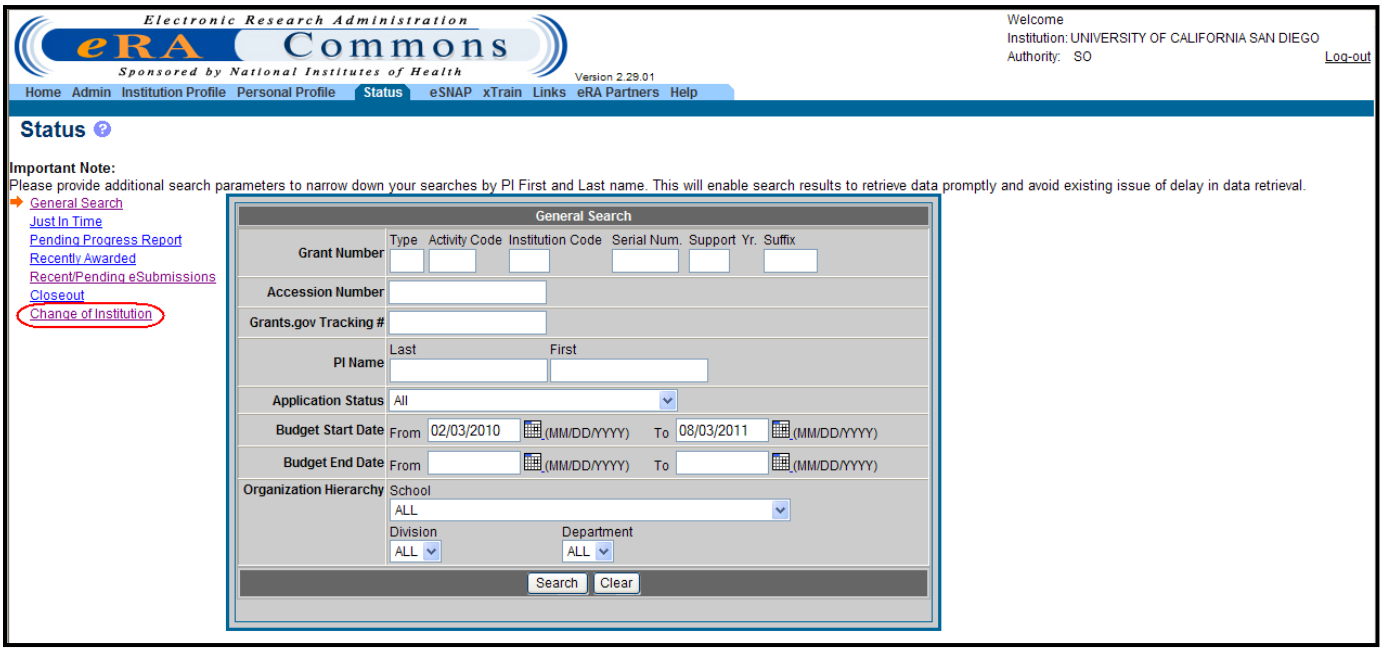

Figure 1: Commons Status Screen Displaying Change of Institution Link

1. On the Commons' *Status* screen, click on the **Change of Institution** link.

The system displays the Status – Change of Institution search options.

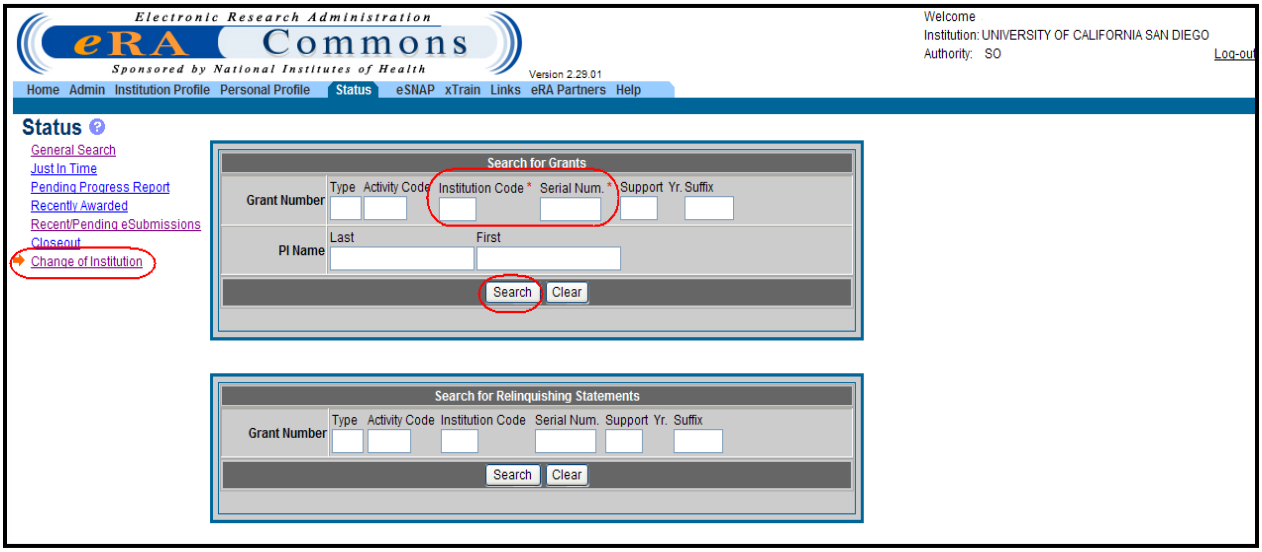

Figure 2: Status - Change of Institution Seach Screen

2. To find the grant to relinquish, complete at minimum the required fields; **Institution Code** and **Serial Num**.

NOTE: The required fields are noted by an asterisk.

a. Click the **Search** button.

The system displays the search results on the *Status Result – Change of Institution* screen.

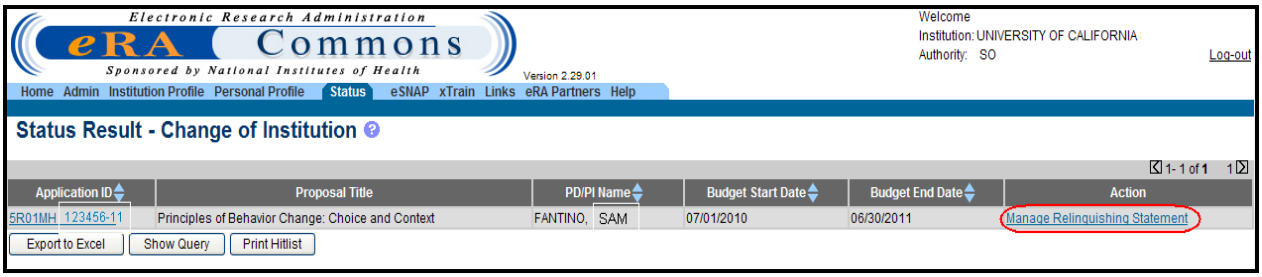

Figure 3: Status Result - Change of Institution Screen

NOTE: The RS functionality is not available from other *Status* search result's screens.

5.1.2 Create/Edit/Save RS

1. If editing an RS, first perform a search for the RS. Refer to the section titled *Search/View Relinquishing Statement.*

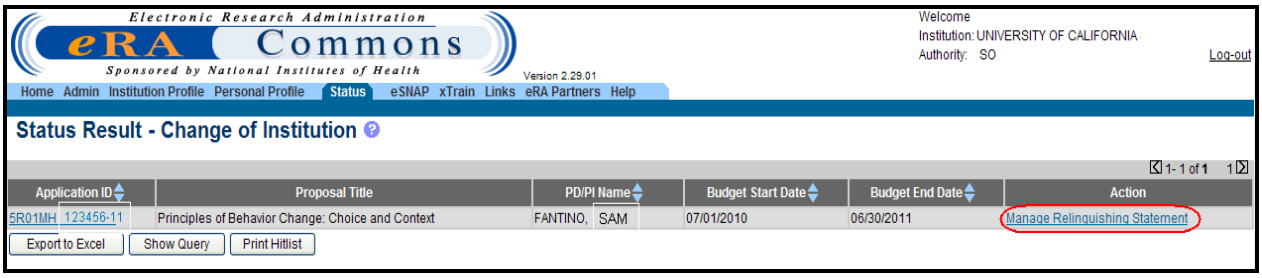

Figure 4: Status Result - Change of Institution Screen

2. After the grant to be relinquished is found, click on the **Manage Relinquishing Statement** link on the *Status Result – Change of Institution* screen.

The system displays the *Manage Relinquishing Statement* screen.

If the award is in a no cost extension or within three months of the project period end date, the following informational pop-up message appears: *You have selected an award in a no-cost extension/within three months of the project period end date. NIH Institutes & Centers (ICs) policies may limit change of grantee organization requests based on the amount of time remaining on the award. Please contact the awarding IC to determine IC policy.* If this pop-up message screen appears, click the **OK** button to proceed to the *Manage Relinquishing Statement* screen.

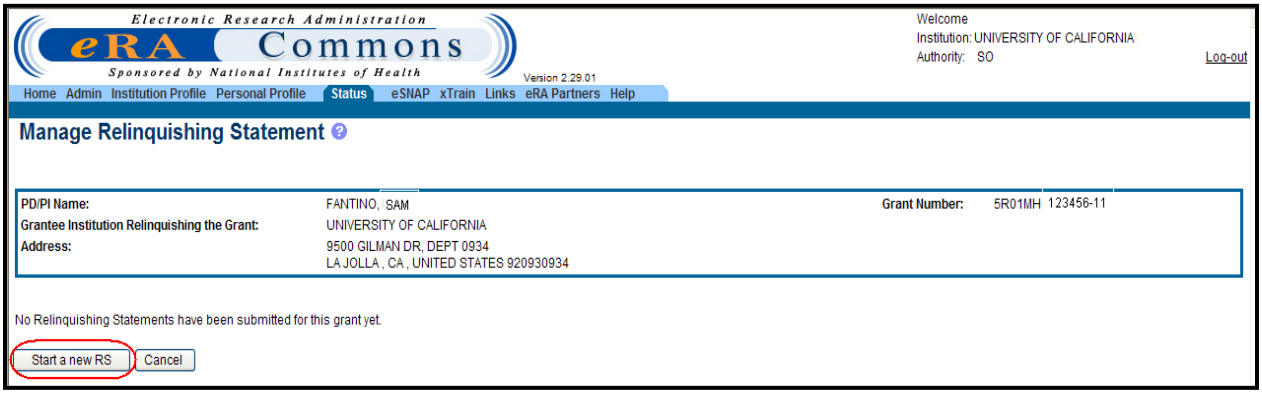

Figure 5: Manage Relinquishing Statement Screen

3. To start a new RS click the **Start a new RS** button.

NOTE: If an RS has already been submitted, a new RS cannot be submitted unless the prior RS(s) shows a status of *Accepted for Consideration* or *Refused*.

Figure 6: Manage Relinquishing Statement Screen Displaying Previous RSs in Accepted for Consideration Status

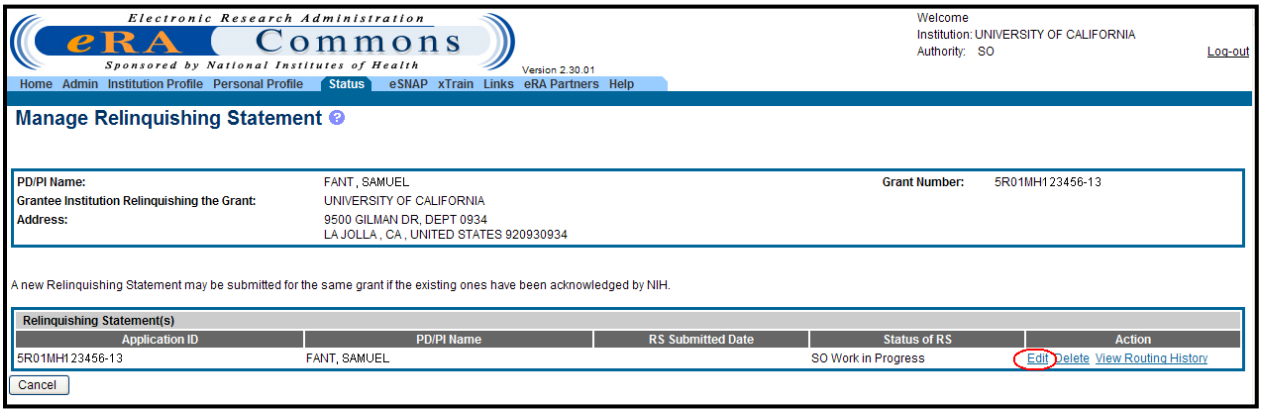

Figure 7: Manage Relinquishing Statement Screen Displaying Edit Feature

4. To edit a RS that is in progress, click the **Edit** link.

NOTE: To edit an RS, the RS's status must be *SO Work in Progress (WIP)* or *Returned*.

5. To exit the screen, click the **Cancel** button.

If the **Start a new RS** button or the **Edit** link is clicked, the system displays the *Relinquishing Statement* screen.

