

## **ORED Practice when a PI or Co-PI leaves UNL**

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It is important to note that awards are made to the institution and not to individual PIs. Therefore, if an award is to be transferred, it must be verified that the award is transferable and the sponsor agrees to the transfer. Requirements for an award transfer vary widely by sponsor and award type, necessitating that all parties in the transfer work closely together throughout the process.

If the change involves a change to the PI, co-PI or persons identified as key personnel, in most cases the sponsor will require notification or approval of significant change in the level of participation in the project. The sponsor usually has the option to approve or disapprove of any changes to key personnel. Approval is required in advance and can take months to process. It is therefore recommended that the process be started as quickly as possible when a known change is needed. An Internal Change of PI/Key Personnel Request form must be completed and signed. The form may be found at <http://research.unl.edu/sponsoredprograms/forms-templates/>. See additional information in **ORED Practice on Changing PIs or Key Personnel**.

If equipment is to be transferred, the PI should work with his/her department to initiate that process as soon as possible. Transfer of equipment purchased with federal funds requires federal approval, a process that can take several months to complete. More information on transferring equipment may be found at <http://bf.unl.edu/policies/transfer-equipment-policy>.

Research materials should be handled in accordance with the Board of Regents policies. A data use or data transfer agreement may be needed as the circumstances dictate. Any active NDAs or MTAs must be reviewed for needed amendment or termination, and OSP should be contacted for resolution. Any active IRB, IBC or IACUC protocols should be reviewed and revised or closed as the circumstances dictate. Hazardous materials and waste must be removed prior to vacating the laboratory. The departing PI should work with the IRB, IBC and/or the IACP to revise or close out any existing protocols and should have disclosed any intellectual property developed while at UNL. If the departing faculty member has developed IP, NUtech Ventures must be contacted to discuss IP-based work at UNL.

When a PI announces s/he is leaving UNL employment, the following actions may be taken for disposition of active sponsored projects:

- 1) Transfer the award to the new institution. With the written approval of the sponsor (if required) and approval or acknowledgement of appropriate leadership of the department/school and the dean of the relevant college or division, the award may be relinquished, and the sponsor will initiate a new agreement with the new institution. If this route is taken, a final invention statement may be required. A UNL Award Relinquishment or Transfer Request form must be completed. See <http://research.unl.edu/sponsoredprograms/forms-templates/> for more information and to complete the form.
- 2) Transfer the award to the new institution, and subcontract part of the funds back to UNL. With the written approval of the sponsor (if required) and approval or acknowledgement of the appropriate leadership of a department/school and the dean of the relevant college

or division, the award may be relinquished, and the sponsor will initiate a new agreement with the new institution. The new institution will then subcontract a portion of the award back to UNL. If this route is taken, a final invention statement may be required. Please be aware that this process can take several months to complete. A UNL Award Relinquishment or Transfer Request form must be completed. See <http://research.unl.edu/sponsoredprograms/forms-templates/> for more information and to complete the form. The portion to be subcontracted back to UNL should be routed through NUgrant with the appropriate PI and key personnel listed on the routing form. A comment linking this agreement to the original award should be included on the routing form.

- 3) No change to the lead PI is required if the PI is granted adjunct, courtesy, emeritus or visiting status. With the written approval of the sponsor (if required), and approval or acknowledgement of the appropriate leadership of a department/school and the dean of the relevant college or division, the PI may be granted adjunct, courtesy, emeritus or visiting status in order to remain on the project as either the PI or co-PI. If the departing PI is the lead PI and one of the above listed statuses is granted, it is strongly recommended that a co-PI with one of the following appointment types be included on the project: 1) tenured or tenure-track assistant, associate or full professor; or 2) a person holding an appointment as a research assistant professor, research associate professor or research professor, extension specialist or professor of practice. The appropriate leadership of the department/school and the dean of the relevant college or division shall accept full fiscal and administrative liability and responsibility for the actions of the principal investigator included in this category. An Internal Change of PI/Key Personnel Request form must be completed and signed. The form may be found at <http://research.unl.edu/sponsoredprograms/forms-templates/>. See additional information in **ORED Practice on Changing PIs or Key Personnel.**

Note that in some cases, a PI may choose to leave the award at UNL and subaward a portion to his/her new institution. In keeping with conflict of interest guidelines, a PI may not serve as PI at UNL and as PI at an institution receiving a subaward from the project without approval from Research Compliance Services. Should the departing PI wish to take a portion of the project to his/her new institution, approval must be granted by the sponsor and any conflict of interest must be managed.

- 4) Change the PI at UNL. With the written approval of the sponsor (if required), approval or acknowledgment of appropriate leadership of a department/school and the dean of the relevant college or division, a new PI may be selected to complete the project at UNL. An Internal Change of PI/Key Personnel Request form must be completed and signed. The form may be found at <http://research.unl.edu/sponsoredprograms/forms-templates/>. The final approval decision is made by the vice chancellor for research and economic development. See additional information in **ORED Practice on Changing PIs or Key Personnel and ORED Practice on Naming PIs.**
- 5) Change the lead PI at UNL and subcontract a portion of the funds to the new institution so that the departing PI may continue work there. With the written approval of the sponsor (if required), approval or acknowledgement of appropriate leadership of a department/school and of the dean of the relevant college or division, a new PI may be selected to complete

the project at UNL, and a subaward may be created to allow the departing employee to continue to work on the project at his/her new institution. An Internal Change of PI/Key Personnel Request form must be completed and signed. The form may be found at <http://research.unl.edu/sponsoredprograms/forms-templates/>. See additional information in **ORED Practice on Changing PIs or Key Personnel and ORED Practice on Naming PIs.**

- 6) Terminate the project. If this route is taken, a final invention statement and/or progress report may be required. A UNL Award Relinquishment or Transfer Request form must be completed. See <http://research.unl.edu/sponsoredprograms/forms-templates/> for more information and to complete the form.

If the departing person is a co-PI, the lead PI should contact his or her department chair and OSP to discuss options regarding how/if the departing person can or will continue on the project.

In case of a dispute, the vice chancellor for research and economic development will have jurisdiction.