

**Montana State University
Principal Investigator (PI) Transfer Checklist**

Area	Checklist	✓	Responsibility
Assigned -Staff -Students -Property/ Equipment	Work with Department Head/Director (DH) to develop a proposed transition plan for assigned staff, students and		PI & DH
	Department Head agrees with or modifies plan		DH
	Plan should address the following:		
	-transfer of staff/students to another Investigator at MSU, or		PI/DH and
	-follow procedures to discontinue employment of staff and student employees		Human Resources
	-Disposition or transfer of property/equipment (see below)		Property Management (PM)
	- Determine how sponsored program projects will be handled, e.g. terminated, transferred, etc. (see below)		OSP
	-Turn-in/transfer lab keys; computers; office equipment, etc.		DH
Human Subjects	Arrange for transfer of active protocols to another investigator at MSU, or		PI and Office of Research Compliance (ORC)
	Close the protocol, or		
	Arrange for review/approval of the protocol at new institution		
Animal Subjects	1. Disposition of Protocol		PI and ORC and PM, if any one animal cost over \$5,000
	-Arrange for transfer of active animal protocols to another investigator at MSU, or		
	-Close the protocol, or		
	-Arrange for review/approval of the protocol at new institution		
	2. Disposition of Animals		
	-Arrange for the transfer of animals to another MSU PI/protocol, or		
	-Arrange for the transfer of animals to another Institution		

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Disposition of Equipment	Contact Property Management office for list of assigned equipment and determine appropriate disposition instructions.		PI
	Determine title to equipment before any disposition or transfer of equipment. Any disposition must be approved using Property Transfer Request Form.		PM
	If new institution is willing to purchase and MSU is willing to sell, a fair market value must be determined.		PM
	If transfer of equipment to a new institution is approved by MSU, shipping should be arranged and paid by new institution.		PI/PM
	If Equipment is staying on campus; arrange for internal transfer (other PI) or other disposition of equipment and associated maintenance records (if applicable).		PI/DH/ PM
	Check with Office of Research Compliance (ORC) and Hazardous Waste office regarding equipment used to store chemicals, biological agents, or radioactive materials.		PI/ORC/ Hazardous Waste
Intellectual Property, Material Transfer Agreements & Data Management	Ensure all IP matters covered by a patent application or issued patent are resolved.		PI/Technology Transfer Office
	Submit IP Disclosure Form for any previously undisclosed intellectual property.		
	Ensure any co-inventions with other institutions are appropriately managed.		
	Terminate or transfer MTA responsibilities to new institution (if materials can be transferred).		ORC
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 Office of Research Compliance.		PI/ORC

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Proposal and Award Management	Notify Fiscal Manager in OSP that a PI is departing MSU as soon as possible and no later than 30 days in advance of departure.		PI
	Determine the disposition of any pending proposals (for example, withdrawing the MSU proposal, and resubmitting the proposal and budget through the new institution)		PI/OSP
Transfer	If MSU agrees to award transfer to new institution, contact Sponsor and coordinate request and timing of award transfer.		PI/OSP
Terminate Change PI	If award will remain at MSU until end date, arrange for a change in PI at MSU and initiate request for change to Sponsor; or initiate award termination.		DH/OSP
	Determine what actions will be taken regarding any sub-award (e.g., continue, transfer, terminate).		PI/DH/OSP
	Advise PI and DH regarding Sponsor requirements for award transfer.		OSP
	Ensure salary certification requirements have been met prior to faculty departure from MSU.		DH
	Coordinate with OSP to ensure proper and accurate reconciliation of accounts, completion of financial reports, and close-out of awards.		PI/DH/OSP
	Coordinate with PM to update custody and/or location of equipment in fixed asset records system.		OSP/PM
	Return unexpended start-up, retention, or other funds to funding source.		DH
	Ensure technical and patent reports are complete and have been submitted prior to faculty departure from MSU.		PI/ DH

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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 new institution; inform sponsor of the change and inform OSP of agreed upon plans for the disposition.		PI/DH/OSP
	Coordinates with other party to amend or terminate agreements as necessary.		OSP
Transportation of Materials	Upon approval ensure proper transportation of research materials to new institution.		PI/ORC/Hazardous Waste Management
	When vacating lab space, all remaining chemicals, radioactive materials, biological materials, human pathogens, controlled substances must be properly transferred or disposed of.		
HR Actions/ Checklists	Complete action items on Separation/Termination Checklist Procedures (insert link)		PI
Data Retention and Management	Ensures that the PI has developed an inventory of research data and other materials developed while at MSU and that MSU retains copies of research data developed by the PI and his/her lab while at MSU.		PI/DH
	Informs PI of the MSU's data management policy and requirement to provide sponsors with copies of data as needed. MSU'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 research data.		DH
Record Retention	Ensure appropriate/required records are retained by MSU.		PI/DH