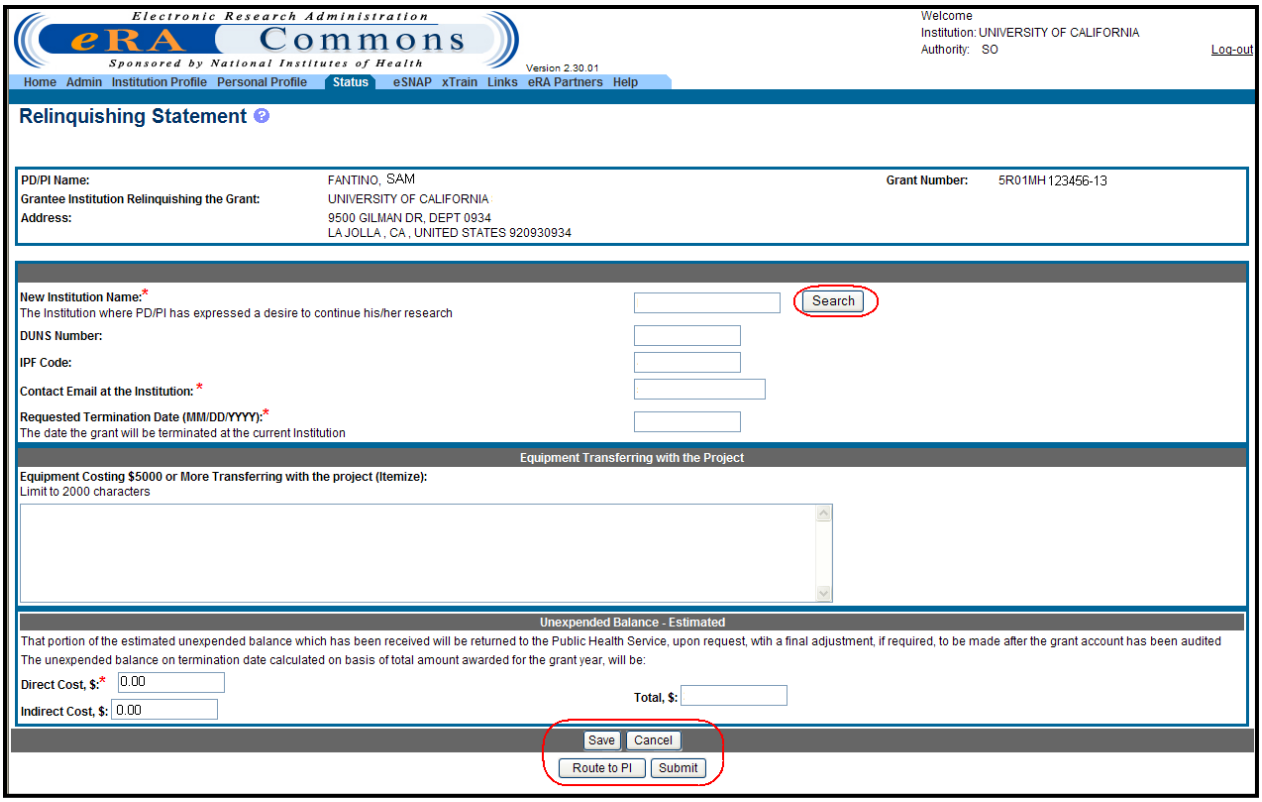

Figure 8: Relinquishing Statement Screen

6. Complete or edit the RS Form as follows:

NOTE: The required fields are noted by an asterisk. The following fields are required: **New Institution Name**, **Contact Email at the Institution**, **Requested Termination Date (MMDDYYYY)**, and **Direct Cost $.**

a. Click the **Search** button in the *New Institution Name* section to search for the receiving institution within the NIH eRA Commons database.

The system displays the *New Institution – Search* screen.

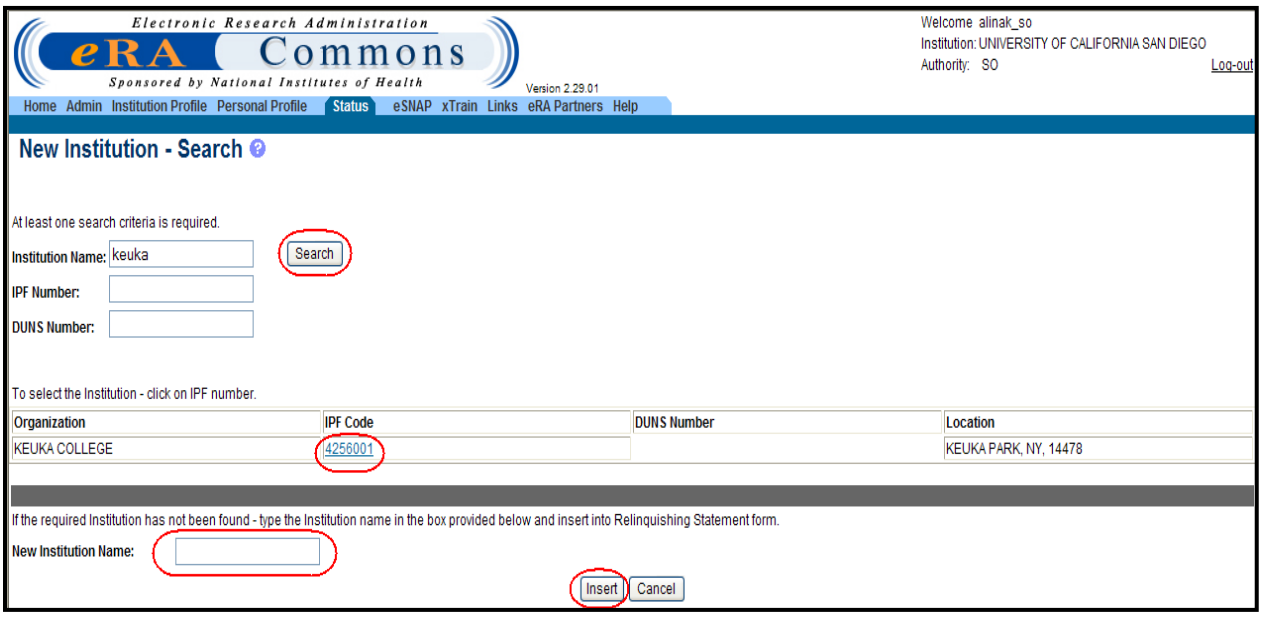

Figure 9: New Institution - Search Screen

Figure 10: New Institution - Search Screen

b. Type in the receiving institution's name, IPF or DUNS number and click the **Search** button.

   i. If the receiving institution is found, click on the receiving institution's **IPF Code**.

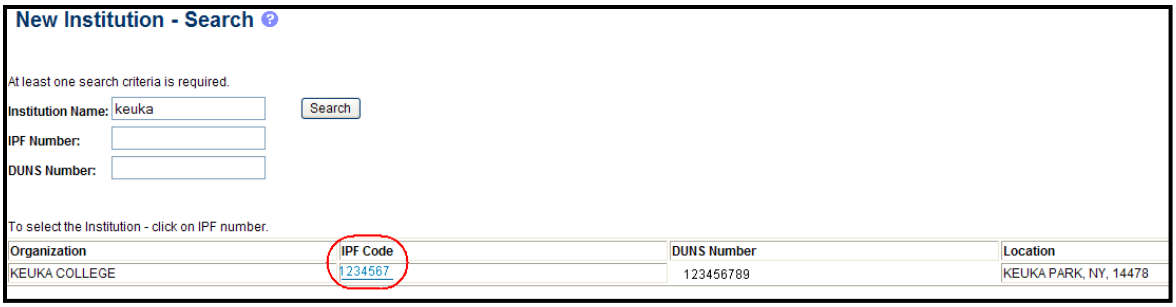

Figure 11: New Institution - Search Result Screen

The system inserts the receiving institution's name, DUNS number and IPF Code in the appropriate text boxes on the *Relinquishing Statement* screen.

NOTE: The IPF Code is used to link the submitted RS to the receiving institution and to make it viewable for SO at the receiving institution.

ii. If the receiving institution is not found, type the receiving institution's name in the **New Institution Name** text box and click the **Insert** button.

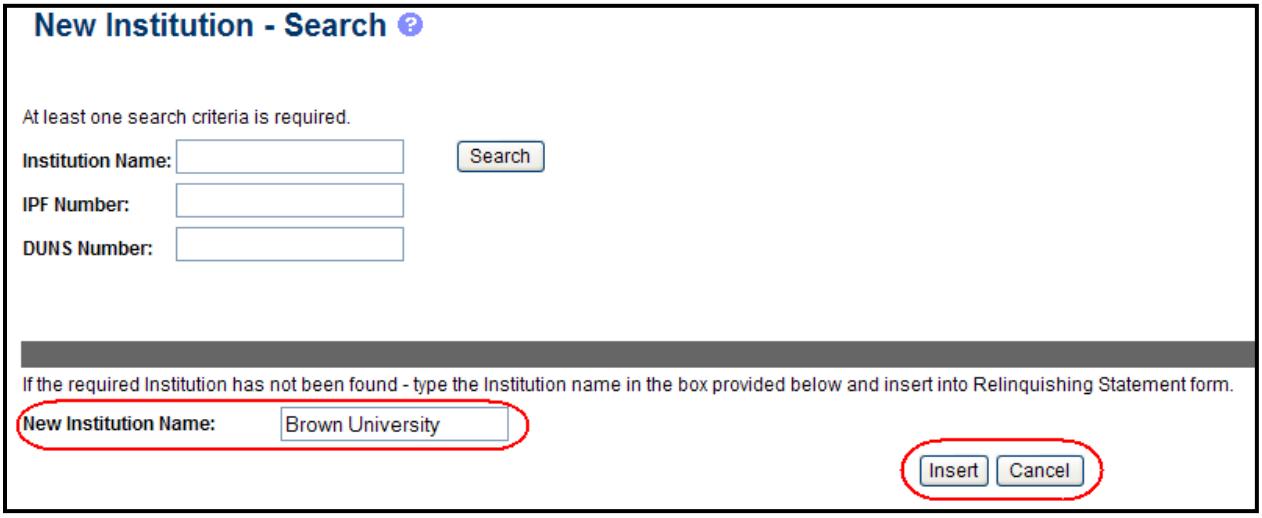

Figure 12: New Institution - Search Screen Displaying Entering an Institution Name Not Registered

The system inserts the new receiving institution's name in the appropriate text box on the *Relinquishing Statement* screen.

NOTE: If the receiving institution is not registered in the NIH eRA Commons (IPF Code is not provided), it may not receive notification and is not able to view the relinquishing statement until it is registered in the eRA Commons. The New Institution needs to register in the eRA Commons and contact the eRA Help Desk for assistance in linking the relinquishing statement to the new institution account.

7. Complete the remaining fields: **Contact Email at the Institution**, **Requested Termination Date (MMDDYYYY)**, **Direct Cost $**, and **Indirect Cost $**.

8. Type, NONE, in the *Equipment Transferring with the Project* section if there is no equipment to be transferred.
9. Perform one of the following on the *Relinquishing Statement* screen:

    a. To **save** the RS, click the **Save** button.

The system displays the RS Form on the *Relinquishing Statement* screen and sets its status to *SO Work in Progress*.

    b. To cancel the RS, click the **Cancel** button.

5.1.3 Delete RS

The RS may be deleted if the RS is in **SO Work in Progress** state and has *never* been submitted to the Agency.

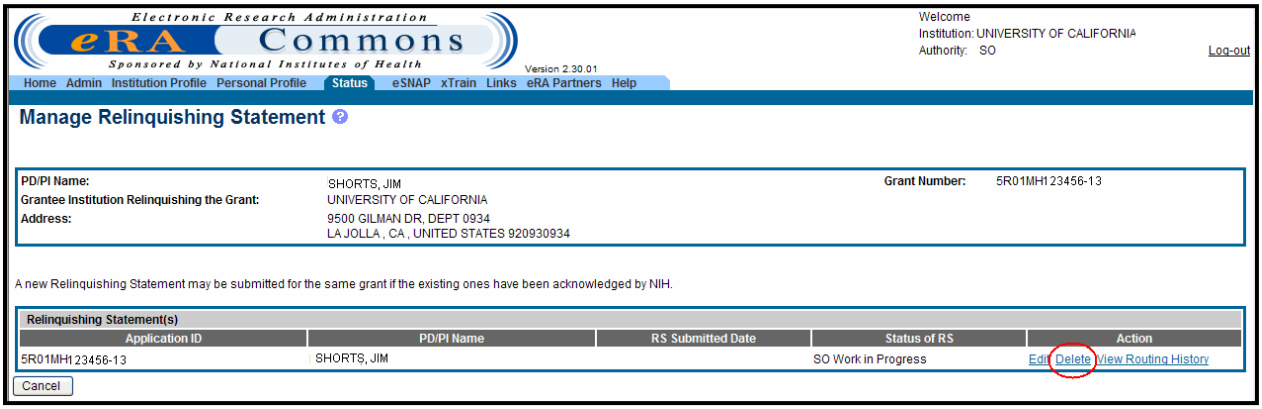

Figure 13: Manage Relinquishing Statement Screen Displaying Delete Feature

1. To delete an RS, click the **Delete** link on the *Manage Relinquishing Statement* screen.

The system displays the RS in a non-editable form and the following message appears on the *Delete Relinquishing Statement* screen: *Please confirm that you would like to delete the following relinquishing statement.*

