7b PI Transfer for the SPO

Chapter 7b is to be used for guidance for the Research Administration module of FastLane only. PIs should use the PI Transfer for the PI User Guide under the Proposals, Awards and Status section of the FastLane Help page for all PI Transfers.

When a PI plans to leave an organization during the course of a grant, the organization has the prerogative to nominate a substitute PI or request that the grant be terminated and closed out. In those cases where the PI 's original and new organizations agree, NSF will facilitate a transfer of the grant and the assignment of the remaining unobligated funds to PI's new organization. The following conditions apply to initiate a PI Transfer Request:

1. PI Transfer should normally be completed with a tripartite agreement (involving NSF, the PI's original organization, and PI's new organization)

   Or

   PI Transfer should normally be completed by a subaward arrangement between the PI's original and new organization, subject to NSF consent.

2. Mandatory information must be included:

   a. A brief summary of progress to date.

   b. A description of work yet to be accomplished.

   c. A completed on-line transfer request.

   d. A detailed line item budget for the transfer amount.

3. A PI Transfer is Grantee Request Type that requires NSF Approval.

To begin any action as an SPO, complete the following steps:

1. Login to FastLane.

2. The *Research Administration Home Page* (Figure 1) appears.

Figure 1. Research Administration Home Page

3. Select *Notifications and Requests* (circled in Figure 1).

4. The *Fowarded by PI* tab will appear (Figure 2).

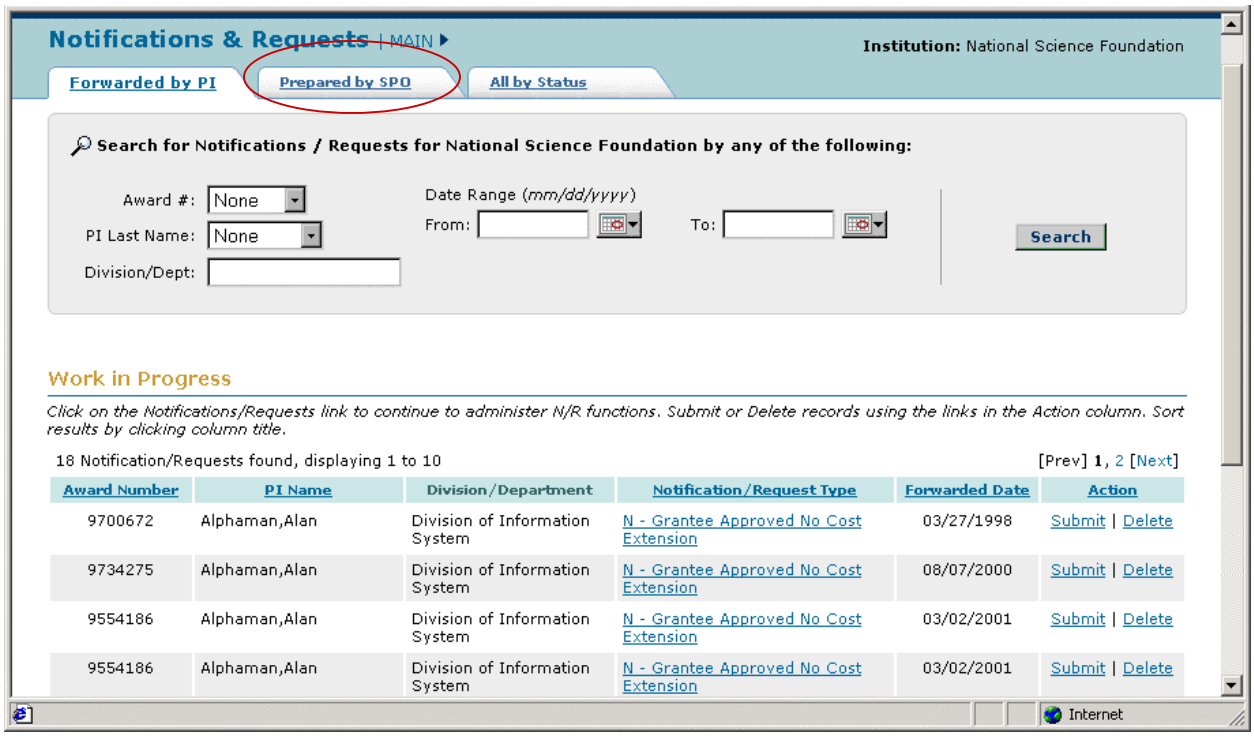


Figure 2. Forwarded by PI Tab

From this page (Figure 2) the SPO can perform three actions regarding PI Transfers. These actions are listed below and each will be described in more detail:

- Prepare a PI Transfer Request.
- Review a PI Transfer Request initiated by a PI.
- Reviews a PI Transfer Request Forwarded by the Original Organization SPO.

Prepare a PI Transfer Request

To initiate a PI transfer request as an SPO, complete the following steps:

1. Click on the Prepared by SPO tab (circled in Figure 2).

2. The Prepared by SPO screen (Figure 3) will appear.

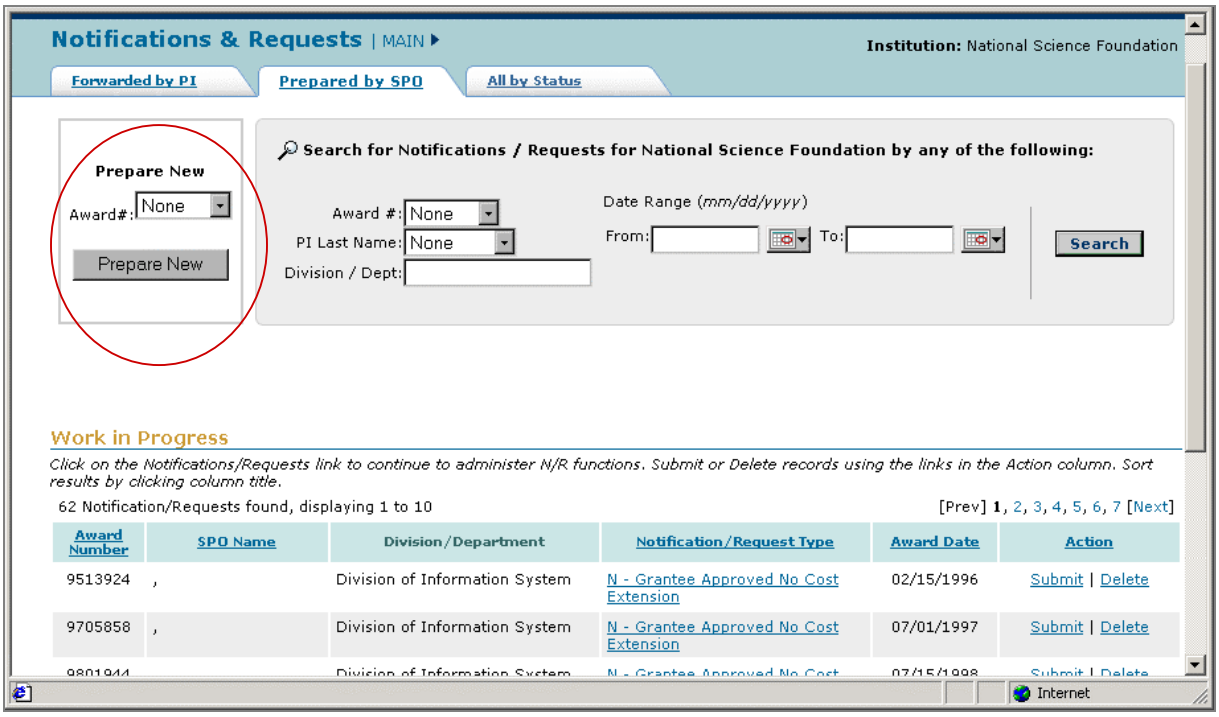


Figure 3. Prepared by SPO

3. The **Prepare New** action (Figure 4), circled in Figure 3, allows the SPO to create a PI Transfer based on a specific award number.

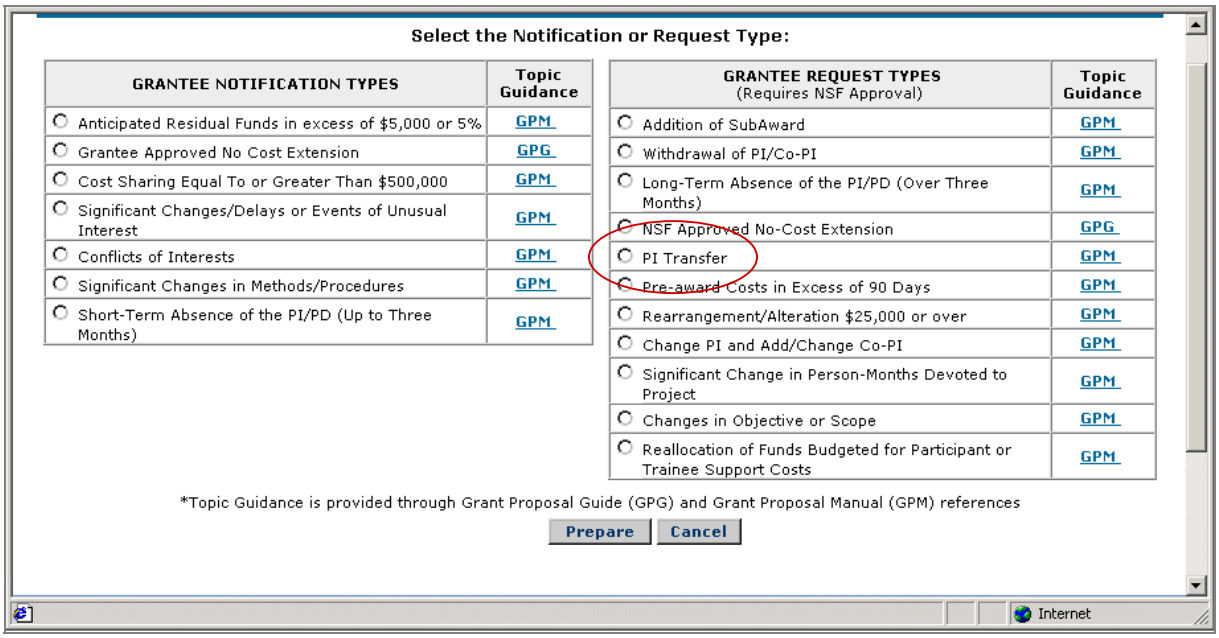
Figure 4. Prepare New Action

4. Select an applicable award number from the drop down menu. Awards that belong to the user are shown here.

5. Click **Prepare New**.

6. The *Select the Notification or Request Type* Page (Figure 5) will appear.

7. Click on **GPM** to view detailed information on the PI Transfer request type from the Grant Policy Manual (GPM).



Select the Notification or Request Type:

GRANTEE NOTIFICATION TYPES	Topic Guidance
Anticipated Residual Funds in excess of $5,000 or 5%	GPM
Grantee Approved No Cost Extension	GPG
Cost Sharing Equal To or Greater Than $500,000	GPM
Significant Changes/Delays or Events of Unusual Interest	GPM
Conflicts of Interests	GPM
Significant Changes in Methods/Procedures	GPM
Short-Term Absence of the PI/PD (Up to Three Months)	GPM

GRANTEE REQUEST TYPES (Requires NSF Approval)	Topic Guidance
Addition of SubAward	GPM
Withdrawal of PI/Co-PI	GPM
Long-Term Absence of the PI/PD (Over Three Months)	GPM
NSF Approved No-Cost Extension	GPG
PI Transfer	GPM
Pre-award Costs in Excess of 90 Days	GPM
Rearrangement/Alteration $25,000 or over	GPM
Change PI and Add/Change Co-PI	GPM
Significant Change in Person-Months Devoted to Project	GPM
Changes in Objective or Scope	GPM
Reallocation of Funds Budgeted for Participant or Trainee Support Costs	GPM

*Topic Guidance is provided through Grant Proposal Guide (GPG) and Grant Proposal Manual (GPM) references

Prepare Cancel

Internet

Figure 5. Select the Notification or Request Type

8. Click on the *PI Transfer* radio button (circled in Figure 5) and click **Prepare**.

   Or

   Click **Cancel** to return to the *Prepared by SPO Tab* (Figure 3). Do not go onto to Step 9.

9. The *Grant Transfer Request* screen will appear (Figure 6).

Figure 6. Grant Transfer Request Screen

10. Enter the *Effective Date of Transfer* in the provided text box (in mm/dd/yyyy format).

11. Select the New Awardee Organization.

    a. Click on **Select New Awardee Organization** button.

    b. The *Institutional Search* screen will appear (Figure 7).

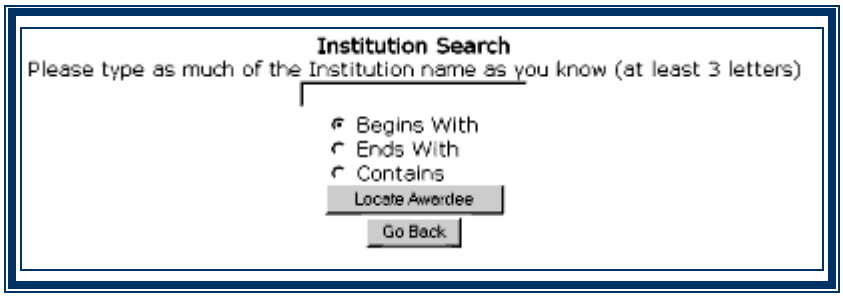


Figure 7. Institutional Search

    c. Type all or a portion (at least three characters) of the new institution's name in the field provided.

    d. Click on the **Begins With**, **Ends With**, or **Contains** radio button to set the criteria for the institution search.

    e. Click on the **Locate** button.

    f. The *Institutions Located* Screen will appear (Figure 8).

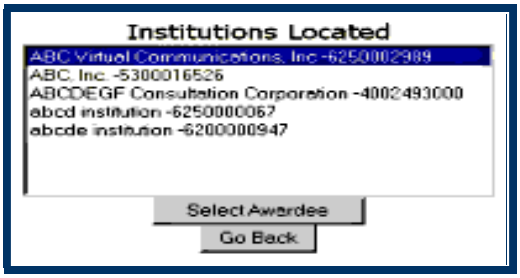


Figure 8. Institutions Located Screen

g. Click on the appropriate institution to highlight it.

h. Click **Select**.

i. The *Grant Transfer Request* form will appear with the institution you selected in the appropriate section.

j. If you need to include a New Performing Organization, click **Select New Performing Organization**, and return to Step 11b.

   Or

   If you do not need to include a New Performing Organization, go to Step 12.

12. Enter the *Estimated Disbursement and Unpaid Obligations* (at effective date of transfer).

    a. Click on **Calculate**.

    b. The "Estimated Unobligated Balance" appears. If this amount is not correct, the PI should contact their business office or DGA.

13. Click on any of the following appropriate Special Cases:

    a. Human Subjects

    b. Vertebrate animals

    c. Disclosure of Lobbying Activities

14. Click **Save and Continue**.

15. The *Click on a Link to Work Screen* appears (Figure 9).

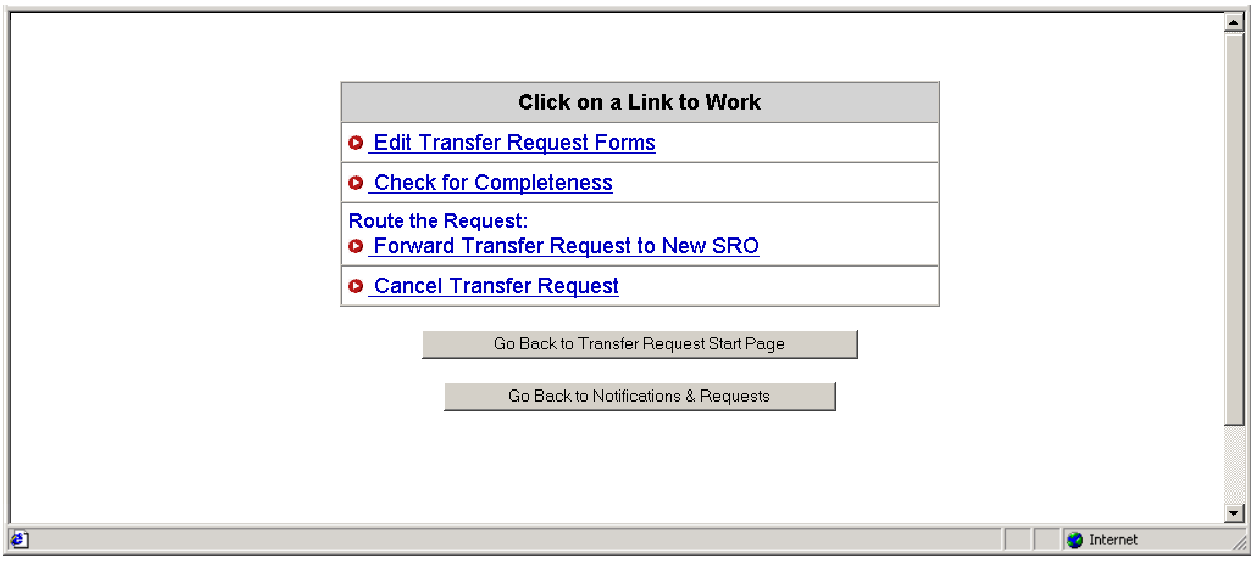


Figure 9. Click on a Link to Work Screen

16. As an SPO, you are given the following links on this screen:

    a. Edit Transfer Request Forms

    b. Check for Completeness.

    c. Route the Request: Forward Transfer Request to New SRO.

    d. Cancel Transfer Request

Edit Transfer Request Forms

Complete the following actions:

1. Click **Edit Transfer Request Forms** on the *Click on a Link to Work* page (Figure 9).

2. The *Form Preparation* screen appears (Figure 10).

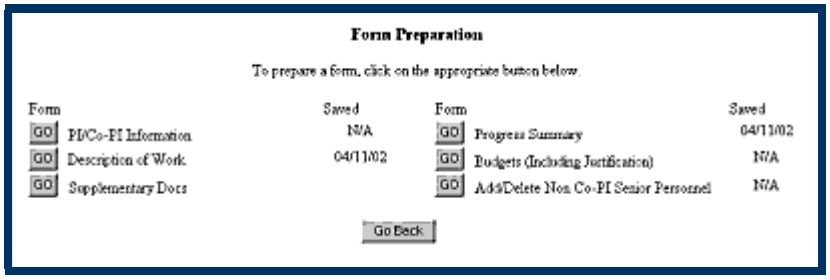


Figure 10. Form Preparation Page

3. The following forms can be accessed from this page by clicking on the corresponding **GO** button:

- *PI/Co-PI Information Form* (Figure 11). This form is Read Only.

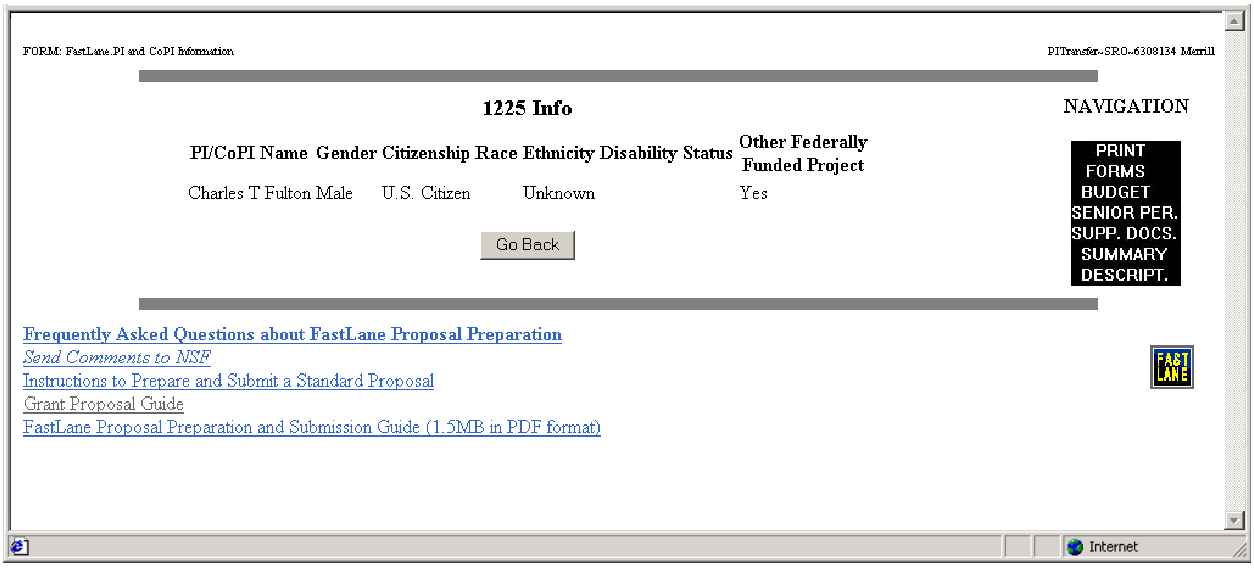


Figure 11. PI/Co-PI Information Form

- *Progress Summary Form* (Figure 12).

