



**TRANSFERRING RESEARCH ACTIVITIES**

**FROM**

**WASHINGTON UNIVERSITY SCHOOL OF MEDICINE**

**TO**

**ANOTHER INSTITUTION**

***DRAFT: 4/1/09***

**Transferring Research Activities  
From Washington University School of Medicine  
To Another Institution**

Transferring research activities from WUSM to another institution is a straight forward process, and one which Research management can help go smoothly. Notify that office as soon as possible of an impending move.

Several things must be addressed:

- I. Official notification
- II. Transfer of funding – grants and other awards
- III. Transfer of equipment and materials
- IV. Disposition of
  - a. Research Records
  - b. Expendable supplies, including radioactive and hazardous materials
  - c. Research animals
- V. Intellectual properties
- VI. Miscellaneous notifications

**I. Official Notification** – form attached

It is important that the Department/Division Head be notified as soon as possible about your intent to move so that sufficient time is available to execute all the procedures. Complete the Transfer Notification form (attached) and submit it to the Division Administrator for processing.

**II. Transfer of Funding** – form attached

NIH and NSF have routine procedures to be followed for transferring grants from one institution to another. (Contracts generally must be re-negotiated between the agency and the new institution.) Other funding agencies need to be contacted individually to determine their procedures for transferring research awards. Complete the Fund Transfer form (attached) and submit it to the Division Administrator.

At NIH and NSF essentially the grant is terminated at WUSM and re-awarded as a new grant at the new institution. At least three months should be allowed to complete this process. It is easier to transfer a grant on its anniversary date, so plan accordingly.

- a. WUSM must issue a statement agreeing to let a grant go to the new institution. This requires an estimate by Research Finance of the amount of unexpended funds.
- b. The principal Investigator must complete a Final Progress Report (and Final Invention Statement for NIH) for the grant at WUSM.
- c. WUSM must submit a Final Expenditure Statement.
- d. A new budget must be developed (based on the dollars awarded to WUSM) for the rest of the grant period at the new institution. (For NIH, a perfunctory grant application must be submitted by the new institution to initiate the transfer and award of the grant at the institution.)

### III. Transfer of Equipment and Materials – form attached

WUSM attempts to accommodate a Principal Investigator in the transfer of equipment and materials to a new institution. However, all equipment and materials purchased with funds of any kind awarded to WUSM belong to WUSM (or in some cases to the awarding agency). Therefore, relinquishing these assets of WUSM is considered on an item-by-item basis. The authority for relinquishing assets of WUSM lies within the Department.

Factors considered in authorizing transfer of equipment and materials include

- a. Source of funds used to purchase the equipment or materials (The PI's own grants, a program/project grant, departmental funds, institutional funds, BRSG, shared equipment grant, a specific gift, etc.)
- b. Use/need of the equipment or materials by other WUSM researchers (Do other researchers at WUSM currently use the equipment or materials, or could they use them if they were available?)
- c. Contractual obligations to funding agencies (Has the funding source imposed any specific ownership criteria/identification on the equipment or materials?)

Prepare a list of the equipment and materials you would like to transfer. Discuss these lists with your Service/Department Chief and come to a mutual agreement. Complete the Equipment Transfer form (attached) and the Materials Transfer form (attached) and submit them to Research Management, Grants and Contracts who will process the requests and return to you the lists of items you are authorized to take.

### IV. Disposition of: - forms attached

- a. Research Records – Records (data, books, etc.) of research conducted at WUSM are the property of WUSM. WUSM has the responsibility of being able to refer to this data for a number of purposes, including intellectual property questions, misconduct in science, FDA actions, etc. WUSM requires the Department Head/Division Chief to produce these records when necessary. To this end, these records usually are retained by the Service/Department Chief when a person leaves WUSM. In all instances involving clinical research, the original records must be retained by the Department/Division. The investigator may take copies if desired. However, in other instances original records may be taken from the Hospital/School AS LONG AS THEY ARE AVAILABLE TO THE HOSPITAL/SCHOOL FOR ITS NEEDS. The determination of whether records physically may be taken from WUSM is made by the Department Chair/Division Chief.
- b. Expendable supplies – routine supplies usually are useful to many researchers. Efforts should be made to convey such supplies to others, or clear them out of your laboratories and dispose of them through proper channels. Radioactive and hazardous materials present a special problem in the laboratory for others to deal with. Arrangements must be made to either transfer responsibility for radioactive and hazardous materials to other principal investigators, or dispose of them through the appropriate services.
- c. Research animals – Research animals at all times must be dealt with in a humane manner, which includes sacrificing those no longer needed. Research animals that will no longer be needed after you leave should be sacrificed after discussion with the OLAR staff. Those animals of value to other researchers should be transferred to the aegis of those researchers.

