



# Award Transfer Checklist

## Outgoing & Incoming PI

This step-by-step checklist covers a full range of considerations when a UofM Principal Investigator (PI) decides to dissolve or temporarily change their affiliation with the university. Not all areas will be applicable to every situation. Reference the full **PI Departure from UofM Procedural Statement** for more details.

The diagram below provides a broad overview of PI transfer options. You will find detailed items in the checklist that correspond to the Sponsored Projects, Property and Compliance sections below.

### ROLES & RESPONSIBILITIES

Various offices, units, and individuals contribute to the transfer process depending on their role, the Institution's policies and decisions made regarding Sponsored projects and lab facilities.

- Departing PI
- Department (Administrators, Dean and/or Chair)
  - Central Administration (GCA & Campus Controller's Office)
- Compliance Units (EH&S, IACUC, OAR, IRB, Export Controls, etc.)
- Other Units (Property, Venture Partners at UofM, Human Resources, etc.)
- Sponsor
- New Institution

### SPONSORED PROJECTS

Grants and contracts are awarded to the Institution, not to individual Principal Investigators (PIs). When a PI's affiliation with the Institution dissolves, the Institution has the option to retain, relinquish or terminate the award with the Sponsor.

#### Retain Award

- Courtesy Appointment
- New PI Assignment
- New Subaward

#### Relinquish & Transfer Award

- Determine Procedures
- Determine Final Balance
- Relinquishment
- New Institution Proposal

#### Terminate Award

- Determine Final Balance
- Relinquishment

### COMPLIANCE

Several considerations must be made regarding the Departing PI's affiliation with the Institution. Usually this is in respect to the Institution's compliance policies and procedures, as well as federal regulations.

#### Considerations include:

- Animal and/or Human Research
- Environmental Health & Safety
- Export Controls
- Intellectual Property
- Personnel Actions
- Other Contractual Obligations

### PROPERTY

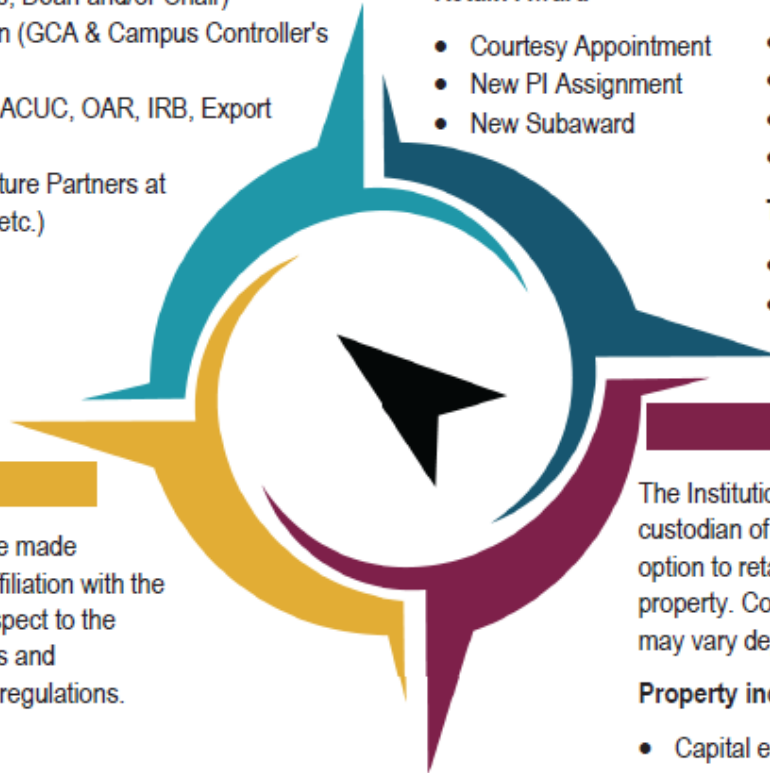
The Institution, not the PI, is the custodian of all property and has the option to retain, relinquish or dispose of property. Consideration of title to property may vary depending on acquisition.