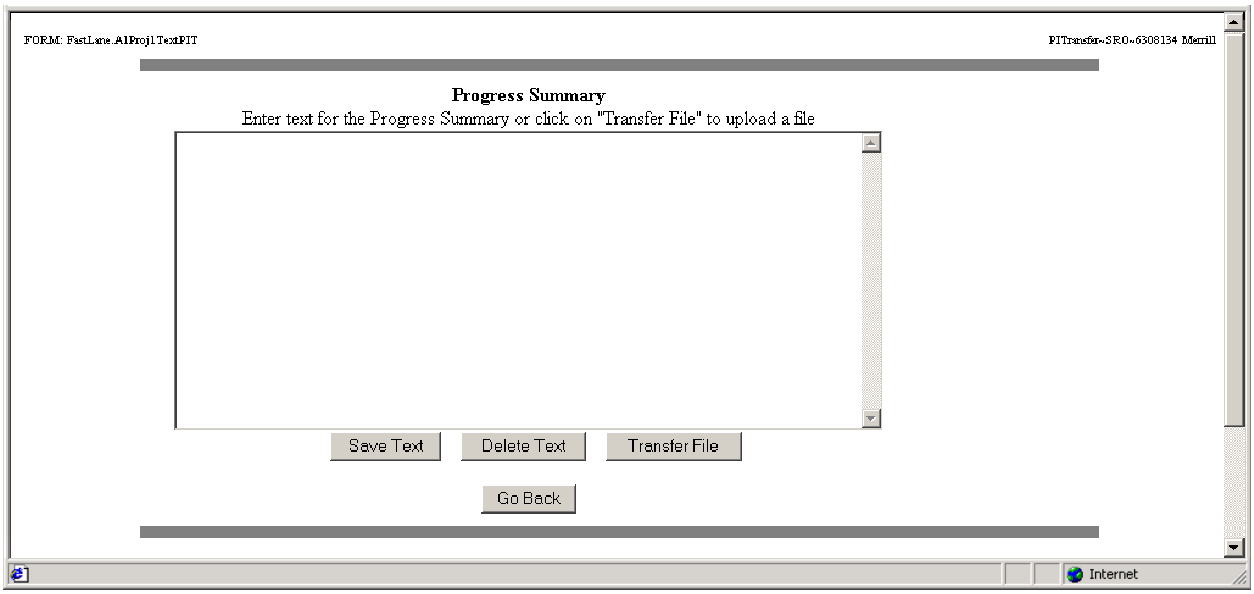


Figure 12. Progress Summary Form

Complete the following steps to fill out the form:

1. Enter text into the provided text box.

   Or

   Click **Transfer File** to upload a file.

2. Click **Delete Text** to delete text in the provided text box.

3. Click **Save**. Figure 10 will appear.

   Or

   Click **Go Back** to return to Figure 10.

- *Description of Work to be Accomplished Form* (Figure 13)

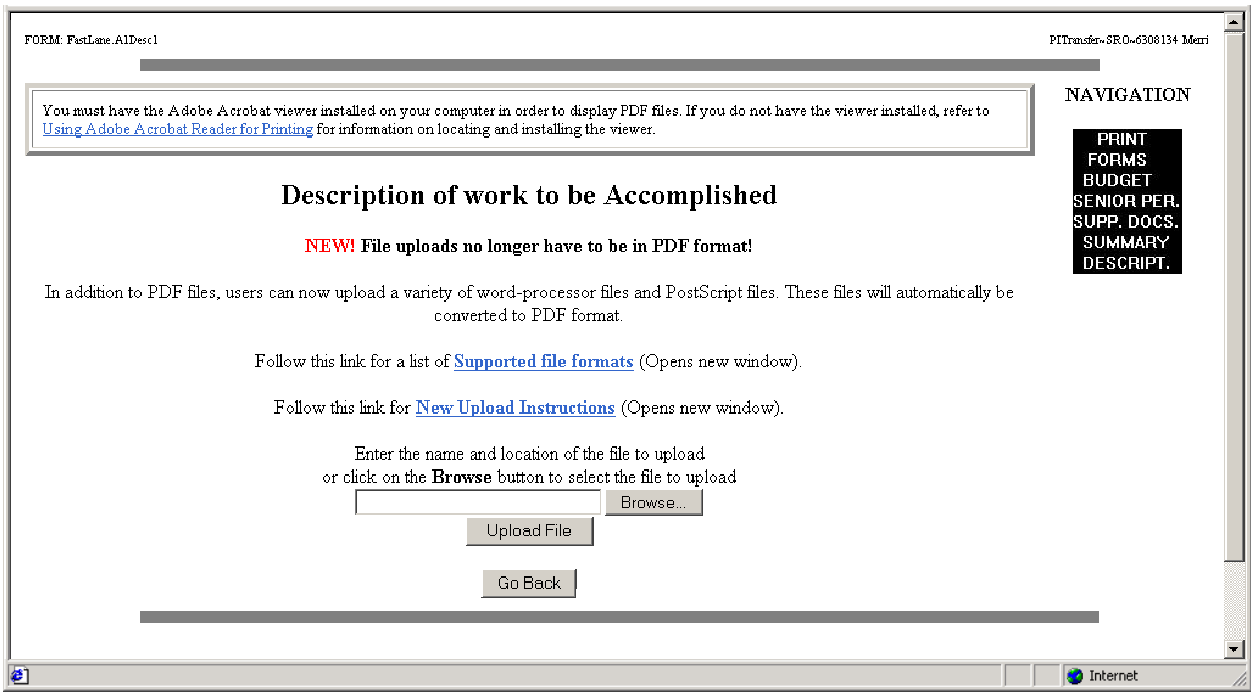


Figure 13. Description of Work to be Accomplished Form

Complete the following steps to fill out the form:

1. Enter the name and location of the file to upload.

   Or

   Click **Browse…** to find a file.

2. Click **Upload File** to include the file in the transfer request.

3. Click **Save**. Figure 10 will appear.

   Or

   Click **Go Back** to return to Figure 10.

- Budgets (Including Justification) Form (Figures 14 and 15)

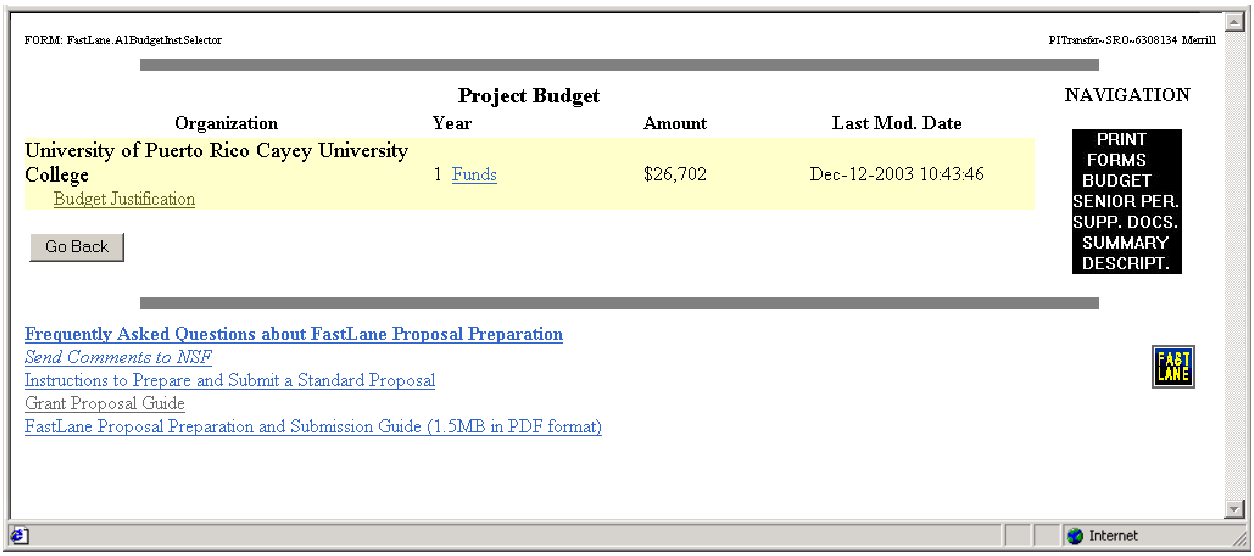


Figure 14. Project Budget Form Screen

This form is optional. Complete the following steps:

1. View the Project Budget Information and click on **Budget Justification** link.

2. The *Budget Justification screen* will appear (Figure 15)

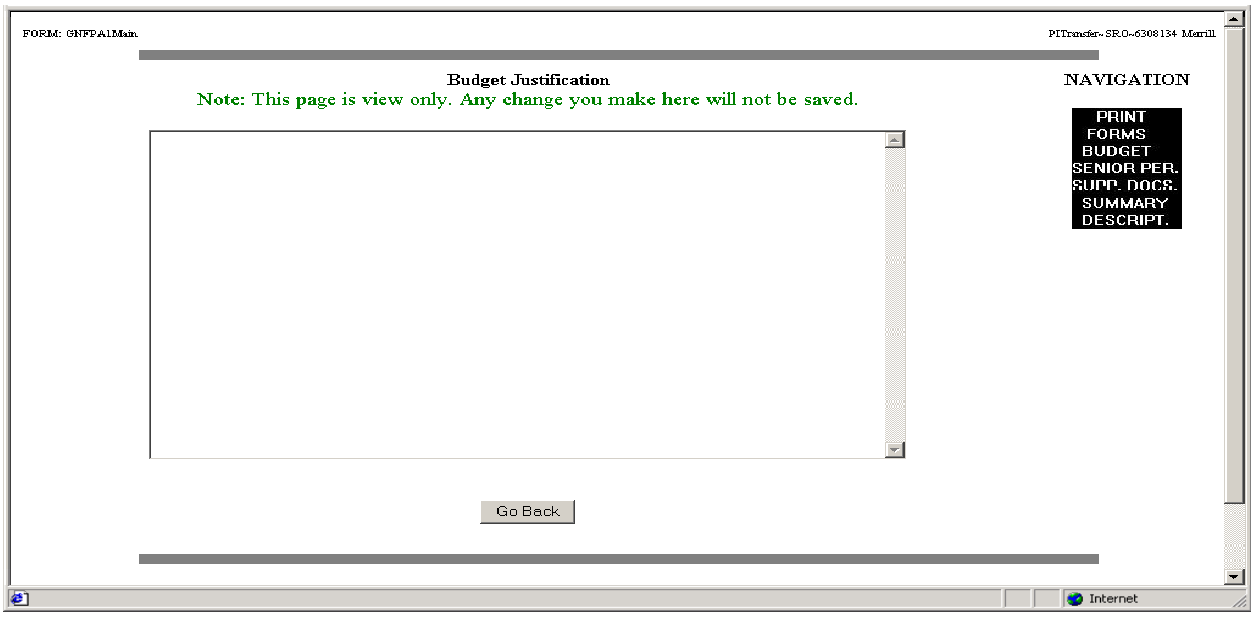


Figure 15. Budget Justification Screen

3. View the Budget Justification Screen and click **Go Back** to return to Figure 10.

- Supplementary Documents Form (Figure 16)

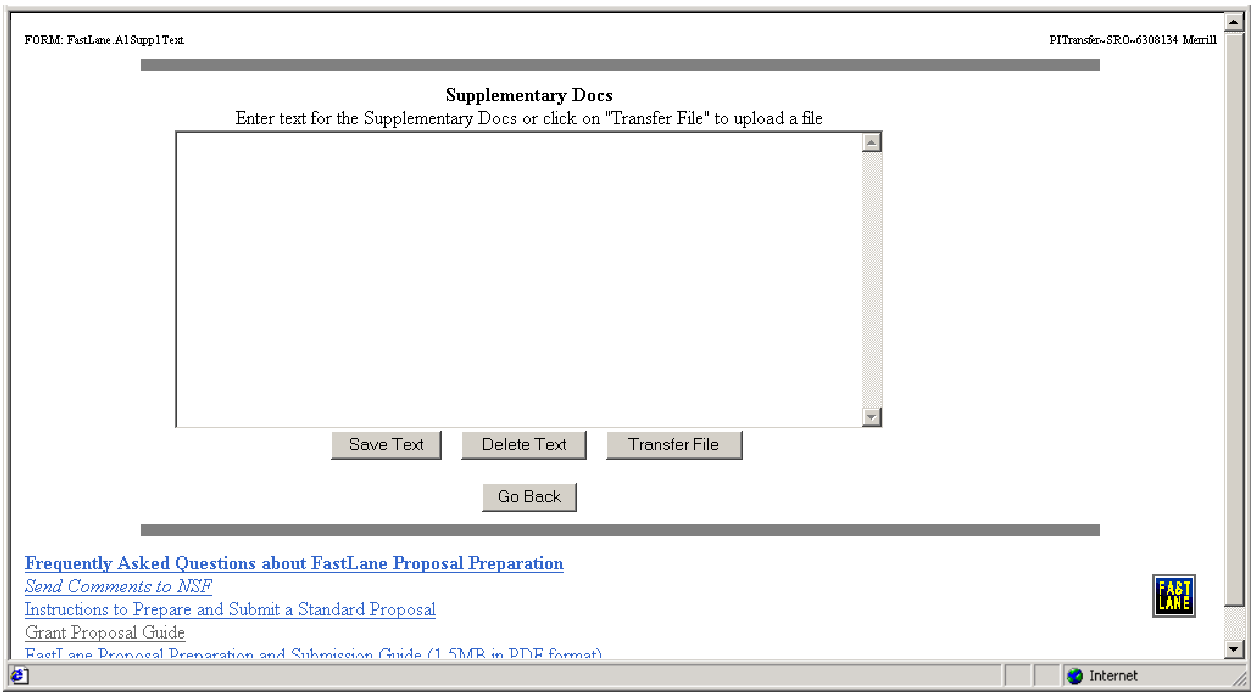


Figure 16. Supplementary Documents Form

Complete the following steps to fill out the form:

1. Enter text into the provided text box.

   Or

   Click **Transfer File** to upload a file.

2. Click **Delete Text** to delete text in the provided text box.

3. Click **Save**. Figure 10 will appear.

   Or

   Click **Go Back** to return to Figure 10.

- Add/Delete Non Co-PI Personnel Form (Figure 17)

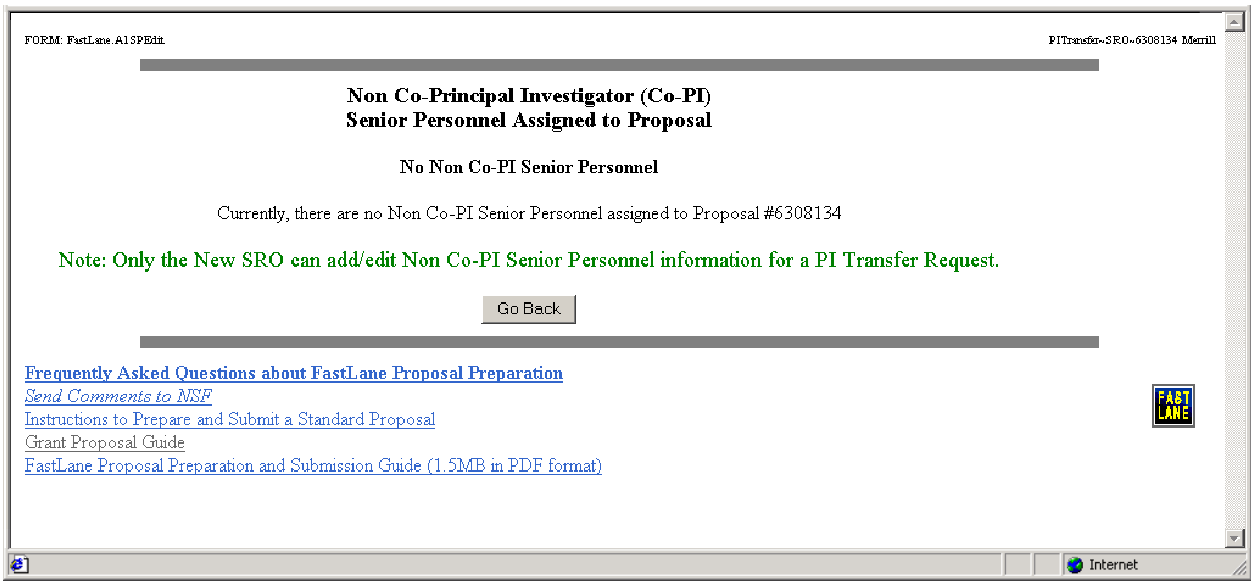


Figure 17. Add/Delete Non Co-PI Personnel Form

As a PI, you will not be able to complete this form. Only new SROs can add Non Co-PI Senior Personnel.

Click **Go Back**.

Check for Completeness

Checking for Completeness allows you to ensure that your request is complete for forwarding to the SPO. Complete the following steps:

1. Click **Check for Completeness** on the *Click on a Link to Work* page (Figure 9).

2. The *Check for Completeness* screen will appear (Figure 18).

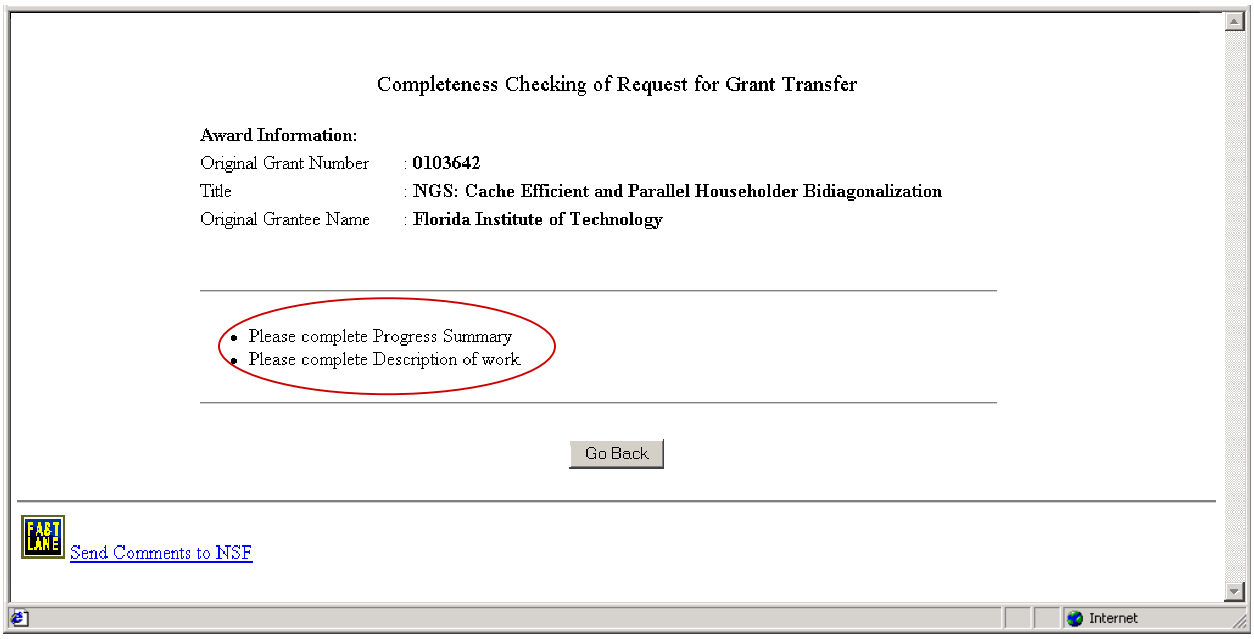


Figure 18. Check for Completeness

3. Messages will appear notifying you that the request is complete or that specific forms still need to be completed. Examples of these messages are circled in Figure 18.

