



JOHNS HOPKINS

SCHOOL of MEDICINE

Closing Accounts and Awards

Helpful Steps for Faculty to Close Non-sponsored Accounts and Grants

This document is designed to help investigators who are leaving the University make appropriate arrangements for the orderly transition of accounts, research activities and resources. It is recommended that faculty begin the applicable procedures listed below at least six months prior to a departure date. The process can be complex, so faculty are urged to contact respective divisional / department administrators or the cognizant research affairs office representatives with any questions. For guidance on closing or transitioning a laboratory, please refer to documentation that includes steps to shut down a lab and handle equipment transfers.

Fiscal Matters and Accounts

- The Department Administrator should work with the departing faculty member to initiate payroll and faculty / medical staff appointment changes. In addition, final expense projections on accounts, effort certification, data system access, badge access/return, email access and parking access should be discussed and finalized prior to a faculty member retiring or transitioning to another institution.
- For nonsponsored accounts, faculty should meet with the Department Administrator to discuss the current standing of nonsponsored discretionary or designated accounts and review the anticipated ending balances on accounts at time of retirement or transition from JHU. Funds from these nonsponsored accounts are for University purposes only and may not be transferred to another entity per the JHU policy outlined on discretionary fund accounts:
<https://apps.finance.jhu.edu/policyapp/displayGuidePDF.do?guidId=DF>
In situations where faculty will be retiring or moving to rank of Emeritus and engaged in University activities, the decision to have access to discretionary funds upon retirement will be at the discretion of the Divisional Business Office (DBO) and Departments.
- For sponsored accounts, the departing principal investigator (PI) may transfer active grants and contracts to the new institution subject to a satisfactory plan for continuing collaborators, students and sponsor prior approval. Permission of the Department Director or Division Director is required for the relinquishment of any grants, or the transfer of any data, equipment or materials.
http://www.hopkinsmedicine.org/research/resources/offices-policies/ora/handbook/handbook_V_q.html Once such approval is granted, the PI or the department research administrator should contact the Office of Research Administration (ORA) or Johns Hopkins University Research Administration (JHURA) to complete

necessary paperwork, including the required final progress and invention reports, depending on the school holding the award.

Intellectual Property and Rights in Data

- For investigators with invention disclosures, patent applications in process or those receiving proceeds from licensing of intellectual property, please contact Johns Hopkins Technology Venture's ("JHTV") Technology Transfer Office <https://ventures.jhu.edu/licensing-commercialization/> to provide contact information and a point of contact for the technology transfer office at the new institution.
- The Johns Hopkins University retains ownership of the research data generated by University faculty. Data access, retention and transfer is addressed in Johns Hopkins University's Policy on Access and Retention of Research Data and Materials http://dms.data.jhu.edu/files/2016/08/JHUIDataRetentionPolicy2008_WithAppendices.pdf
- For information on transferring copies of data, the department research administrator should obtain Director or Division Director approval first and then contact ORA or JHURA to obtain a data use agreement when required. Data Trust approval is necessary for transfer of any JHM patient data, and IRB approval may be necessary for transfer of human subject data.

Transfer of Chemical Substances and Materials

- Develop an inventory of remaining chemical substances.
- Dispose of all unwanted chemicals through the HSE's Management of Hazardous Chemicals https://hpo.johnshopkins.edu/hse/policies/156/10996/policy_10996.pdf?_af=0.151853849755
<https://hpo.johnshopkins.edu/hse/?event=section§ionid=1006>
- Prior to transferring any usable chemicals to internal colleagues, forward the comprehensive chemical inventory to HSE for review and approval.
- Highly toxic materials and chemicals which are on the Department of Homeland Security's Chemicals of Interest list should not be transferred <https://www.dhs.gov/appendix-a-chemicals-interest-list>
- HSE must be contacted for the disposal of large volumes of chemicals before separating from the University. Once the faculty member has separated from the University, the respective Department will be billed for chemical disposal. https://hpo.johnshopkins.edu/hse/policies/156/10996/policy_10996.pdf?_af=0.135574940877
- Remove regulators from all compressed gas cylinders, replace the protective cap, and ensure proper labeling of each cylinder. Contact the gas distributor to have the gas cylinders removed.
- It is not permissible to transfer Drug Enforcement Administration (DEA) controlled substances to another investigator. HSE should be contacted for information regarding disposal of controlled substances through a reverse distributor. <http://web.jhu.edu/animalcare/policies/DrugRecords-Storage-Disposal2015.pdf>
- For Materials, JHTV will assist with any needed Material Transfer Agreements (MTAs) to transfer research materials and ORA or JHURA will assist with Data Use Agreements

(DUA) to transfer University research data. No University research materials or data may be taken to a new institution without an approved MTA or DUA in place. <https://ventures.jhu.edu/technology-transfer/>. Questions relating to this process should be directed to mta@jhu.edu.