#### Property includes:

- Capital equipment
- Non-capital property
- Supplies

#### Considerations:

- Titled
- Value
- Transfer Agreement
- Surplus
- Dispose



<input type="checkbox"/> OUTGOING PI? SELECT ONE BELOW			<input type="checkbox"/> INCOMING PI?	
Terminate <input type="checkbox"/>	Retain <input type="checkbox"/>	Transfer <input type="checkbox"/>	SKIP TO PAGE 7	
<input checked="" type="checkbox"/> Checklist Item	Responsible Party	Point of Contacts		
<b>START HERE: These items apply to all Departing faculty and staff with Sponsored project awards and proposals</b>				
<input type="checkbox"/> Send initial communication regarding the PI's plan to depart the university (also refer to Personnel Actions section below)	Departing PI/BO	OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a> Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> Assigned HR Coordinator		
<input type="checkbox"/> Complete the <b>Active Awards &amp; Proposals Form</b>		Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>		
<input type="checkbox"/> Determine if proposals currently under consideration by a sponsor need to be transferred to the new institution.		OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>		
<input type="checkbox"/> Complete and submit ALL reports up to the date of the transfer.		Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>		
<input type="checkbox"/> Complete Effort Certification and certification for all direct reports, for all reporting periods required, prior to end date.		Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>		
<input type="checkbox"/> Coordinate with Accounting Office to ensure proper and accurate reconciliation of accounts and expenditures (including subs), completion of financial reports, and closeout of awards.		Accounting Office <a href="mailto:Accountspayable@memphis.edu">Accountspayable@memphis.edu</a> Grants & Contracts Acct <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>		
<input type="checkbox"/> Work with Subcontract Coordinator for awards that contain subs to ensure proper de-obligations and closeouts are complete.		OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>		
<input type="checkbox"/> Work with Cost-Share Accountant in GCA to reconcile account, cost-share obligations and certify to sponsor(s).		Cost-Share Accountant <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>		
<input type="checkbox"/> Reconcile info in Cayuse	OSP	OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>		
<b>RETENTION OF AWARD (These items apply when the award stays at UofM)</b>				
<input type="checkbox"/> Subject to Unit approval, the Chair/Dean <b>names a replacement UofM PI</b> if the award is remaining at UofM and the Departing PI will not remain as UofM PI; inform OSP & GCA, OR	Unit Chair/Dean Departing PI/BO	Departing PI's Respective Chair/Dean OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a> Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>		
<input type="checkbox"/> Subject to Unit approval, the Chair/Dean <b>obtains Courtesy Appointment</b> if the Departing PI will remain on the award as UofM's PI and informs OSP & GCA and assign temporary 0% appointment. OR				
<input type="checkbox"/> Subject to Unit approval, the Departing PI will <b>continue work on the award as a Subaward Co-PI.</b>		Departing PI/BO		
<input type="checkbox"/> If Departing PI will continue work as Sub-award Co-PI: <ul style="list-style-type: none"> <li>Gain sponsor approval for the replacement PI</li> </ul>	Departing PI/BO			

	<i>(NOTICE: Departing PI cannot be the PI on the UofM award and PI on the subaward to the New Institution.)</i>		
<input type="checkbox"/>	Newly assigned UofM PI and BO will need to coordinate with OSP Pre-Award Coordinator and Grants & Contracts Officer to <b>initiate the subcontract</b> process, including revision to the prime budget.		Pre-Award Coordinator OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>
<input type="checkbox"/>	Departing PI should <b>coordinate with New Institution</b> to create required subcontract proposal documents		Departing PI's Old/New Units

### RELINQUISHMENT OF AWARD (These items apply when the award transfers to the New Institution)

<input type="checkbox"/>	Determine if the award is eligible for transfer to another institution per the sponsor's policies and/or terms and conditions.	Grants & Contracts	
<input type="checkbox"/>	Gain all approvals from both institutions, as applicable, including Department Chair/Dean, Institute/Center Directors, Grants & Contracts, and OSP.		Grants & Contracts Office <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> Controller's Office <a href="mailto:controller@memphis.edu">controller@memphis.edu</a> OSP Office <a href="mailto:osp@memphis.edu">osp@memphis.edu</a> Departing PI's New Institution
<input type="checkbox"/>	Prepare the necessary <b>transfer documentation</b> . Forward to OSP for review and submission to sponsor. <i>(Notice: Once the award has been terminate, standard closeout procedures will be initiated, including signed relinquishment letter from Department Chair/Dean once final balance is determined.)</i>	Departing PI/BO	
<input type="checkbox"/>	Departing PI must coordinate with their New Institution to <b>prepare and submit any required proposal documents</b> associated with the award that the New Institution will be receiving.		

