

Checklist for Principal Investigators Transferring out of or Departing URI

revised November 2024

This checklist is intended for Principal Investigators (PIs) who are leaving the University (including retirees who will be faculty emeriti). The checklist includes items relevant to research activities to ensure notification of the appropriate central research offices prior to the PI's departure. Please work directly with your Dean or Associate Dean of Research to ensure completion of all relevant requirements. Contact each office below, as applicable, and provide the requested information.

The diagram below provides a broad overview of PI transfer/departure considerations. You will find detailed items in the checklist that correspond to the sponsored projects, property, and compliance sections below.

NOTE: In addition to completing the steps of this checklist, the PI is required to coordinate their departure with the Human Resources Consultant for their unit.

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 Unit (Administrators, Dean and/or Chair)
 - Central Administration
- Compliance Units (EH&S, IACUC, IRB, IBC, Export Control, etc.)
- Other Units (Property, Human Resources)
- 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

Compliance with URI's policies and procedures and federal regulations must be taken into consideration when a PI is departing the University.

Considerations include:

- Animal Research (IACUC)
- Human Subject Research (IRB)
- Biosafety (IBC)
- 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



OFFICE OF SPONSORED PROJECTS (OSP)

Start Here: These items apply to all departing PIs with Sponsored project awards and/or proposals.

(✓)	Checklist Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> PI should review projects with their Dean before beginning the grant separation and termination process. Grants are awarded to the institution. It is only upon Dean recommendation to the VPR that sponsored awards are permitted to be transferred. Please note that prior approval from the agency may be needed; PI should confirm with their Program Officer. 	Departing PI	<ul style="list-style-type: none"> College Dean Office of Sponsored Projects (OSP) Department Chair
	<ul style="list-style-type: none"> Provide OSP with the following information: <ul style="list-style-type: none"> Active sponsored project(s) in which you are a PI, Co-PI, listed as key personnel or collaborator Have committed (cost share) and/or actual effort on a sponsored project Sponsored projects that include subawards Pending proposals that are likely to be funded and/or agreements pending execution Any active contractual agreements (Federal/State funded grants, cooperative agreements/contracts, subcontracts) 	Departing PI	<ul style="list-style-type: none"> OSP
	<ul style="list-style-type: none"> Ensure all reports (financial and technical) and other deliverables have been submitted to sponsors Work with the Departmental Effort Coordinator to review and certify their final effort statement <p>Note: Noncompliance with submitted final Progress Report may result in both the Investigator and Institution not being able to accept future funding from the agency.</p>	Departing PI	<ul style="list-style-type: none"> OSP Departmental Effort Coordinator

(✓)	If you have:	That will:	You will need to:	Point(s) of Contact
	Active External Awards	Transfer to new institution	<ul style="list-style-type: none"> Determine if subaward back to URI is needed (i.e. to continue support of grad students / fellows) Submit a request to OSP to transfer the award; agency relinquishing statement Notify OSP to terminate subawards Submit a prior approval request to OSP to transfer equipment to the new institution Submit any outstanding reports to sponsor and deliverables Close out the award 	<ul style="list-style-type: none"> OSP

(✓)	If you have:	That will:	You will need to:	Point(s) of Contact
	Active External Awards	Relinquish prior to separation	<ul style="list-style-type: none"> ● Notify OSP to terminate subawards ● Submit any outstanding reports and deliverables to sponsor ● Submit a final invention statement, if applicable ● Work with OSP to close out the award ● Equipment purchased with grant funding can be transferred to a new institution based on approval from the College Dean and the Property & Support Services Department. The PI should develop a list of equipment being used in active grants and justification for transfer. 	<ul style="list-style-type: none"> ● OSP ● Funding agency ● Property & Support Services Department
		Remain at this institution	<ul style="list-style-type: none"> ● Identify new PI of record ● Notify funding agency of new PI of record ● Submit official request to OSP to change PI on project 	<ul style="list-style-type: none"> ● Funding agency ● OSP
	Expired external awards		Submit any outstanding reports and deliverables to sponsor	<ul style="list-style-type: none"> ● Funding agency

