

Research-Related PI

CHECK-OUT PROCEDURE CHECKLIST

Before departing, check with your center/department for specific check-out procedures.

Prior to a PI transfer, a completed Relinquishing Statement must be reviewed by ASRSP and approved by Sponsored Research.

AWARDS	
Award close-out may include submission of final technical reports, invention statements, and property reports.	
Will the award transfer with PI to another institution?	
For projects transferring from Northwestern with the PI, the process should be initiated at least 90 days before the planned transfer date.	
<input type="checkbox"/>	Determine if the award is eligible to transfer to another institution per the sponsor's policies. Contact Sponsored Research Grants Officer for assistance.
<input type="checkbox"/>	Obtain the awarding agency instructions to process the transfer.
<input type="checkbox"/>	Submit via InfoEd the Award Relinquishment Request, and route with all approvals to Sponsored Research.
<input type="checkbox"/>	For NIH awards, a Relinquishing Statement must be completed by Accounting Services for Research and Sponsored Programs (ASRSP) prior to a transfer to Sponsored Research . Once the transfer date and estimated unobligated balance is confirmed by ASRSP, Sponsored Research will transmit the Relinquishing Statement's data to NIH via NIH Commons.
<input type="checkbox"/>	For NSF awards, notify the NSF Program Office to request preliminary approval for the transfer. If NSF and both institutions agree, formal notification of the impending transfer should be electronically initiated by the PI through FastLane. Note: The balance transferred has to be exact to prevent future funding issues.
Will materials be transferred?	
<input type="checkbox"/>	If you are transferring materials, contact the Material Transfer Agreement (MTA) Officer in Sponsored Research.
<input type="checkbox"/>	Complete an MTA request for outbound materials through InfoEd.
CONTACT MTA Officer mta@northwestern.edu	
Will data be transferred?	
<input type="checkbox"/>	If you are transferring data, you must establish a Data Use Agreement (DUA) between Northwestern and the recipient institution.
<input type="checkbox"/>	Complete a DUA request for outbound data through InfoEd.
<p>DUAs are classified into two categories:</p> <p>1) Non-human subject data or completely de-identified human research participant data (as determined by Northwestern's IRB office)</p> <p>2) Human research participant data which includes Protected Health Information. This includes data which constitutes a Limited Data Set as defined by HIPAA.</p> <p>Transfers which fall into category 2 are subject to HIPAA regulations and may require IRB approval. Questions about IRB approval, guidelines and policies should be directed to irb@northwestern.edu.</p>	
CONTACT Sponsored Research mta@northwestern.edu	

AWARDS (CONTINUED)

Will the award remain at Northwestern?

The PI must name a replacement PI at Northwestern, if the project is remaining at Northwestern. The request should be initiated through InfoEd, and is ultimately subject to sponsor approval. If needed, an outgoing subcontract can also be requested via InfoEd.

If the departing PI remains PI of a Northwestern award through an adjunct appointment, **see Effort Reporting below** for additional institutional administrative issues.

CONTACT Sponsored Research CHICAGO osr-chicago@northwestern.edu 312-503-7955

CONTACT Sponsored Research EVANSTON osr-evanston@northwestern.edu 847-491-3003

CLINICAL TRIALS

Notify the ClinicalTrials.gov administrator to identify any/all responsibilities that are required to be fulfilled.

Fill out [the appropriate form](#) on the Protocol Registration System.

[Notify Sponsored Research](#) if the Clinical Trial is funded by an outside agency so that the appropriate contractual termination terms can be implemented.

CONTACT Clinical Trials clinicaltrials.gov@northwestern.edu

PROJECT FINANCES

Ensure research project expenditures have been certified. Check to be sure there are no outstanding charges owed to core facilities.

CONTACT ASRSP Office [ASRSP Grant & Contract Financial Administrators \(GCFA\)](#)
The appropriate GCFA may be easily identified on a current budget statement for the award (Cognos GM045 report).

EFFORT REPORTING

Ensure effort reports **have been certified**. For unavailable reporting periods (cannot be completed electronically), contact your effort coordinator for a paper effort report.

If a departing PI remains PI of a project awarded to Northwestern but under an adjunct, non-paid appointment, notify your campus Effort Coordinator, as effort reports will need to be manually generated. Since adjunct PIs retain their NetIDs, they can certify directly in the Effort Reporting System (required each quarter the adjunct PI remains PI of the project at Northwestern).

For significant effort commitments, executing a Memorandum of Understanding (MOU) with the PI's new institution is recommended – contact Sponsored Research to initiate.

CONTACT Erin Farlow, Office of Cost Studies CHICAGO e-farlow@northwestern.edu

CONTACT Christina Mete, Office of Cost Studies EVANSTON c-mete@northwestern.edu

PROJECT EQUIPMENT

Ensure research project equipment is **accounted for, transferred, disposed of, and documented appropriately**. Any equipment transfer needs the department chair's approval signature on the OSR-4 form.

CONTACT Jany Raskina, Expenditure Audit Coordinator, ASRSP y-raskina@northwestern.edu [Bill of Sale](#)

CONTACT Accounting Services, Equipment Inventory equipment@northwestern.edu [Indemnification Agreement for Donated Item](#)
[Equipment Disposal Form](#)

HUMAN RESEARCH PARTICIPANTS

Ensure protocols for human research participants are either modified to transfer to another Northwestern PI or closed appropriately. See instructions on [modifications](#) and [study closure](#).

CONTACT Institutional Review Board (IRB) Office, Biomedical Research	irb@northwestern.edu	312-503-9338
CONTACT Institutional Review Board (IRB) Office, Behavioral Research	sbirb@northwestern.edu	847-467-1723

ANIMAL SUBJECTS

Ensure protocols for animals are closed appropriately. [Protocol Inactivation Form](#) must be completed.

CONTACT Institutional Animal Care & Use Committee (IACUC) Office	acuc@northwestern.edu	312-503-9339
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LABORATORY

Notify Research Safety as soon as possible to avoid unnecessary expense charged back to the PI or Department. Research Safety can assist with waste disposal, equipment recycling and the proper shipment of hazardous materials.

CONTACT Reginald Blythe, Research Safety CHICAGO	r-blythe@northwestern.edu
CONTACT Brett Berg, Research Safety EVANSTON	brett.berg@northwestern.edu

RESEARCH RECORDS

Ensure original research records are maintained by Northwestern. Research records from projects awarded to Northwestern are the property of Northwestern. PIs may take copies of research records. Northwestern must ensure original records are retained as appropriate.

CONTACT Research Integrity	researchintegrity@northwestern.edu
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EXPORT CONTROLS COMPLIANCE

Ensure any existing export compliance issues (for example, a technology control plan) are properly closed out and documented.

CONTACT Export Controls Compliance	exportcontrols@northwestern.edu
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INNOVATIONS AND NEW VENTURES OFFICE (INVO)

Contact your invention manager or INVO if you:

- have disclosed any invention(s) to INVO.
- will continue development of invention(s) at another institution.
- have documented what/when work was completed at Northwestern.

CONTACT INVO Office	847-467-2097
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