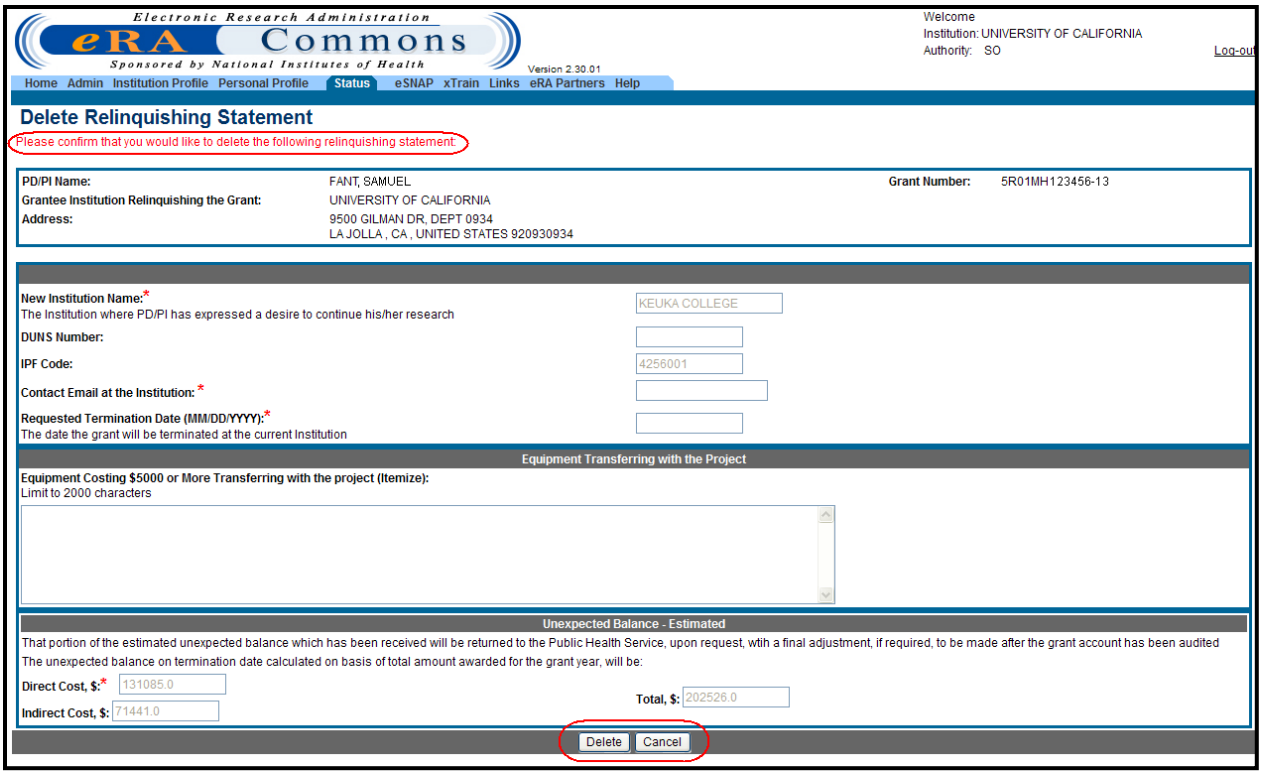

Figure 14: Delete Relinquishing Statement Screen Displaying Delete Message

2. Perform one of the following options:

    a. Click the **Delete** button on the **Delete Relinquishing Statement** screen to delete the RS.

    b. Click the **Cancel** button to exit the screen.

If the **Delete** button is clicked, the system deletes all data associated with the RS and returns to the *Manage Relinquishing Statement* screen. If the **Cancel** button is clicked, the system returns to the *Manage Relinquishing Statement* screen.

5.1.4 Route RS to PD/PI

1. To **route** the RS to the appropriate PD/PI for further institution information if necessary, click the **Route to PI** button on the bottom of the *Relinquishing Statement* screen.

The *Route Relinquishing Statement* screen appears. The **Next Reviewer** field displays the contact PD/PI.

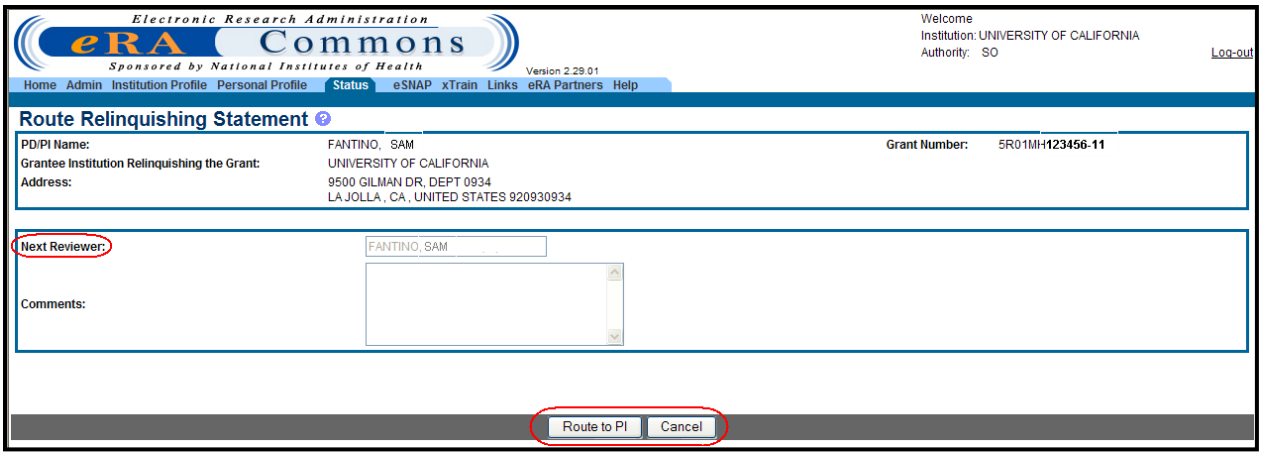

Figure 15: Route Relinquishing Statement Screen

a. If desired, enter any comments and click the **Route to PI** button or click the **Cancel** button to exit the screen.

When the **Route to PI** button is clicked, the system displays *Route Relinquishing Statement* screen with the confirmation message and sends an email notification to the PD/PI regarding the RS. Refer to the section titled *eMail Notifications* for more information.

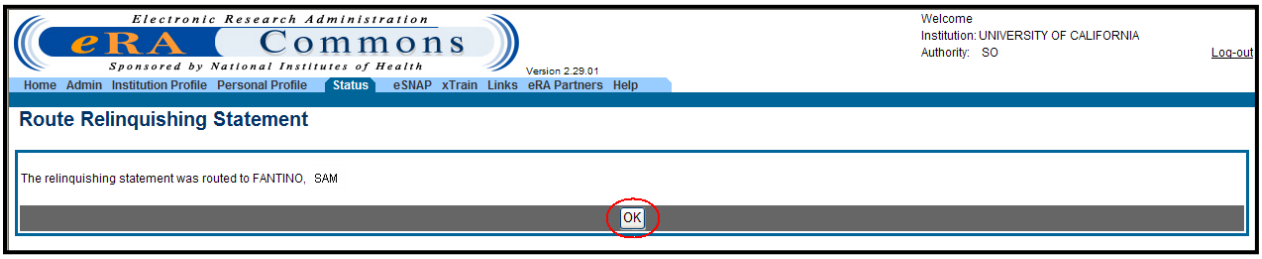

Figure 16: Route Relinquishing Statement Screen

b. Click the **OK** button to go back to the *Manage Relinquishing Statement* screen.

The system returns to the *Manage Relinquishing Statement* screen.

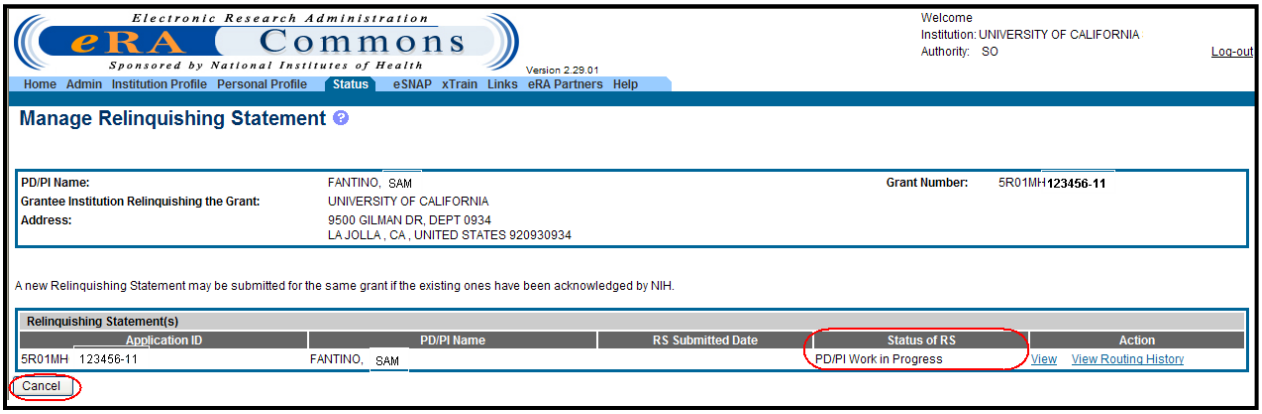

Figure 17: Manage Relinquishing Statement Screen

The **Status of RS** field displays *PD/PI Work in Progress*. If the RS is not routed to the PD/PI, the **Status of RS** field displays *SO Work in Progress*.

5.1.5 Submit RS

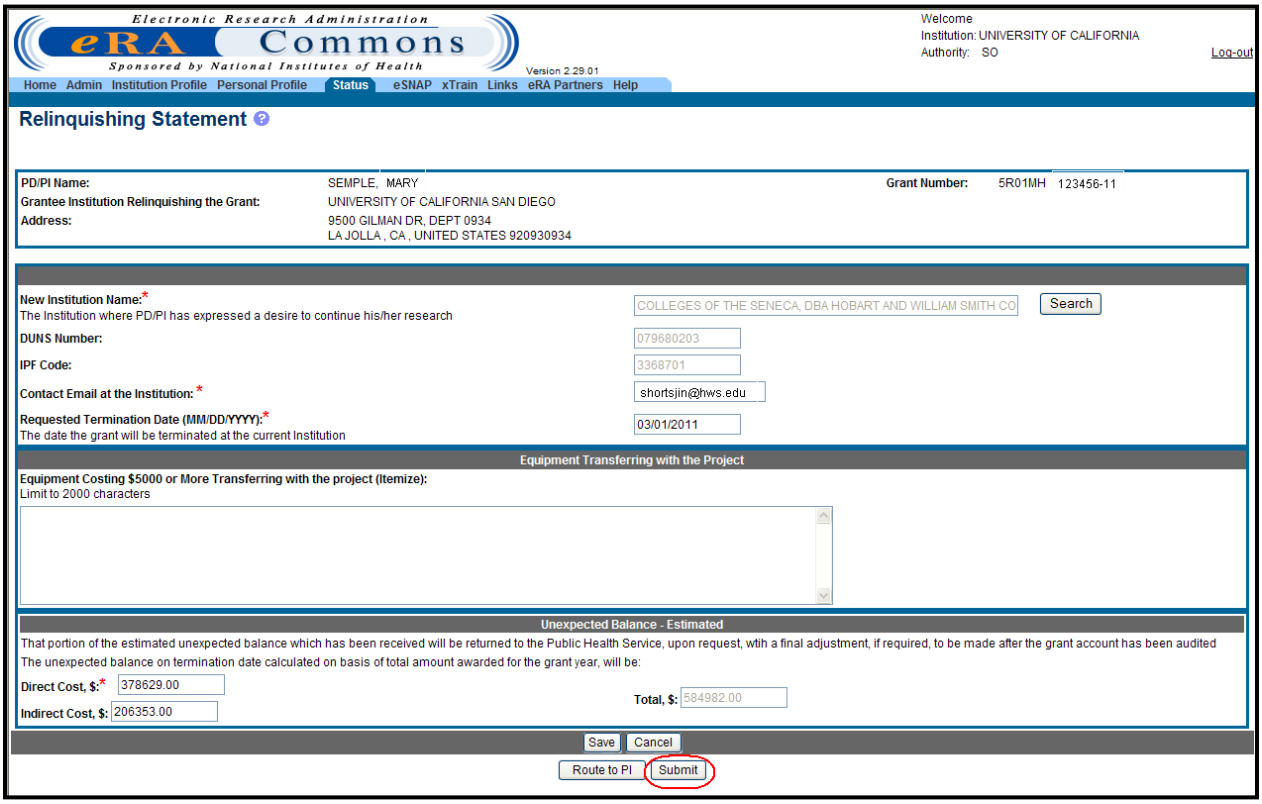

Figure 18: Relinquishing Statement Screen

1. To **submit** the RS, click the **Submit** button on the *Relinquishing Statement* screen.

NOTE: The institution name and contact information are required at the time of submission to the Agency.

The system displays the *Submit Relinquishing Statement to NIH* screen. The Certification Acceptance Statement is displayed and reads as follows:

APPLICANT ORGANIZATION CERTIFICATION AND ACCEPTANCE:

In view of the fact that we do not wish to nominate another program director/principal investigator or continue the research project at this Institution, this is to signify our willingness to terminate this grant as of [Requested Termination Date] 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.

