Here’s What PI Transfers Are All About

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Introductions

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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.

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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

Communication and Teamwork

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
POLL #2

Faculty Exit Process

GOODBYE AND GOOD LUCK!
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
  o 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

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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? (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”
Create a Checklist

**Outgoing Faculty Exit/Transfer Checklist**

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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

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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