

Office of Grants and ContractsEmail: l-ag-contgrnts@lists.psu.edu

Phone: 865-5419

Transitioning Principal Investigator Close-out Checklist

Grants/contracts are awarded to institutions, not directly to Principal Investigators. For this reason, the grantee institution must 'relinquish' the grant and equipment, if any, and the awarding agency must approve a change of Principal Investigator if there is one.

Responsible Parties:

Principal Investigators (PIs) are responsible for providing information about the final disposition of all active grant awards to departmental and CAS Office of Grants and Contracts personnel in a timely manner, ensuring that the close-out of the award is completed in accordance with all university and sponsor regulations. ***The PI is responsible for working with their Grant Officer to complete the following:***

- Change of PI requests to sponsors;
- Requests for no cost extensions;
- Approval of Emeritus status if applicable
- Continued support of graduate students and postdoctoral fellows
- Financial close-out of grant fundaccounts

In addition, the PI is responsible for the completion of final reports: Patent/Invention and Technical, as well as any outstanding reporting requirements for grants and contracts held while at PSU.

Departmental Staff and/or PI are responsible to conclude transactions and make any necessary adjustments to award accounts for departing PIs.

Procedures for Principal Investigator:

1. Contact the OGC Grant Officer assigned to your department at least ninety days prior to date of retirement.
2. Complete ***Agency relinquishing statement***.
PHS
PHS 3734 Official Statement Relinquishing Interest and Rights in a PHS Research Grant
(<https://grants.nih.gov/grants/phs3734.pdf>)
HHS 568 Final Invention Statement and Certification (<http://grants.nih.gov/grants/hhs568.pdf>)
NSF
Instructions for grant close out are available electronically
https://www.nsf.gov/pubs/policydocs/pappg17_1/pappg_7.jsp#VIID
ALL OTHER FUNDING AGENCIES
A letter/form signed by the PI and OSP Director along with other documentation required by the sponsor.
3. Complete the ***CAS Close Out checklist*** below and obtain concurring signatures.
4. Forward ***PSU CAS Close Out checklist*** and appropriate attachments to your Grant Officer via email. The Grant Officer will work with the PI and departmental staff to ensure that required documentation is submitted to the sponsor(s).

If you have questions, please contact your Post-Award Grant Officer.

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Transitioning PI Close-out Checklist

PI Name: _____ Phone: _____ Email: _____
 Alternate POC Name: _____ Phone: _____ Email: _____
 Department: _____ Sponsor: _____
 Award Number: _____ Fund Number: _____
 Grant Title: _____
 Retirement Date: ____ / ____ / ____ Grant Start/End Date: _____

Will a no-cost Extension be requested for this grant?
 New PI Name: _____ Phone: _____ Email: _____
 Department: _____

Signatures certify that the following have been negotiated to the satisfaction of the PI, Department and College. Check all boxes that apply.

- Subcontracts notified of new PI (work with OGC staff)
- No cost extension completed
- Support of grad students/ fellows
- Relevant notifications have been made to Compliance Units including but not limited to:
 - IRB IACUC Biosafety Conflicts of Interest Export Controls
- Final reports completed (if applicable)
 - Patent/Invention
 - Technical
 - Financial
- Sponsor Actions:
 - PHS 3734 (Official Statement Relinquishing Interest and Rights in a PHS Research Grant)
 - HHS 568 (Final Invention Statement and Certification)
 - NSF** Detailed instructions/forms for a grant transfer are available electronically on the *Fastlane* Website section entitled PRINCIPAL INVESTIGATOR (PI) TRANSFER
 - ALL OTHER FUNDING AGENCIES**
A signed letter or form as identified by the agency
- Research Accounting has been notified so that they can complete the Final Financial and Final Property Reports
- Agency cost sharing requirements have been met
- Original data is owned, and secured by PSU. The PI may create copies of data for academic purpose

PI _____ Date _____
 Dept. Head _____ Date _____

Please forward this form and appropriate attachments to the Office of Grants and Contracts, l-ag-contgrnts@lists.psu.edu