POST AWARD CLOSEOUT CHECKLIST

1. Financial Closeout

(✓)	Item	Responsibility	Point(s) of Contact
	<i>Final Expenditure Review</i>		OSP Post-Award
	<ul style="list-style-type: none"> ● Verify that all expenditures are allowable, allocable, and reasonable 	Departing PI	
	<ul style="list-style-type: none"> ● Ensure all expenses are posted to the correct budget categories 	Departing PI	

(✓)	Item	Responsibility	Point(s) of Contact
	<u>Encumbrance Check</u>		OSP Post-Award Contact your OSP post award specialist and Accounts Payable about the closeout of cash advances. Accounts Payable contact: Kristen Scott, Email: kristen_scott@uri.edu Contact pcard@etal.uri.edu and your department administrator for Pcard closeouts
	<ul style="list-style-type: none"> Clear all outstanding encumbrances 	Departing PI	
	<ul style="list-style-type: none"> Verify that no further commitments are pending 	Departing PI	
	<u>Final Financial Report</u>		
	<ul style="list-style-type: none"> Prepare and submit the final financial report to the sponsor 	Departing PI	
	<ul style="list-style-type: none"> Ensure the report includes a detailed account of all expenses, matching the sponsor's format and requirements 	Departing PI	
	<u>Unspent Funds</u>		
	<ul style="list-style-type: none"> Determine the disposition of any unspent funds (return to sponsor, reallocation, etc.) 	Departing PI	
	<ul style="list-style-type: none"> Process any required refunds to the sponsor 	Departing PI	
	<ul style="list-style-type: none"> Reconcile and return any unspent cash advances 	Departing PI	
	<ul style="list-style-type: none"> Reconcile and return purchasing cards (Pcards) 	Departing PI	
	<u>Cost Share Documentation</u>		
	<ul style="list-style-type: none"> Ensure all cost share commitments are met and documented 	Departing PI	
	<ul style="list-style-type: none"> Submit a cost share report if required by the sponsor 	Departing PI	
2. Programmatic Closeout			
	<u>Cost Share Documentation</u>		OSP Post-Award
	<ul style="list-style-type: none"> Confirm Submission of the final technical or performance report 	Departing PI	
	<ul style="list-style-type: none"> Ensure final technical or performance report meets the sponsor's guidelines and deadlines 	Departing PI	
	<u>Deliverables</u>		
	<ul style="list-style-type: none"> Verify all project deliverables (e.g., data, software, publications) are submitted 	Departing PI	

(✓)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> Obtain confirmation from the sponsor of receipt and acceptance 	Departing PI	
	<u>Patent/Invention Reporting</u>		
	<ul style="list-style-type: none"> Submit final invention statement and any patent reports required 	Departing PI	
	<ul style="list-style-type: none"> Ensure all intellectual property disclosures are properly documented and submitted 	Departing PI	
3. Compliance Closeout			
	<u>Audit Requirements</u>		OSP Post-Award
	<ul style="list-style-type: none"> Prepare for any potential audit by ensuring all documentation is complete and accurate 	Departing PI	
	<ul style="list-style-type: none"> Maintain organized records of financial, technical, and compliance documentation. 	Departing PI	
	<u>Subrecipient Monitoring</u>		
	<ul style="list-style-type: none"> Ensure all subrecipients have completed their closeout requirements 	Departing PI	
	<ul style="list-style-type: none"> Confirm all subrecipient reports are received and reviewed 	Departing PI	
4. Administrative Closeout			
	<u>Effort Reporting</u>		OSP Post-Award
	<ul style="list-style-type: none"> Confirm all effort reports for the project period are completed and certified 	Departing PI	
	<ul style="list-style-type: none"> Address any discrepancies in effort reporting 	Departing PI	
	<u>Property/Equipment Disposition</u>		
	<ul style="list-style-type: none"> Conduct a final inventory of project-related property/equipment 	Departing PI	
	<ul style="list-style-type: none"> Follow sponsor and institutional guidelines for disposition of property/equipment 	Departing PI	