4. Click **Go Back**. The *Click on a Link to Work* (Figure 9) screen appears.

5. Complete the forms to finalize the request and check for completeness again.

Forward the PI Transfer Request to the New SPO

Complete the following steps:

1. Click **Forward the PI Transfer Request to the New SRO** on the *Click on a Link to Work* page (Figure 9).

2. The *Forward the Grant Transfer Request* (Figure 19) screen will appear.

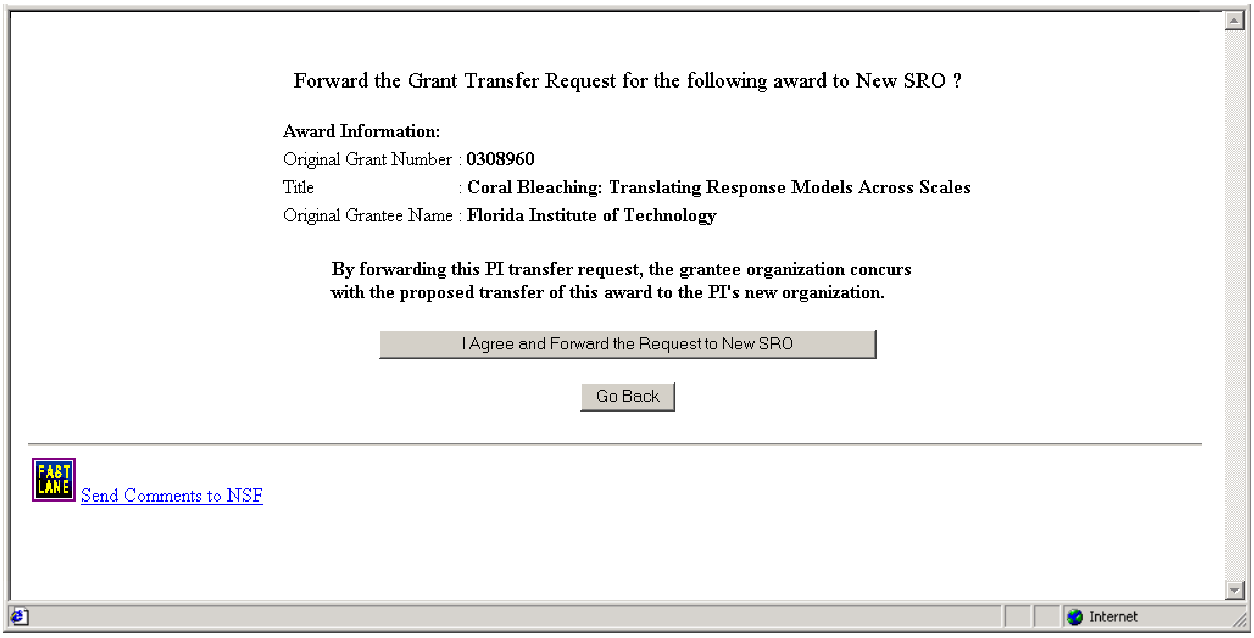


Figure 19. Forward the Grant Transfer Request

3. Click **I Agree and Forward the Request to New SRO**.

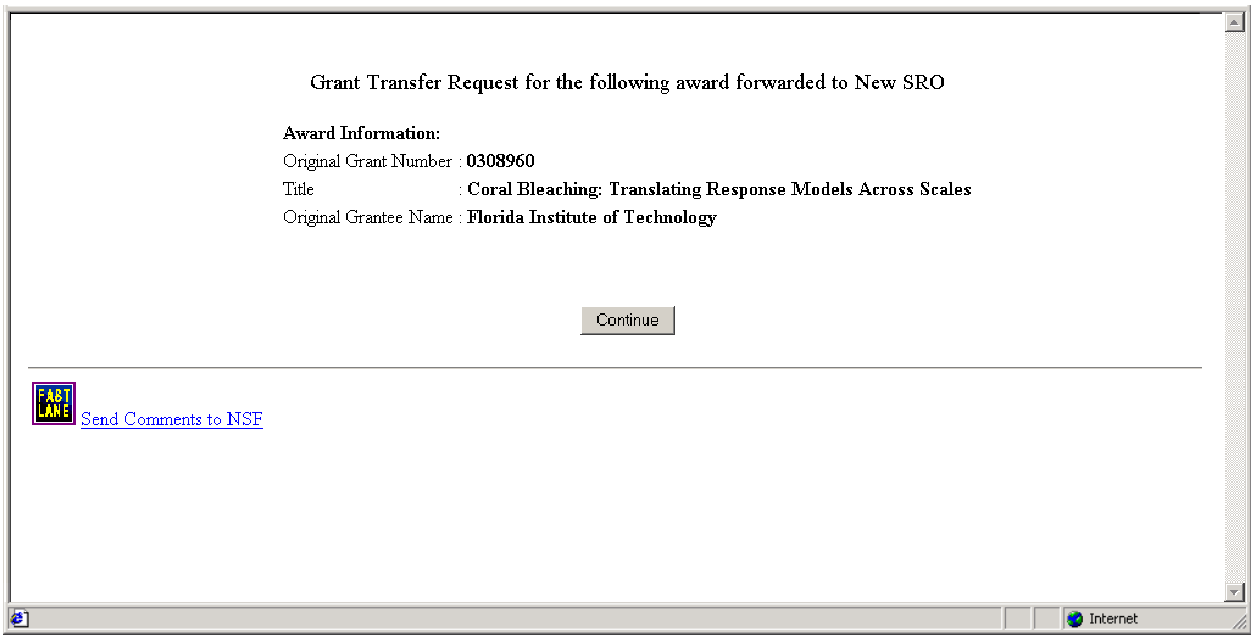


Figure 20. Confirmation Screen

4. The *Confirmation* screen (Figure 20) will appear.

5. Click **Continue**.

6. The *Click on a Link to Work* (Figure 21) will appear without the Forward the PI Transfer Request to the Original SRO or Edit Transfer Request Forms links.

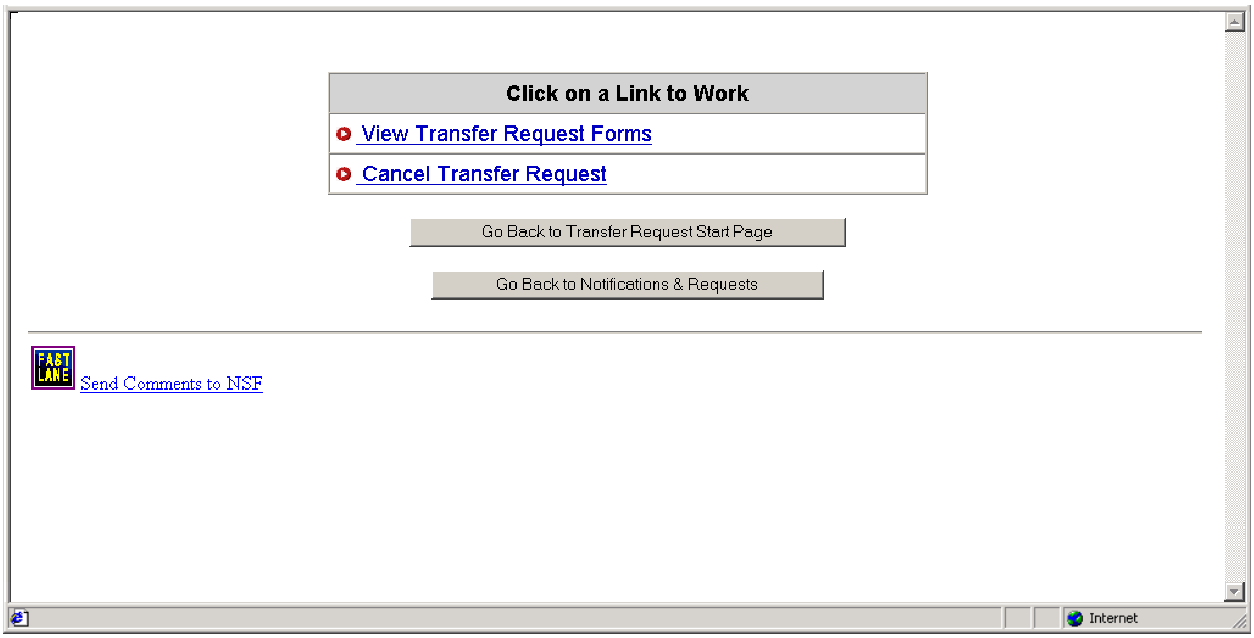


Figure 21. Updated Click on a Link to Work Screen

Cancel the PI Transfer Request

Complete the following steps:

1. Click **Cancel Transfer Request** on the *Check on a Link to Work* page (Figure 9).
2. A *Verification* (Figure 22) screen will appear.

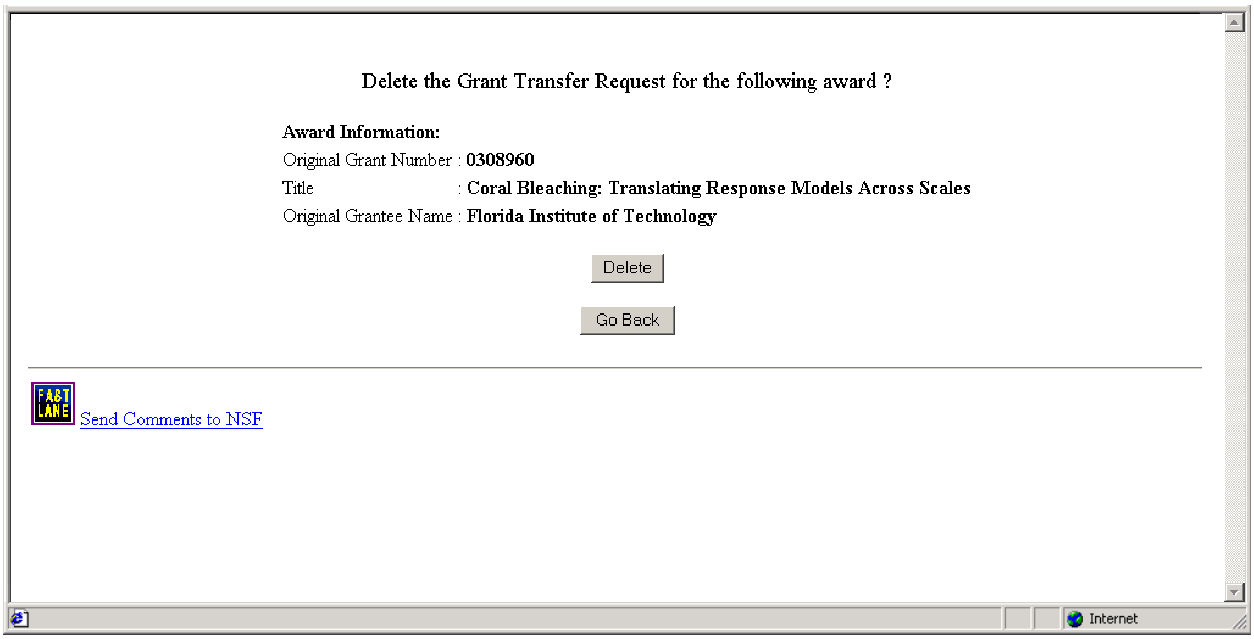


Figure 22. Verification Screen

3. Click **Delete**.
4. A *Confirmation* (Figure 23) screen will appear.

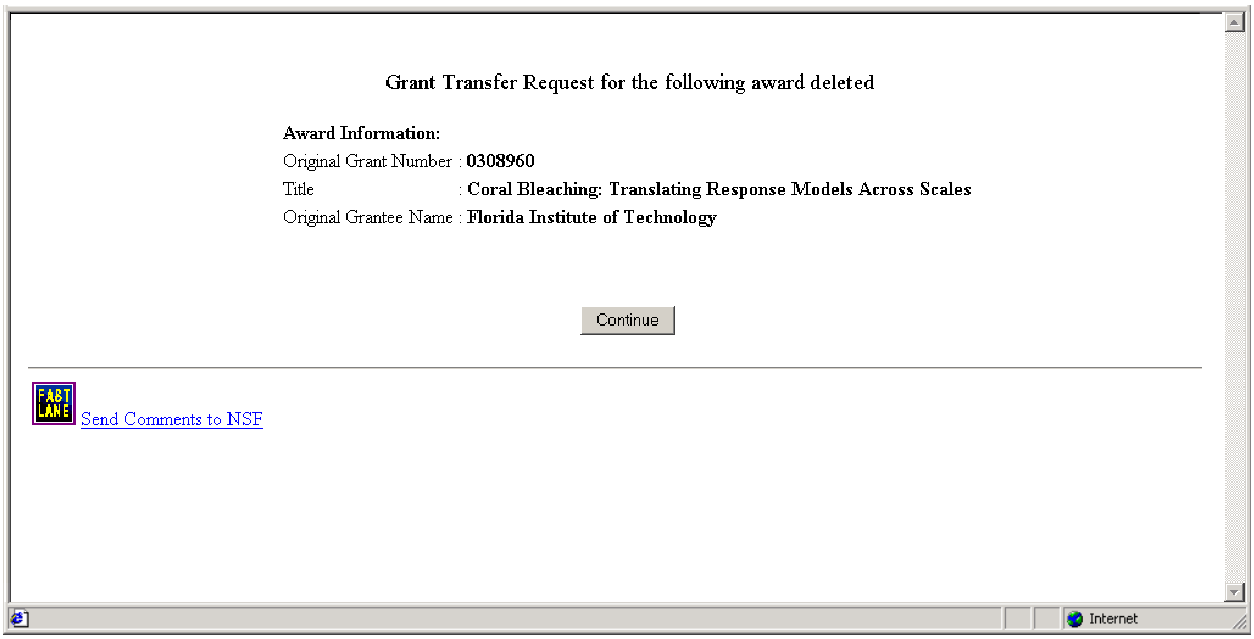


Figure 23. Confirmation Screen

5. Click Continue to go back to **Notifications and Requests** (Figure 2).

Review a PI Transfer Request Initiated by a PI

This SPO action occurs when a PI forwards a PI Transfer Request to the Original Organization's SPO. The SPO reviews the request and, if approved, forwards it to the New Institution's SPO. To complete this action, use the following steps:

1. Click on the Forwarded by PI tab (if it is not already displayed).

2. The Forwarded by PI tab screen (Figure 24) will appear.

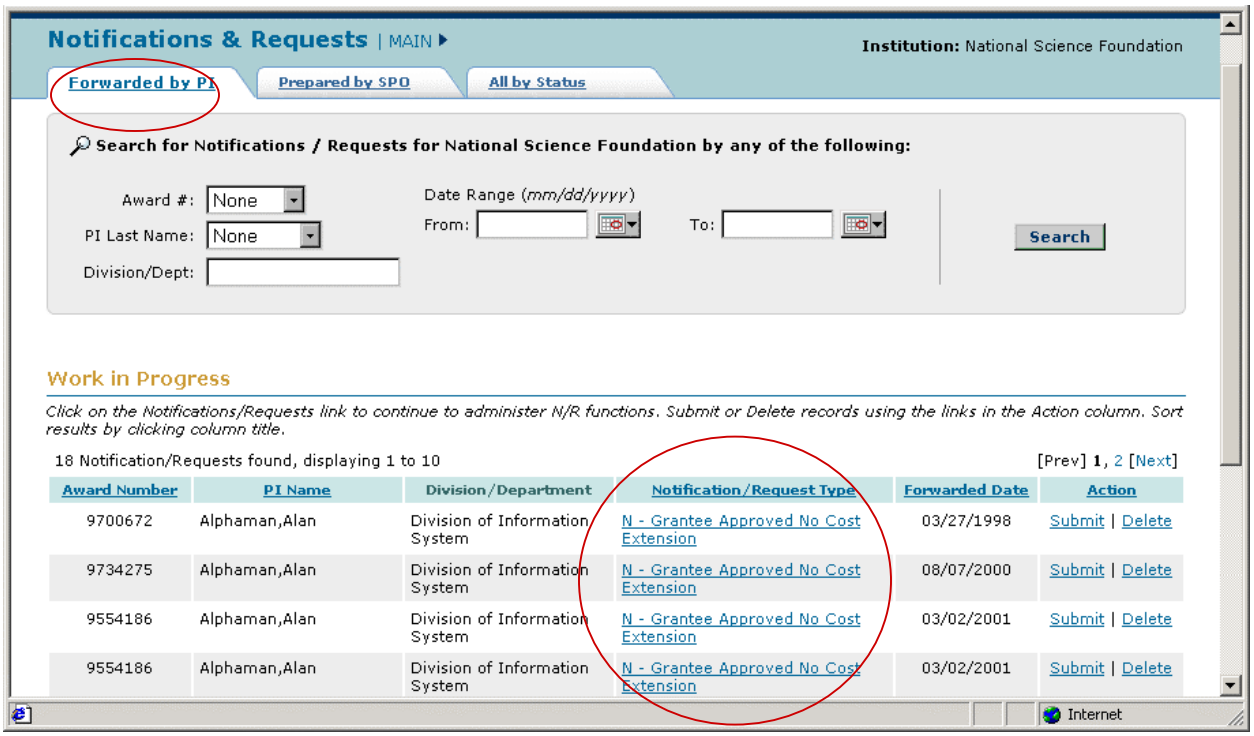


Figure 24. Prepared by SPO

3. Click on a *PI Transfer* in the Notification/Request Type Column (circled in Figure 24). It will be labeled as "R – PI Transfer

4. The *Grant Transfer Request* screen will appear (Figure 25).

Figure 25. Grant Transfer Request Screen

5. If you wish to modify the *Effective Date of Transfer*, enter the *Effective Date of Transfer* in the provided text box (in mm/dd/yyyy format).

6. If you wish to modify the *New Awardee Organization*, select the *New Awardee Organization*.

   a. Click on **Select New Awardee Organization** button.

   b. The *Institutional Search* screen will appear (Figure 26).

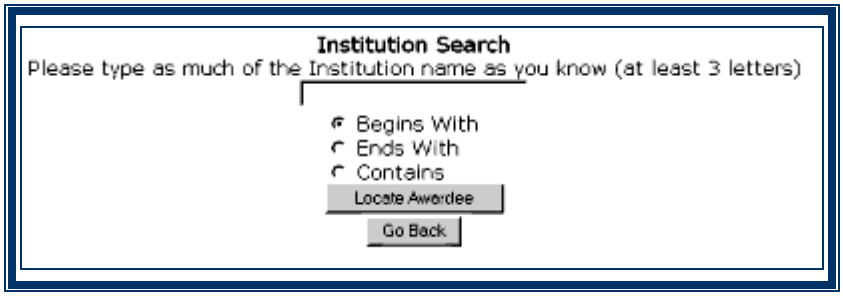


Figure 26. Institutional Search

c. Type all or a portion (at least three characters) of the new institution's name in the field provided.

d. Click on the **Begins With**, **Ends With**, or **Contains** radio button to set the criteria for the institution search.

e. Click on the **Locate** button.

f. The *Institutions Located* Screen will appear (Figure 27).

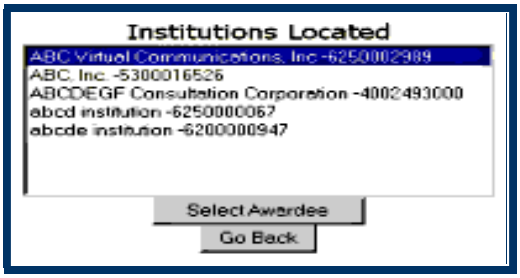


Figure 27. Institutions Located Screen

g. Click on the appropriate institution to highlight it.

h. Click **Select**.

i. The *Grant Transfer Request* form will appear with the institution you selected in the appropriate section.

j. If you need to include a New Performing Organization, click **Select New Performing Organization**, and return to Step 11b.

Or

If you do not need to include a New Performing Organization, go to Step 12.

