PI Transfer Checklist

This Checklist is a tool for Principal Investigators (PIs) and Departments, Labs, Centers, and Institutes (DLCI) administrators to assist in ensuring that all pertinent activities are properly closed out and/or transferred for PIs moving to another institution.

This checklist highlights the most common issues/concerns that can complicate and slow down the transition of a PI, or cause challenges after a PI transfers to a new institution.

Staff, Students, Lab Space, Equipment

- ☐ Work with AO to develop a transition plan for assigned staff, students and lab facilities
- ☐ Brief Department Head on proposed transition plan and timing
- ☐ Department Head approves/modifies plan. Plan should address the following:
  - Arrange for the transfer of staff/students to another Investigator at MIT, *or*
    arrange for transfer of staff/students to new Institution, *or*
    issue layoff notices and terminate appointment
  - Disposition of equipment (see below)
  - Determine how sponsored programs will be handled, e.g. terminated, transferred, etc. (see below)
  - Arrange for the transfer of lab space to another investigator or to DLCI
  - Turn-in/transfer lab keys; computers; office equipment, etc.

Human Subjects

⇒ **Contact COUHES with questions.**

- ☐ Arrange for transfer of active protocols to another investigator at MIT, *or*
  Close the protocol, *or*
  Arrange for review/approval of the protocol at new institution

Animal Subjects

⇒ **Contact CAC with questions.**

- ☐ Disposition of protocol
  - Arrange for transfer of active animal protocols to another investigator at MIT, *or*
    Close the protocol, *or*
    Arrange for review/approval of the protocol at new institution
- ☐ Disposition of animals
  - Arrange for the transfer of animals to another MIT PI/protocol, *or*
    Arrange for the transfer of animals to another Institution

Intellectual Property

⇒ **Contact Technology Licensing Office at tlo@mit.edu with questions.**

- ☐ Ensure all IP matters covered by a patent application or issued patent are resolved
- ☐ Ensure any co-inventions with other institutions are appropriately managed
- ☐ Submit final Statement of Disclosure for any previously undisclosed intellectual property
- ☐ Ensure technical and patent reports are complete and have been submitted prior to faculty departure from MIT.

Material Transfer, Data Use, and Non-Disclosure Agreements

⇒ **Contact the Hermes Team (hermes-team@mit.edu) in the Office of Strategic Alliances, Transactions & Translation with questions.**

- ☐ Review all active agreements with RAS and OSATT and determine action items for each on a case by case basis.

Export Controls

⇒ **Contact MIT Export Control with questions.**

- ☐ Ensure all restricted material currently under a technology control plan is transferred to a new responsible individual or disposed of properly.
    - Notify and/or work with MIT Export Control to complete.

Disposition of Equipment

⇒ **Contact Property Office with questions.**

- ☐ Contact Property Office for list of assigned equipment and determine appropriate disposition instructions.
- ☐ If transfer of equipment to new institution is to occur, shipping should be arranged and paid by new organization.
- ☐ If Equipment is staying on campus; arrange for the transfer (other PI) or turn-in (DLCI) of equipment and associated maintenance records
- ☐ Check with Property Office regarding equipment used to store chemicals, biological agents, or radioactive materials.

Property Office Responsibilities

- ☐ Determine title to equipment in order to sell or transfer equipment.
- ☐ If new institution is willing to purchase, a fair market value must be determined.

Proposal and Award Management

⇒ **Contact your RAS CA with questions.**

- ☐ Notify Contract Administrator in RAS that a PI is departing MIT.
- ☐ Determine the disposition of any pending proposals (for example, withdrawing the MIT proposal, and resubmitting the proposal and budget through the new institution)
- ☐ If requesting award transfer to new institution, contact sponsor and coordinate request and timing of award transfer.
- ☐ If award will remain at MIT until end date, follow the substitute PI request process to arrange for a change in PI, and work with RAS on any other changes in key personnel. Initiate award termination if the award will end before the PI leaves.
- ☐ Determine whether a subaward to new institution is appropriate if award remains at MIT.
- ☐ Determine if existing subawards will be terminated and renewed at new institution.
- ☐ Ensure salary certification requirements have been met prior to faculty departure from MIT.
- ☐ Initiate formal notification to sponsor, co-signed by RAS.

⇒ **Contact VPF with questions.**

- ☐ Coordinate with Sponsored Accounting to ensure proper and accurate reconciliation of accounts, completion of financial reports, and close-out of awards.
- ☐ Return unexpended start-up, retention, or other funds to funding source.
- ☐ Coordinate with Sponsored Accounting to determine correct balance to be transferred to new institution.

RAS Responsibilities

- ☐ Advise PI and DLCI regarding sponsor requirements for award transfer
- ☐ Coordinate with other party to amend or terminate agreements as necessary.

OSATT Responsibilities

- ☐ Terminate non-disclosure agreements, material transfer agreements and data use agreements or transfer to new institution as applicable.

Other Contractual Commitments

⇒ **Contact OSATT with questions.**

- ☐ Terminate or transfer responsibilities for no-cost collaborations, data use agreements, and non-disclosure agreements to the new institution.

⇒ **Contact VPF with questions.**

- ☐ Terminate or transfer responsibilities for vendor contracts, purchase orders, and equipment loan agreements to the new institution.

RAS Responsibility

- ☐ For no-cost collaborations, update the end date and close account in KC.

Environment, Health and Safety

⇒ **Contact EHS with questions.**

- ☐ Proper transportation of research materials to new institution
- ☐ Complete EHS Leaving MIT Checklist when vacating lab space in order to properly address remaining chemicals, radioactive materials, biological materials, human pathogens, controlled substances.

HR Actions/Checklists

⇒ **Contact your DLCI's HR manager with questions.**

- ☐ Comply with the MIT Personnel Manual - Termination Procedures (6.5.1)
- ☐ Complete items identified on the IS&T-HR Termination Checklist
- ☐ Obtain approval from Dept Head for leave or other changes in appointments as required
- ☐ If participating in the faculty housing program, coordinate departure with the Relocations Specialist within the Provost's Office

Conflicts of Interest and Outside Professional Activities

⇒ **Contact your department head or the COI officer (coi-help@mit.edu) with questions.**

- ☐ PI continues to disclose Outside Professional Activities for as long as they have an active MIT appointment
- ☐ PI continues to disclose their Significant Financial Interests to MIT for as long as they are named as an Investigator on an active award administered by MIT in compliance with sponsor-specific requirements.
    - Note: Departments should keep Kerberos accounts active in order for Investigators to be able to continue to complete their disclosures until the award is closed out.

Record Retention

- ☐ Ensure appropriate/required records are retained by MIT.

Data Retention and Management

⇒ **Contact your department head with questions.**

- ☐ Ensure appropriate and required research records are retained by MIT.
- ☐ Ensure that the PI has developed an inventory of research data and other materials developed while at MIT and that MIT retains copies of research data developed by the PI and his/her lab while at MIT; provides records to sponsors and others as needed.
- ☐ Inform PI of the MIT's research data principles and requirement to provide sponsors with copies of data as needed.
    - MIT's data principles are based on the NIH definition of "data", which is defined within the 2023 NIH Data Management and Sharing Policy as the recorded factual material commonly accepted in the scientific community as of sufficient quality to validate and replicate research findings, regardless of whether the data are used to support scholarly publications. Scientific data ***do not include*** laboratory notebooks, preliminary analyses, completed case report forms, drafts of scientific papers, plans for future research, peer reviews, communications with colleagues, or physical objects, such as laboratory specimens.