

Outgoing Faculty Exit/Transfer Checklist

October 2020

This checklist serves as a guide when a SPH Principal Investigator (PI) transfers to a new institution or leaves the HSC. This checklist highlights the more common issues/concerns regarding an exit.

***NOTE* Always check with your department chair for specific checkout procedures.**

In addition to this form, the Office of Sponsored Programs requires that you complete their off-boarding questionnaire which can be found [here](#).

Instructions: The PI is responsible for completing this form and bringing it with them to the faculty exit meeting.

Principal Investigators Name _____

Date of Separation _____ Transferring Institution _____

Notes:

Awards:	Initial once completed or N/A
Will the award transfer with the PI to another institution?	
Determine if the award is eligible to transfer to another institution, per the sponsor's policies.	
Obtain all approvals from both/either institution as applicable, including department chair/Dean, SPH Office of Research Services, and Office of Sponsored Programs (OSP).	
With assistance from ORS, notify OSP to coordinate with the sponsor and transfer the award to other institution.	
Provide contact information for the new institution.	
Coordinate with OSP to relinquish the grant/contract and make contact with new institution to prepare transfer documents.	
Will the award remain at SPH/UNTHSC?	
The PI must coordinate and obtain approval for a replacement PI at UNTHSC with the Department Chair and Dean. The PI change request should be initiated through ORS who will coordinate with OSP.	
Sponsored approval is required for a PI change.	
If the outgoing PI will continue to work on the project, a sub-award may be needed. Obtain sponsor approval and submit the request for an outgoing sub-award to OSP.	

Financials:	Initial once completed or N/A
Before PI departure, ensure project expenditures have been certified. Coordinate with ORS Post Award Research Administrator to ensure proper and accurate reconciliation of accounts, completion of financial reports, and close-out of awards.	
Discretionary funds are not transferrable with the PI leaving SPH UNTHSC	
Contact: OSP, Byron.Iszard@unthsc.edu	

Proposals:	Initial once completed or N/A
Determine the disposition of any pending proposals (for example, withdrawing the UNTHSC proposal, and resubmitting the proposal and budget through the new institution).	
Contact: OSP, Kathleen.MillerMcLaughlin@unthsc.edu	

Effort Reporting:	Initial once completed or N/A
Ensure effort reports <u>have been certified</u> , and confirm with OSP Post-Award Officer that requirements have been satisfied.	
Contact: OSP, Byron.Iszard@unthsc.edu	

Data Management:	Initial once completed or N/A
Identify where all technical data is stored for all grants and contracts. These should be stored on a share drive that may be accessible to fulfill any necessary audit requirements.	

Equipment:	Initial once completed or N/A
Contact Department Chair for list of assigned equipment and determine appropriate disposition instructions.	
Coordinate with Department Chair, ORS and OSP to determine title and disposition of equipment.	
If new institution is willing to purchase equipment, a fair market value must be determined.	
If equipment is being transferred to new institution, shipping should be arranged and paid by new institution.	

Human Subjects:	Initial once completed or N/A
Ensure protocols for human subject research are closed appropriately	
Contact: Office of Research Compliance, Itzel.Pena@unthsc.edu	

Biosafety	Initial once completed or N/A
Ensure all biosafety concerns are met and completed prior to departure.	
Contact: Office of Research Compliance, Maya.Nair@unthsc.edu	

Intellectual Property:	Initial once completed or N/A
Ensure all IP matters covered by a patent application or issued patent are resolved.	
Contact: Research Development & Commercialization, Robert.McClain@unthsc.edu	

***NOTE* PLEASE DO NOT MODIFY THIS FORM**

My signature certifies that I have read and understand my obligations for the PI transfer of my grants and/or contracts, and I assume the responsibility to coordinate transfer efforts with the Office of Research Services and Sponsored Programs Administration.

PI Signature and Date

Additional signatures of those attending the Faculty Exit Meeting:

_____	_____
_____	_____
_____	_____