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Here's What PI Transfers Are All About

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Introductions

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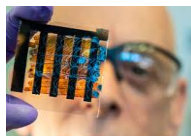


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POLL #1

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



Department
Staff
HR

Previous
Institution



Compliance

Communication and Teamwork

Incoming PI

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



EVERY HAS A ROLE TO PLAY **BODY**



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



EVERY HAS A ROLE TO PLAY **BODY**



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



EVERY HAS A ROLE TO PLAY **BODY**



Communication and Teamwork

Compliance

- IRB/IACUC?
- IAA?
- Central IRB or local IRB?



EVERY HAS A ROLE TO PLAY **BODY**



Transferring of Existing Awards

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



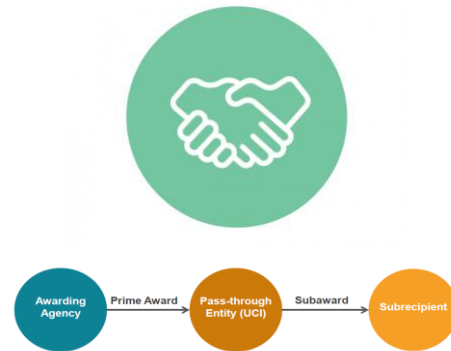
Transferring of Existing Awards

- ✓ 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



Tips and Reminders



POLL #2

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

POLL #3

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?

Up front approval of charges is encouraged



Who is making arrangements for the shipment?



Plan for materials once received (i.e. any special storage requirements)

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"



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POLL #4



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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 offboarding 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 _____



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Final Words



- Where we share tips, tricks, lessons learned, etc.
- Preparation for Q&A



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See you in 5!

