

PI Transfer Checklist

This Checklist is a tool to assist Principal Investigators (PIs) and schools, departments, centers, institutes, and programs where sponsored programs are managed (Home Units) to ensure that all pertinent activities are properly closed out and/or transferred when PIs leave Chapman University. Some of these sections will not apply to all units at Chapman, while some activities may not be covered in this Checklist. Still, it highlights common issues/concerns that complicate and potentially slow down the transition of a PI, or cause problems after a PI leaves Chapman.

| Area | Checklist Item | ✓ | Responsibility | Point Of Contact |
|--|---|---|-----------------|-------------------------|
| Assigned -Staff -Students -Lab Space -Equipment | Work with operations manager or director (Operations Head) in the Home Unit to develop a transition plan for assigned staff, students and lab facilities. | | PI / Operations | Home Unit |
| | Brief Home Unit Head / Assoc. Dean for Research on the proposed | | PI / Operations | |
| | Home Unit Head / Assoc. Dean for Research approves plan. | | Home Unit Head | |
| | Plan should address the following: | | PI/Home Unit | |
| | -Arrange for the transfer of staff/students to another Investigator at Chapman, 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). | | | |
| | -Turn in/transfer lab keys; computers; office equipment, etc. to Operations, or as directed by the Home Unit. | | | |
| | | | | |
| Human Subjects | Arrange for a change in PI to another investigator at Chapman for approved studies, or | | PI | IRB, irb@chapman.edu |
| | Close the protocol, or | | | |
| | Arrange for a reliance agreement to engage collaborators at the gaining institution. | | | |

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| Animal Subjects | 1. Disposition of Protocol | | PI | IACUC, iacuc@chapman.edu |
| | Arrange for a change in PI to another investigator at Chapman for approved studies, or | | | |
| | Close the protocol. | | | |
| | | | | |
| | 2. Disposition of All Animals | | | |
| | -Arrange for the transfer of animals to another Chapman PI/protocol by submitting an animal transfer form, or | https://www.chapman.edu/iauc | | |
| | -Arrange for the transfer of animals to another Institution, or | | | |
| -Arrange for euthanasia of all animals (if none of the other options above is appropriate). | | | | |
| Intellectual Property & Material Transfer Agreements & Data Management & Loan Agreements & No-Cost Collaborations | Ensure all IP matters covered by a patent application or issued patent are resolved. | | PI & IAC | Industry Alliances and Commercialization (IAC), officeofresearch@chapman.edu |
| | Ensure any co-inventions with other institutions are appropriately managed. | | PI & IAC | |
| | Submit final invention disclosures for any previously undisclosed intellectual property. | | PI | |
| | Terminate or transfer agreement responsibilities to gaining institution (if materials/data/equipment can be transferred). | | IAC | |
| Export Controls | Ensure all restricted material currently under a technology control plan is transferred to a new responsible individual or disposed of properly. | | PI | Research Integrity office ofresearch@chapman.edu |
| Disposition of Equipment | PI develops equipment inventory and list of supplies and proposes its disposition. | | Home Unit | |

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| | Determine title to equipment in order to sell or transfer equipment. SPS will coordinate sponsor approvals as needed when the equipment is purchased with sponsored funds. | | Home Unit / SPS when purchased with sponsored funds | Fixed Asset Accounting (Belinda Lam belam@chapman.edu) / SPS at sps@chapman.edu |
| | When the gaining will acquires Chapman-owned equipment, contact Financial Services, who will determine the book value or the fair market value of the equipment. | | Home Unit / Financial Services | |
| | When equipment will be sold to the gaining institution, shipping should be arranged and paid for by the gaining organization. | | PI | |
| | If equipment is staying on campus; arrange for the transfer and update the equipment record and associated maintenance records as appropriate. | | Home Unit | |
| | Check with EHS regarding equipment used to store chemicals, biological agents, or radioactive materials. | | Home Unit | |
| Proposal and Award Management | Notify SPS that a PI is departing Chapman. | | PI | SPS sps@chapman.edu / Home Unit |
| | Determine the disposition of any pending proposals (for example, withdrawing the Chapman 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. | | Office of Research | |
| Sponsored Awards - Remaining at Chapman | If award will remain at Chapman until end date, arrange for a change in PI at Chapman and initiate request for the change to sponsor; or initiate award termination. | | Operations / PI | SPS, sps@chanman.edu |
| | Ensure leaving PI certifies salary costs prior to departure. | | Operations / PI | |

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| | Ensure leaving PI closes out any cash advance and travel advances (e.g., through Concur and PeopleSoft); closeout P-Card. | | Operations / PI | |
| | Terminates internal grants. | | Home Unit | |
| Sponsored Awards - Transfer to New Institution | Determine whether a sub-award to gaining institution is appropriate if award remains at Chapman. | | Dean / Associate Dean for Research / PI | SPS, sps@chapman.edu |
| | Determine if existing subawards will be terminated and renewed at gaining institution. | | PI | |
| | Advise PI and Home Unit regarding sponsor requirements for award transfer; coordinate with sponsor's business office as needed. | | SPS | |
| | Ensure leaving PI certifies salary costs prior to departure. | | Operations | |
| | Coordinate with sponsored accounting to ensure proper and accurate reconciliation of accounts, completion of financial reports, and close-out of awards. | | Operations / PI | |
| | Return unexpended start-up, retention, or other funds to funding source. | | Dean / Operations | |
| | Ensure leaving PI closes out any cash advance and travel advances (e.g., through Concur and PeopleSoft); closeout P-Card. | | Operations / PI | |
| | Coordinate with sponsored accounting to determine correct balance to be transferred to gaining institution. | | Operations / PI | |
| | Ensure technical and patent reports are complete and have been submitted to sponsor prior to PI's departure from Chapman. | | Operations / PI / SPS | |
| | Initiate formal notification to sponsor, co-signed by SPS. | | PI / Operations | |

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| Other Contractual Commitments | Terminate or transfer responsibilities for other contractual arrangements to the move to gaining institution; inform sponsor of the change (as needed). | | PI | Home Unit |
| | Coordinates with other party to amend or terminate agreements as necessary. | | As applicable | |
| EHS | Proper transportation of research materials to gaining institution. | | PI | EHS |
| | Coordinate with EHS 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 Chapman guidance on terminating personnel. | | PI/Home Unit | Home Unit HR Manager |
| | Obtain approval from Home Unit for leave or other changes in appointments as required. | | | |
| Conflicts of Interest and Outside Professional Activities | Informs investigators to continue to disclose their outside activities to Chapman for as long as they are named as an Investigator on an active award administered by Chapman in compliance with sponsor-specific requirements. Note: Home Units should request to keep Chapman ID accounts active so that investigators can continue to complete their disclosures until the award is closed out. | | Home Unit / IS&T / Faculty Affairs | Research Integrity, officeofresearch@chapman.edu |
| Record Retention | Ensure appropriate/required records are retained by Chapman. | | Dean / PI | Operations |
| Data Retention and Management | Ensures that the PI has developed an inventory of research data and other materials developed while at Chapman and that Chapman retains copies of research data developed by the PI and their lab while at Chapman; provides records to sponsors. | | Dean / Assoc Dean for Research | Home Unit Head |
| | Informs PI of the Chapman's data management policy and requirement to provide sponsors with copies of data, as needed. | | SPS | |