Research Administrators Monthly Meeting March 2018

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Office of Research Services

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Agenda

- Presentation
- Questions/Discussion

Pre/Post Award Guidance on PI Departures

Principal Investigator Departure

Events that trigger Change of PI Status:

- Short-term leave of absence (i.e. less than 90 days)
- Long-term leave of absence (i.e. sabbatical or medical leave)
- Resignation from the University
- Retirement from the University

Important Reminders

- Awards are made to UIC, not directly to PIs

- UIC must agree to transfer awards if/when a PI moves to another institution

  – Exception for individual fellowships/career awards and certain institutional grants

- Sponsor must also agree to the transfer

- Coordination between the PI, departmental staff, ORS, and GCO is key

- Plan in advance! There are circumstances when NIH or other sponsor may not allow transfer

Considerations for PI Departure

- Financial Information (prime award, subaward, sponsored and non-sponsored funding)

  – Relinquishment

  – Closeout (service center accounts, personnel, etc.)

  – Final reports (i.e., technical, financial, invention and property, effort reporting, etc.)

- Equipment

- Transfer/terminate MTAs/DUAs

- Intellectual property

- Human subject research

Procedures for PI Departures or Changes

- Meet with PI and review active awards

- Most common options:

  1. Transfer award to new institution
  2. Change of PI at UIC
  3. Terminate project early

- Document plan with PI

- Notify ORS and GCO of plan

Transfer to New Institution

- Review sponsor policy regarding transfer applications & contact sponsor for specific instructions if necessary

  – Typically, prior approval is necessary to proceed

- Complete the **Request For PI Award Transfer/Relinquishment** internal form for each award being transferred

- PI/BM will initiate and ORS will submit the appropriate paperwork to the sponsor (Relinquishing Statement, Final Invention Statement, etc.)

Financial Considerations

- Ensure all expenditures are posted and reconciled in Banner

    – any pending invoices from vendors or subcontractors?

    – any incomplete invoices? (i.e., invoices on "hold" status by payable)

    – any unreconciled p-card/t-card expenses?

    – how about service center charges? (i.e., BRL, RRC, copier billings, etc.)

Other Closeout Considerations

- Effort Reporting

  – Ensure salary expenses are properly allocated for all project personnel

- Equipment
  – Purchased from active awards
  – Purchased from awards that were closed
  – Consult Section 12 of Business and Financial Policies and Procedures

  https://www.obfs.uillinois.edu/bfpp/section-12-property-accounting/

- Others (Research materials, data, records, active clinical trials, intellectual property, etc.)

Transfer to New Institution (NIH)

1. PI notifies NIH GMS of the intent to transfer award

2. PI/Business Manager submit internal paperwork to ORS

3. Final FFR Expenditure Data and a Final Invention Statement are due to NIH from the relinquishing organization no later than 120 days after the end of NIH support of the project. Final FFR Expenditure Data should not be submitted until the original institution has received a revised NoA for the relinquished grant.

NIH Grants Policy Statement:

8.1.2.7 Change of Recipient Organization

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Change of PI at UIC

- Any change in PI will require prior approval from the sponsor

- Submit revised PAF to ORS with new PI

- Notify GCO of sponsor's approval

Change of PI Request (NIH)

- ORS will initiate a prior approval **Change of PD/PI** request in eRA Commons
- Documentation needed from PI/Department:
  - Letter requesting change of PI
  - Scientific justification related to project, including any proposed changes in scope
  - Biosketch and Other Support for new PI
  - Budget changes resulting from the proposed change
  - A new or revised Leadership Plan is required if the request is to change from a single PD/PI model to a multiple PD/PI model, or to change the number or makeup of the PD/PIs on a multiple PD/PI award

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Terminate Project Early

- Notify sponsor and seek instructions
- NIH
  - Final FFR Expenditure Data and a Final Invention Statement are due to NIH from the relinquishing organization no later than 120 days after the end of NIH support of the project

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Significant Absence of a PI

■ Principal investigators (PIs) anticipating absences from the University for significant periods of time are required to give official notice of such absences to the agencies sponsoring their research.

■ Most federal agencies require advance notification if the PI relinquishes active direction of a project for a period of three continuous months or longer, plans a significant change in effort, or plans to transfer to another institution.

■ The awarding agency must approve a replacement PI who is suggested by the original PI. Agencies reserve the right to terminate a grant if approval for a leave of absence has not been sought or if the replacement PI is not acceptable.

■ To initiate a leave, the PI should write to the awarding agency regarding the planned absence and appointment of a replacement. The CV of the replacement PI should accompany the request.
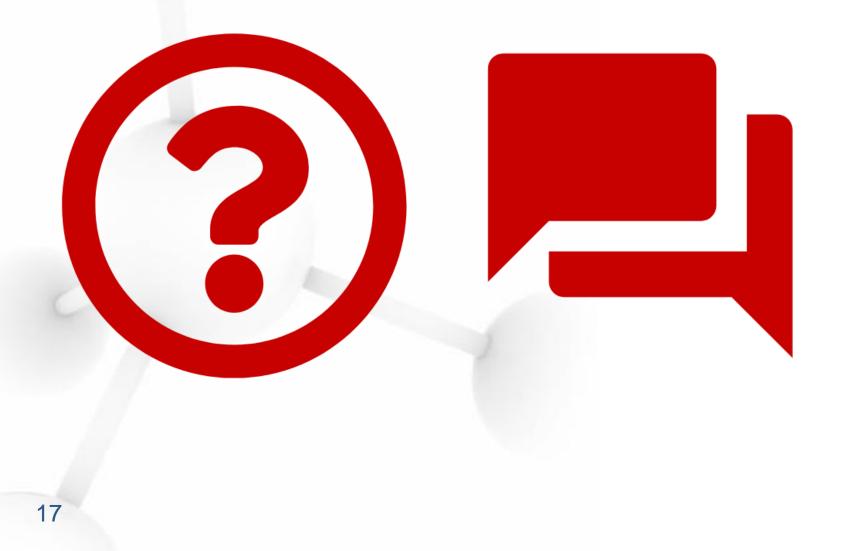
Resources

- Request for PI Award Transfer http://research.uic.edu/sites/default/files/form/files/PIAwardTransferor.doc

- Request to Permanently Transfer Sponsored Project Equipment with Research http://research.uic.edu/sites/default/files/form/files/Transfer-with-Researcher.doc

- Human subject/IRB Policy http://research.uic.edu/node/1829

- OBFS Policy Section 12 https://www.obfs.uillinois.edu/bfpp/section-12-property-accounting/

- ORS Website http://research.uic.edu/sponsored-programs/award-administration/grant-transfer

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Questions/Discussion

Next Meeting

Wednesday, April 18 from 1-2pm

Topic:

Sponsored Project Closeout

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