7. If you wish to modify the *Estimated Disbursement and Unpaid Obligations*, enter the *Estimated Disbursement and Unpaid Obligations* (at effective date of transfer).

a. Click on **Calculate**.

b. The "Estimated Unobligated Balance" appears. If this amount is not correct, the PI should contact their business office or DGA.

8. If you wish to modify, click on any of the following appropriate Special Cases:

a. Human Subjects

b. Vertebrate animals

c. Disclosure of Lobbying Activities

9. Click **Save and Continue**.

10. The *Click on a Link to Work Screen* appears (Figure 28).

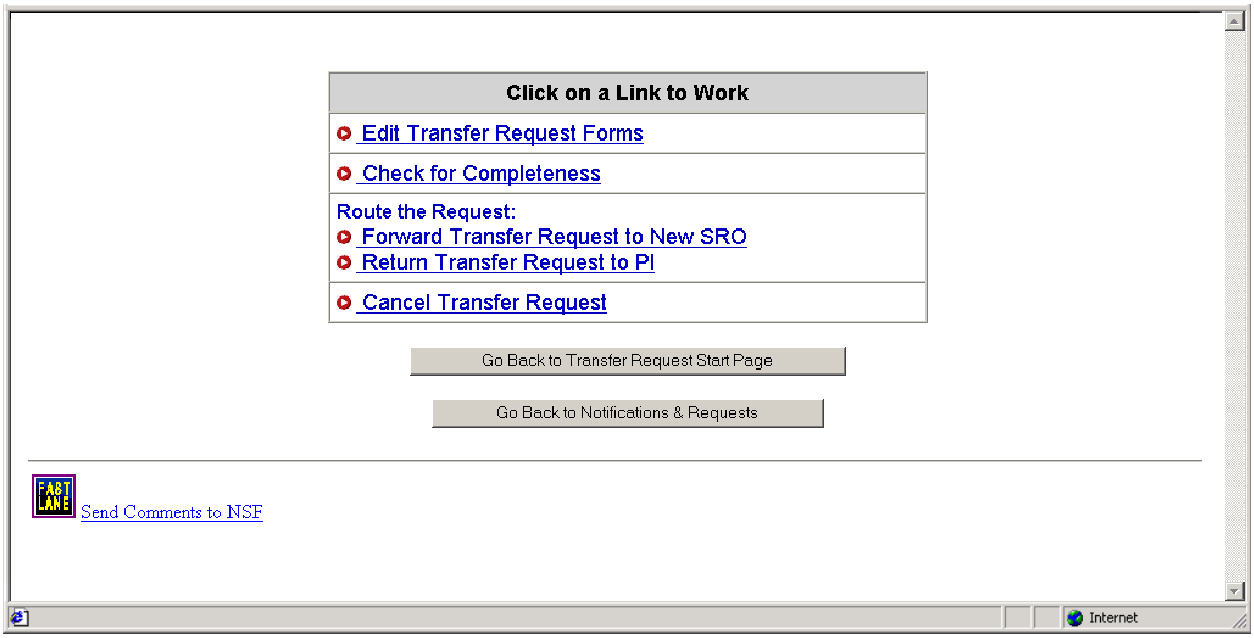


Figure 28. Click on a Link to Work Screen

11. As an New Organization SPO, you are given the following links on this screen:

a. Edit Transfer Request Forms

b. Check for Completeness.

c. Route the Request: Forward Transfer Request to New SRO

Or

Return Transfer Request to PI

d. Cancel Transfer Request

Edit Transfer Request Forms

Complete the following actions:

1. Click **Edit Transfer Request Forms** on the *Click on a Link to Work* page (Figure 28).

2. The *Form Preparation* screen appears (Figure 29).

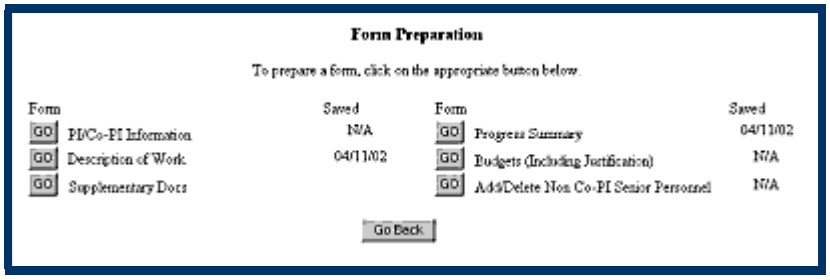


Figure 29. Form Preparation Page

3. The following forms can be accessed from this page by clicking on the corresponding **GO** button:

- *PI/Co-PI Information Form* (Figure 30). This form is Read Only.

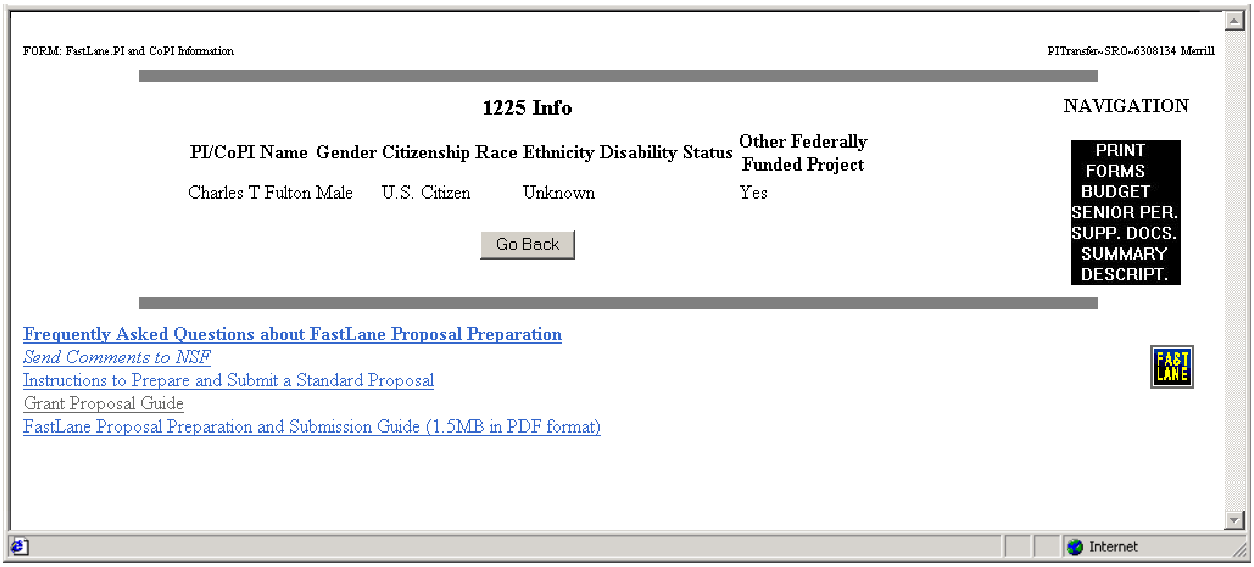


Figure 30. PI/Co-PI Information Form

- *Progress Summary Form* (Figure 31).

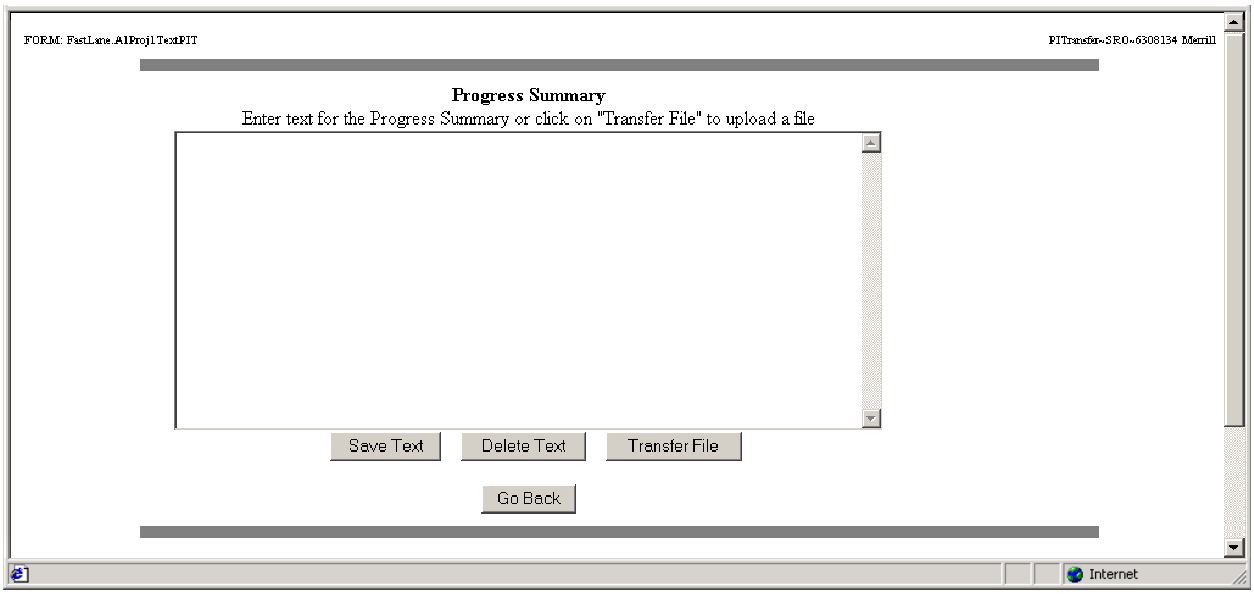


Figure 31. Progress Summary Form

Complete the following steps to fill out the form:

1. Enter text into the provided text box.

   Or

   Click **Transfer File** to upload a file.

2. Click **Delete Text** to delete text in the provided text box.

3. Click **Save**. Figure 29 will appear.

   Or

   Click **Go Back** to return to Figure 29.

- *Description of Work to be Accomplished Form* (Figure 32)

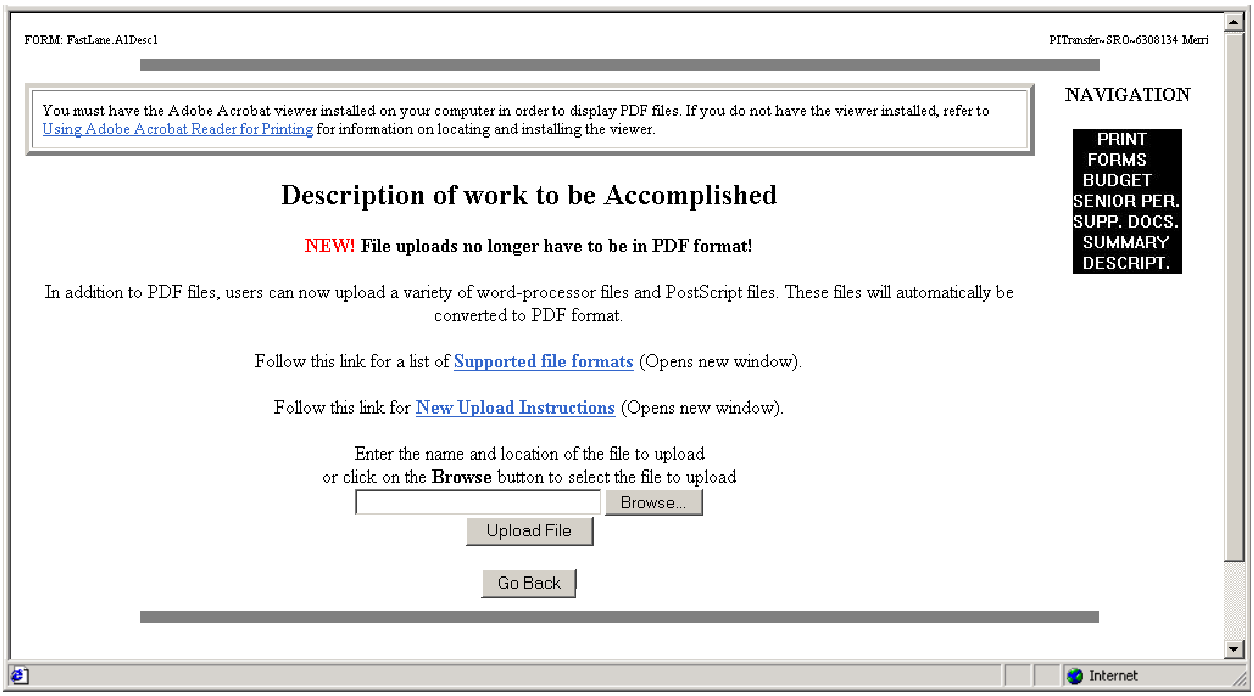


Figure 32. Description of Work to be Accomplished Form

Complete the following steps to fill out the form:

1. Enter the name and location of the file to upload.

   Or

   Click **Browse…** to find a file.

2. Click **Upload File** to include the file in the transfer request.

3. Click **Save**. Figure 29 will appear.

   Or

   Click **Go Back** to return to Figure 29.

- Budgets (Including Justification) Form (Figures 33 and 34)

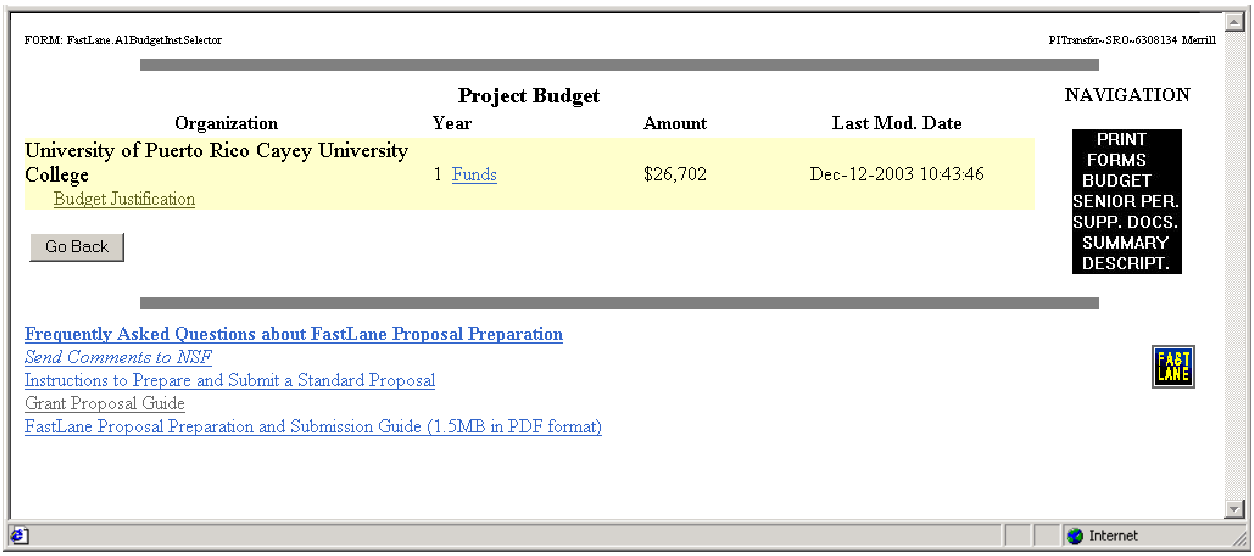


Figure 33. Project Budget Form Screen

This form is optional. Complete the following steps:

1. View the Project Budget Information and click on **Budget Justification** link.

2. The *Budget Justification screen* will appear (Figure 34)

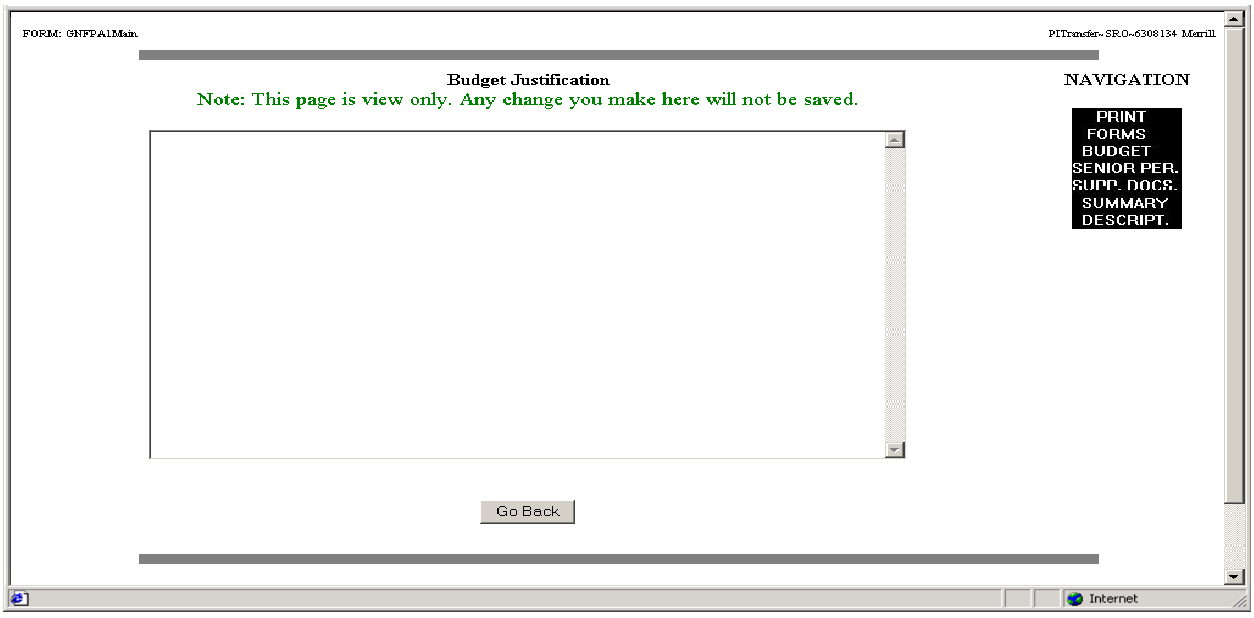


Figure 34. Budget Justification Screen

3. View the Budget Justification Screen and click **Go Back** to return to Figure 29.
   - Supplementary Documents Form (Figure 35)

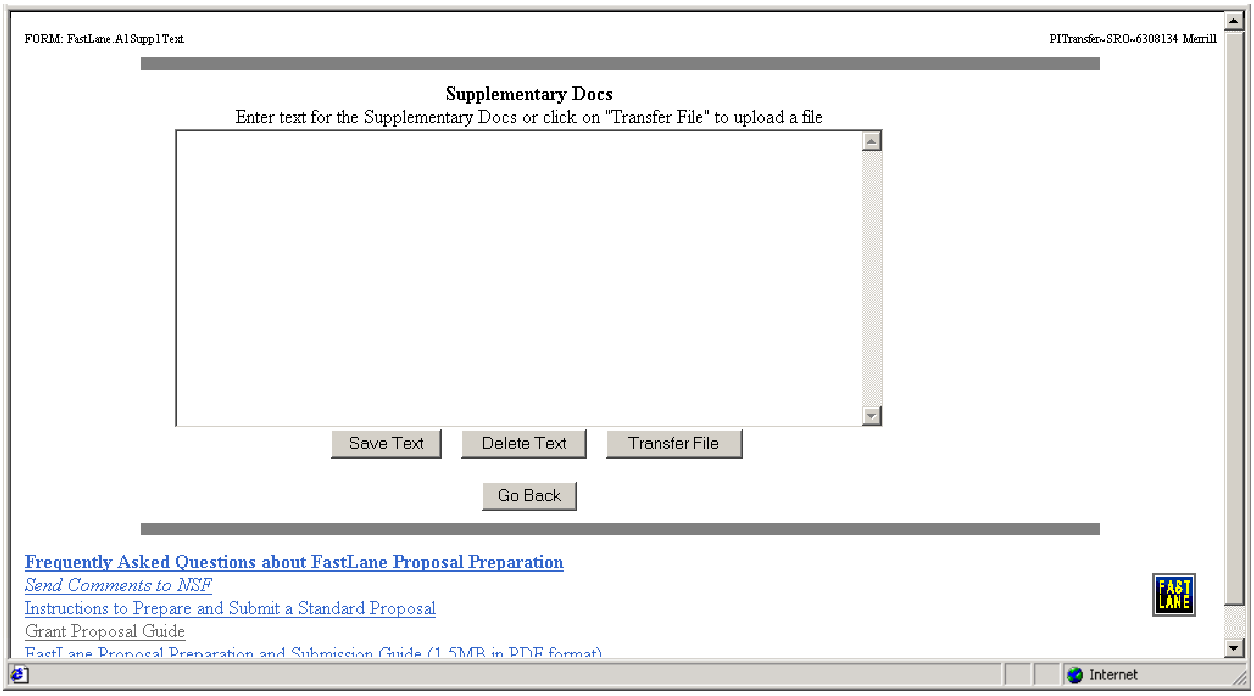


Figure 35. Supplementary Documents Form

Complete the following steps to fill out the form:

1. Enter text into the provided text box.

   Or

   Click **Transfer File** to upload a file.