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

I certify that the statements herein are true, complete and accurate to the best of my knowledge and belief, and accept the obligation to comply with Public Health Services terms and conditions if a grant is terminated as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

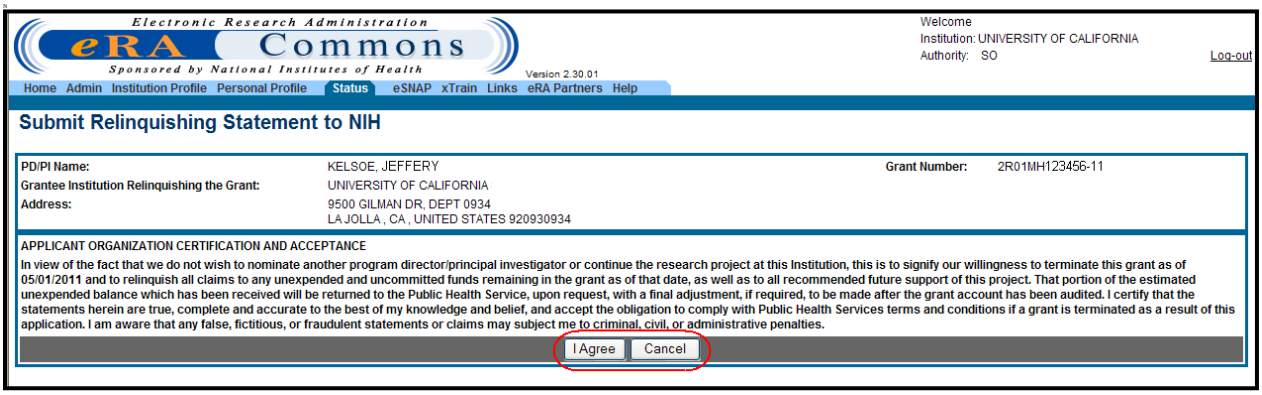

Figure 19: Submit Relinquishing Statement To NIH Screen

2. Click the **I Agree** button to submit the RS or click the **Cancel** button to exit the screen.

If the **Cancel** button is clicked, the following screen message appears: *This relinquishing statement will not be submitted to the National Institutes of Health without agreement to the ORGANIZATION CERTIFICATION AND ACCEPTANCE statement.*

When the **I Agree** button is clicked, the system displays he *Manage Relinquishing Statement* screen with the following message: *The Relinquishing Statement has been submitted to NIH*. The system also creates the RS PDF file. If the system takes from thirty seconds to two minutes to generate the RS, then the system displays an informational message. The next reviewer is internal NIH user. The system returns to the *Manage Relinquishing Statement* screen. The **Status of RS** field displays *Submitted to Agency*.

For post awarded and post review applications, email notifications are sent to the centralized IC mailbox, the currently assigned GMS, and the PO. For pre-review applications, email notifications are sent to the Division of Receipt and Referral (DRR), the SRO if assigned, and the receiving institution contact email provided on the RS electronic form. Refer to the section titled *eMail Notification*s for more information.

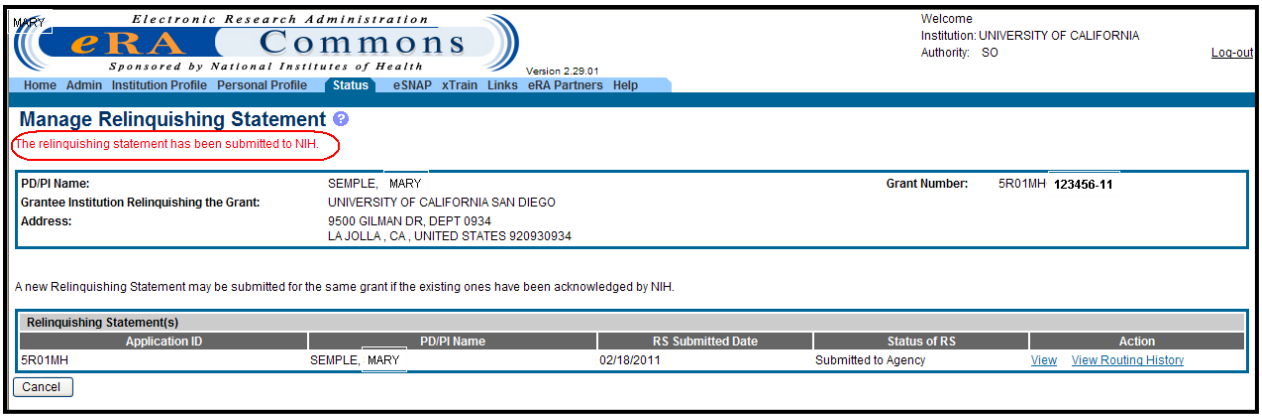

Figure 20: Manage Relinquishing Statement Screen

3. To **View** the RS or **View Routing History**, click the appropriate link. If needed, refer to the section titled *Search/View Relinquishing Statement*.

5.2 Program Director/Principal Investigator (PD/PI)Responsibilities

If the RS is routed to a PD/PI, the RS may be edited and routed back to the SO at the relinquishing institution. The PD/PI may edit only the institution information and contact email address.

5.2.1 Edit RS

1. To edit the RS, find the appropriate grant on the *Status Result – List of Applications* screen.

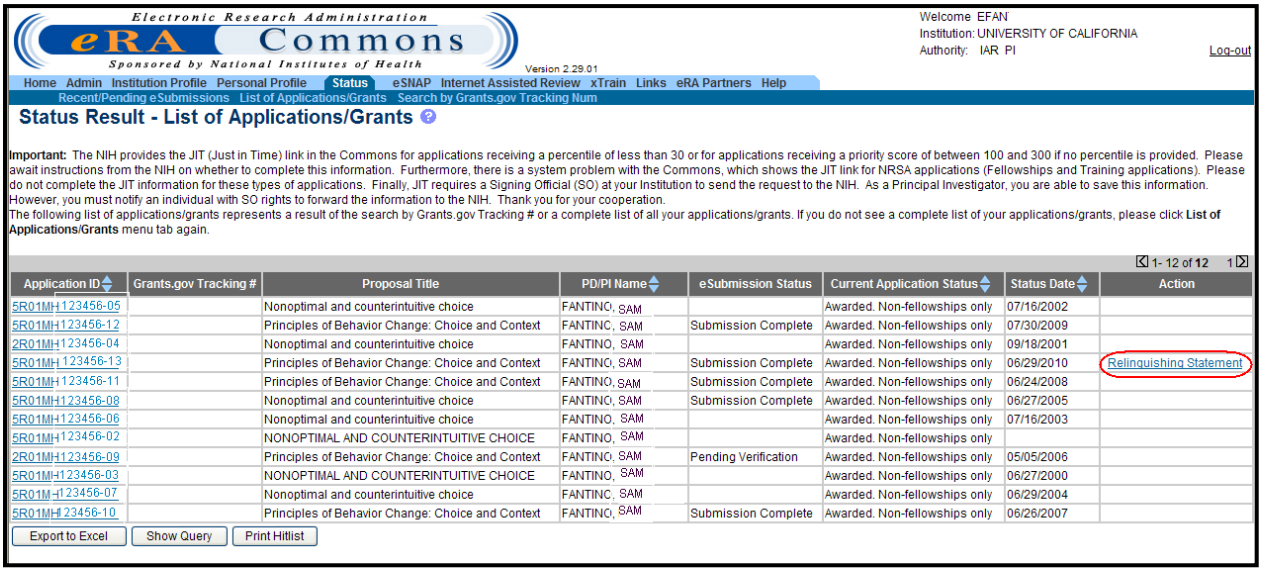

Figure 21: Status Result - List of Applications/Grants Screen

NOTE: If there are multiple PIs for a grant, the letters MPI appear to the right of the Application ID.

2. Click on the **Relinquishing Statement** link.

The system displays the Relinquishing Statement screen.

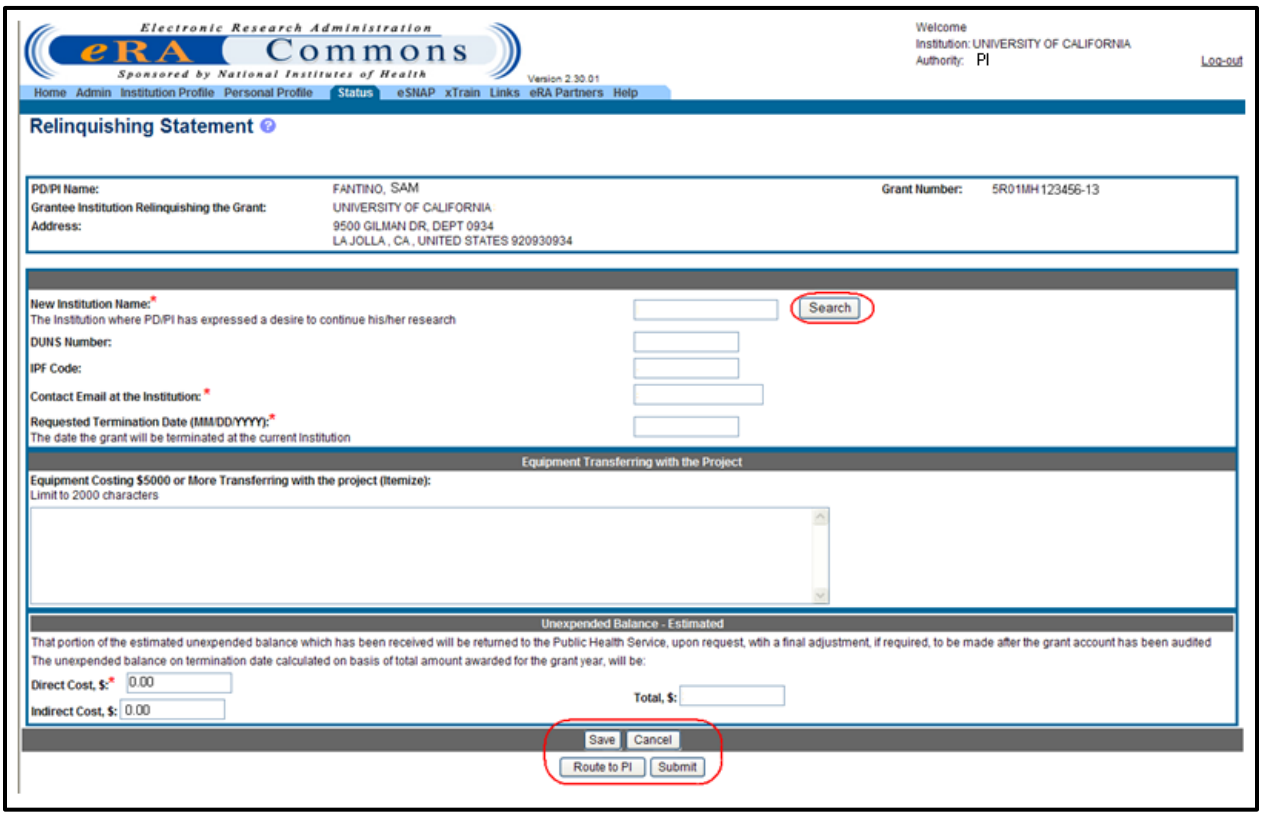

Figure 22: Relinquishing Statement Screen

3. To add or change the institution information on the RS form, click the **Search** button in the *New Institution Name* section to search for the receiving institution within the NIH eRA Commons database.

The system displays the *New Institution – Search* screen.

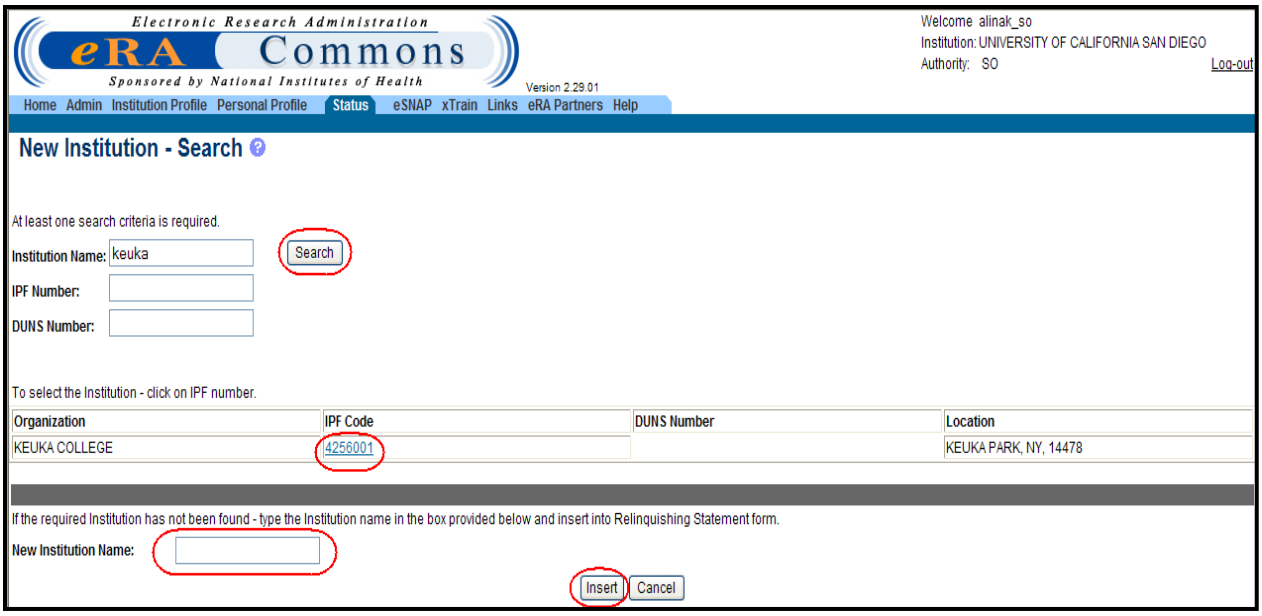

Figure 23: New Institution _ Search Screen

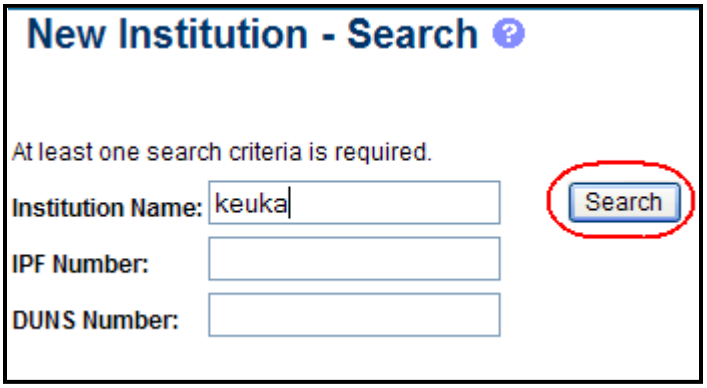

Figure 24: New Institution - Search Screen

a. Type in the receiving institution's name, IPF or DUNS number and click the **Search** button.