**V. Intellectual Properties** – form attached

As a researcher at WUSM, you are responsible to report to the Financial Disclosure Office all items of potential commercial interest that you have developed/invented during the course of your research activities at WUSM. You are also responsible to continue to work with that office on any matter in process (patents, licenses, etc.). At the time of transferring to another institution, it is important that a clear record be established concerning what intellectual properties belong to WUSM. This greatly reduces the possibilities of questions and confusion in the future between WUSM and your new institution. Complete the attached Intellectual Properties Certification form and submit it to the Division Administrator.

**VI. Miscellaneous Notifications** – check list attached

There are a number of important but often forgotten notifications you should make to help assure a smooth transfer to your new institution. The attached check list indicates some of the things you should take care of.

# WASHINGTON UNIVERSITY SCHOOL OF MEDICINE

## RESEARCH TRANSFER TO ANOTHER INSTITUTION

### TRANSFER OF FUNDING

NIH and NSF have routine procedures to be followed for transferring grants from one institution to another. (Contracts generally must be re-negotiated between the agency and the new institution.) Other funding agencies need to be contacted individually to determine their procedures for transferring research awards.

At NIH and NSF essentially the grant is terminated at WUSM and re-awarded as a new grant at the new institution. At least three months should be allowed to complete this process. It is easier to transfer a grant on its anniversary date, so plan accordingly.

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- c. WUSM must submit a Final Expenditure Statement.
- d. A new budget must be developed (based on the dollars awarded to WUSM) for the rest of the grant period at the new institution. (For NIH, a perfunctory grant application must be submitted by the new institution to initiate the transfer and award of the grant at that institution.)

Complete the Fund Transfer form and submit it to the Division Administrator.

# **WASHINGTON UNIVERSITY SCHOOL OF MEDICINE**

## **RESEARCHER TRANSFER TO ANOTHER INSTITUTION**

### **TRANSFER OF EQUIPMENT AND MATERIALS**

WUSM attempts to accommodate a Principal Investigator in the transfer of equipment and materials to a new institution. However, all equipment and materials purchased with funds of any kind award to WUSM belong to (or in some cases to the awarding agency). Therefore, relinquishing these assets of WUSM is considered on an item-by-item basis. The authority for relinquishing assets of WUSM lies with the Department Chair/Division Chief.

Factors considered in authorizing transfer of equipment and materials include:

1. Source of funds used to purchase the equipment or materials (The PI's own grants, a program/project grant, departmental funds, institutional funds, BRSG, shared equipment grant, a specific gift, etc.)
2. Use/need of the equipment or materials by other WUSM researchers. (Do other researchers at WUSM currently use the equipment or materials, or could they use them if they were available?)
3. Contractual obligations to funding agencies (Has the funding source imposed any specific ownership criteria/identification on the equipment or materials?)

On the appropriate accompanying forms, list all the items of equipment and all the materials you wish to transfer to another institution. (Photocopy additional pages as needed.) Remember that "equipment" includes not only research equipment but also office equipment. For the purposes of this action, equipment is defined as an item with an original purchase price greater than \$500 and a useful life expectancy of greater than two years. Materials include expendable supplies as well as biological materials, specimens, etc.

The Division Administrator can provide you with a computer listing of the items of equipment for which you currently are responsible.

The completed lists, signed by both you and your Division Chief, should be submitted to the Department Chair at least 30 days before the date you intend to leave. The Department Chair will review the lists, contact you if there are any questions, and return the lists to you indicating those items you will be authorized to take with you. At the time you plan to leave, make arrangements with Materials Management for help in crating and moving equipment, use of a loading dock, etc.



