Faculty/Principal Investigator (PI)

# **Research Offboarding Checklist**

1. Before departing U-M, check with your unit for specific offboarding procedures.
2. Use this checklist as a guide to **offboard** your institutional research-related activity.

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| Awards |

Award close-out may include submission of final technical reports, invention reports, and equipment inventory reports.

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| To transfer awards to another institution, at least **90 days prior to departure**: |
|  | Contact ORSP and review the sponsor’s requirements to determine if the award is eligible for transfer. |
|  | Obtain concurrence from the other institution to accept the award, including the PI, department chair/unit head, dean/director, and ORPS equivalent. |
|  | Notify the Office of Contract Administration (OCA) to terminate all subawards (subcontracts) prior to award transfer. |
|  | Work with your unit’s Research Administrator (RA) to submit a *Post-Award Change Request* (PACR) form to ORSP.<http://orsp.umich.edu/find-research-administrator-blue-pages><http://orsp.umich.edu/files/post-award-change-request-formpdf> | Select the *Transfer to New Institution* option. Include:* Contact information of the office equivalent to ORSP at the new institution
* Effective date of transfer
* Signatures designating U-M approval for the transfer from the PI, department chair/unit head, and the dean/director
 |
|  | For NIH awards, work with your unit’s RA to submit to ORSP a completed:* *Relinquishing Statement*, and
* *Final Invention Statement*

ORSP submits the statements to NIH. | The *Relinquishing Statement* authorizes the unexpended award balance and equipment to be transferred with the PI to the new institution: <https://grants.nih.gov/grants/phs3734.pdf> *Final Invention Statement*: <https://grants.nih.gov/grants/hhs568.pdf> |
|  | For NSF awards, after obtaining NSF and institutional (both) approval for the transfer, submit a formal notification through FastLane.  |
| If the award will remain at U-M under a new PI: |
|  | Obtain approval from the current PI, the new (proposed) PI, the department chair unit head of the current PI and (if different) of the proposed PI, the dean/director of the current PI and (if different) of the proposed PI, and the sponsor. |
|  | Work with your unit’s RA to submit a *Post-Award Change Request* (PACR) form to ORSP.<http://orsp.umich.edu/files/post-award-change-request-formpdf> | Select the *PI/Key Person Change* option. Include:* Justification of change statement
* Effective date of transfer
* Biographical sketch of new PI
* Other sources of support for new PI
* Approval signatures
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| **Contact**: ORSP | orsp-info@umich.edu  | 734-764-5000 |
| **For subawards/subcontracts, contact:** OCA | subcontracts@umich.edu | 734-963-3194 |

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| If you are the “Responsible Party” (PI) on a **clinical trial** – Michigan Medicine Units: |
|  | Work with your Clinical Trial Support Unit (CTSU) representative to identify any/all responsibilities to be fulfilled.  | https://research.medicine.umich.edu/our-units/clinical-trials-support-office/clinical-trials-support-units |
|  | Complete the appropriate form in the ClinicalTrials.gov Protocol Registration System (PRS) to transfer studies to another institution or change the responsible party to a new U-M PI. | <https://register.clinicaltrials.gov/>  |
| **Contact**: CTSO | CTSOgroup@umich.edu |  |

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| Research Materials, Data, and Equipment |

Prior to departure the project materials, data, and equipment must be accounted for, transferred or disposed of, and documented appropriately.

Research records from projects awarded to (or by) the University of Michigan belong to U-M. PIs may take copies of research records under certain circumstances. Original records are retained at U-M.