If the institution is found, the system displays that institution's information.

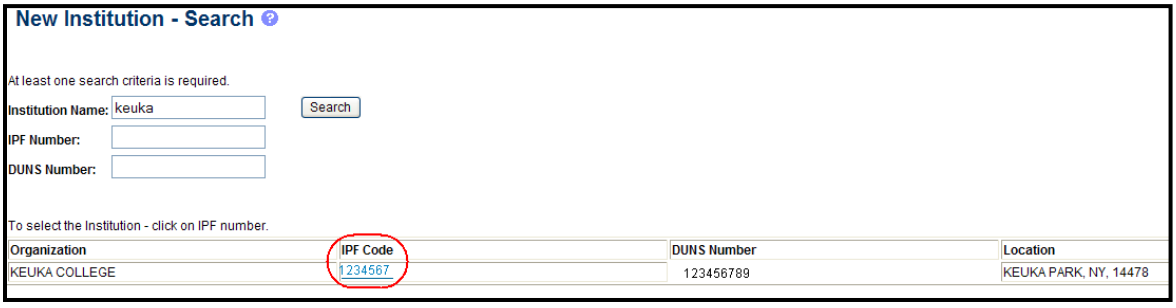

Figure 25: New Institution - Search Screen Displaying Found Institution

iii. If the receiving institution is found, click on the receiving institution's **IPF Code**.

The system inserts the receiving institution's name, IPF Code, and DUNS number (if present) in the appropriate text boxes on the *Relinquishing Statement* screen.

NOTE: If a new institution is registered with the eRA Commons, it is highly recommended to choose it from the search results. DUNS Number and IPF code are pre-populated from the institutional profile file.

If the receiving institution is not found, type the receiving institution's name in the **New Institution Name** text box and click the **Insert** button.

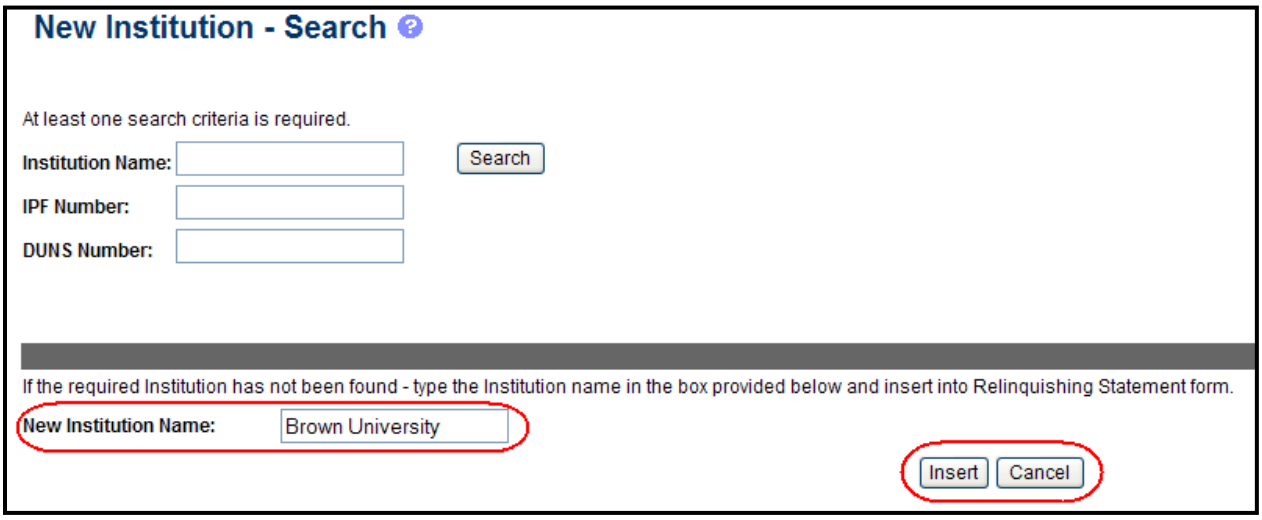

Figure 26: New Institution - Search Screen

The system inserts the new receiving institution's name in the appropriate text box on the *Relinquishing Statement* screen.

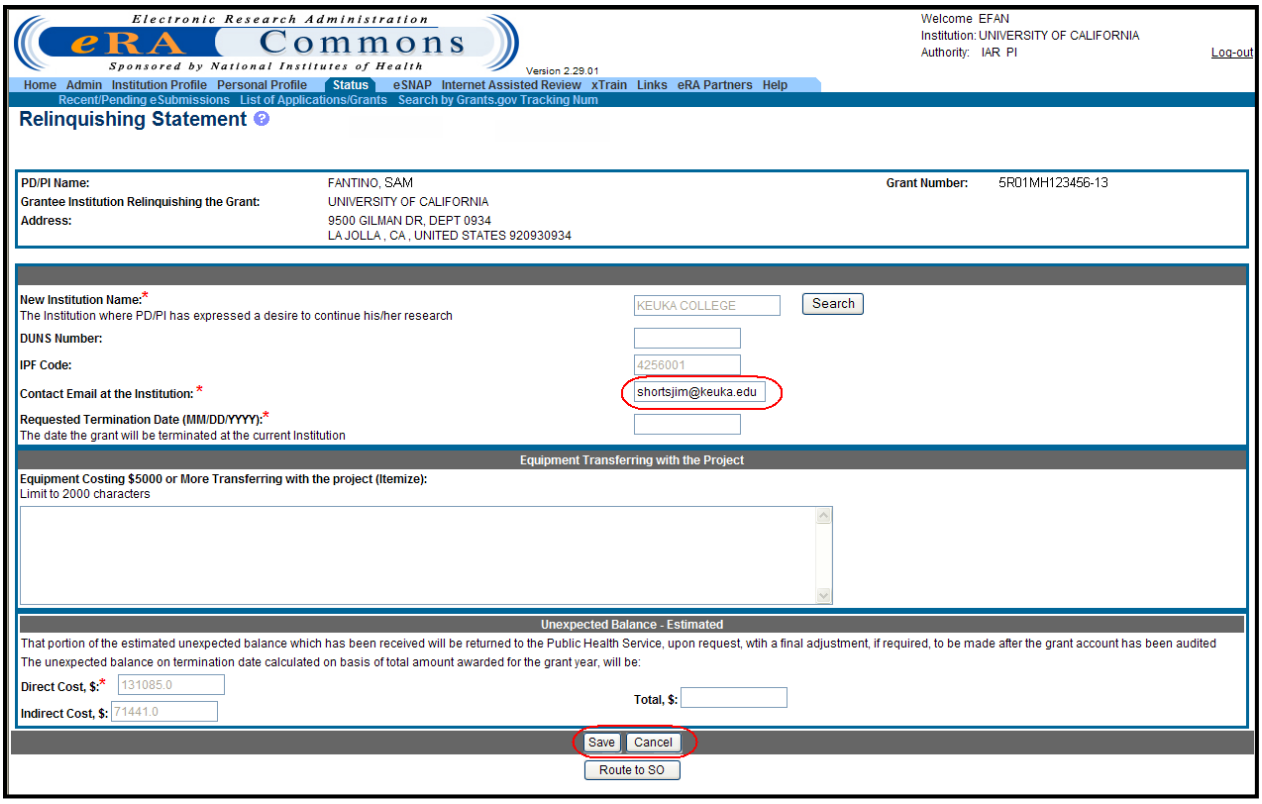

Figure 27: Relinquishing Statement Screen

4. Complete the **Contact Email at the Institution** address.

NOTE: The email address should be in the following format: user_name@domain_name.com.

If the email address is not entered, an error message is produced. Refer to the section titled *Error Messages* for more information.

5. Perform one of the following on the *Relinquishing Statement* screen:
    a. To **save** the edits to the RS, click the **Save** button.
    b. To cancel editing the RS, click the **Cancel** button.

5.2.2 Route RS to Relinquishing SO

After the appropriate edits have been made to the RS, the RS is routed back to the SO for submission to the Agency.

1. To route the RS back to the SO, click the **Route to SO** button on the *Relinquishing Statement* screen.

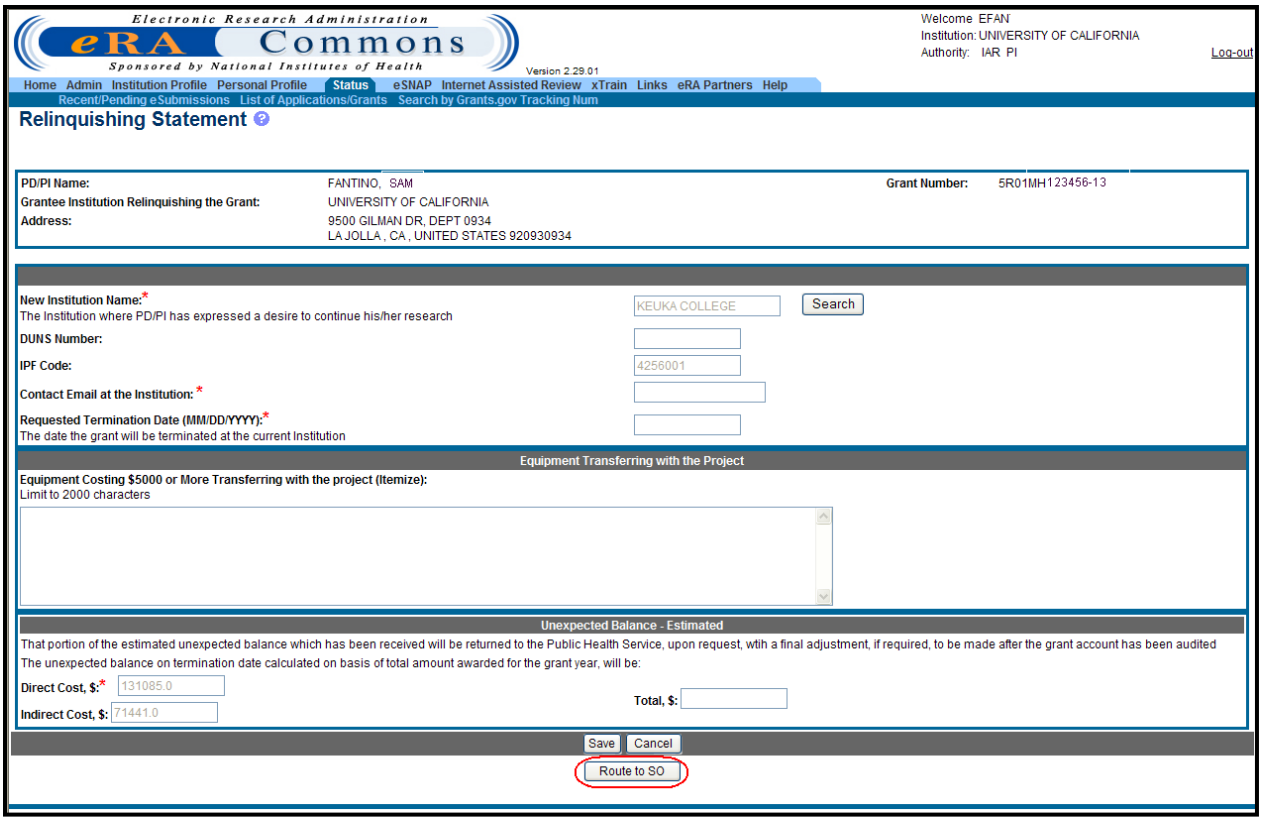

Figure 28: Relinquishing Statement Screen

If the new institution name has not been provided, then the following warning message is displayed: *The New Institution Name has not been provided. This information will be required at time of submission to agency.*

If the new institution's name is not blank, the new institution's IPF number has to be provided. If the IPF number is not provided, then the following warning message is displayed: *You have selected an institution not registered in the NIH eRA Commons. Please verify the institution information. The new institution may not receive notification and will not be able to view the relinquishing statement until it is registered in the NIH Commons. The New Institution will need to register in the eRA Commons and contact the eRA helpdesk to access the relinquishing statement.*

The system displays the *Route Relinquishing Statement* screen. The **Next Reviewer** is the relinquishing SO. If there is multiple SOs at the relinquishing institution, the **Next Reviewer** drop down menu can be used to select the appropriate SO to route the RS to that person. The names are displayed as last name, first name.

