

## Research-Related Principal Investigator

# CHECK-OUT PROCEDURE CHECKLIST

### **Please Note:**

- 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](#).

## **SPONSORED RESEARCH**

[osr.northwestern.edu](http://osr.northwestern.edu)

### **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.*

- Determine if the award is eligible to transfer to another institution per the sponsor's policies. Contact [Sponsored Research Grants Officer](#) for assistance.
- Obtain the awarding agency instructions to process the transfer.
- Submit via [InfoEd](#) the Award Relinquishment Request, and route with all approvals to Sponsored Research.
- 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.
- 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](#) via [research.gov](http://research.gov).  
Note: The balance transferred has to be exact to prevent future funding issues.

#### **Will materials be transferred?**

*Materials include tangible biological materials (cell lines, tissues, sera, DNA, transgenic animals, plasmids, vectors, etc.) and other research materials (compounds, sensors and software, etc.).*

- If you are transferring materials, contact the Material Transfer Agreement (MTA) Officer in Sponsored Research.
- Complete an MTA request for outbound materials through [InfoEd](#).

**CONTACT:** MTA Officer, [mta@northwestern.edu](mailto:mta@northwestern.edu)

# PI CHECK-OUT PROCEDURE CHECKLIST

## SPONSORED RESEARCH (CONT.)

### Will data be transferred?

DUAs are classified into two categories:

- 1) Non-human subject data or completely de-identified human research participant data (as determined by Northwestern's IRB office)
- 2) Human research participant data, which includes Protected Health Information. This includes data which constitutes a Limited Data Set as defined by HIPAA. 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](mailto:irb@northwestern.edu).

- If you are transferring data, you must establish a Data Use Agreement (DUA) between Northwestern and the recipient institution.
- Complete a DUA request for outbound data through [InfoEd](#).

**CONTACT:** MTA Officer, [mta@northwestern.edu](mailto:mta@northwestern.edu)

### 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, [osr-chicago@northwestern.edu](mailto:osr-chicago@northwestern.edu), 312-503-7955

## CLINICAL TRIALS

[clinicaltrials.gov](http://clinicaltrials.gov)

- Notify the [ClinicalTrials.gov](http://ClinicalTrials.gov) administrator to identify any/all responsibilities that are required to be fulfilled.
- 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](mailto: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).

# PI CHECK-OUT PROCEDURE CHECKLIST

## EFFORT REPORTING

[www.northwestern.edu/coststudies/effort.html](http://www.northwestern.edu/coststudies/effort.html)

- 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). Paid adjunct appointments (any role) charged to sponsored projects are also required to certify effort. Please Note: [VPN](#) is required to access ERS from an off-campus location. For assistance installing or logging into [VPN](#), contact NUIT at 847-491-4357, option 1.

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](mailto:e-farlow@northwestern.edu)  
Christina Mete, Office of Cost Studies EVANSTON, [c-mete@northwestern.edu](mailto:c-mete@northwestern.edu)

## PROJECT EQUIPMENT

[www.northwestern.edu/controller/accounting-services/equipment-inventory](http://www.northwestern.edu/controller/accounting-services/equipment-inventory)

- 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.
  - [Bill of Sale](#)
  - [Indemnification Agreement for Donated Item](#)
  - [Equipment Disposal Form](#)

### CONTACT:

Jany Raskina, Expenditure Audit Coordinator, ASRSP, [y-raskina@northwestern.edu](mailto:y-raskina@northwestern.edu)  
Accounting Services, Equipment Inventory, [equipment@northwestern.edu](mailto:equipment@northwestern.edu)

## HUMAN RESEARCH PARTICIPANTS

[irb.northwestern.edu](http://irb.northwestern.edu)

- 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](mailto:irb@northwestern.edu), 312-503-9338  
Institutional Review Board (IRB) Office, Behavioral Research; [sbirb@northwestern.edu](mailto:sbirb@northwestern.edu), 847-467-1723

# PI CHECK-OUT PROCEDURE CHECKLIST

## INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC) OFFICE

[iacuc.northwestern.edu](http://iacuc.northwestern.edu)

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

### CONTACT:

Institutional Animal Care & Use Committee (IACUC) Office, [acuc@northwestern.edu](mailto:acuc@northwestern.edu), 312-503-9339

## LABORATORY

[researchsafety.northwestern.edu](http://researchsafety.northwestern.edu)

- 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:** Research Safety, [researchsafety@northwestern.edu](mailto:researchsafety@northwestern.edu), 847-491-5581

## RESEARCH RECORDS

[researchintegrity.northwestern.edu](http://researchintegrity.northwestern.edu)

- 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](mailto:researchintegrity@northwestern.edu)

## EXPORT CONTROLS COMPLIANCE

[exports.northwestern.edu](http://exports.northwestern.edu)

- 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](mailto:exportcontrols@northwestern.edu)

## INNOVATIONS AND NEW VENTURES OFFICE (INVO)

[invo.northwestern.edu](http://invo.northwestern.edu)

- Contact your invention manager or INVO if you:
- have disclosed any invention(s) to INVO;
  - will continue development of invention(s) or intellectual property at another institution; and/or
  - need to document what/when work related to creation or development of intellectual property was completed at Northwestern.

**CONTACT:** INVO Office, [invo@northwestern.edu](mailto:invo@northwestern.edu), 847-467-2097