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| To request to transfer **materials** to another institution: |
|  | Report your inventions developed at U-M (e.g., software/digital works, creative works, [research tools and biomaterials](https://orsp.umich.edu/set-project/research-tools-and-biomaterial-sharing-policies)) to Tech Transfer | Tech Transfer works with faculty to report inventions for licensing and commercialization in order to secure intellectual property rights.<https://techtransfer.umich.edu/for-inventors/submit-your-innovation/> |
|  | Complete a *materials transfer agreement* (MTA) in the eResearch Proposal Management (eRPM) system. | To transfer materials (e.g., biospecimens, technology, etc.) to another institution, you must establish an MTA between the University of Michigan and that institution. The MTA is a type of unfunded agreement (UFA) in eRPM.<https://techtransfer.umich.edu/for-inventors/mta/>  |
|  | Contact MShip for assistance with packaging and shipment of biospecimens in dry ice and for other hazardous materials using eShipGlobal.For non-hazardous materials, use UPS Campus Ship. | <http://www.shipping.umich.edu/>  |
| **Contact**: Office of Technology Transfer | techtransfer@umich.edu | 734-763-0614 |
| **Contact**: Office of Technology Transfer | MichiganMTA@umich.edu | 734-763-0614 |
| **Contact:** U-M Shipping department | shipping@umich.edu | 734-763-8786 |

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| To request to transfer **data** to another institution: |
|  | Complete a *data use agreement* (DUA) in the eResearch Proposal Management (eRPM) system. Data transfers may require approval by U-M a compliance office(s) depending on the sensitivity of the data. For example:* Michigan Medicine Corporate Compliance office for protected health information (PHI), per HIPAA regulations;
* Export Controls Office for export controlled data.
 | To transfer data to U-M that is restricted in terms of how the data may be used or who may have access to the data, you may need to establish a DUA between U-M and the recipient institution.  The DUA is a type of unfunded agreement (UFA) in eRPM.<http://orsp.umich.edu/policies-procedures/data-sharing-and-use-agreements> |
| **Contact**: ORSP  | orsp-info@umich.edu  | 734-764-5000 |

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| To **transfer** **project equipment** to another U-M department or another institution or to **dispose** of project equipment: |
|  | Work with your unit IT to remove sensitive institutional/research data from **any** device, server, or U-M storage location prior to transfer or disposal of the equipment. | <https://www.safecomputing.umich.edu/protect-the-u/safely-use-sensitive-data/securely-dispose-of-media><http://cio.umich.edu/policy/electronic-data-disposal>  |
|  | For **internal** U-M transfers: submit an *Asset Transfer Form* to amtransfers@umich.edu* Include documentation acknowledging the release and receipt of the equipment (e.g., emails between the two U-M departments).

For **external** transfers: contact Property Control to arrange equipment/asset transfers. | Asset Transfer Form: <http://www.finance.umich.edu/sites/default/files/2017-10/Inter_Departmental_Asset_Transfer_Form.xlsx>Guidelines: <http://procurement.umich.edu/sites/default/files/transferring_equipment.pdf> General information: <http://procurement.umich.edu/property-space-management/asset-management/transferring-property>  |
|  | Work with your U-M department to appropriately dispose of surplus equipment through U-M Property Disposition. | <http://procurement.umich.edu/property-space-management/property-disposition-u-m-departments/declaring-and-sending-surplus>  |
| **Contact**: Property Control  | property.control.inventory@umich.edu  | 734-764-5000 |
| **Contact:** Property Disposition | property.disposition@umich.edu | 734-764-2470 |

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| Regulatory Actions (as applicable) |

Annual/periodic compliance requirements (e.g., renewals of approval, outside interest disclosure, training, reports) are contingent upon your role on, and the state of, the research project.

**Prior to departure**, work with your unit Research Administrator (RA) to obtain a list of your research projects and regulatory approvals (e.g., animal protocols, human subjects studies, etc.) to identify whether to transfer a study to another institution, terminate the study, and/or remove/change roles on the study.

If you serve on a U-M regulatory review or advisory committee (e.g., COI, IRB, IBC, HPSCRO, data safety, laboratory safety, etc.), notify the applicable U-M regulatory office of your resignation **at least 90 days prior** to departure.