# WASHINGTON UNIVERSITY SCHOOL OF MEDICINE

## RESEARCH TRANSFER TO ANOTHER INSTITUTION

### DISPOSITION OF RESEARCH RECORDS

Records (data books, etc.) of research conducted at WUSM are the property of WUSM. WUSM has the responsibility of being able to refer to this data for a number of purposes, including intellectual property questions, misconduct in science, FDA actions etc. WUSM requires the Service/Department Chief to produce these records when necessary. To this end, these records usually are retained by the Service/Department Chief when a person leaves WUSM. In all instances involving clinical research, the original records must be retained by the Service/Department. The investigator may take copies if desired. However, in other instances original records may be taken from the School AS LONG AS THEY ARE AVAILABLE TO THE SCHOOL FOR IT'S NEEDS. The determination of whether records physically may be taken from WUSM is made by the Department Chair/Division Chief.

In addition, in order that the School may comply with the law regarding the maintenance of patient's records, and with the regulations of HHS and FDA regarding records of investigations conducted at the School, the information on the accompanying form must be provided.

The complete form, signed by both you and your Division Chief, should be submitted to the Department Chair.

**DISPOSITION OF RESEARCH RECORDS**

Investigator: \_\_\_\_\_

Service/Dept.: \_\_\_\_\_

1. Were human subjects involved in any of the studies you conducted while you were at WUSM?  
Yes ( ) No ( )

If yes, please answer the following:

- a. Do some or all of the subjects studied have medical records? Yes ( ) No ( )
1. Are any data or other information gathered as part of the studies not contained in the medical records? Yes ( ) No ( )
2. Where are the records of the studies at present?

\_\_\_\_\_

\_\_\_\_\_

- b. Have consent forms been used in these studies? Yes ( ) No ( )
- If yes, where are the completed forms?
- ( ) In each patient subject's medical record
- ( ) In the records of the studies

2. What arrangements have been made for the disposition of your research records other than those duplicated in the medical records of the subjects?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
Signature – Investigator

\_\_\_\_\_  
Date

I hereby assume responsibility for retaining the research records, or providing them when needed, as indicated above.

\_\_\_\_\_  
Signature – Division Chief

\_\_\_\_\_  
Date

**WASHINGTON UNIVERSITY SCHOOL OF MEDICINE**

**RESEARCHER TRANSFER TO ANOTHER INSTITUTION**

**DISPOSITION OF EXPENDABLE SUPPLIES**

Routine supplies usually are useful to many researchers. Efforts should be made to convey such supplies to others, or clear them out of your laboratories and dispose of them through proper channels. Radioactive and hazardous materials present a special problem in the laboratory for others to deal with. Arrangements must be made to either transfer responsibility for radioactive and hazardous materials to other principal investigators, or dispose of them through the appropriate services.

The investigator is responsible for the disposition of chemicals supplies, gas cylinders, etc. in his/her laboratories. Disposition includes discarding or transferring to another investigator. Costs incurred in clearing the laboratories after the investigator leaves will be charged to that investigator's funds.

Remember that if you plan to take with you any radioactive or hazardous materials, there are WUSM regulations, as well as state and federal laws, concerning transportation of such materials. Violation of these laws carries some severe penalties. Therefore, make certain you check with the Safety Office for all the proper forms, regulations, etc. before you attempt to transfer any radioactive or hazardous material from your laboratory.

Complete the attached form and submit it to the Division Administrator.

**DISPOSTION OF EXPENDABLE SUPPLIES**

Investigator: \_\_\_\_\_ Division/Department.: \_\_\_\_\_

What arrangements have been made with respect to:

**Chemicals** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

**Supplies** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

**Gas Cylinders** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

**Frozen Samples** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

**Animal Carcasses** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

**Radioactive Materials** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

**Hazardous Materials** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

**Others** Discard: \_\_\_\_\_

Transfer to: \_\_\_\_\_

\_\_\_\_\_  
Signature – Investigator

\_\_\_\_\_  
Date

# **WASHINGTON UNIVERSITY SCHOOL OF MEDICINE**

## **RESEARCH TRANSFER TO ANOTHER INSTITUTION**

### **DISPOSITION OF RESEARCH ANIMALS**

Research animals at all times must be dealt with in a humane manner, which includes appropriate disposition of those animals no longer needed.