2. Click **Delete Text** to delete text in the provided text box.

3. Click **Save**. Figure 29 will appear.

   Or

   Click **Go Back** to return to Figure 29.

- Add/Delete Non Co-PI Personnel Form (Figure 36)

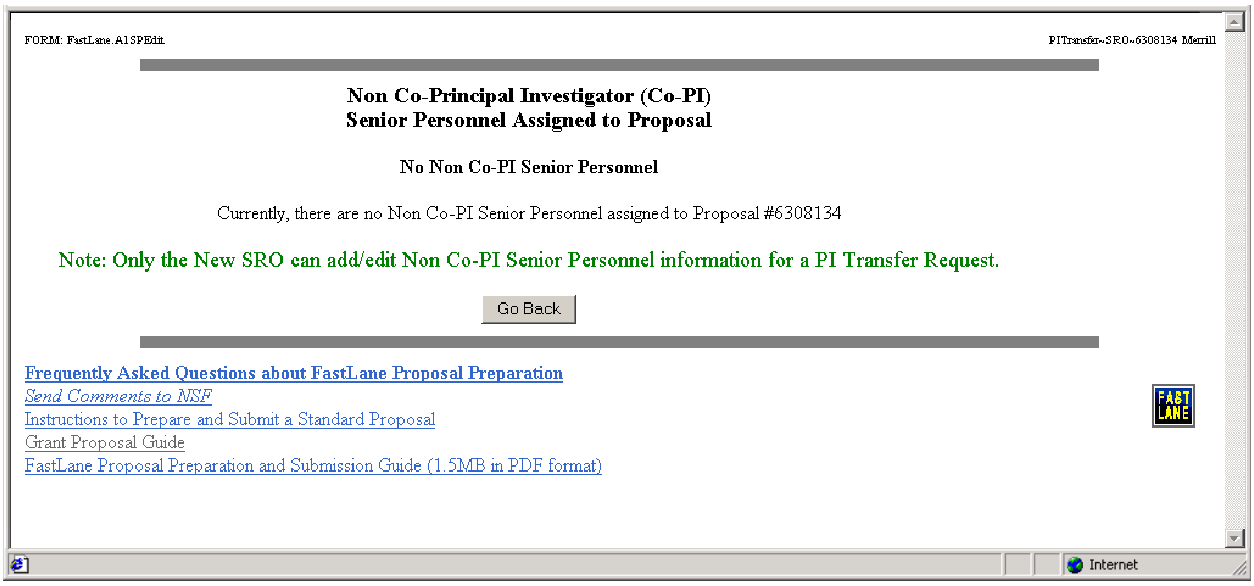


Figure 36. Add/Delete Non Co-PI Personnel Form

As an Original SPO, you will not be able to complete this form. Only new SROs can add Non Co-PI Senior Personnel.

Click **Go Back**. The *Click on a Link to Work* (Figure 28) screen will appear.

Check for Completeness

Checking for Completeness allows you to ensure that your request is complete for forwarding to the SPO. Complete the following steps:

1. Click **Check for Completeness** on the *Click on a Link to Work* page (Figure 28).

2. The *Check for Completeness* screen will appear (Figure 37).

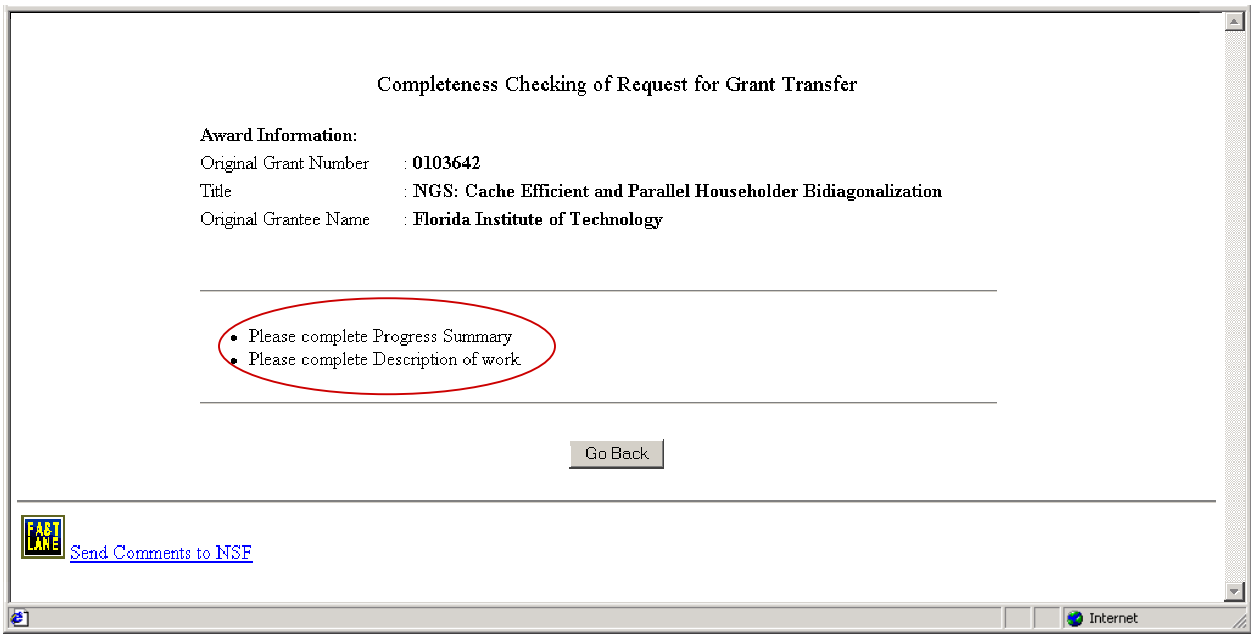


Figure 37. Check for Completeness

3. Messages will appear notifying you that the request is complete or that specific forms still need to be completed. Examples of these messages are circled in Figure 37.

4. Click **Go Back**. The *Click on a Link to Work* screen appears.

5. Complete the forms to finalize the request and check for completeness again.

Forward the PI Transfer Request to the New SPO

Complete the following steps:

1. Click **Forward the PI Transfer Request to the New SRO** on the *Click on a Link to Work* page (Figure 28).

2. The *Forward the Grant Transfer Request* screen (Figure 38) will appear.

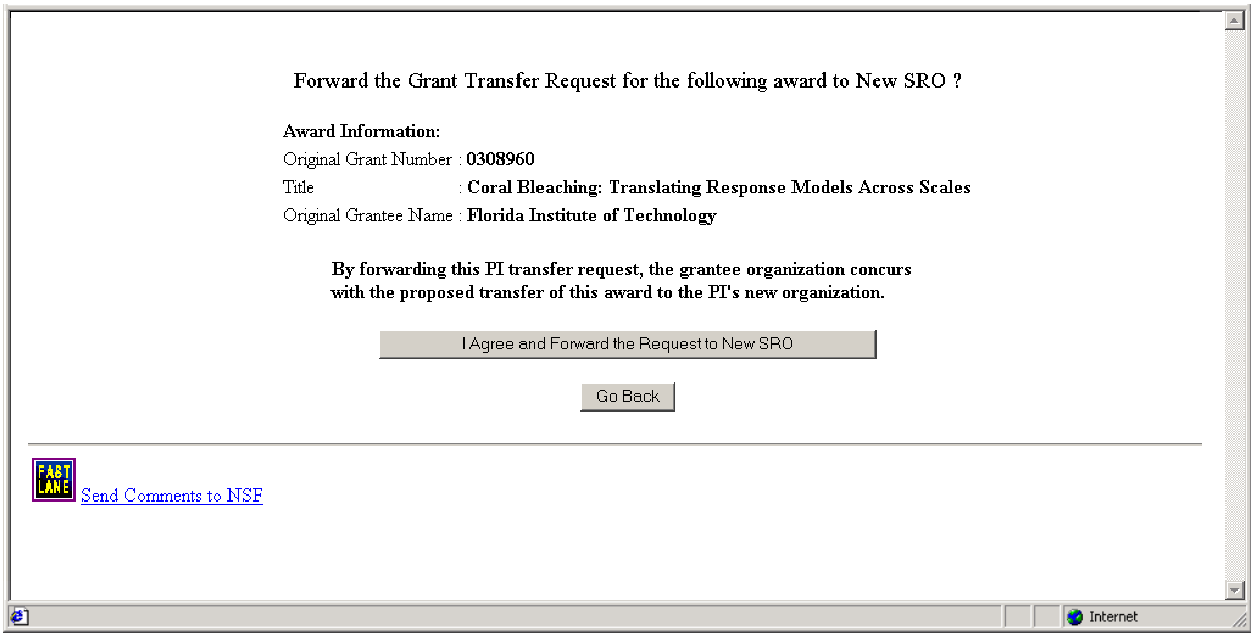


Figure 38. Forward the Grant Request

3. Click **Forward**. The *Confirmation* screen (Figure 39) will appear.

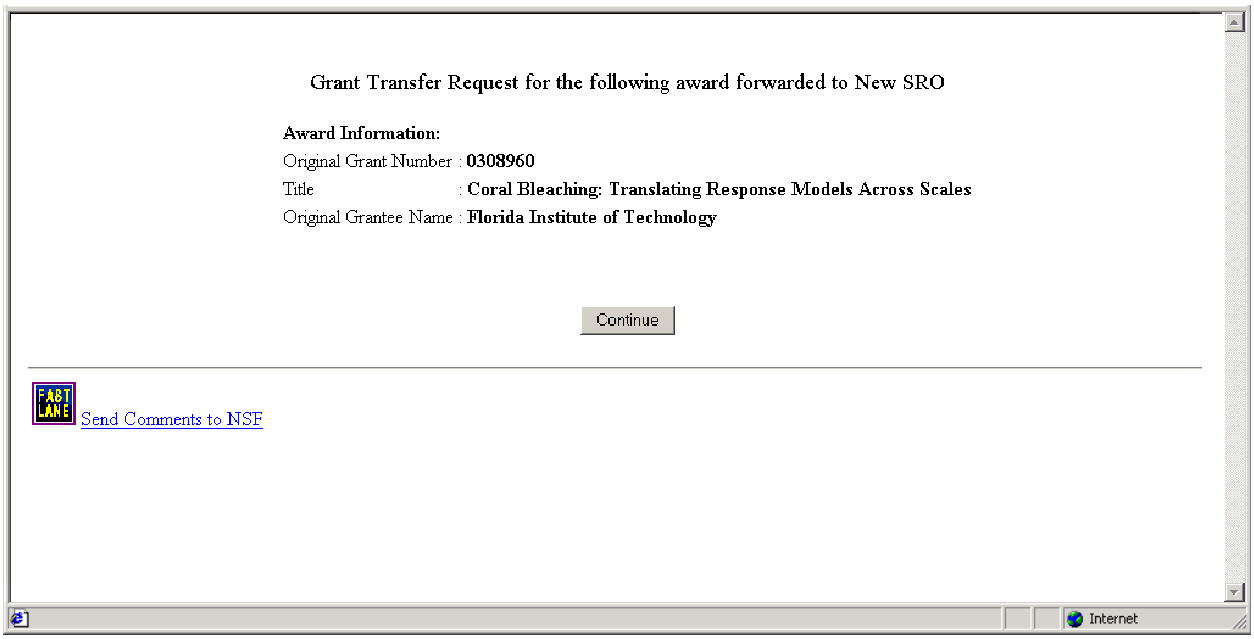


Figure 39. Confirmation Screen

4. Click **Continue**.

5. The *Click on a Link to Work* (Figure 40) will appear without the Forward the PI Transfer Request to the Original SRO or Edit Transfer Request Forms links.

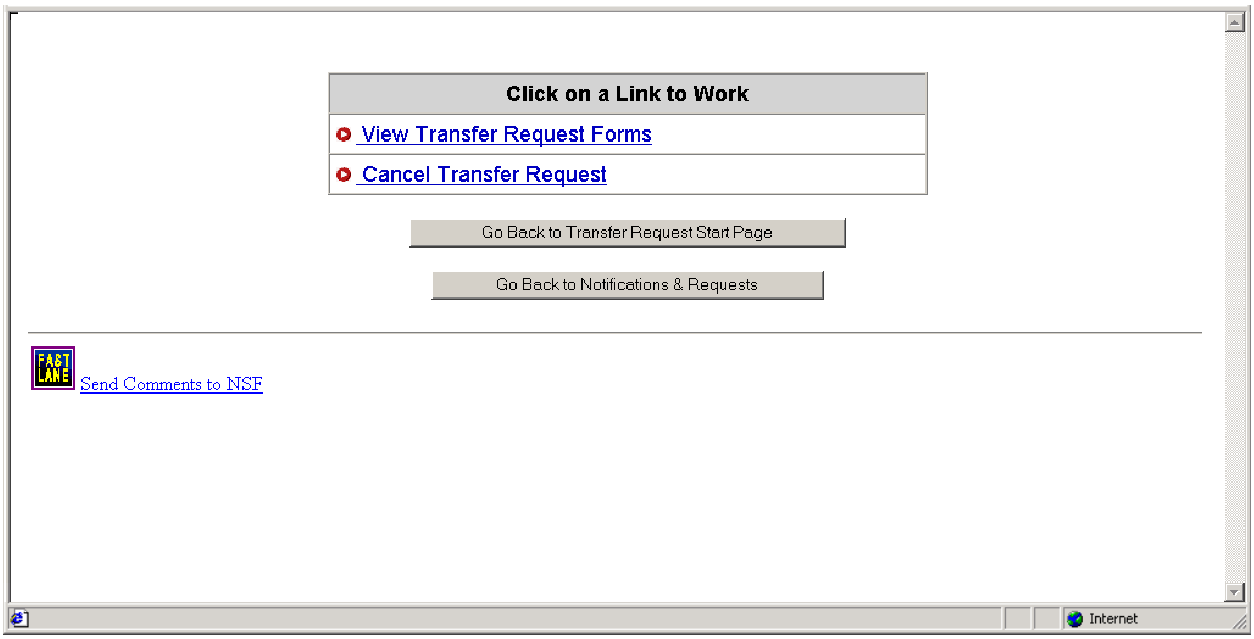


Figure 40. Updated Click on Link to Work Screen

Return the PI Transfer Request to the PI

Complete the following steps:

1. Click **Return the PI Transfer Request to NSF** on the *Click on a Link to Work* page (Figure 28).

2. The *Return the Grant Transfer Request* screen (Figure 41) will appear.

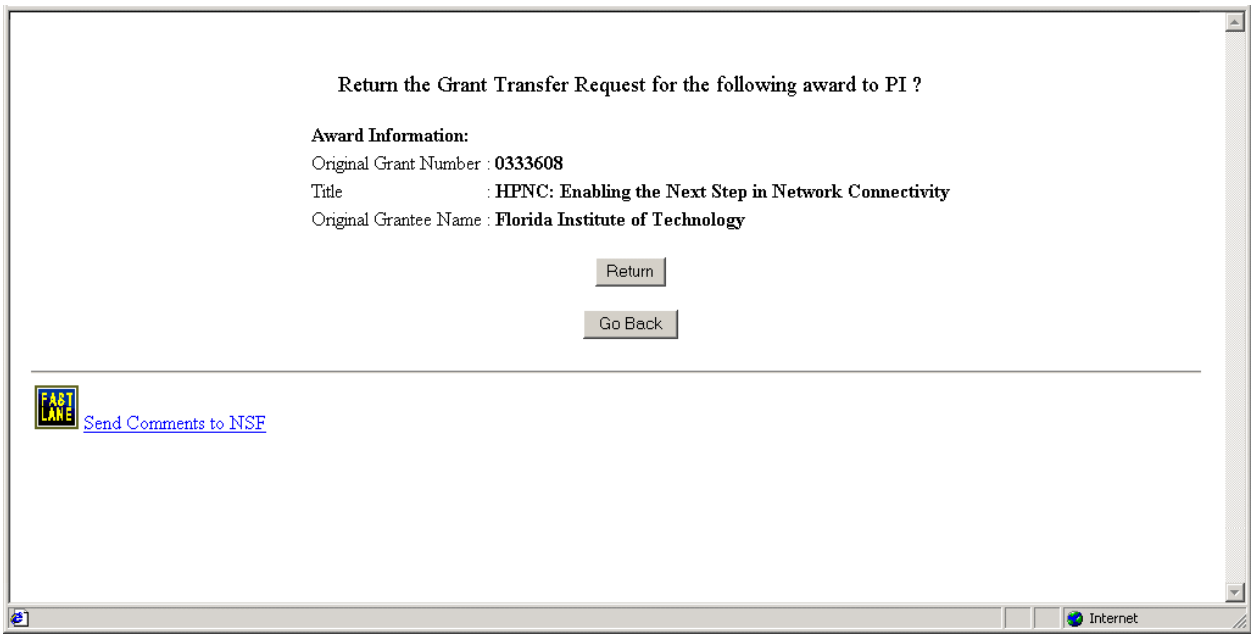


Figure 41. Return the Grant Transfer Request Screen

3. Click **Return**. The *Confirmation* screen (Figure 42) will appear.

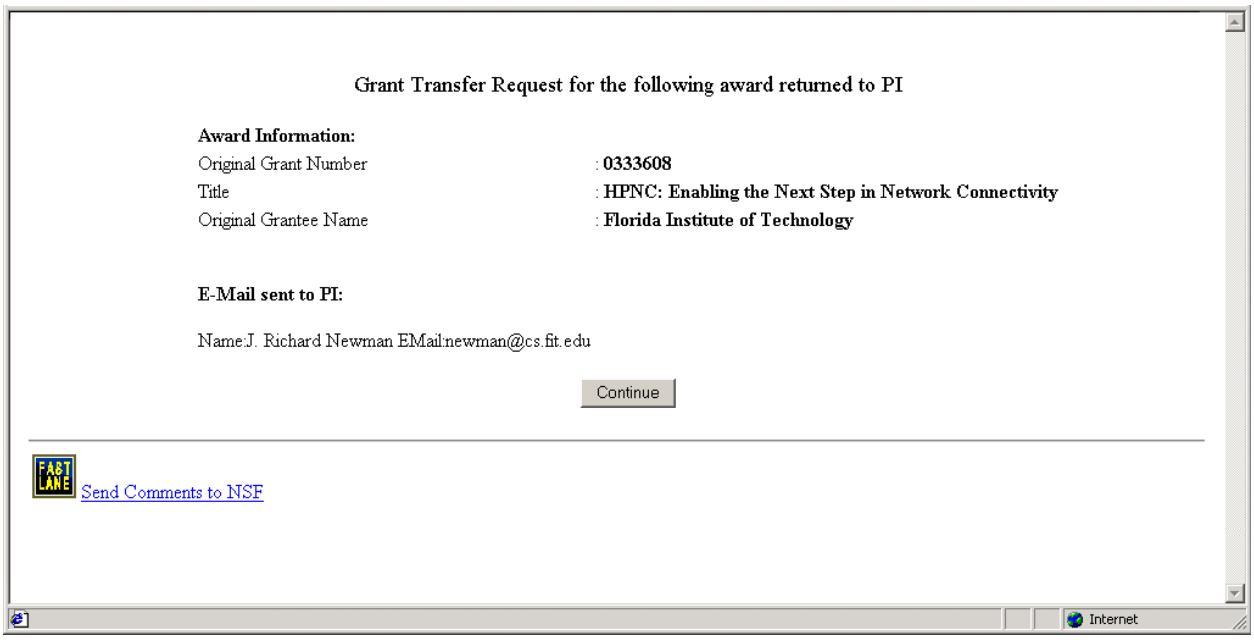


Figure 42. Confirmation Screen

4. Click **Continue**.

5. The *Click on a Link to Work* (Figure 28) will appear without the Forward the PI Transfer Request to NSF or Edit Transfer Request Forms links.

