

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

## Here's What PI Transfers Are All About

\* Registered trademark of In-N-Out Burgers.

© 2021 National Council of University Research Administrators | www.ncura.edu

# Introductions

Tanya Blackwell	Robyn Remotigue	Kay Gilstrap
		
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



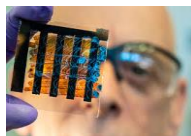
© 2021 National Council of University Research Administrators | www.ncura.edu

2

## 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)



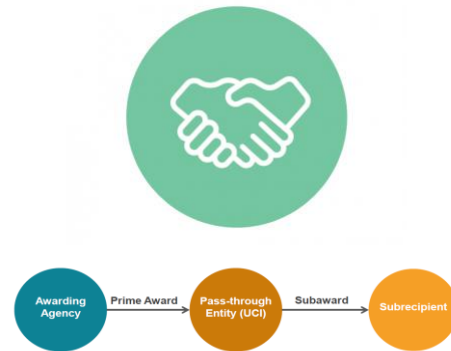
## Transferring of Existing Awards

- ✓ 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

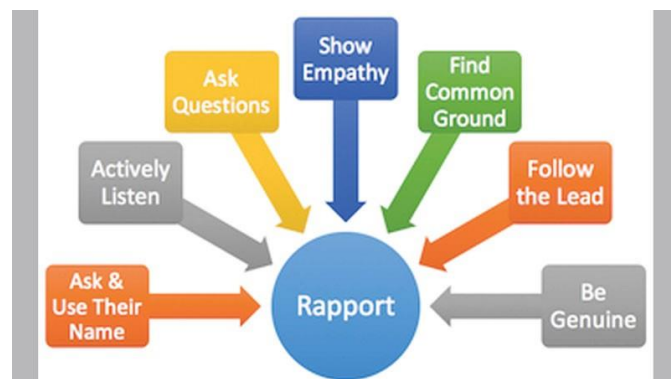


## Tips and Reminders

- ✓ 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"



**NCURA**

Supporting Research...together™

© 2021 National Council of University Research Administrators | [www.ncura.edu](http://www.ncura.edu)

37

## POLL #4



**NCURA**

Supporting Research...together™

© 2021 National Council of University Research Administrators | [www.ncura.edu](http://www.ncura.edu)

38

# 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 \_\_\_\_\_



© 2021 National Council of University Research Administrators | www.ncura.edu

39

# Final Words



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



© 2021 National Council of University Research Administrators | www.ncura.edu

40

See you in 5!