Those animals of value to other researchers should be transferred to the aegis of those researchers. It is important to remind an investigator who assumes responsibility for any of your animals that he/she must secure from the Subcommittee on Research Animal Care approval of the protocol for using those animals, just as he/she would do for animals obtained from outside suppliers.

Research animals that will no longer be needed after you leave must be sacrificed after discussion with the OLAR staff.

It is possible to transfer selected research animals to your new institution. However, special arrangements must be made through the Division of Comparative Medicine, and with the appropriate animal regulatory entity at your new institution. Arrangements for such transfer must be made well in advance of your departure to assure that all regulations are met.

Complete the attached form and submit it to the Division Administrator.

**WASHINGTON UNIVERSITY SCHOOL OF MEDICINE**

**RESEARCH TRANSFER TO ANOTHER INSTITUTION**

**INTELLECTUAL PROPERTY CERTIFICATION**

WUSM retains the rights to any instrument, drug, process or other intellectual property made by a researcher paid by WUSM or made using WUSM funds, space, facilities, or other resources. Researchers are required to report promptly to WUSM all such intellectual properties in sufficient detail for the institution to evaluate commercial potential and determine any steps necessary to protect that potential.

The occasion of a research transferring to another institution is an appropriate time to make certain the research has complied with his policy of reporting intellectual properties. This helps reduce the possibilities in the future of confusion as to rights to a property.

Complete the attached form and submit it to the Division Administrator.

**INTELLECTUAL PROPERTY CERTIFICATION**

Investigator \_\_\_\_\_ Service/Dept. \_\_\_\_\_

I. Inventions reported to Office of Technology Management (OTM) and currently being evaluated for commercial potential:

| INVENTION | DATE REPORTED TO OTM | CURRENT REVIEW STATUS |
|-----------|----------------------|-----------------------|
|           |                      |                       |
|           |                      |                       |
|           |                      |                       |
|           |                      |                       |

II. Inventions not yet reported Office of Technology Management

| INVENTION | ANTICIPATED* REPORTING DATE |
|-----------|-----------------------------|
|           |                             |
|           |                             |
|           |                             |
|           |                             |

\*Reports must be made before leaving WUSM.

The above-cited inventions are the only ones I have made for which a final status has not been determined by the Office of Technology Management.

\_\_\_\_\_  
Signature – Investigator

\_\_\_\_\_  
Date

# WASHINGTON UNIVERSITY SCHOOL OF MEDICINE

## RESEARCH TRANSFER TO ANOTHER INSTITUTION

### CHECK LIST OF MISCELLANEOUS ITEMS

The following matter should be taken care of before you leave WUSM to assure a smooth transfer to your new institution.

- ( ) 1. Standing Orders: Notify Purchasing Department to cancel all standing orders you may have had.
- ( ) 2. Subscriptions: Notify Purchasing Department to cancel or change subscriptions to reflect the address of your new institution.
- ( ) 3. Mailroom: Fill out a "Change of Address Form" in the Mailroom 2 weeks prior to your departure date.
- ( ) 4. Telephone: Notify the telephone operator of forwarding telephone number(s). (Turn in your beeper, cancel your answering service, if applicable.)
- ( ) 5. Registrar: The Chief of your Service/Department is required to:
  - a. give the Registrar a forwarding address for your
  - b. notify the Registrar if your appointment has been terminated prior to its scheduled completion date.
- ( ) 6. Receiving: Discuss future "receiving" arrangements with Purchasing Department on items ordered on WUSM purchase orders to be delivered to your new institution. NOTE: Payment cannot be made by WUSM Accounts Payable without some indication that the items have been received at the new institution. If notification of receipt of an item is prompt, it may mean an additional savings in cost by prompt payment.
- ( ) 7. Moving: A time must be scheduled with materials Management when the loading dock may be utilized for moving approved items. The hours are between 7:00 a.m. and 3:30 p.m. Only equipment designated and approved for transfer will be permitted to leaving the loading dock.