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| If you have a **Conflict of Interest (COI) Management Plan**: |
|  | Contact the applicable COI Office to terminate management or to determine if continuing outside interest disclosure to U-M and COI management at U-M is required.  |
| **Contact**: UMOR COI (campus units) | coi.umor.office@umich.edu | 734-764-3224 |
| **Contact**: MEDCOI (Michigan Medicine units) | coi.med.office@umich.edu | 734-615-9842 |

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| If your work involves **human research subjects**: |
|  | Determine which studies should be terminated. Complete a Termination Report in the eResearch Regulatory Management (eRRM) system for each applicable study. | <http://www.umich.edu/~eresinfo/errm/docs/18b_termination.pdf>  |
|  | Contact the applicable U-M IRB to negotiate ceding oversight of an ongoing project to another IRB (i.e., transition the study to another institution). | <http://research-compliance.umich.edu/u-m-irb-contacts> |
|  | Complete an IRB amendment to remove yourself from a study or change your role on a study.Amend the related informed consent documents. | The PI on the study must submit the IRB amendment.<http://www.umich.edu/~eresinfo/errm/docs/PI_change.pdf>  |
|  | If you are the sponsor-investigator on an FDA-regulated drug or device study, update your contact information on the IND or IDE.  |
| **Contact**: IRB-HSBS (Ann Arbor, Dearborn & Flint campus units)  | irbhsbs@umich.edu | 734-936-0933 |
| **Contact**: IRBMED (Michigan Medicine units) | irbmed@umich.edu | 734-763-4768 |

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| If your work involves **animal subjects**: |
|  | Contact the Animal Care & Use Office (ACUO) for assistance in determining the appropriate close out/transfer action for your animal protocols (PROs). | <http://animalcare.umich.edu/>  |
|  | Contact the Unit for Laboratory Medicine (ULAM) to transfer vertebrate animals to another institution. | <http://animalcare.umich.edu/animal-use/transporting-animals>  |
| **Contact**: U-M Animal Care & Use Office (ACUO) | acuoffice@umich.edu | 734-763-8028 |
| **Contact:** ULAM Rodent Health Surveillance Team | ulam-rhst@umich.edu | 734-936-1699 |

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| If your work involves **recombinant DNA/SNA (including use of transgenic animals), infectious agents, biological toxins, human-derived and/or certain animal-derived substances, and administration of any of the above to vertebrate animals**: |
|  | Contact the IBC Office prior to your departure regarding withdrawal of your IBC Application. |
|  | If aspects of your IBC-approved work will continue at U-M under the director of another U-M PI, work with the new PI to amend his/her IBC Application. | <https://research-compliance.umich.edu/ibc-registration-process> |
|  | Request a decommissioning inspection from EHS. For details see the Laboratory Decommissioning section below. | <https://ehs.umich.edu/forms/laboratory-equipment-owner-decontamination/>  |
| **Contact**: IBC Office | IBCstaff@umich.edu | 734-615-9637 |

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| If your work involves **anything that is military in nature, defense articles, dual-use or nuclear technologies, space technologies, weapons, explosives, select agents, restrictions on use of foreign persons, or collaboration with colleagues or institutions in embargoed countries**: |
|  | Notify the Export Control Program of any of the following you hold so that they may be transferred or terminated:* Licenses you hold with the Departments of State, Commerce, or Treasury.
* Technology Control Plans (TCPs)
 | <http://research-compliance.umich.edu/export-controls/technology-control-plans-licenses> |
|  | Notify your Department of any international visiting scholars in your lab who may need new faculty supervision. |  |
| **Contact**: Export Controls Program | exportcontrols@umich.edu | 734-615-0672 |

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| If your work involves research utilizing **controlled substances**: |
|  | Notify the UMOR Controlled Substance Oversight Monitor of your departure. |
|  | Modify or terminate your State of Michigan (SOM) Research License and DEA Researcher Registration. | Modifications must be made first for the SOM license and then for the DEA registration.<http://research-compliance.umich.edu/modify-licenseregistration>  |
|  | Dispose of all controlled substances properly under your license/registration | Controlled substances **cannot** be transferred to another PI.<http://research-compliance.umich.edu/dispose-controlled-substances>  |
|  | Complete a closing inventory | <http://research-compliance.umich.edu/files/cs-inventory-initial-closingdocx>  |
| **Contact**: U-M Controlled Substance Monitor, Kelli Christman | cs-monitor@med.umich.edu  | 734-764-2003 |