### TERMINATION OF AWARD (These items apply when no transfer is applicable)

<input type="checkbox"/>	Determine the final balance of the award with GCA. <i>(NOTICE: The same cost categories as detailed in the Relinquishment of Award should be considered.)</i>		
<input type="checkbox"/>	Once final balance has been determined, work with Grants & Contracts Accountant to <b>complete internal relinquishment letter</b> with Departing PI and Department Chair/Director signature.	Departing PI/BO	Grants & Contracts Office <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> Assigned Grants & Contracts Acct
<input type="checkbox"/>	Grants & Contacts will work with sponsor to obtain formal relinquishment of the award.	Grants & Contracts	<a href="mailto:grants@memphis.edu">grants@memphis.edu</a>
<input type="checkbox"/>	Once the Award has been terminated, standard closeout procedures will be initiated. Departing PI is responsible for all deliverables required up to the date of award termination.	Departing PI/BO Grants & Contracts	

### CONSIDERATIONS FOR LABS/FACILITIES (UofM Property, Equipment & Supplies)

Complete the forms and actions identified in this section if Departing PI is responsible for a lab/facility or would like to transfer any UofM property, other equipment or supplies.

<input type="checkbox"/>	Complete List of Tagged Fixed Assets and/or Untagged Non-Consumable Property Form for tagged equipment and/or untagged non-consumable property.	Departing PI/BO	Fixed Assets Office <a href="mailto:fixedassets@memphis.edu">fixedassets@memphis.edu</a> Compliance Office <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a>
<input type="checkbox"/>	Complete List of Untagged Consumable Material and/or Supplies Form for all other items in the lab.		Environment, Health & Safety Office

	<ul style="list-style-type: none"> <li>Have Department Chair or Institute Director sign the forms.</li> <li>Submit to Fixed Assets and OSP and EH&amp;S for record.</li> </ul>		
<input type="checkbox"/>	Work with the Fixed Assets Office to determine if equipment is eligible for disposal or for transfer internally or externally. <i>(NOTICE: Approval from sponsor may be required prior to disposal or transfer of item.)</i>	Department Chair Fixed Assets Office	Fixed Assets Office <a href="mailto:fixedassets@memphis.edu">fixedassets@memphis.edu</a> Compliance Office <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a>

**Complete the forms and actions identified in this section if Departing PI has any UofM Discoveries or would like to transfer Tangible Research Materials to the New Institution.**

<input type="checkbox"/>	Complete an inventory of all Tangible Research Materials and UofM Discoveries using the Tangible Research Materials and UofM Discoveries Form.	Departing PI/BO	
<input type="checkbox"/>	Submit a copy to Grants & Contracts and Environmental Health & Safety.		Assigned Grants & Contract Acct <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>
<input type="checkbox"/>	Items obtained elsewhere: UofM may need to terminate or transfer contractual responsibilities to New Institution	Departing PI/BO Grants & Contracts OSP	Environment Health & Safety
<input type="checkbox"/>	Items developed solely at UofM: Work with Grants & Contracts or OSP to execute MTA between UofM and New Institution.		

**ENVIRONMENTAL HEALTH & SAFETY/BIOSAFETY (Laboratory Closeout)**

<input type="checkbox"/>	Work with Environmental Health & Safety Office to begin the Laboratory closeout process.		
<input type="checkbox"/>	Close out any active IBC, RAD protocols or applications		Environmental health & Safety
<input type="checkbox"/>	As needed, work with Biosafety Officer to ensure proper transfer or destruction of materials <i>(NOTICE: May require an MTA – see Tangible Research Materials transfer steps in the previous section.)</i>	Departing PI/BO	Assigned Grants & Contracts Acct <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>
<input type="checkbox"/>	Complete any require EH&S checklist for lab closure		

**EXPORT CONTROL**

<input type="checkbox"/>	Departing PI must sign Export Control Exit Certification stating they will not distribute controlled devices, software, and/or information. Any electronic devices need to be wiped/cleared.	Department Chair	Compliance Office <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a>
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**Departing PIs with Active Licenses**