Studies Using Animal Subjects

- All Institutional Animal Care and Use Committee (“IACUC”) protocols for which the departing investigator is designated the Principal Investigator (PI) must be terminated, or an alternate PI should be designated via a protocol modification form. The Research Animal Resources (“RAR”) office can provide further details about these procedures. <http://web.jhu.edu/animalcare/about.html>, <http://www.hopkinsmedicine.org/animalresources/>
- If the animal is a proprietary model, which the University purchased or received from a third party, check with the RAR to determine whether the University can transfer the animals to a third party.
- To transfer animals within the Johns Hopkins University laboratories, PI must download and complete a “Research Animal Resources Request to Transfer Animals Between JHU Facilities” <http://www.hopkinsmedicine.org/animalresources/> and can find more information here http://www.hopkinsmedicine.org/animalresources/Protected_Pages/Facilities/Animal_transfers
- To export rodents to another institution, the PI must download “Request for Health Certificate – Export Form.” For more information regarding the transfer or export of animals, contact the RAR. http://www.hopkinsmedicine.org/animalresources/Protected_Pages/Imports_exports/How_to_ship_rodents.html.
- If any departing personnel hold Access Cards to secure animal housing facilities, the RAR must be informed of the individual’s departure. Access cards cannot be transferred to another investigator; they must be returned to the RAR upon departure of the initially assigned holder. http://web.jhu.edu/animalcare/fags/buildings_central.html , <http://www.hopkinsmedicine.org/animalresources/Forms/index.html>

Studies Involving Human Subjects

- If the departing investigator is designated as the PI on one or more Institutional Review Board (IRB) application they are responsible for notifying the IRB well in advance of their departure to either close the study (via a Termination Report) or name another appropriately qualified individual currently at the institution to serve as the PI. Departing faculty should refer to the JHM IRB Research Faculty Resignation Questionnaire for further guidance. http://www.hopkinsmedicine.org/institutional_review_board/forms/research_faculty_resignation_checklist.docx
- If the departing investigator is designated as a study team member a change in research application must be submitted for each study to remove them from the study team, or arrangements must be made with the departing investigator’s new institution to permit reliance by the new institution on the JHM IRB. Further guidance is available from the Office of Human Subject Research – Institutional Review Board Guidelines and Policies

http://www.hopkinsmedicine.org/institutional_review_board/guidelines_policies/guidelines/changes_research.html

- Should the departing investigator be the PI, Record Owner, or otherwise named on any record registered under a Johns Hopkins entity on ClinicalTrials.gov the departing investigator must contact the Johns Hopkins ClinicalTrial.gov program at registerclinicaltrials@jhmi.edu to arrange for any necessary record transfer. If PI Record Owner is transferring PI status to a current JHU faculty member, continued enrollment or stopping of enrollment should be discussed.
- Outbound Human Biospecimen Transfer must be carried out using this form: https://ventures.jhu.edu/wp-content/uploads/2014/11/MTA_biospecimen.pdf
- Research drug supplies should be disposed of or transferred as indicated by the sponsor of the study. If no such agreement exists, the investigator should contact the Pharmacy and Investigational Drug Service at The Johns Hopkins Hospital http://www.hopkinsmedicine.org/institutional_review_board/guidelines_policies/guidelines/pharm_jhh.html

Studies Conducted Under a University-based, Sponsor-Investigator Investigational New Drug (IND) or Investigational Device Exemption (IDE) Application

- If the departing investigator is currently the sponsor of an IND or IDE application, the application should either be withdrawn (if clinical studies being conducted under the application have been Closed to Accrual or Terminated); or transferred to another University investigator (if clinical studies being conducted under the application will continue at the University). Investigator's may need to file a new IND or IDE application at their new institution, or may transfer an existing IND or IDE application if the study is being closed at JHU.

Studies Using Recombinant DNA

- All protocols approved by the Institution Biosafety Committee (IBC) for which the departing investigator is designated as the PI must be terminated, or an alternate PI should be designated via a protocol modification form. The IBC Office can provide further details about these procedures. <http://www.hopkinsmedicine.org/hse/ibc/>

Radiation-Producing Devices and Materials

- If any radiation-emitting equipment (i.e., x-ray device) will be removed, relocated, or discarded, the JHMI Radiation Control Unit (RCU) must be notified. http://www.hopkinsmedicine.org/hse/radiation_safety/
- If any radioactive material is stored in the laboratory, the RCU must be contacted to coordinate its removal, transfer, or disposal. Per the HSE policy https://hpo.johnshopkins.edu/hse/policies/156/11018/policy_11018.pdf?_af=0.463682095158
- If any departing personnel hold Access Cards to secured areas containing radiation-emitting devices (i.e., gamma irradiators, gamma knife, etc.), the RCU must be informed of the individual's departure. Access Cards cannot be transferred to another investigator; they must be returned to RCU upon departure of the initially assigned holder.

Checklist for Investigators Leaving JHU

To be used with Procedure for Investigators Leaving Johns Hopkins University

- MTA
- DUA
- NDA
- Discussed with Director
- Salary, Appointments, parking, JH systems access and identity cards
- Provided new Point of Contact
- Alternate PI designated
- HSE contacted
- Equipment Cleaned
- Equipment Inspected
- Equipment Transfer Authorized
- Lab Space Inspected
- All surfaces cleaned
- Waste disposed
- BSC decontaminated
- Decommissioning plan
- Chemical Inventory
- Unwanted Chemicals Disposed
- Transferred usable chemicals
- Regulators Removed
- Disposed DEA controlled substances
- Animals euthanized, transferred, or exported
- IRB notified
- Biospecimen Transfer Form
- Research drugs disposed
- IND/IDE application withdrawn/transferred
- Notified JHMI Radiation Control Unit
- Access Cards returned