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| If your work involves **human embryonic or induced pluripotent stem cells**: |
|  | Notify HPSCRO to terminate your pluripotent stem cell compliance approval. |
|  | To transfer the cell lines to another institution, complete a *Materials Transfer Agreement*.  | To transfer materials (e.g., biospecimens, technology, etc.), you must establish an MTA between the provider institution and the University of Michigan. The MTA is a type of unfunded agreement (UFA) in eRPM.<https://techtransfer.umich.edu/for-inventors/mta/> |
| **Contact**: HPSCRO | HPSCROquestions@umich.edu  | 734-763-8028 |

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| If your work involves **unmanned aircraft systems (UAS** or “**drones”) or driverless ground vehicles**: |
|  | Contact the U-M Institutional Autonomous Systems Committee (IASC) to terminate your IASC approval. |
| **Contact**: Institutional Autonomous Systems Committee (IASC) | IASC.Review@umich.edu | 734-936-3934 |

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| If your work involves **Controlled Unclassified Information (CUI)**:  |
|  | Contact the Research Information Security Oversight Program to determine the appropriate decommissioning / transfer procedures to ensure compliance with the federal law. Any transfer to CUI contracts/awards/information must be approved by the responsible federal Contracting Officer.<https://research-compliance.umich.edu/research-information-security/controlled-unclassified-information-cui>  |
| **Contact**: Research Information Security Oversight  | Research.Information.Security@umich.edu  | 734-936-2681 |

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| Laboratory Decommissioning  |

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| If you work in a **laboratory** or your work involves **hazardous materials (biological, chemical, radiological), lasers, superconducting magnets, or potentially hazardous equipment:** |
|  | Use the *Checklist for Decommissioning a Laboratory* to plan and schedule your lab decommissioning. | <https://ehs.umich.edu/wp-content/uploads/2016/04/Chklst-to-Decomm-a-Lab.pdf> |
|  | Request a decommissioning inspection from EHS | <https://ehs.umich.edu/forms/laboratory-equipment-owner-decontamination/>  |
|  | Complete, as applicable, the *Documents Needed When Leaving a Laboratory*, including:* Surplus Equipment Form
* HVAC Refrigerant Equipment Input Form
* Hazardous Materials Transfer Form
 | General information: <https://ehs.umich.edu/research-clinical/planning-safe-research/lab-decommissioning/>  |
|  | Decontaminate and label all research equipment used with potentially hazardous materials. Each piece of equipment must have a signed *Equipment Decontamination* form attached. | Equipment Decontamination Form: <https://ehs.umich.edu/forms/laboratory-equipment-owner-decontamination/>  |
| **Contact**: EHS | ehsanswers@umich.edu  | 734-647-1143 |

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| Finances |

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| If you are have **sponsored projects/funding**:  |
|  | Work with your unit’s *Research Administrator* and your department’s *Sponsored Programs Coordinator* to verify that research project expenditures are complete and accurately reported. | The PI is responsible for ensuring that no outstanding charges are owed. |
|  | Work with your unit’s *Research Administrator* to close out a sponsored project/grant:* Complete the applicable financial closeout checklist
* File a final financial report (FSR)
 | Checklists: <http://www.finance.umich.edu/programs/sppgcc> General information: <http://orsp.umich.edu/close-out-project>  |
| **Contact**: Sponsored Programs  | sponsoredprograms@umich.edu | 734-764-8204 |

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| If you have **discretionary funds**: |
|  | Work with your department to close out any discretionary funds. | <http://provost.umich.edu/reports/discretionary/policy_statement.html> |
| **Contact**: Financial Operations/Financial Reporting  | FinRpts.Staff@umich.edu |  |

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| To finalize your **effort reports**: |
|  | Complete the annual certification report for prior periods in Wolverine Access > Employee Business | For detail see: <http://finance.umich.edu/finops/payroll/faculty/effort> |
|  | Contact Financial Operations to request “As Needed Effort Certification” for the current period to terminate effort reporting at U-M.  |
| **Contact**: U-M Financial Operations  | Effort.reporting.payroll@umich.edu |  |