<input type="checkbox"/>	Work with Compliance Office to arrange for transfer of active protocols to another investigator at UofM, OR		
<input type="checkbox"/>	Close the protocol, OR	Departing PI/BO	
<input type="checkbox"/>	Arrange for resubmittal of license application under New Institution registration		

**Departing PIs with Technology Control Plans**

<input type="checkbox"/>	Arrange for transfer of active protocols to another investigator at UofM, OR	Departing PI/BO	
<input type="checkbox"/>	Close the protocol		

## ANIMAL SUBJECTS

### Disposition of Protocol

<input type="checkbox"/>	Arrange for transfer of active protocols to another investigator at UofM, OR	Departing PI/BO	IRB Review Board <a href="mailto:irb@memphis.edu">irb@memphis.edu</a> Compliance <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a>
<input type="checkbox"/>	Close the protocol, OR		
<input type="checkbox"/>	Arrange for review/approval of the protocol at New Institution.		

### Disposition of Animals

<input type="checkbox"/>	Arrange for transfer of animals to another UofM PI / protocol, OR	Departing PI/BO	IRB Review Board <a href="mailto:irb@memphis.edu">irb@memphis.edu</a>  Compliance Office <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a>
<input type="checkbox"/>	Arrange for transfer of animals to another institution. <i>(NOTICE: May require an MTA – see Tangible Research Material transfer steps in the previous section)</i>		

## HUMAN SUBJECTS

<input type="checkbox"/>	Work with UofM's IRB Office to discuss transition plan with regard to management of human research projects.	Departing PI/BO	Assigned Grants & Contracts Acct <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> Compliance <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a> IRB Review Board <a href="mailto:irb@memphis.edu">irb@memphis.edu</a>
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### Termination of the Project

<input type="checkbox"/>	Departing PI may choose to terminate the protocol if work on the project is completed or the research project will not be continued.	Departing PI/BO	Assigned Grants & Contracts Acct <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> Compliance <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a> IRB Review Board <a href="mailto:irb@memphis.edu">irb@memphis.edu</a>
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### Transition of Project to New UofM Researcher

<input type="checkbox"/>	If research (enrollment, follow-up, or analysis) is ongoing at UofM, Departing PI or Chair/Dean will need to assign new UofM Researcher.	Departing PI/BO	Assigned Grants & Contracts Acct <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> Compliance <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a> IRB Review Board <a href="mailto:irb@memphis.edu">irb@memphis.edu</a>
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### Transition of Project to New UofM Researcher

<input type="checkbox"/>	<p>If Departing PI plans to stay on as a collaborator:</p> <ul style="list-style-type: none"> <li>Secure new human subject research approval at New Institution or obtain additional consent of the subject, dependent on scope of work.</li> <li>Work with UofM IRB and GCA to determine if additional agreements (such as data use agreements, tissue transfer agreements, etc.) are needed between UofM and the New Institution.</li> </ul>	Departing PI/BO	Assigned Grants & Contracts Acct <a href="mailto:grants@memphis.edu">grants@memphis.edu</a> Compliance <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a> IRB Review Board <a href="mailto:irb@memphis.edu">irb@memphis.edu</a>
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<i>(NOTICE: Any data or human tissue samples that the Departing PI plans to transfer must be listed on the Tangible Research Materials and UofM Discoveries List)</i>		
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**PERSONNEL ACTIONS**

<input type="checkbox"/> Complete <a href="#">Human Resource Exit Questionnaire</a>	Departing PI/BO	HR Employee Relations & Compliance
<input type="checkbox"/> Complete the <a href="#">HR Separation &amp; Clearance Online Form</a>		
<input type="checkbox"/> If applicable, set up temporary 0% appointment		

**INTELLECTUAL PROPERTY**

<input type="checkbox"/> Ensure all UofM Discoveries and PI matters covered by a patent application or issued patent are resolved, including licensed technology.	Departing PI/BO	TBD Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>
<input type="checkbox"/> Ensure any co-inventions with other institutions are appropriately managed.		Compliance <a href="mailto:compliance@memphis.edu">compliance@memphis.edu</a>
<input type="checkbox"/> Sign acknowledgement statement that Departing PI has disclosed to Venture Partners at UofM all Discoveries, including all inventions and software programs, required under UofM IP policy through their end-date. Provide copy to Compliance Officer.		Legal  Venture Partners at UofM Compliance Officer

**OTHER CONTRACTUAL OBLIGATIONS**

<input type="checkbox"/> Terminate or transfer responsibilities for other contractual obligations to the New Institution (ex. no cost collaboration, bailment agreements, data use agreements, non-disclosure agreements). Inform sponsor of the change and inform OSP of agreed upon plans.	Departing PI/BO	OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a> Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>
<input type="checkbox"/> Notify Facility & Resources Officer in OSP if UofM holds an active security clearance for Departing PI.		