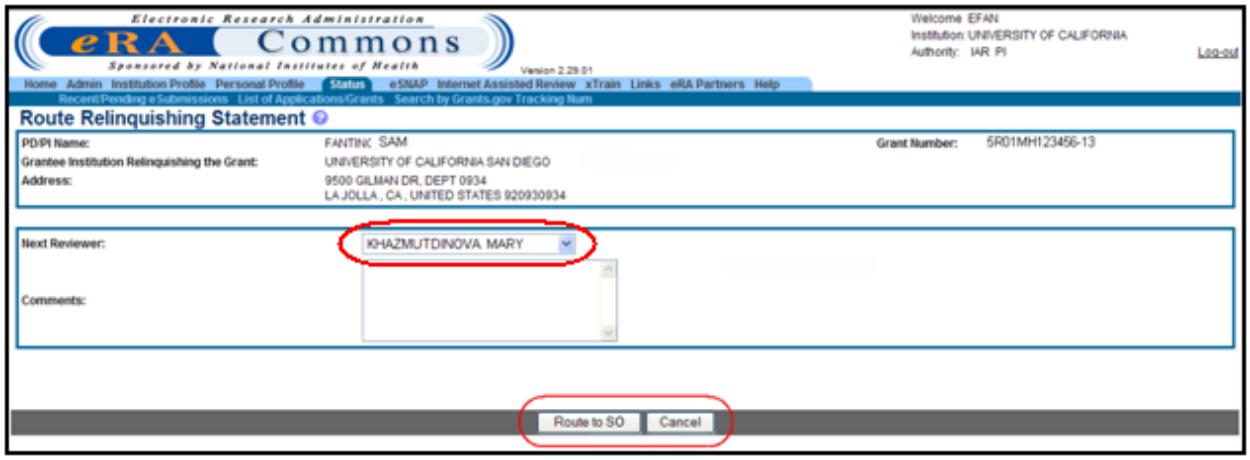

Figure 29: Route Relinquishing Statement Screen

2. Click on the **Route to SO** button to route the RS to the SO or click the **Cancel** button to return *Relinquishing Statement* screen.

If the **Route to SO** button is clicked, the system displays the *Route Relinquishing Statement* screen with an **OK** button. The following message is displayed: *The relinquishing statement was routed to <next reviewer commons user id>*.

Figure 30: Route Relinquishing Statement Screen with OK Button

3. Click the **OK** button to complete the routing to the relinquishing SO.

An email notification is sent to the selected SO notifying that the RS has been routed back. Refer to the section titled *eMail Notifications* for more information.

6 Search/View Relinquishing Statement

6.1 Signing Official (S0)

Perform the following steps to search for a grant to relinquish or to view an RS:

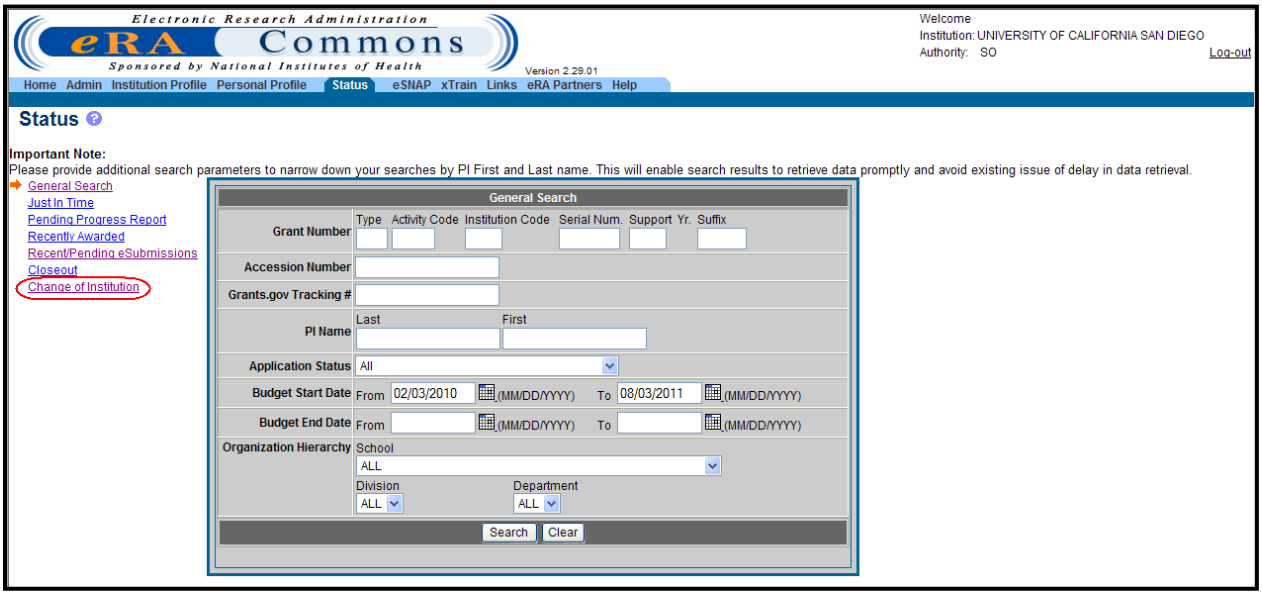

Figure 31: Status Screen Displaying Change of Institution Link

1. Click the **Change of Institution** link on the **Status** screen.

The system displays the *Status – Change of Institution* screen.

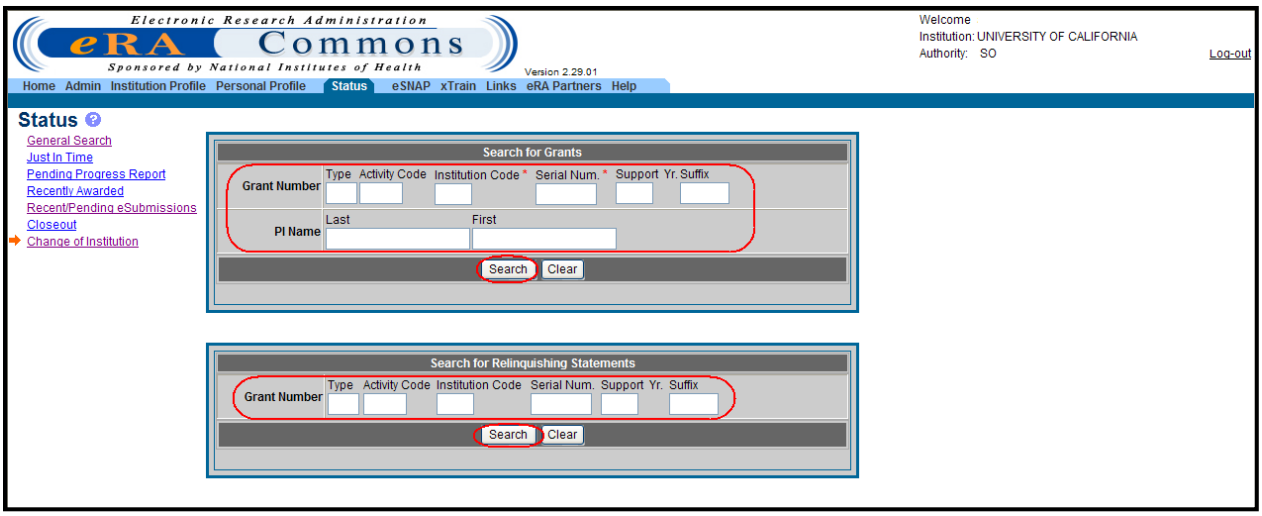

Figure 32: Status – Change of Institution Screen

6.1.1 Search for a Grant to Relinquish or to View RS

NOTE: This search is designed for the SOs at the original (relinquishing) institution.

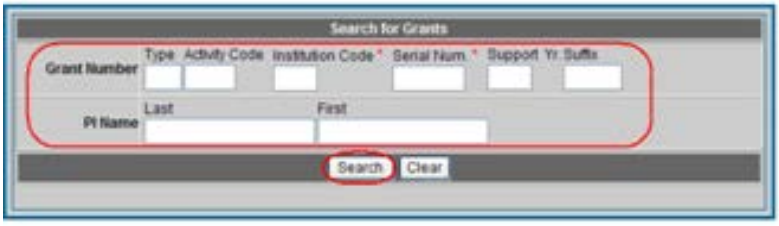

Figure 33: Search for Grants Section on Status Results – Change of Institution Screen

1. To search for a grant to relinquish or for a RS in progress, enter at minimum the required fields, **Institution Code** and **Serial Num** in the *Search for Grants* section on the *Status – Change of Institution* screen and click the **Search** button.

The system displays the *Status Results – Change of Institution* screen.

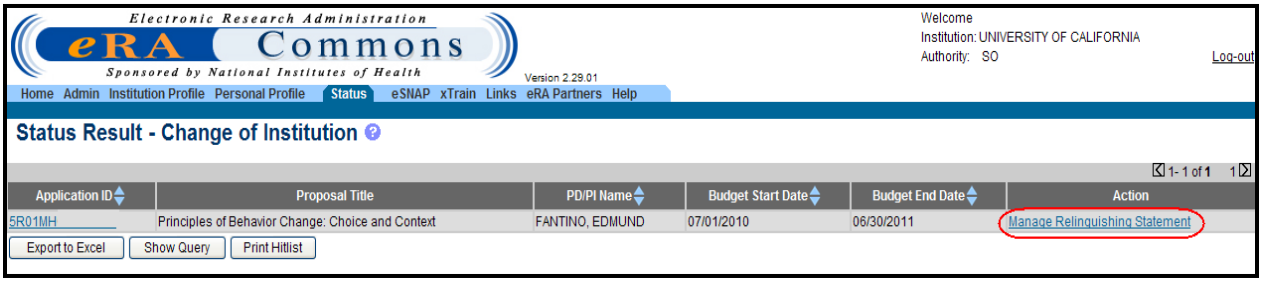

Figure 34: Status Result - Change of Institution Screen

2. Click on the **Manage Relinquishing Statement** link.

The system displays the *Manage Relinquishing Statement* screen.

If the RS has been routed to the PD/PI by the SO or the RS has been submitted to the Agency, then the **View** and **View Routing History** links appear.

If the RS has been submitted to the Agency and returned from NIH for corrections or the RS's status is *SO Work in Progress*, then the **Edit** and **View Routing History** links appear. For editing the RS, refer to the section titled *Manage Relinquishing Statement*.

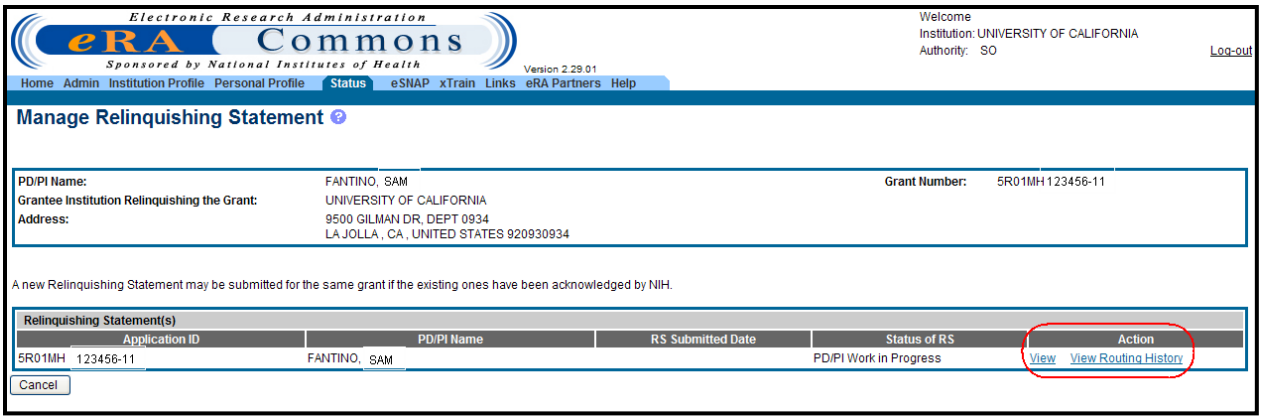

Figure 35: Manage Relinquishing Statement Screen

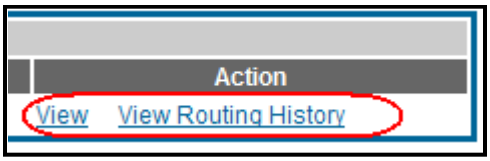

Figure 36: Action Column on Manage Relinquishing Statement Screen

3. To view the RS, click the **View** link.

If the RS has not been submitted to NIH, then the system displays the non-editable *Relinquishing Statement* screen.

