

PI Transfer Checklist

This Checklist is a tool for Principal Investigators (PIs) and Departments, Labs and Centers (DLC) administrators to assist in ensuring that all pertinent activities are properly closed out and/or transferred for PIs transferring to another institution. This Checklist may not include everything, however it is an attempt to highlight the more common issues /concerns that complicate and potentially slow down the transition of a PI, or cause problems after a PI transfers to a

Area	Checklist Item	✓	Responsibility	Point Of Contact
Assigned Staff -Students -Lab Space -Equipment	Work with AO to develop a transition plan for assigned staff, students and lab facilities		PI/AO	DLC/AO
	Brief Department Head on proposed transition plan		PI/AO	
	Department Head approves/modifies plan		Dept Head	
	Plan should address the following:		PI/DLC	
	-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 handed, e.g. terminated, transferred, etc. (see below)			
	-Arrange for the transfer of lab space to another investigator or to DLC			
-Turn-in/transfer lab keys; computers; office equipment, etc.				
Human Subjects	Arrange for transfer of active protocols to another investigator at MIT, or		PI	COUHES E25-143B 253-6787
	Close the protocol, or			
	Arrange for review/approval of the protocol at gaining institution			
Animal Subjects	1. Disposition of Protocol		PI	Committee on Animal Care (CAC) 16-408 253-9436
	-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 gaining institution			
	2. 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 &	Ensure all IP matters covered by a patent application or issued patent are resolved		PI	Technology Licensing

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Material Transfer Agreements & Data Management	Ensure any co-inventions with other institutions are appropriately managed			Office NE18-501 253-6966
	Submit final Statement of Disclosure for any previously undisclosed intellectual property			
	Terminate or transfer MTA responsibilities to gaining institution (if materials can be transferred)			
Export Controls	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 the Export Control Officer on this.		PI	Export Control Officer NE18-901 617-253-2762
Disposition of Equipment	Contact Property Office for list of assigned equipment and determine appropriate disposition instructions.		PI	Property Office NE49-4021 253-2776
	Determine title to equipment in order to sell or transfer equipment.		Property Office	
	If gaining institution is willing to purchase, a fair market value must be determined.		Property Office	
	If transfer of equipment to a gaining institution is to occur, shipping should be arranged and paid by gaining organization.		PI	
	If Equipment is staying on campus; arrange for the transfer (other PI) or turn-in (DLC) of equipment and associated maintenance records		PI	
	Check with Property Dept regarding equipment used to store chemicals, biological agents, or radioactive materials.		PI	
Proposal and Award Management <i>Transfer</i> <i>Terminate</i>	Notify Contract Administrator in OSP that a PI is departing MIT		PI	OSP NE18-901 DLC Administrative Officer
	Determine the disposition of any pending proposals (for example, withdrawing the MIT proposal, and resubmitting the proposal and budget through the gaining institution)		PI	
	If requesting award transfer to gaining institution, contact Sponsor and coordinate request and timing of award transfer.			

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Change PI	If award will remain at MIT until end date, arrange for a change in PI at MIT and initiate request for change to Sponsor; or initiate award termination.		DLC	
	Determine whether a sub-award to gaining institution is appropriate if award remains at MIT.		DLC	
	Determine if existing subawards will be terminated and renewed at gaining institution		PI	
	Advise PI and DLC regarding Sponsor requirements for award transfer; coordinate with Sponsor's business office as needed.		OSP	
	Ensure salary certification requirements have been met prior to faculty departure from MIT		DLC	
	Coordinate with Sponsored Accounting to ensure proper and accurate reconciliation of accounts, completion of financial reports, and close-out of awards.		DLC	
	Return unexpended start-up, retention, or other funds to funding source		DLC	
	Coordinate with Sponsored Accounting to determine correct balance to be transferred to gaining institution.		DLC	
	Ensure technical and patent reports are complete and have been submitted prior to faculty departure from MIT		DLC	

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	Initiate formal notification to Sponsor, co-signed by OSP		DLC	
	Terminate non-disclosure agreements or transfer to gaining institution as applicable		OSP	
Other Contractual Commitments	Terminate or transfer responsibilities for other contractual arrangements (e.g. no cost collaborations, equipment loan agreements, data use agreements, non disclosure agreements) to the move to gaining institution; inform sponsor of the change and inform OSP of agreed upon plans for the disposition		PI	DLC
	Coordinates with other party to amend or terminate agreements as necessary		OSP	OSP
EHS	Proper transportation of research materials to gaining		PI	EHS
	Complete EHS Laboratory Move/Closure Checklist (EHS-0026) when vacating lab space in order to properly address remaining chemicals, radioactive materials, biological materials, human pathogens, controlled substances.			
HR Actions/ Checklists	Comply with the MIT Personnel Manual - Termination Procedures (6.5.1)		PI/DLC	DLC HR Manager
	Complete items identified on the IS&T-HR Termination Checklist http://ist.mit.edu/hr/termchecklist		PI/DLC	
	Obtain approval from Dept Head for leave or other changes in appointments as required		PI/DLC	
	If participating in the faculty housing program, coordinate departure with the Relocations Specialist within the Provost's Office		PI/DLC	
Conflicts of Interest and Outside	Investigator informed to continue to file OPA forms for as long as he/she has an active MIT appointment - see opa.mit.edu		DLC	Department Head of the PI's Home

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Professional Activities	Investigator informed to continue to disclose his/her 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.		DLC	Department
Record Retention	Ensure appropriate/required records are retained by MIT		DLC	DLC Administrative Officer

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Data Retention and Management	Ensures 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		DLC	DLC Department Head
	Informs PI of the MIT's data management policy and requirement to provide sponsors with copies of data as needed. MIT's policy is based on the NIH definition of "data", which is defined as recorded information, regardless of the form or media on which it may be recorded, and includes writings, films, sound recordings, pictorial reproductions, drawings, designs, or other graphic representations, procedural manuals, forms, diagrams, work flow charts, equipment descriptions, data files, data processing or computer programs (software), statistical records, and other		DLC	