

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](#).

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).

SPONSORED RESEARCH

sponsoredresearch.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 your [Sponsored Research Officer](#) for assistance.
- Obtain the awarding agency instructions to process the transfer.
- Submit an Award Relinquishment Request via CERES 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 eRA 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 initiated via research.gov. Note: The balance transferred must be exact to prevent future funding issues.

CONTACT: Sponsored Research, mta@northwestern.edu

PI CHECK-OUT PROCEDURE CHECKLIST

SPONSORED RESEARCH (CONT.)

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, you must establish a [Material Transfer Agreement \(MTA\)](#) between Northwestern and the recipient institution.

To begin the negotiation of a new MTA, work with your Northwestern Research Administrator to complete an MTA request for outbound materials. Contact the Sponsored Research Contracts Team at mta@northwestern.edu with any questions about this process.

Will data be transferred?

[Data Use Agreements \(DUA\)](#) 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.

- If you are transferring data, you must establish a DUA between Northwestern and the recipient institution.
- To begin the negotiation of a new DUA, work with your Northwestern Research Administrator to complete a DUA request for outbound data. Contact the Sponsored Research Contracts Team at mta@northwestern.edu with any questions about this process.

CONTACT: Sponsored Research, 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 CERES, and is ultimately subject to sponsor approval. If needed, an outgoing subcontract can also be requested via [CERES](#).
- 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, SponsoredResearch@northwestern.edu, 312-503-7955

CLINICAL TRIALS

clinicaltrials.gov

- Notify the [ClinicalTrials.gov](https://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

PI CHECK-OUT PROCEDURE CHECKLIST

EFFORT REPORTING

<https://www.northwestern.edu/asrsp/costing/effort-reporting.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 reporting period 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: For assistance with [VPN](#), [MFA](#), or [NetID](#), contact NUIT at 847-491-4357 or consultant@northwestern.edu.

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

CONTACT:

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

PROJECT EQUIPMENT

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. All capital equipment disposals and transfers **must be reported in NU Financials** using a Capital Equipment Asset Request.
 - [Bill of Sale](#)
 - [Indemnification Agreement for Donated Item](#)
 - [Capital Equipment Asset Request](#)

CONTACT:

Accounting Services, Equipment Inventory, equipment@northwestern.edu

HUMAN RESEARCH PARTICIPANTS

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](#).
- Please review the IRB Office's [Principal Investigator Transfer of Responsibility Guidelines](#) webpage.

CONTACT:

Institutional Review Board (IRB) Office, Biomedical Research; irb@northwestern.edu, 312-503-9338

Institutional Review Board (IRB) Office, Behavioral Research; sbsirb@northwestern.edu, 847-467-1723

PI CHECK-OUT PROCEDURE CHECKLIST

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC) OFFICE

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, 312-503-9339

LABORATORY

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. Please contact Research Safety as soon as possible to allow sufficient time to help you remove hazardous materials.

CONTACT: Research Safety, researchsafety@northwestern.edu, 847-491-5581

RESEARCH RECORDS

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

EXPORT CONTROLS AND INTERNATIONAL COMPLIANCE

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

CORPORATE ENGAGEMENT AND FOUNDATION RELATIONS

corporate.northwestern.edu

www.northwestern.edu/foundationrelations/

- Corporate Engagement:** If you are transferring a corporate award from Northwestern, please notify Jim Bray at j-bray@northwestern.edu.
- Foundation Relations:** If you are transferring a private foundation award from Northwestern, please notify Sarah Fodor at s-fodor@northwestern.edu.

CONTACT:

Jim Bray; Senior Director, Corporate Engagement; j-bray@northwestern.edu, 847-491-3371

Sarah J. Fodor; Senior Executive Director, Foundation Relations and Corporate Engagement; s-fodor@northwestern.edu, 847-491-4590

PI CHECK-OUT PROCEDURE CHECKLIST

INNOVATIONS AND NEW VENTURES OFFICE (INVO)

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, 847-467-2097