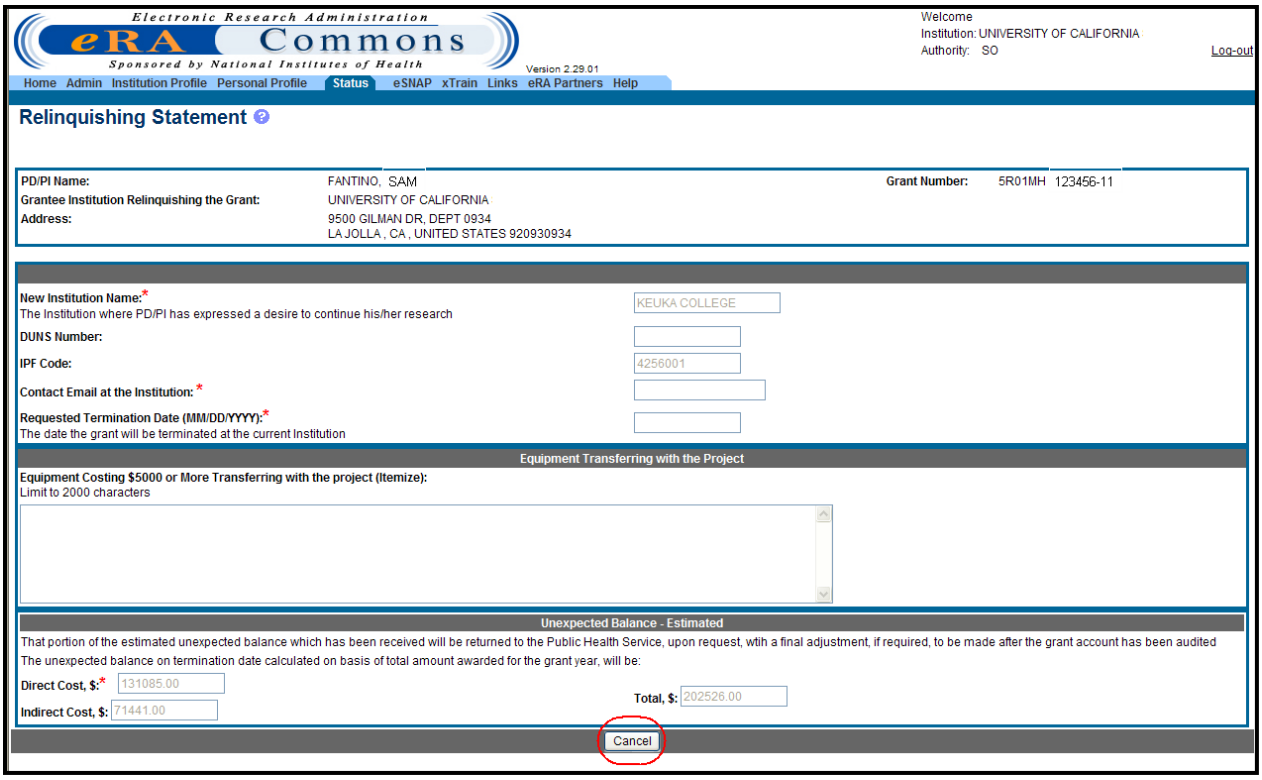

Figure 37: Relinquishing Statement Screen

4. Click the **Cancel** button on the *Relinquishing Statement* screen to return to the *Manage Relinquishing Statement* screen.

If the RS has been submitted to NIH, then the system displays the RS in PDF format in a separate window.

Approved for use through 06/30/2012
OMB No. 0925-0001

Department of Health and Human Services, Public Health Service

Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant

Date: **04/01/2011**
Name of Institution: **UNIVERSITY OF CALIFORNIA**
Address *(city and state):* **9500 GILMAN DR, DEPT 0934**
LA JOLLA, CA, UNITED STATES 920930934
Principle Investigator/Program Director: **BEACH, SANDY**
on Public Health Service grant number **5DP1OD123456-02** will resign position at this institution and has expressed a desire to continue his/her research project at the **CLARKSON UNIVERSITY**.
Contact email at the new Institution: **light.bud@clarkson.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 **06/01/2011** 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**
NONE	The unexpended balance on termination date of $**95,000.00** calculated on basis of total amount awarded for the grant year, will be approximately Direct cost - $**60,000.00** Indirect cost - $**35,000.00**
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 SO BEACH, SANDY Submitted through the Commons	
Typed Name **BEACH, SANDY**	
Title Signing Official	

Figure 38: Relinquishing Statement PDF

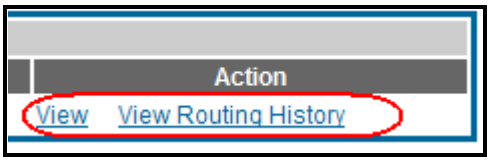

Figure 39: Action Column on Manage Relinquishing Statement Screen

5. To view the RS routing history, click the **View Routing History** link.

The system displays the **View Routing History** screen. The following statuses may be seen depending on where the RS is in the process: *SO Work in Progress, PD/PI Work in Progress, Submitted to Agency, Returned, Accepted for Consideration, Submitted to Agency and Linked, Accepted for Consideration and Linked*.

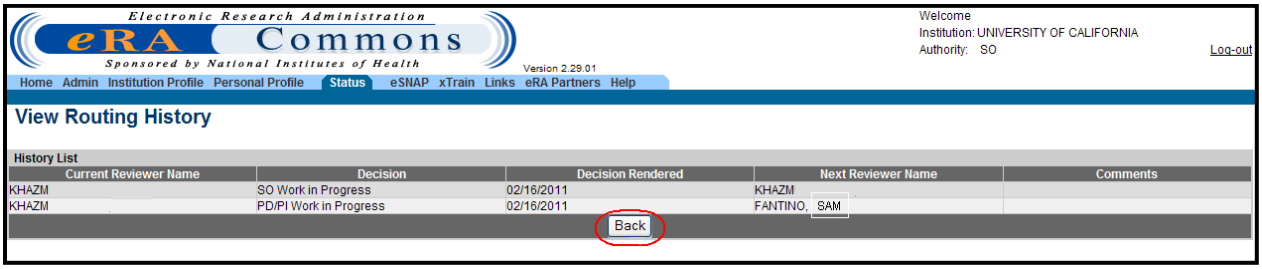

Figure 40: View Routing History Screen

6. Click the **Back** button to return to the *Manage Relinquishing Statement* screen.

6.1.2 Search for Relinquishing Statements Submitted by Former Institution

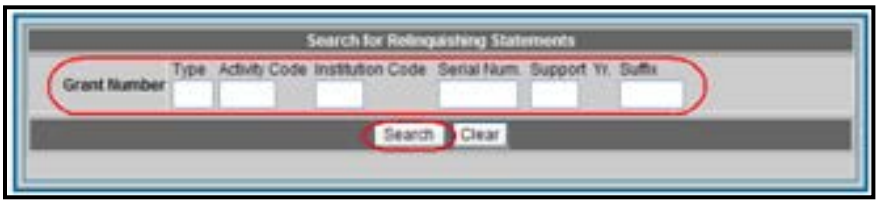

Figure 41: Search for Relinquishing Statements Section on Status Results – Change of Institution Screen

1. To search for a RS(s) submitted by the former institution, enter the appropriate grant information in the *Search for Relinquishing Statements* section on the *Status – Change of Institution* screen and click the **Search** button.

If no search parameters are entered, the search returns all the RS(s) linked to the current institution by Institutional Profile File (IPF).

If the current institution has not been registered with Commons before the RS is submitted, the search does not return any results until the RS is updated with the IPF and/or the DUNS number.

If the system determines that no Relinquishing Statements have been linked to the receiving institution, then the following warning message appears: *No relinquishing statements have been associated with your institution. Please contact eRA Help Desk.*

The system displays the *Status Results – Search for Relinquishing Statements* screen.

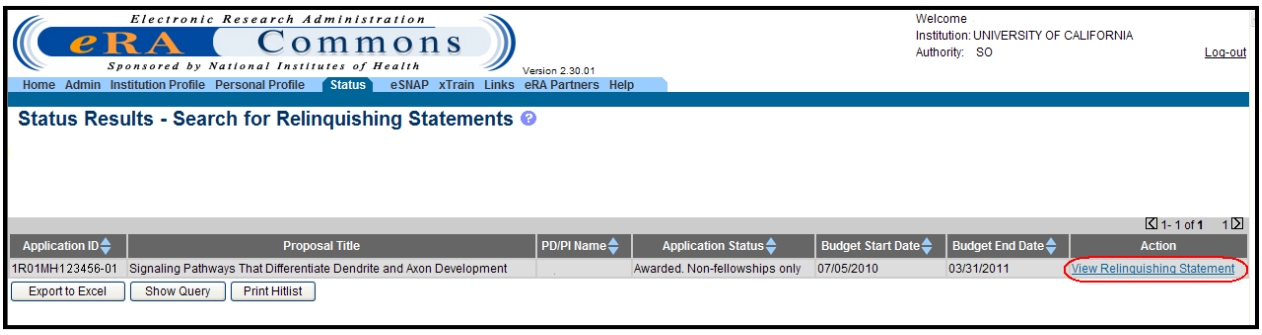

Figure 42: Status Results - Search for Relinquishing Statements Screen

2. Click the **View Relinquishing Statement** link.

The system displays the *View Relinquishing Statement* screen. Relinquishing Statements with a status of *Accepted for Consideration* or *Submitted to Agency* are displayed.

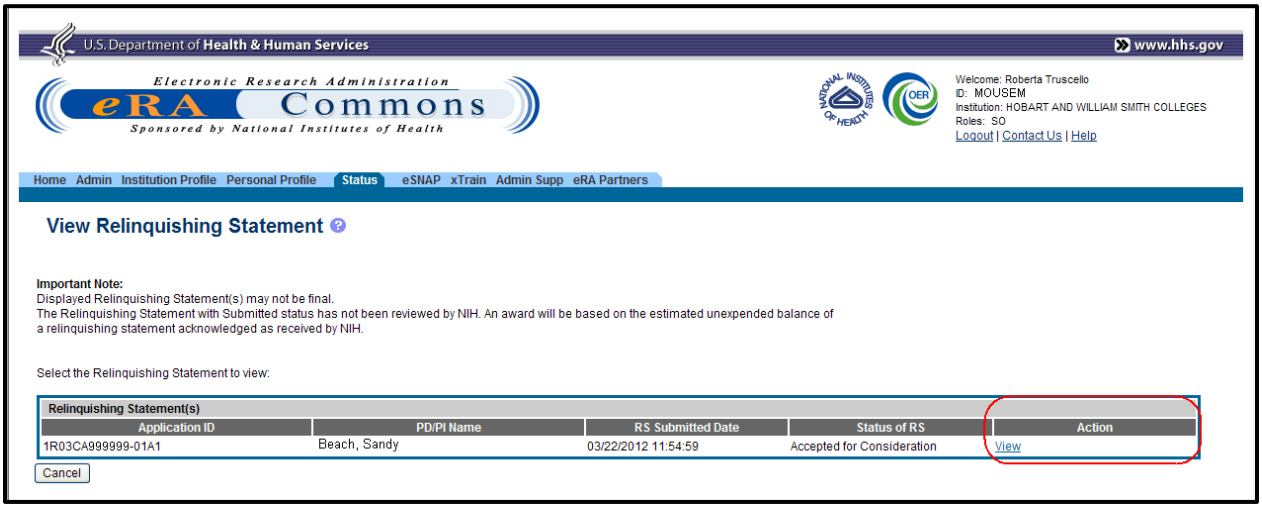

Figure 43: View Relinquishing Statement Screen

3. Click the **View** link for the appropriate RS.

The system displays the RS in PDF format in a separate window. If the PDF file does not exist, the system displays the following message: *Document Not Found*.

4. Click the **Cancel** button to return to the *Status Result – Search for Relinquishing Statements* screen.

5. Submit the application via Grants.gov using the Parent Funding Opportunity Announcement listed at http://grants.nih.gov/grants/guide/parent_announcements.htm. Please look for the NIH Guide Notice.

6.2 Program Director/Principal Investigator (PD/PI)

Perform the following steps to view an RS that has been submitted to the agency.

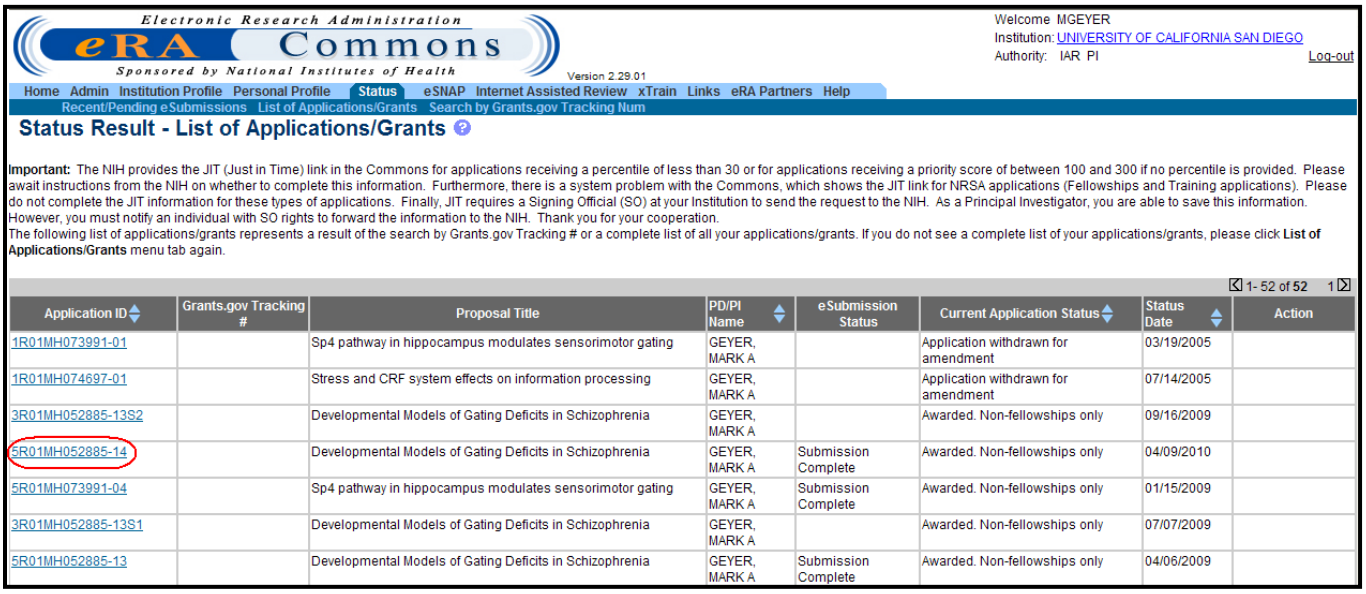

Figure 44: Status Result - List of Applications/Grants Screen

NOTE: If there are multiple PIs for a grant, the letters MPI appear to the right of the Application ID.