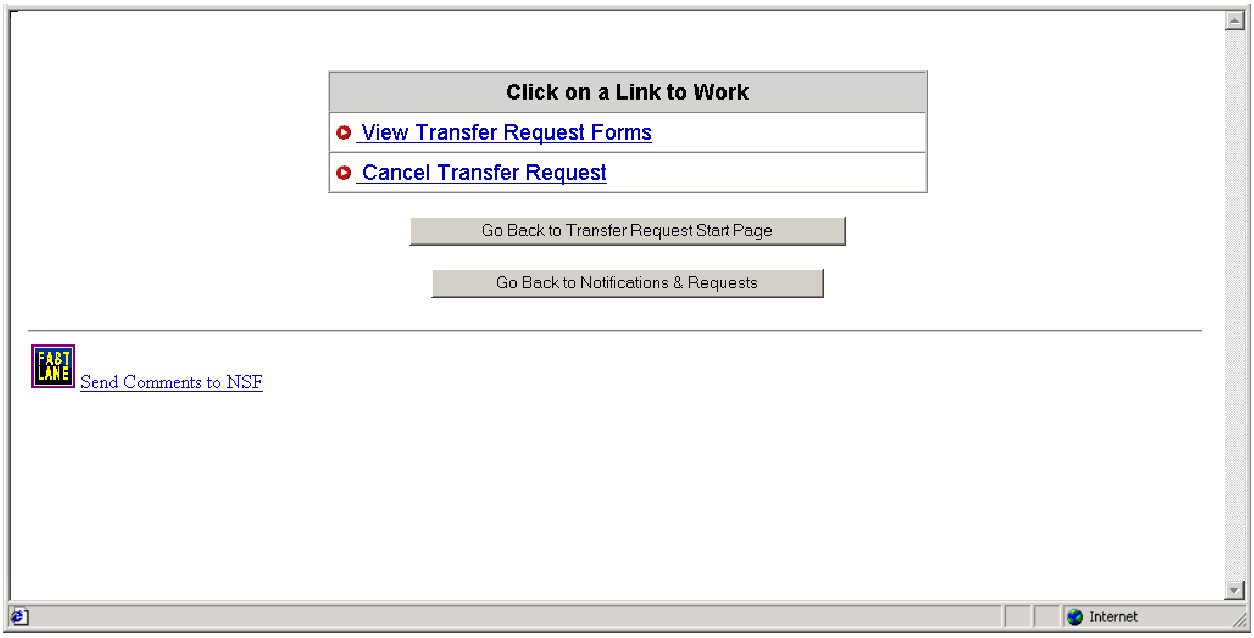


Figure 43. Updated Click on a Link to Work Screen

Cancel the PI Transfer Request

Complete the following steps:

1. Click **Cancel Transfer Request** on the *Check on a Link to Work* page (Figure 28).

2. A *Verification* screen (Figure 44) will appear.

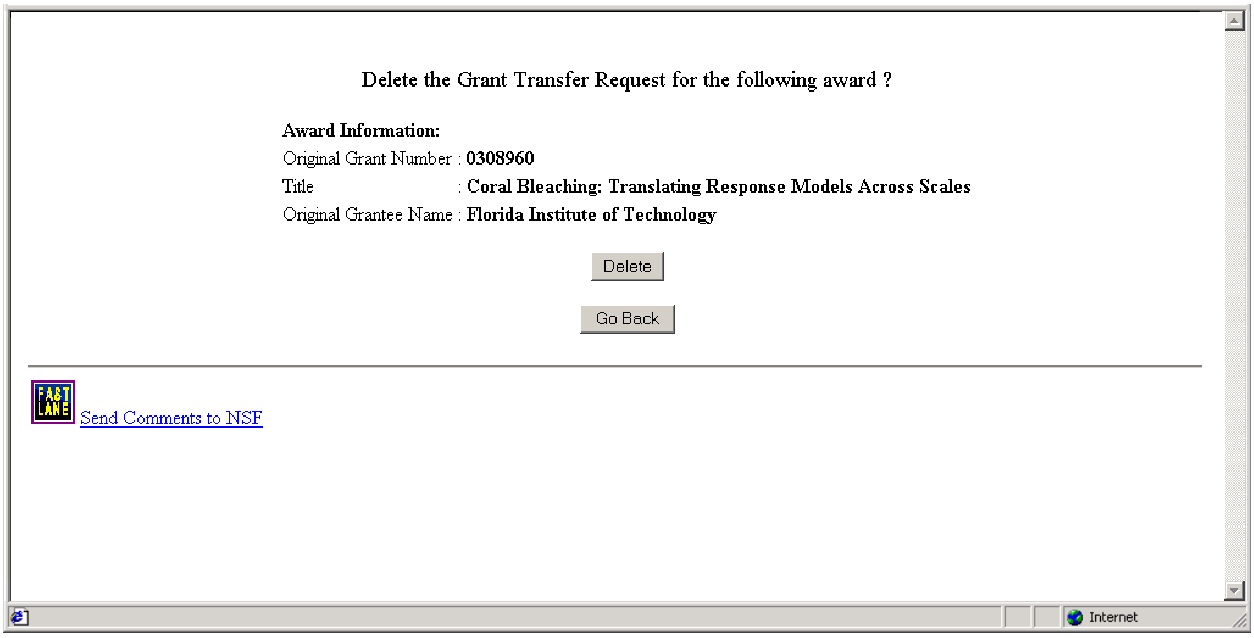


Figure 44. Verification Screen

3. Click **Delete**.

4. A *Confirmation* screen (Figure 45) will appear.

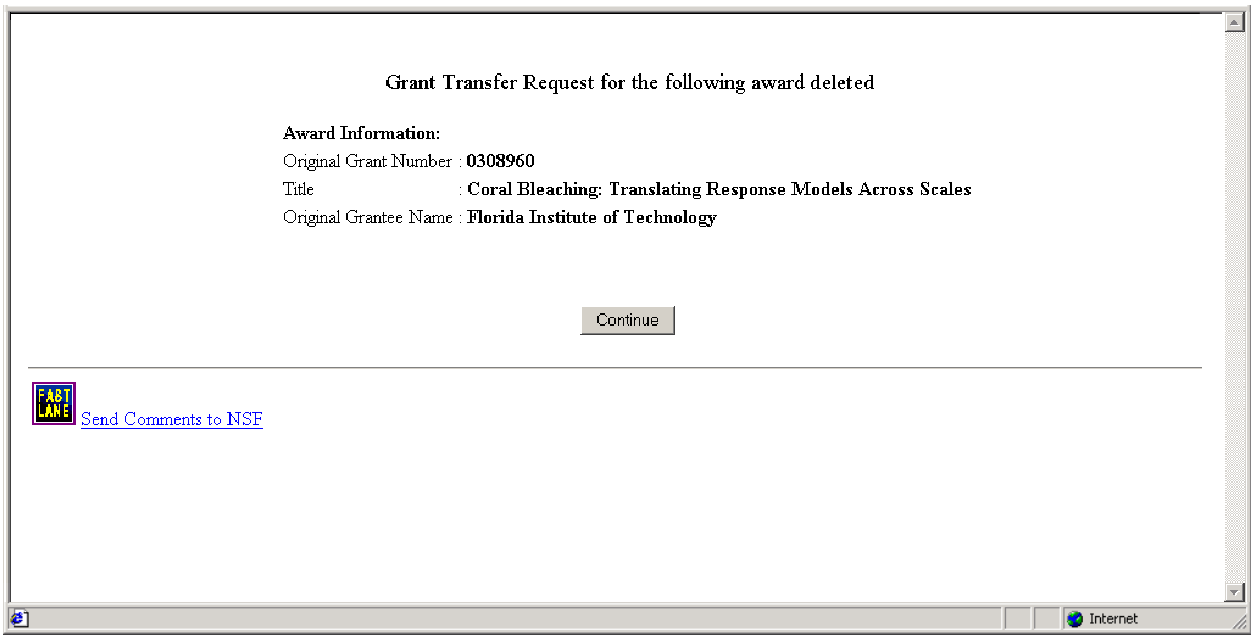


Figure 45. Confirmation Screen

5. Click **Continue** to go back to the *Forwarded by PI tab Screen* (Figure 2).

Review a PI Transfer Request Forwarded by an SPO

This SPO action occurs when an Original Organization's SPO forwards a PI Transfer Request to the New Organization's SPO. The New SPO reviews the request and, if approved, forwards it to NSF. To complete this action, use the following steps:

1. Click on the Forwarded by PI tab (if it is not already displayed).

2. The Forwarded by PI tab screen (Figure 46) will appear.

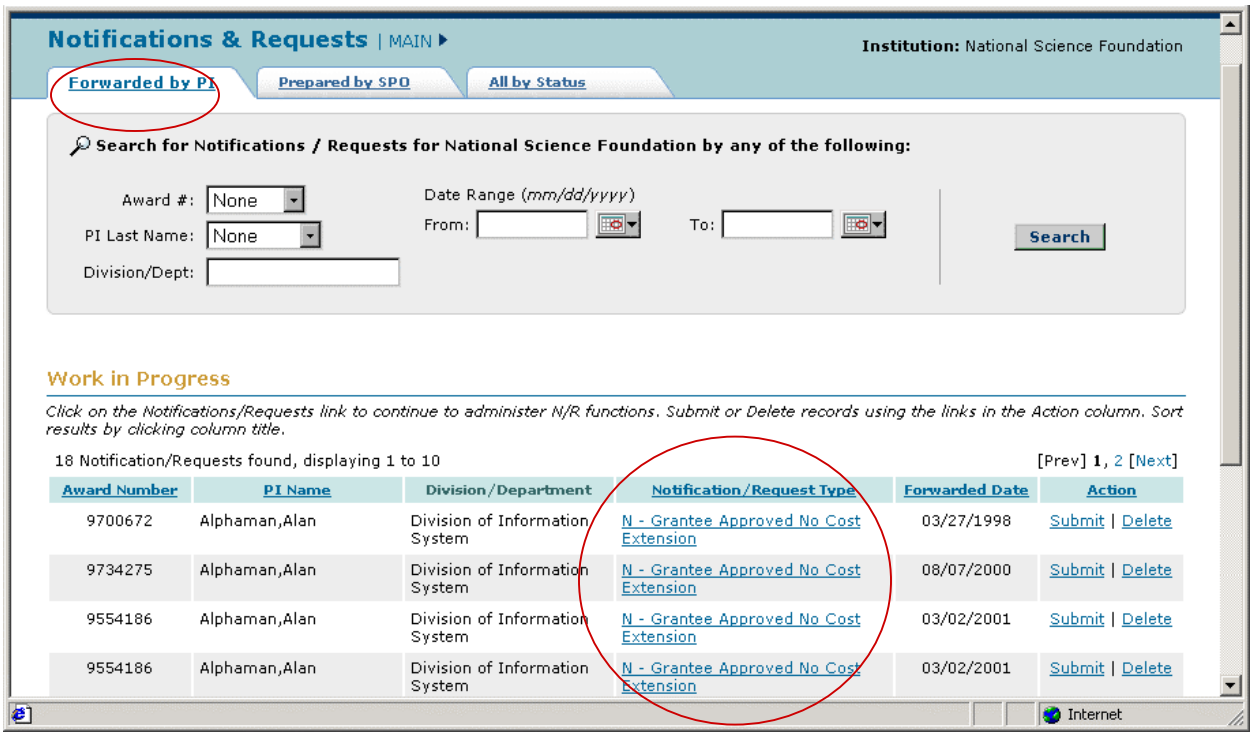


Figure 46. Prepared by SPO

3. Click on a *PI Transfer* in the Notification/Request Type Column (circled in Figure 46). It will be labeled as "R – PI Transfer

4. The *Grant Transfer Request* screen will appear (Figure 47).

Figure 47. Grant Transfer Request Screen

5. To modify, enter the *Effective Date of Transfer* in the provided text box (in mm/dd/yyyy format).

6. To modify, select the New Awardee Organization.

   a. Click on **Select New Awardee Organization** button.

   b. The *Institutional Search* screen will appear (Figure 48).

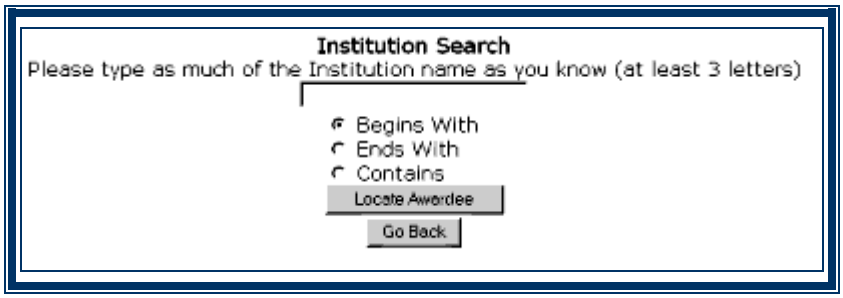


Figure 48. Institutional Search

   c. Type all or a portion (at least three characters) of the new institution's name in the field provided.

d. Click on the **Begins With**, **Ends With**, or **Contains** radio button to set the criteria for the institution search.

e. Click on the **Locate** button.

f. The *Institutions Located* Screen will appear (Figure 49).

Figure 49. Institutions Located Screen

g. Click on the appropriate institution to highlight it.

h. Click **Select**.

i. The *Grant Transfer Request* form will appear with the institution you selected in the appropriate section.

j. If you need to include a New Performing Organization, click **Select New Performing Organization**, and return to Step 11b.

Or

If you do not need to include a New Performing Organization, go to Step 12.

7. To modify, enter the *Estimated Disbursement and Unpaid Obligations* (at effective date of transfer).

8. Click on **Calculate**.

9. The "Estimated Unobligated Balance" appears. If this amount is not correct, the PI should contact their business office or DGA.

10. Click on any of the following appropriate Special Cases:

    a. Human Subjects

    b. Vertebrate animals

c. Disclosure of Lobbying Activities

11. Click **Save and Continue**.

12. The *Click on a Link to Work Screen* appears (Figure 50)

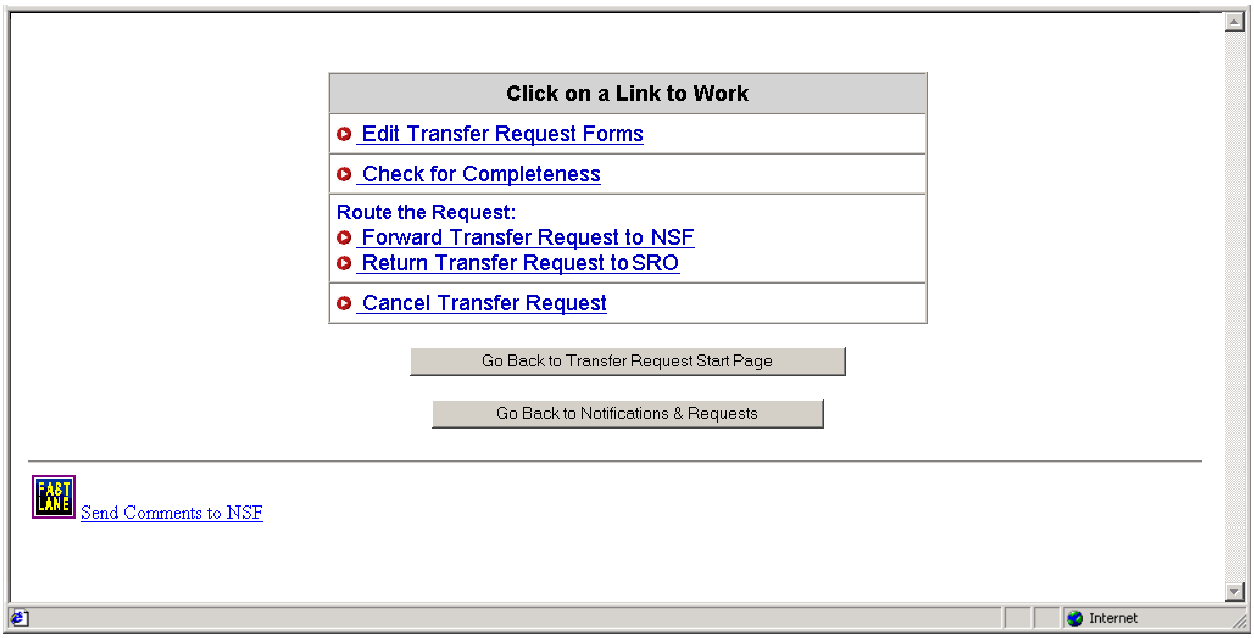


Figure 50. Click on a Link to Work Screen

13. As an SPO, you are given the following links on this screen:

a. Edit Transfer Request Forms

b. Check for Completeness.

c. Route the Request: Forward Transfer Request to NSF.

Or

Return Transfer Request to SRO.

d. Cancel Transfer Request

Edit Transfer Request Forms

Complete the following actions:

1. Click **Edit Transfer Request Forms** on the *Click on a Link to Work* page (Figure 50).

2. The *Form Preparation* screen appears (Figure 51).

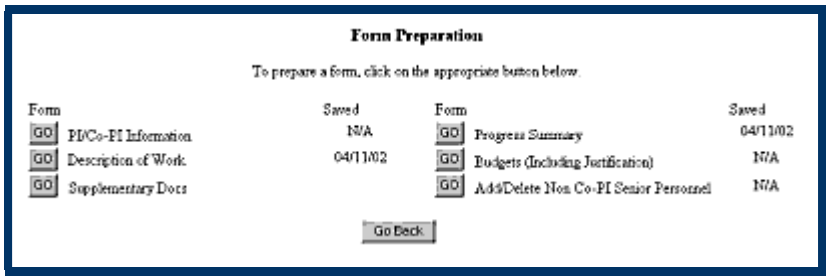


Figure 51. Form Preparation Page

3. The following forms can be accessed from this page by clicking on the corresponding **GO** button:

   - *PI/Co-PI Information Form* (Figure 52). This form is Read Only.

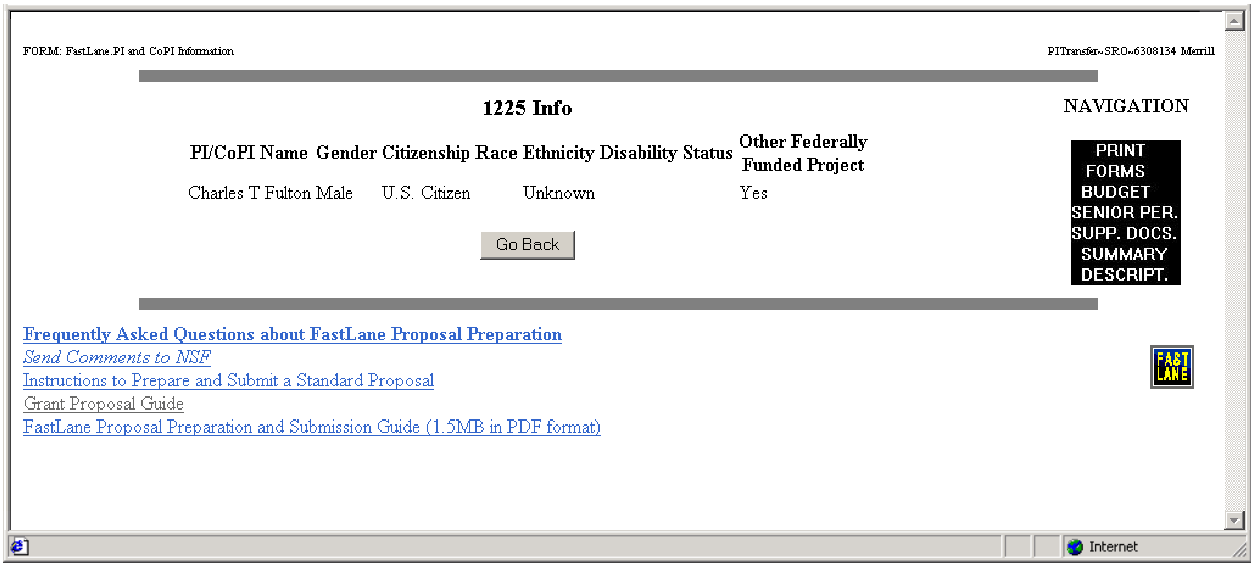


Figure 52. PI/Co-PI Information Form

- *Progress Summary Form* (Figure 53).