**OUTGOING AWARD TRANSFER COMPLETE**

<input type="checkbox"/> Received relinquishment fully executed notice	New Institution OSP	OSP at New Institution OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>
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Confirmation of Checklist Completion:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## INCOMING PI *(New proposal)*

<input checked="" type="checkbox"/>	Checklist Item	Responsible Party	Point of Contacts
<input type="checkbox"/>	New PI informs Department of incoming award(s).	PI	Department Chair/BO
<input type="checkbox"/>	Receive list of incoming award(s).	PI/BO/Chair/Dean	Pre-Award Coordinator
<input type="checkbox"/>	Prepare budget and budget justification for incoming award(s).		
<input type="checkbox"/>	Receive and confirm Scope of Work (SOW).		
<input type="checkbox"/>	If applicable, get a listing of incoming equipment.		
<input type="checkbox"/>	If applicable, prepare an F&A waiver if the former institution's F&A rate is lower.		
<input type="checkbox"/>	Prepare new proposal in Cayuse for each incoming award.	PI/BO	
<input type="checkbox"/>	Route Cayuse proposal(s) to OSP.		
<input type="checkbox"/>	OSP reviews and processes proposal(s).	OSP	OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>
<input type="checkbox"/>	OSP receives fully executed Relinquishment Statement from Old institution.		
<input type="checkbox"/>	Sponsor transfers and fund the award at Memphis.		
<input type="checkbox"/>	Receive Notice of Award email communication.		
<input type="checkbox"/>	Receive notice of new project account(s) setup email.	Grants & Contracts	Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>
<input type="checkbox"/>	Refer to Award Setup & Management Checklist to ensure the award(s) are properly setup and for monthly management.	PI/BO	Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>  OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a>  HR Service Center/Data Mgt

## INCOMING AWARD TRANSFER COMPLETE

<input type="checkbox"/>	Incoming award(s) fully executed	PI/OSP/GCA	PI OSP <a href="mailto:osp@memphis.edu">osp@memphis.edu</a> Grants & Contracts <a href="mailto:grants@memphis.edu">grants@memphis.edu</a>
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Confirmation of Checklist Completion:

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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## GLOSSARY OF TERMS

**Departing PI** is any faculty or staff person engaged in sponsored research in a key personnel role who is departing the UofM.

**Courtesy Appointed PI** is an appointment for a PI who has awards staying at UofM to support students, Research Associates or Professional Research Assistants. Typically, this a 0% appointment receiving no salary.

**Property** includes all items acquired under a sponsored project, such as, but not limited to supplies, materials, capital and non-capital equipment, computers, and electronic devices.

**Relinquish** is to voluntarily cease to keep or claim a sponsored award.

**Retain** is to continue to have or keep possession of the sponsored award.

**Tangible Research Property** is a physical or biological entity that is, or may be, useful in research. Examples include models, devices, designs, avatars, computer software, storage media containing machine instructions, text, tissues, serum, fluids, organs, cell lines, antibodies, recombinant materials, chemical compounds and compositions, formulations, plant varieties, laboratory notebooks, clinical information, records, and data related to discoveries. Tangible Research Property does not include intellectual Property that is considered Educational Material.

**Termination** is the ending of a sponsored award, in whole or in part at a time prior to the planned end of period of performance.

**Transfer** is to move the sponsored award from one institution to another institution.

**UofM Discoveries** is any inventive idea and/or its reduction to practice which relates to, but not limited to new process or methods of producing a new and useful industrial result; any composition of matter, including chemical and biological compounds; any new devices; any new plant; any new design in connection with the production or manufacture of an article; any new computer hardware and/or software programs; any know-how supporting these inventive ideas, systems, devices, compositions, programs or processes; and any new use or improvement of existing systems, devices, compositions, programs, or processes.