# Research-Related PI
## CHECK-OUT PROCEDURE CHECKLIST

Before departing, check with your center/department for specific check-out procedures.  
A completed Relinquishing Statement must be reviewed by ASRSP and approved by OSR prior to a PI transfer.

### 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.
- [ ] Gain all approvals from both/either institution as applicable, including PI, division/department chair, dean and VP for Research.
- [ ] Notify Office for Sponsored Research (OSR) to coordinate with the sponsor and transfer institution via an Award Relinquishment request through the Electronic Sponsored Projects Request (ESPR) system, working with department research administrator.
- [ ] For NIH awards, a Relinquishing Statement must be completed by Accounting Services (ASRSP) prior to a transfer to OSR.  
  Once the transfer date and estimated unobligated balance is confirmed by ASRSP, OSR will transmit the Relinquishing Statement’s data to NIH via NIH Commons.
- [ ] Complete NIH Relinquishing Statement, when applicable.
- [ ] 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.

#### Will material be transferred?

- [ ] If you are transferring material, begin the negotiation of a new Material Transfer Agreement (MTA).
  - When an MTA is received by the PI from an outside party in lieu of materials exchange or transfer, the agreement should be emailed.
  - Complete a Material Transfer Agreement request for outbound materials through the Electronic Sponsored Projects Request (ESPR) system.
  - CONTACT Material Transfer Agreement (MTA) Officer mta@northwestern.edu

#### Will data be transferred?

- [ ] If you are transferring data, you must establish a data use agreement (DUA) between Northwestern and the recipient institution.
  - DUA’s are classified into two different categories:
    1) Non-human subject data or completely de-identified human research participant data (as determined by NU’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.
  - Complete a Data Use Agreement request for outbound data through the Electronic Sponsored Projects Request (ESPR) system.
  - CONTACT Office for Sponsored Research CHICAGO mta@northwestern.edu  
  - CONTACT Office for Sponsored Research EVANSTON micheal.rynties@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 ESPR, and is ultimately subject to sponsor approval. If needed, an outgoing subcontract can also be requested via ESPR.
- If the departing PI remains PI of a Northwestern award through an adjunct appointment, see Effort Reporting below for additional institutional administrative issues.

<table>
<thead>
<tr>
<th>CONTACT</th>
<th>Office for Sponsored Research CHICAGO</th>
<th><a href="mailto:osr-chicago@northwestern.edu">osr-chicago@northwestern.edu</a></th>
<th>312-503-7955</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Office for Sponsored Research EVANSTON</td>
<td><a href="mailto:osr-evanston@northwestern.edu">osr-evanston@northwestern.edu</a></td>
<td>847-491-3003</td>
</tr>
<tr>
<td></td>
<td>CONTACT ASRSP</td>
<td><a href="mailto:asrswpweb@northwestern.edu">asrswpweb@northwestern.edu</a></td>
<td>847-491-3385</td>
</tr>
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### CLINICAL TRIALS
- Notify the ClinicalTrials.gov administrator of your departure from Northwestern to identify any/all responsibilities that are required to be fulfilled.
- Fill out the appropriate form on the Protocol Registration System.

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<thead>
<tr>
<th>CONTACT</th>
<th>Clinical Trials</th>
<th><a href="mailto:clinicaltrials.gov@northwestern.edu">clinicaltrials.gov@northwestern.edu</a></th>
</tr>
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### PROJECT FINANCES
- Ensure research project expenditures have been certified. PI must check to be sure there are no outstanding charges owed to core facilities.

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<tr>
<th>CONTACT</th>
<th>ASRSP Office</th>
<th>ASRSP Grant &amp; Contract Financial Administrators</th>
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### EFFORT REPORTING
- Ensure effort reports have been certified, contact your effort coordinator for a paper effort report template if you cannot submit effort electronically.
- If a departing PI remains PI of a project awarded to Northwestern but under an adjunct, non-paid appointment, an effort report is not generated via the Effort Reporting System (ERS), as the PI is not an Northwestern employee. A paper effort report must be generated and submitted each quarter the adjunct PI remains PI of the project at Northwestern.

<table>
<thead>
<tr>
<th>CONTACT</th>
<th>Cost Studies Effort CHICAGO</th>
<th><a href="mailto:e-farlow@northwestern.edu">e-farlow@northwestern.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CONTACT Cost Studies Effort EVANSTON</td>
<td><a href="mailto:c-mete@northwestern.edu">c-mete@northwestern.edu</a></td>
</tr>
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### 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.

<table>
<thead>
<tr>
<th>CONTACT</th>
<th>Expenditure Audit Coordinator</th>
<th><a href="mailto:y-raskina@northwestern.edu">y-raskina@northwestern.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>CONTACT Senior Accountant, Capital Assets, Equipment Inventory</td>
<td><a href="mailto:r-george@northwestern.edu">r-george@northwestern.edu</a></td>
</tr>
</tbody>
</table>

#### CONTACTS:
- Bill of Sale
- Indemnification Agreement for Donated Item
- Equipment Disposal Form
# HUMAN RESEARCH PARTICIPANTS

- Ensure protocols for human research participants are closed appropriately. Complete project **Termination/Closure Form**.

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

  **CONTACT** The Institutional Review Board (IRB) Office, Behavioral Research  
  irb@northwestern.edu  
  847-467-1723

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# ANIMAL SUBJECTS

- Ensure protocols for animals are closed appropriately. **Protocol Inactivation Form** must be completed.

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

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# LABORATORY

- Complete required laboratory closing surveys. Utilize ORS’s **labatory closeout checklist** as appropriate.

  **CONTACT** Andrea Hall, Office for Research Safety  
  CHICAGO  
  ahall@northwestern.edu

  **CONTACT** Markus Schaufele, Office for Research Safety  
  EVANSTON  
  m-schaufele@northwestern.edu

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# 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** Office for Research Integrity  
  nu-ori@northwestern.edu