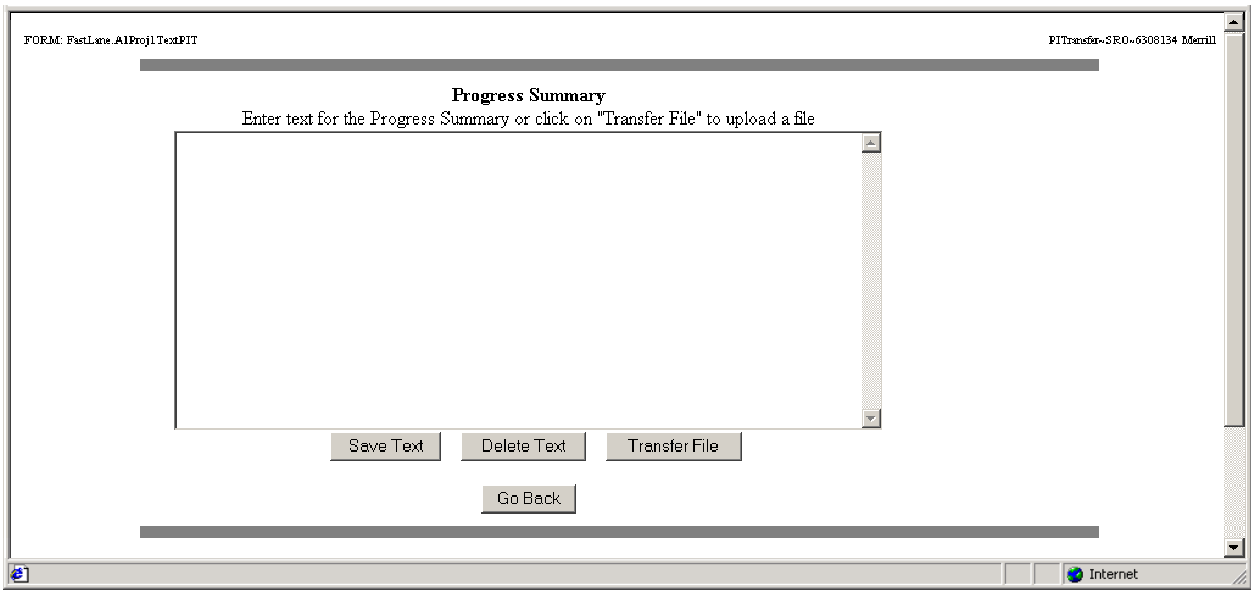


Figure 53. Progress Summary Form

Complete the following steps to fill out the form:

1. Enter text into the provided text box.

   Or

   Click **Transfer File** to upload a file.

2. Click **Delete Text** to delete text in the provided text box.

3. Click **Save**. Figure 51 will appear.

   Or

   Click **Go Back** to return to Figure 51.

- *Description of Work to be Accomplished Form* (Figure 54)

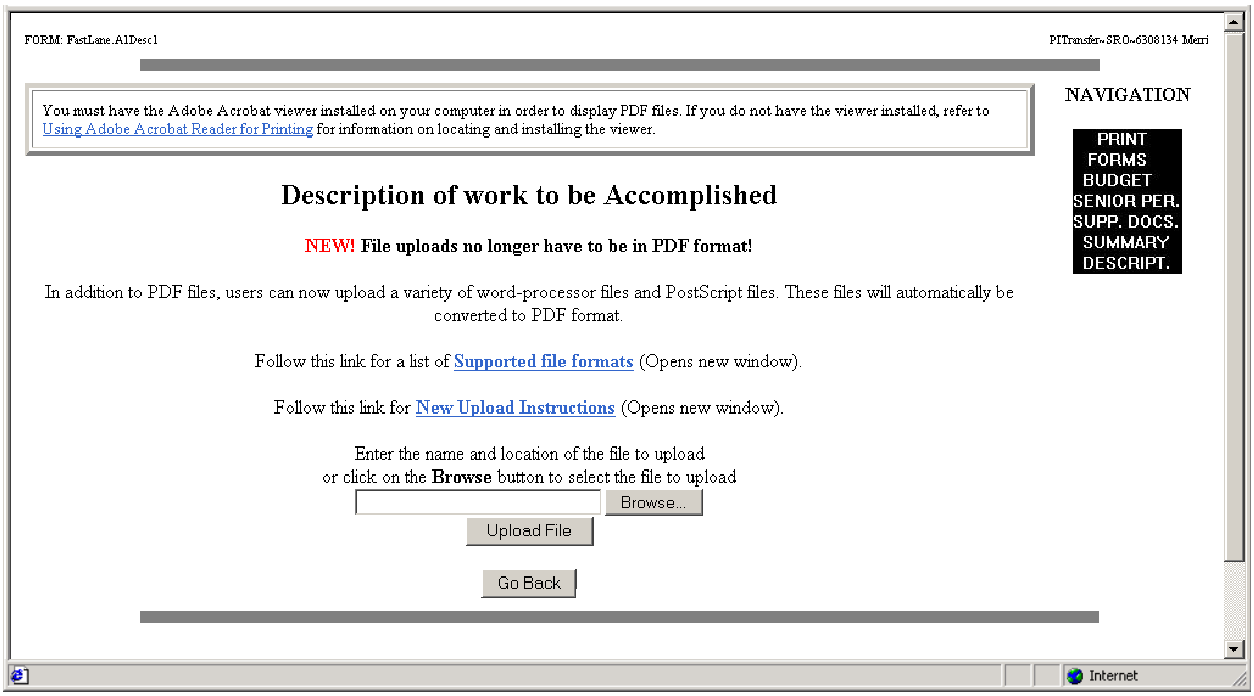


Figure 54. Description of Work to be Accomplished Form

Complete the following steps to fill out the form:

1. Enter the name and location of the file to upload.

   Or

   Click **Browse…** to find a file.

2. Click **Upload File** to include the file in the transfer request.

3. Click **Save**. Figure 51 will appear.

   Or

   Click **Go Back** to return to Figure 51.

- Budgets (Including Justification) Form (Figures 55 and 56)

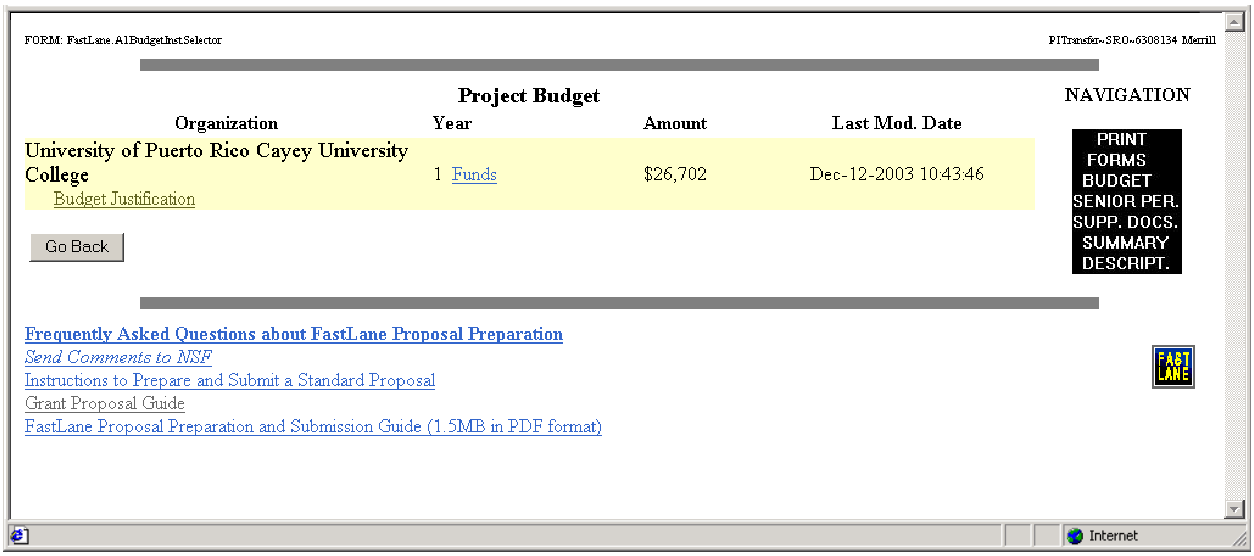


Figure 55. Project Budget Form Screen

Complete the following steps:

1. View the Project Budget Information and click on **Budget Justification** link.

2. The *Budget Justification screen* will appear (Figure 56)

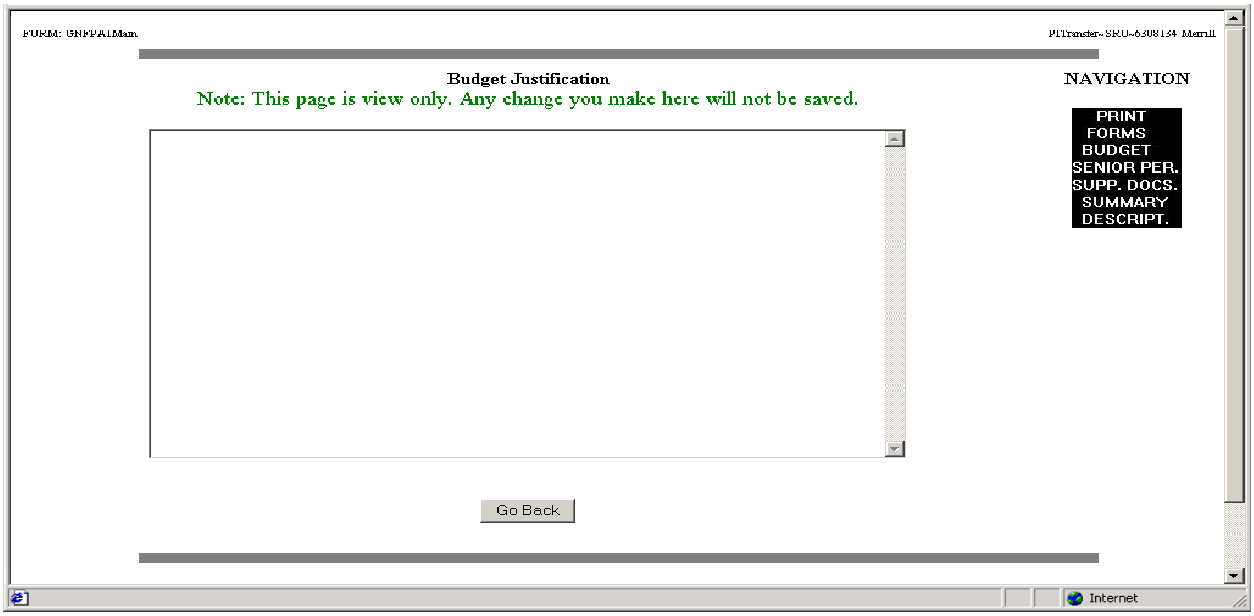


Figure 56. Budget Justification Screen

3. View the Budget Justification Screen and click **Go Back** to return to Figure 51.

- Supplementary Documents Form (Figure 57)

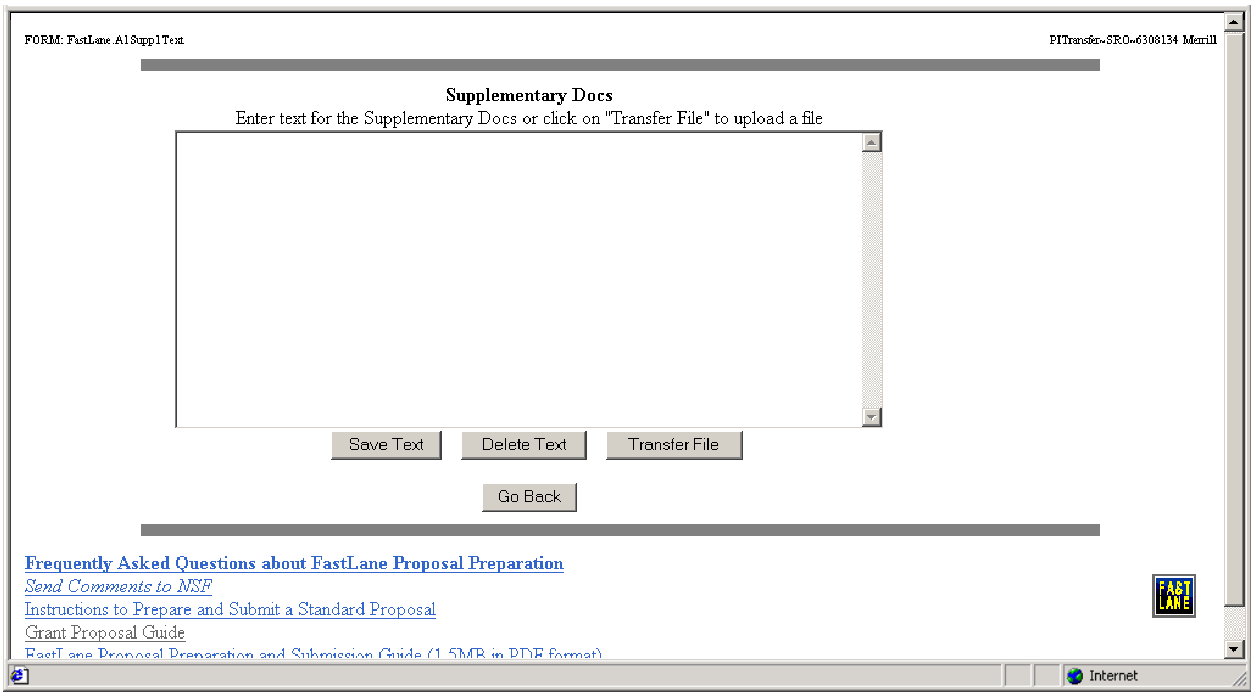


Figure 57. Supplementary Documents Form

Complete the following steps to fill out the form:

1. Enter text into the provided text box.

   Or

   Click **Transfer File** to upload a file.

2. Click **Delete Text** to delete text in the provided text box.

3. Click **Save**. Figure 51 will appear.

   Or

   Click **Go Back** to return to Figure 51.

- Add/Delete Non Co-PI Personnel Form (Figure 58)

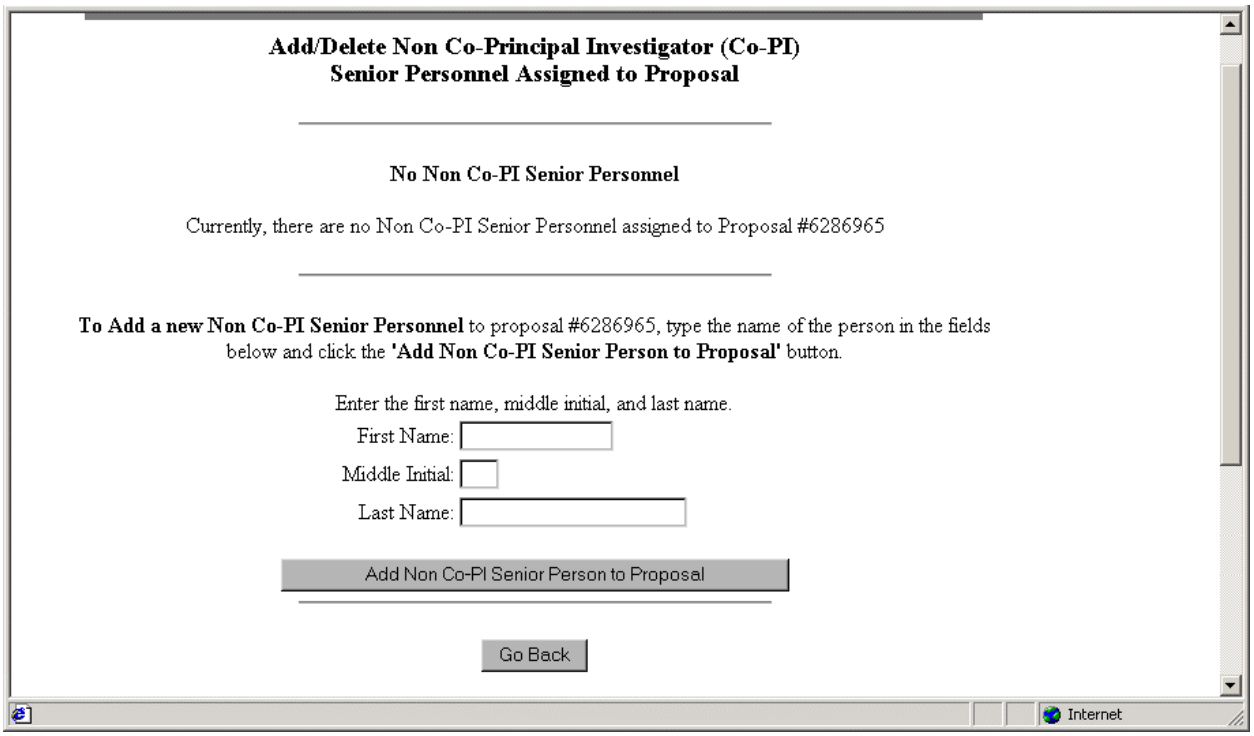


Figure 58. Add/Delete Non Co-PI Personnel Form

Complete the following steps:

1. Enter First Name, Middle Initial, and Last Name in the text boxes.
2. Click **Add Non Co-PI Senior Person to Proposal**.
3. The name you entered into the fields will be displayed.
4. Click **Go Back**. The *Click on a Link to Work* (Figure 50) screen will appear.

Check for Completeness

Checking for Completeness allows you to ensure that your request is complete for forwarding to the SPO. Complete the following steps:

1. Click **Check for Completeness** on the *Click on a Link to Work* page (Figure 50).

2. The *Check for Completeness* screen will appear (Figure 59).

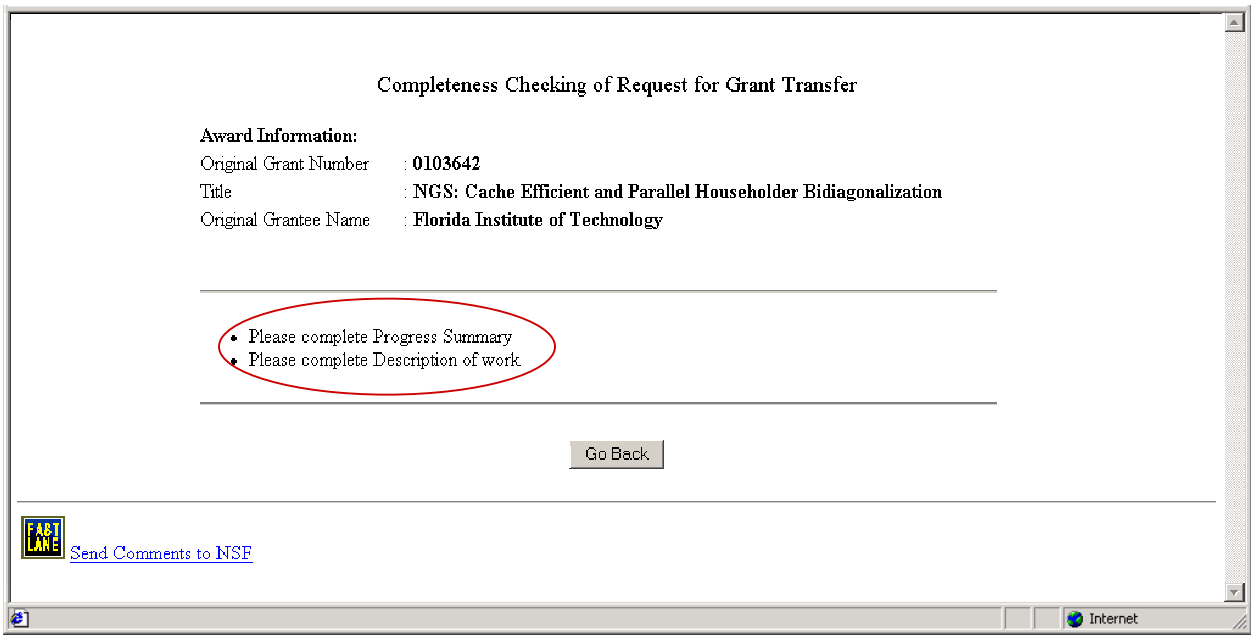


Figure 59. Check for Completeness

3. Messages will appear notifying you that the request is complete or that specific forms still need to be completed. Examples of these messages are circled in Figure 59.

