Here’s What PI Transfers Are All About

**Presented by:**
Tanya Blackwell  
Robyn Remotigue  
Kay Gilstrap

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**Introductions**

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<tr>
<th>Tanya Blackwell</th>
<th>Robyn Remotigue</th>
<th>Kay Gilstrap</th>
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</thead>
</table>
| Grants and Contracts Manager  
Department of Medicine  
Duke University | Director, Office of Research Services  
School of Public Health  
The University of North Texas Health Science Center at Fort Worth | Associate Director of Research Services  
University Research Centers  
Georgia State University |

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Objectives

- Transfers IN: what to do to prepare for new, incoming faculty
- Transfers OUT: what to do to support the PI that is leaving your institution
- Communication with all stakeholders
- Special Considerations: MTAs and NDAs
- Tips, trick, and tools for smooth and efficient transitions
Incoming Faculty

- Each situation is unique.
- Working with a collaborative mindset will be very important throughout the process.
- **PI Transfer Checklist:** Standardize the thoughts and questions to quickly customize the plan.

Communication and Teamwork

- Incoming PI
- Previous Institution
- Department Staff HR
- Compliance
Communication and Teamwork

Incoming PI
• Intentions
• Communication with institution
• Who and what is coming with you: equipment, samples, data, personnel, recruitment/enrolling status

Communication and Teamwork

Department Staff/HR
• Offer Letter: start date, salary, position/title, tenure track, start-up package, etc.
• Effort available for research
• PI status process
Communication and Teamwork

Previous Institution
- Departmental: active and pending awards, transfer intentions, experience with PI, PI documents, NOAs
- Central Office/Subawards: relinquishment process and subaward process

Compliance
- IRB/IACUC?
- IAA?
- Central IRB or local IRB?
Transferring of Existing Awards

✓ Relinquishing document
✓ History of Award
  ✶ Original Notice of Award
  ✶ Subsequent NOAs (for out years)

Transferring of Existing Awards

✓ Current balance and balance anticipated at end of faculty appointment
✓ IRB information and documents
✓ Subawardee information
Subawards

- Treat as a new proposal
- Negotiate if necessary
  - Budget
  - Statement of work
  - Start date
- Represent PI as YOUR faculty, no longer theirs

Review of Checklist
Tips and Reminders

- Upcoming Proposal Submissions
- Establish and confirm PI status
- eRA Commons
- Familiarize PI with institutional specifics
  - Research Offices
  - Key contacts
  - Systems and processes
- Opportunity to establish rapport, boundaries, and communication needs/preferences
Faculty Exit Process
First Notice of Faculty Departure

- Obtain a list of projects
- Obtain a list of any personnel covered on projects
- Cease spending on the associated projects

Communication

- Key in working with faculty
  - Need to understand what's required of them
- Obtain contact information for new institution
- Notify university stakeholders (i.e., central, dept, HR)
Current Award(s)

- Determine active award(s)
- Discuss faculty intentions for award(s)
- Notify Central Office of intentions
  - Discuss eligibility of award transfer per sponsor policies

Key Items Required of PI

- Approval from department chair/Dean to transfer award
- Approval from new institution to accept the award transfer
- Point of contact from new institution
Approvals Secured – What’s Next?

- Seek assistance from central office to relinquish the grant/contract
- Make initial contact with the new institution

If award is not transferred:

- 🗣 PI coordinates with Department Chair/Dean for replacement PI
- ✔ Sponsor approval is required for the PI change
- 🚚 Subawards may be needed for PI to continue work
Financials

- Department post award coordinates with central post award to certify expenditures
- Spending should cease
- Accounts are reconciled
- Financial reports are completed
- Award(s) are closed out

Proposals

- Determine disposition of any pending proposals
  - Option to withdraw the proposal
  - Resubmit through new institution
Effort Reporting

- Coordinate effort certification with PI
- Confirm with central office that all certifications have been completed

Data Management

- Identify any data to be stored prior to faculty’s departure
- Store in a secured area for easy access to be audit ready
  - Know university/department policy for storing data
Equipment

- Contact property to get a list of equipment purchased from the PI's projects
- Refer to sponsor awards to determine disposition of equipment
- If equipment is being transferred with PI:
  - Will new institution purchase it?
  - Will new institution cover shipping charges?

Other items to consider

- Human subjects
- Animals
- Biosafety
- Intellectual Property
- Lab inspections
Material Transfers Agreements (MTAs)

• An MTA is a legal contract to facilitate the exchange of materials and associated data between researchers as well as to protect the interests of the researchers and their institutions.
• Receiving (incoming) and sending (outgoing) materials require an MTA
Why are MTA's Important?

- Protects the providing institution from any potential liability and may restrict the use and further distribution of materials.
- Gives providers certain rights to the results of the research in which the material or information is to be used.

Example Scenario

- PI leaving an institution is planning to bring saliva samples necessary to continue the work on a funded research project.
  - Costs associated with this process
  - Special handling/shipping requirements
MTA’s- Other Items to Consider

- Start early for this process
- Who is covering the costs?
- Who is making arrangements for the shipment?
- Plan for materials once received (i.e. any special storage requirements)

Up front approval of charges is encouraged

Non-Disclosure Agreements (NDA)

- Other names:
  - Memorandum of Understanding (MOU)
  - Confidential Disclosure Agreement (CDA)
  - Proprietary Information Agreement (PIA)
What are NDA’s?

Contract between at least two parties which outlines confidential materials or knowledge the parties wish to share with one another for certain purposes, but wish to restrict from generalized use.

Provides protection of non-public information

NDA’s can be “mutual” or “one way”

POLL #4
Create a Checklist

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_________________

Final Words

- Where we share tips, tricks, lessons learned, etc.
- Preparation for Q&A
See you in 5!

Y’ALL
COME BACK
NOW
YA HEAR