1. On the *Status Result – List of Applications/Grants* screen, click on the appropriate grant number link in the **Application ID** column.

The system displays the *Status Information* screen.

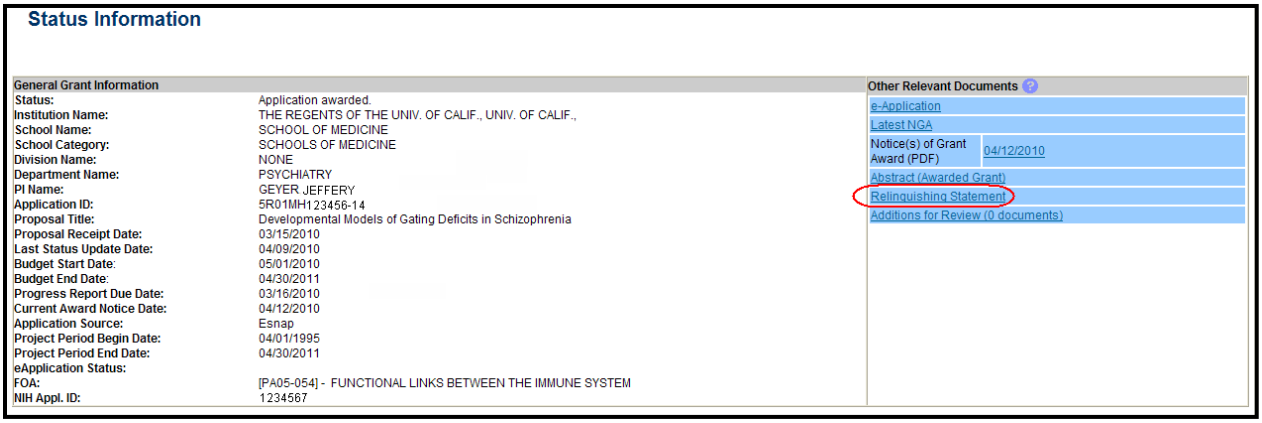

Figure 45: Status Information Screen

2. On the *Status Information* screen, click on the **Relinquishing Statement** link in the upper right hand corner.

The system displays the Relinquishing Statements screen.

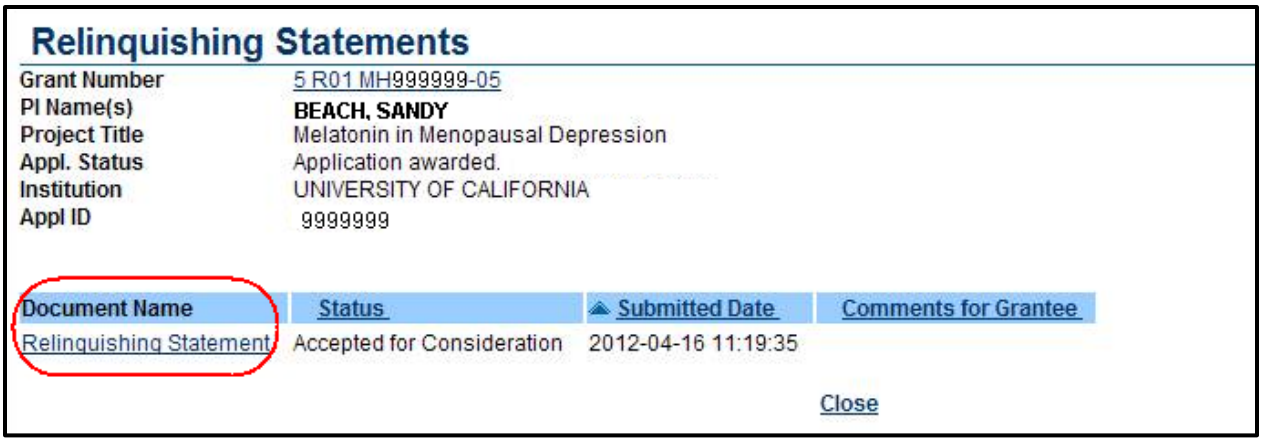

Figure 46: Relinquishing Statements Screen

3. Click the **Relinquishing Statement** hyperlink to view the Relinquishing Statement PDF.

7 eMail Notifications

7.1.1 eMail to the New Institution Contact eMail Provided on the RS Electronic Form

Subject → eRA Commons: Relinquishing Statement for Grant <Grant Number>Submitted

To: New institution contact email provided on the RS electronic form

eMail Content: <Do not reply warning>

A relinquishing statement for NIH Grant Number <Grant Number> has been submitted electronically through eRA Commons identifying this email address as a contact for the new institution.

You may view this relinquishing statement by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

NIH prior approval is required for the transfer of the legal and administrative responsibility for a grant-supported project or activity from one legal entity to another before the expiration of the approved project period (competitive segment). The proposed new grantee must submit a change of institution application. See the NIH Grants Policy Statement for policies regarding change of institution requests.

If your institution is not registered in the NIH eRA Commons, you will need to register in the eRA Commons and contact the eRA Help Desk for assistance in linking the relinquishing statement to your new institution account.

If you have any questions about this email, please contact the eRA Help Desk via the web at http://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

7.2 Confirmation eMail to PD/PI & SO from Former Institution Acknowledging NIH Receipt of RS

TO: PD/PI, SO (who actually submitted the RS)

SUBJECT → eRA Commons: Relinquishing Statement for Grant <Grant Number> Submitted

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was electronically submitted to NIH and may now be viewed in the eRA Commons on the Status Information screen.

If you logged in as PD/PI, go to Status - List of Applications/Grants and select the link associated with the Grant Number.

If you logged in as SO, you can access the Status Information page by going to Status, executing a query for the grant, and selecting the link associated with the Grant Number. Also, you can view the submitted relinquishing statement through the Manage Relinquishing Statement page.

NIH must review and acknowledge the receipt of the relinquishing statement before a change of institution can be processed.

If you have any questions about this email, please contact the eRA Help Desk via the web at http://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

7.3 The Relinquishing Statement (RS) Routed eMail Notification

Subject → eRA Commons: Request That You Review Relinquishing Statement for Grant <Grant Number>

To: PD/PI, SO - Individual selected by the current user as the next reviewer using the Route button

<User Last Name>, <User First Name> has completed processing the Relinquishing Statement for Grant <Grant Number>, and has forwarded it to you.

Please review the Relinquishing Statement in the NIH eRA Commons system and take the appropriate action for its eventual submission to the NIH. Please be aware that the correct new institution name and the contact email address provided on the relinquishing statement are necessary for the appropriate interactions between the awarding IC and grantee institutions involved in the process of the grant transfer.

Please use the link provided below to access the eRA Commons login screen.

The previous reviewer comments on why this action was taken are as follows: [Comments].

Footer:

If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.

If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://ithelpdesk.nih.gov/eRA/ or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Please access the NIH Commons at [URL to Commons Home Page]

7.4 The Relinquishing Statement (RS) Returned eMail Notification

Subject → eRA Commons: Relinquishing Statement for Grant <Grant Number> has been Returned by NIH

To: SO (who submitted RS to the agency), Centralized institution mailbox.

Relinquishing Statement for grant <Grant Number> has been reviewed by NIH and routed back to you with the following comments: [Comments]

Footer:

If you have any questions about this email, please contact Grants Management Specialist <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.
If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://ithelpdesk.nih.gov/eRA/ or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.
Please access the NIH Commons at [URL to Commons Home Page]

NOTE: <initiator_email_addr> is the Employment address.

7.5 The Relinquishing Statement Acknowledged by NIH eMail Notification

Subject → NIH Automated Email: Relinquishing Statement for Grant <Grant Number> Received
To: SO (who submitted RS to agency), Centralized institution mailbox, PD/PI

NIH has acknowledged the receipt of the Relinquishing Statement for grant <Grant Number>.
Footer:
If you have any questions about this email, please contact <Initiator First Name> <Initiator Last Name> at <mailto:initiator_email_addr>, who initiated this action.
If you have any questions about the change of institution request process at NIH, please contact the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

If you have any questions about this email, please contact the eRA Help Desk at our preferred method of contact http://ithelpdesk.nih.gov/eRA/ or call 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Please access the NIH Commons at [URL to Commons Home Page]

7.6 eMail Acknowledging RS Now Visible to New Institution After IPF is Entered by NIH Internal User

TO: PD/PI assigned to the grant, SO who submitted the RS from the former institution, new institution contact email provided on the RS electronic form

SUBJECT → eRA Commons: Relinquishing Statement for Grant <Grant Number> is visible to the New Institution

eMail Content: <Do not reply warning>

A relinquishing statement for Grant <Grant Number> was linked to the new institution by NIH and may now be viewed in the eRA Commons by going to the Change of Institution Search in Status and executing a query for the relinquishing statement.

Footer:

If you have any questions about this email, please contact the eRA Help Desk via the web at http://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov> or the Grants Management Officer or the Grants Management Specialist identified in the Notice of Award (NoA).

Please access the NIH Commons at [URL to Commons Home Page]

7.7 Change of Institution Time Based Reminders

7.7.1 Change of Institution Application Reminder Notice (30 Days after RS Submit Date)

Recipients: *New institution contact email provided on the RS form*

From: *eRANotifications@mail.nih.gov*

Subject → NIH Automated Email: Relinquishing Statement has been submitted XX days ago

eMail Content: <Do not reply warning>

The relinquishing statement for NIH Grant Number [GrantNumber] has been submitted electronically through eRA Commons <XX> days ago.

As the proposed new grantee, you must provide the GMO with a change of institution application prior to the anticipated start date at the new organization and preferably several months in advance. Failure to provide timely notification may result in disapproval of the request or significant delays in processing.

If you have already submitted a paper change of institution application, you may disregard this notice.

If you do not intend to submit a change of institution application, please contact the grants management officer or the grants management specialist at the awarding IC to inform them.

If you have any questions about the change of institution request process at NIH, please contact the grants management officer or the grants management specialist at the awarding IC.

If you have any questions about this email, please contact the eRA Help Desk via the web at http://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Thank you.

7.7.2 RS Reminder Notice (30 Days after Change of Institution Application Submit Date)

Recipients: *Any SO at the Former Institution (of the Parent Grant), Former Institution centralized mailbox, PD/PI on the application*

From: *eRANotifications@mail.nih.gov*

Subject → NIH Automated Email: Change of Institution Electronic Request has been submitted XX days ago

eMail Content: <Do not reply warning>

The Change of Institution request for NIH Grant Number [Parent Grant Number] has been submitted electronically through Grants.gov <XX> days ago.

The request to change the grantee institution indicates that there may be a change in status of the PD/PI which requires prior approval from the NIH. Please contact the grants management officer or the grants management specialist at the awarding IC to discuss the status of the award.

If you have already submitted a relinquishing statement on paper, you may disregard this notice.

If you have any questions about this email, please contact the eRA Help Desk via the web at http://ithelpdesk.nih.gov/eRA/, by phone 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov <mailto:commons@od.nih.gov>.

Thank you.

8 Error Messages

If the system may determine that an unexpected error occurred, then the following error message appears.

An unexpected error occurred. Please contact eRA Help Desk.

If the system determines that the required field information was not entered on the search screen, then the following error message is produced:

You must enter the following required fields to proceed<field>.

If the system determines that the grant being searched for is not found, then the following error message is produced:

No grants to relinquish have been found.

If the system determines that the new institution name has not been entered on the RS, then the following error message is produced:

New Institution Name is a required field.

If the system determines that the new institution's Email Address has not been completed on the RS, then the following error message is produced:

Please enter data in the Email Address field (e.g. user_name@domain_name.com) (ID: 30102).

If the system determines that the Termination Date has not been completed on the RS, then the following error message is produced:

Termination Date is a required field. (ID: 200241)

If the system determines that the Termination Date is not within the current budget period on the RS, then the following error message is produced:

The requested Termination Date must be within the current budget period.

If the system determines that the Direct Cost field has not been completed on the RS, then the following error message is produced:

Direct Cost is a required field.

If the system determines that the Direct Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The direct costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards

If the system determines that the Indirect Costs of unexpended balance on the RS exceed the amount awarded for the current budget period, then the following error message is produced:

The indirect costs being relinquished must not exceed the direct costs for the current budget period for transfers of active awards

If the system determines that the total unexpended balance on the RS exceeds the amount awarded for the current budget period, then the following error message is produced:

The total costs being relinquished must not exceed the costs for the current budget period for transfers of active awards

If the system determines that the Direct Cost, or the Indirect Cost or the Total Cost exceeds 999,999,999, then the appropriate error messages are displayed:

Direct Cost amount cannot exceed 999,999,999.

Indirect Cost amount cannot exceed 999,999,999.

Total Cost amount cannot exceed 999,999,999.