4. Click **Go Back**. The *Click on a Link to Work* (Figure 50) screen appears.

5. Complete the forms to finalize the request and check for completeness again.

Forward the PI Transfer Request to NSF

Complete the following steps:

1. Click **Forward the PI Transfer Request to NSF** on the *Click on a Link to Work* page (Figure 50).

2. The *Forward the Grant Transfer Request* screen (Figure 60) will appear.

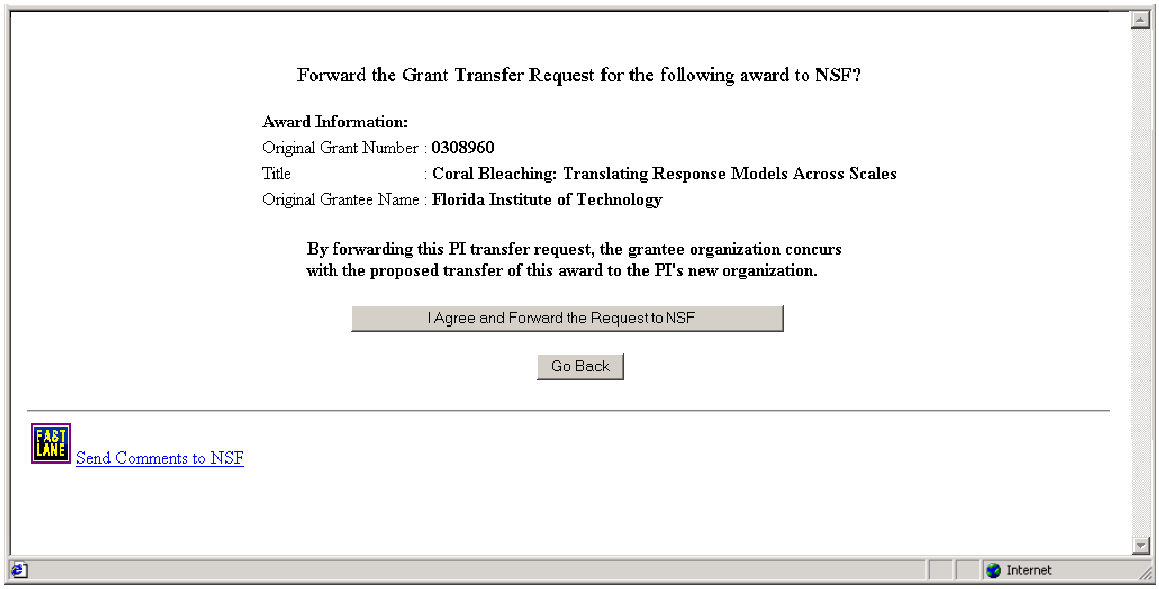


Figure 60. Forward the Grant Transfer Screen

3. Click **Forward**. The *Confirmation* screen (Figure 61) will appear.

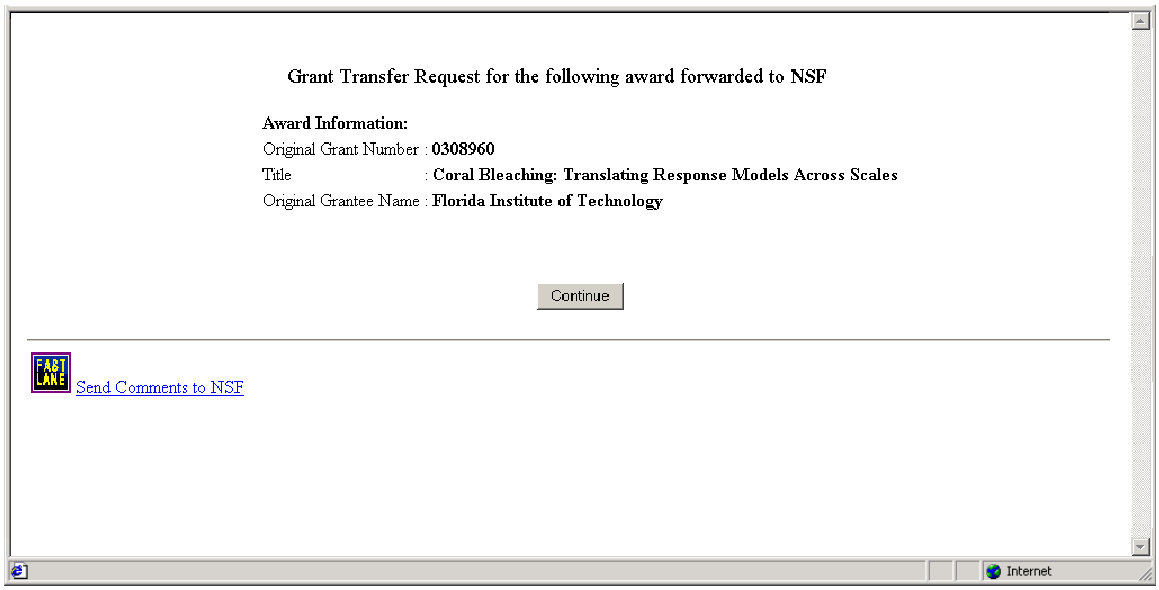


Figure 61. Confirmation Screen

4. Click **Continue**.

5. The *Click on a Link to Work* (Figure 62) will appear without the Forward the PI Transfer Request to NSF or Edit Transfer Request Forms links.

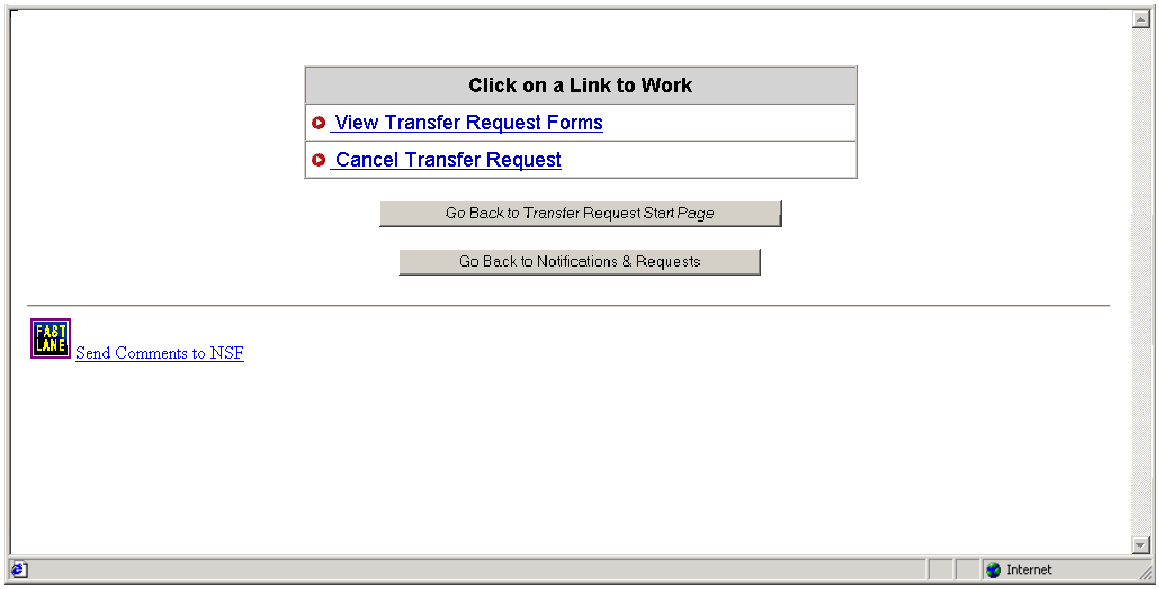


Figure 62. Updated Click on a Link to Work Screen

Return the PI Transfer Request to the Original SPO

Complete the following steps:

1. Click **Return the PI Transfer Request to SPO** on the *Click on a Link to Work* page (Figure 50).

2. The *Return the Grant Transfer Request* screen (Figure 63) will appear.

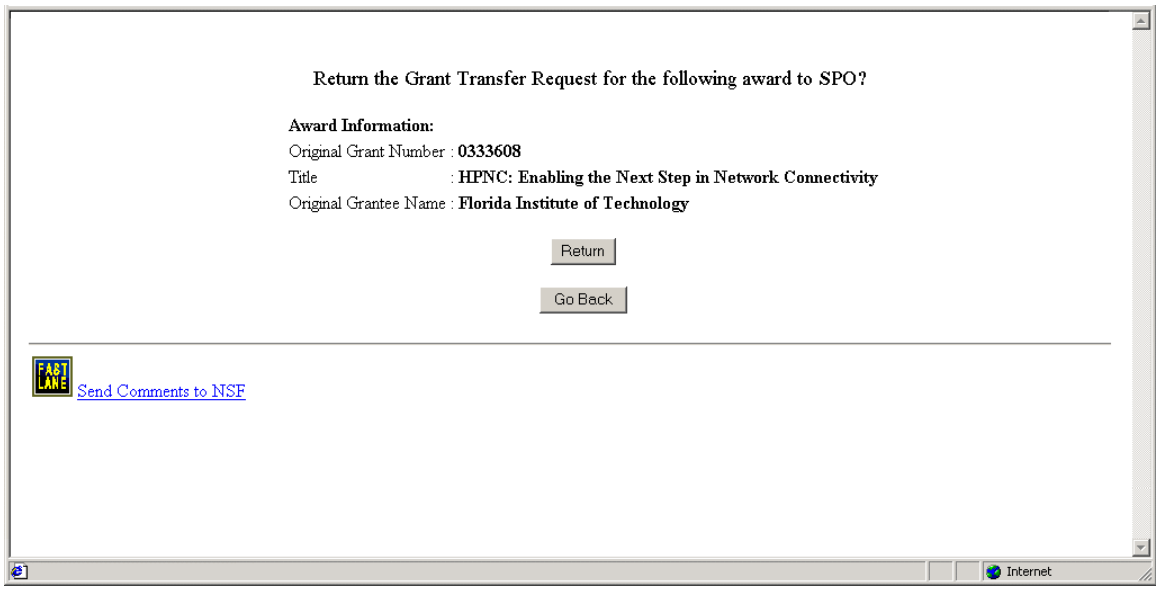


Figure 63. Return the Grant Transfer Request Screen

3. Click **Forward**. The *Confirmation* screen (Figure 64) will appear.

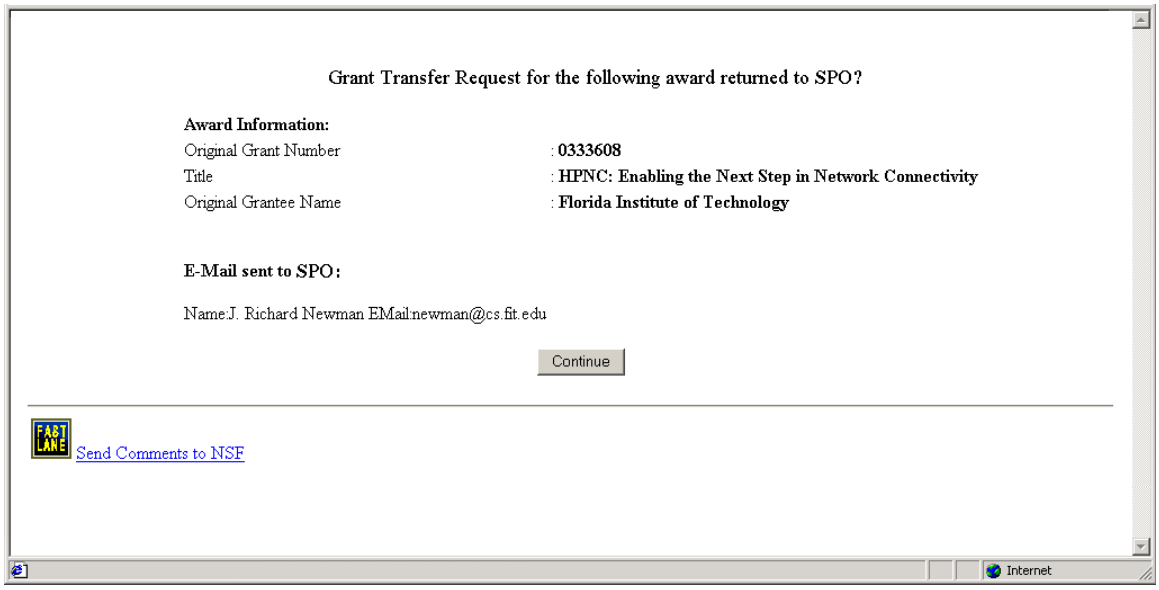


Figure 64. Confirmation Screen

4. Click **Continue**.

5. The *Click on a Link to Work* (Figure 65) will appear without the Forward the PI Transfer Request to NSF or Edit Transfer Request Forms links.

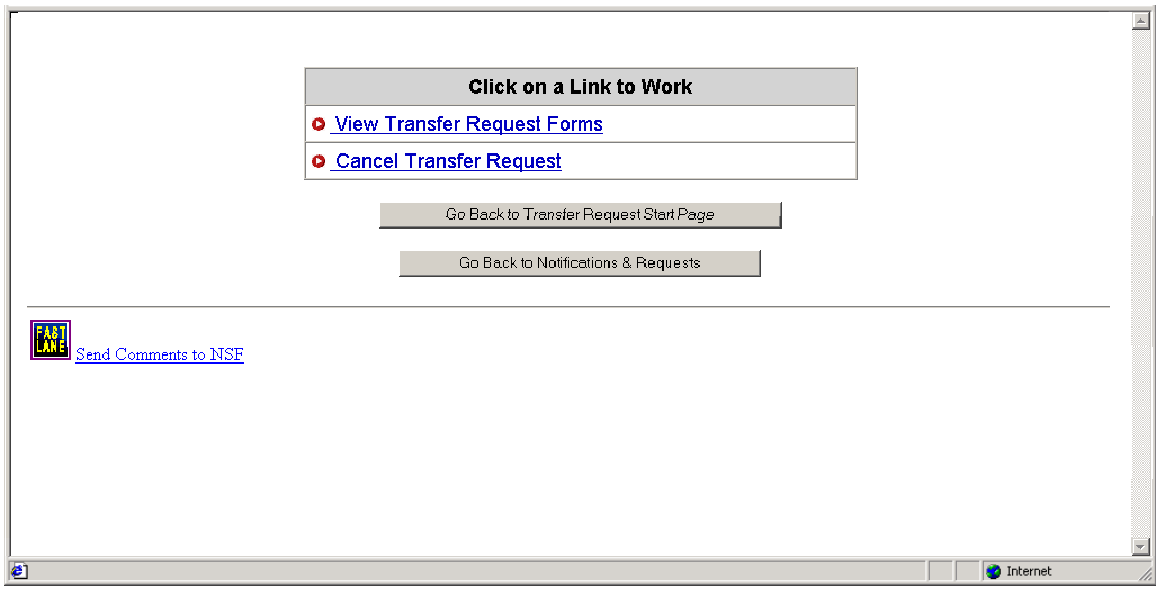


Figure 65. Updated Click on a Link to Work Screen

Cancel the PI Transfer Request

Complete the following steps:

1. Click **Cancel Transfer Request** on the *Check on a Link to Work* page (Figure 50).

2. A *Verification* screen (Figure 66) will appear.

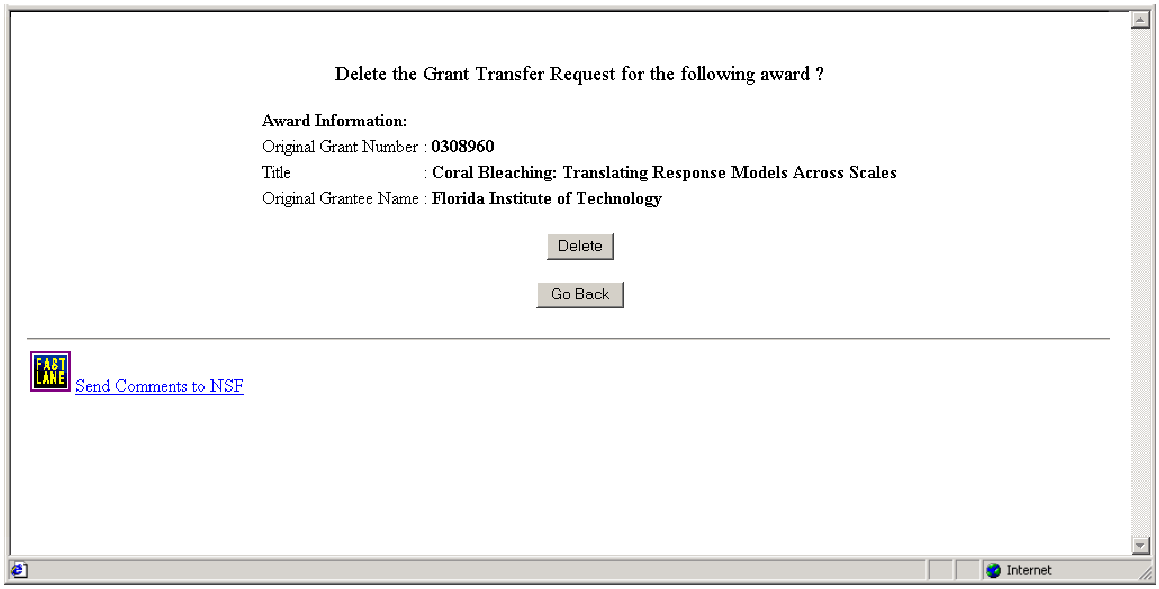


Figure 66. Verification Screen

3. Click **Delete**.

4. A *Confirmation* screen (Figure 67) will appear.

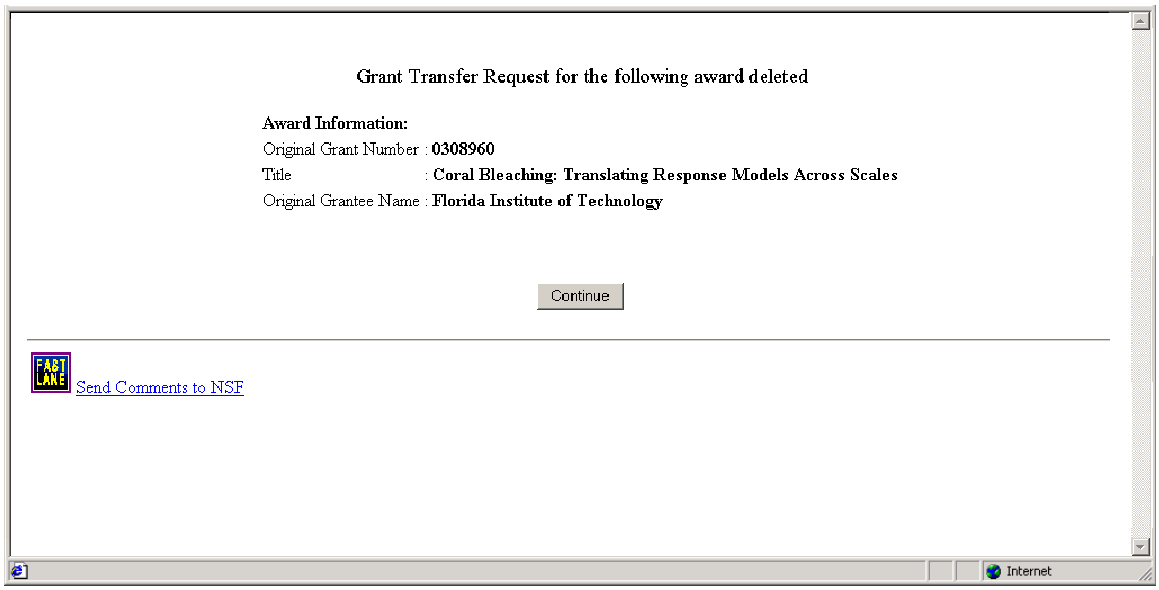


Figure 67. Confirmation Screen

5. Click **Continue** to go back to *Prepared by SPO* (Figure 3).