(√)	Item	Responsibility	Point(s) of Contact
	<u>Record Retention</u>		OSP Post-Award & Project Sponsor
	<ul style="list-style-type: none"> Ensure all project records are archived in accordance with sponsor and institutional policies 	Departing PI	
	<ul style="list-style-type: none"> Verify the retention period requirements for the specific sponsor 	Departing PI	
5. Communication and Documentation			
	<u>Sponsor Communication</u>		OSP Post-Award & Project Sponsor
	<ul style="list-style-type: none"> Confirm all final reports and documents are submitted and acknowledged by the sponsor 	Departing PI	
	<ul style="list-style-type: none"> Obtain written confirmation of award closeout from the sponsor 	Departing PI	
	<u>Internal Communication</u>		
	<ul style="list-style-type: none"> Notify internal stakeholders (e.g., department heads, financial office) of project closeout 	Departing PI	
	<ul style="list-style-type: none"> Document the closeout process and any issues encountered 	Departing PI	
	<u>Closeout Meeting</u>		
	<ul style="list-style-type: none"> Conduct a final meeting with the project team to review the closeout process 	Departing PI	
	<ul style="list-style-type: none"> Document lessons learned and best practices for future reference 	Departing PI	
6. Post-Closeout Activities			
	<u>Follow-Up Tasks</u>		OSP Post-Award
	<ul style="list-style-type: none"> Schedule follow-up tasks for any remaining post-closeout requirements 	Departing PI	
	<ul style="list-style-type: none"> Monitor for any additional communications from the sponsor regarding the closed project 	Departing PI	OSP Post-Award

(✓)	Item	Responsibility	Point(s) of Contact
	<i>Performance Review</i>		
	<ul style="list-style-type: none"> Review project performance and compliance for continuous improvement 	Departing PI	
	<ul style="list-style-type: none"> Document any suggestions for improving future project management and closeout procedures 	Departing PI	

URI FOUNDATION OR RESEARCH FOUNDATION			
<i>Industry and Foundation Sponsored Projects</i>			
(✓)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> Contact Foundation or Research Foundation with a list of Sponsored Research Projects or Gifts (private foundation or industry sponsored) 	Departing PI	<ul style="list-style-type: none"> URI Foundation Email: foundation@uri.edu
	<ul style="list-style-type: none"> Indicate whether the project or gift will be transferred to the new institution or transferred to a new PI at URI 	Departing PI	<ul style="list-style-type: none"> URI Research Foundation Phone:
	<ul style="list-style-type: none"> Will there be an interim PI or will URI remain the site for the project? If so, provide PI contact information. 	Departing PI	(401) 874-9206
	<ul style="list-style-type: none"> Provide a URI Department contact. 	Departing PI	
	<ul style="list-style-type: none"> Provide contact information for the new Institution. 	Departing PI	
	<ul style="list-style-type: none"> Notify the URI Foundation or Research Foundation with the proposed change of PI on the project. 	Departing PI	
	<ul style="list-style-type: none"> Provide Foundation or Research Foundation with information on any expected Data Use Agreements needed related to departure (incoming and outgoing). 	Departing PI	

LABORATORIES/FACILITIES (URI Property, Equipment & Supplies) and ENVIRONMENTAL HEALTH AND SAFETY (EHS)

(√)	Item	Responsibility	Point(s) of Contact
	• Review the URI Policy for Lab Move-ins and Move-outs	Departing PI	Office of Environmental Health and Safety Email: srm@etal.uri.edu Phone: 401.874.7993
	• Notify EHS via email 30 days prior to shutdown date	Departing PI	
	• Complete the Lab Clearance Form (Lab Closeout Checklist) and submit to EHS when completely moved out of lab space; chemical cleanout requires one month advance notice	Departing PI	
	• If necessary, complete the Lab Equipment Disposal Form	Departing PI	
	• Complete EHS Waste Disposal Request for any unwanted hazardous materials prior to closeout. Note: Any hazardous material left behind <i>may result in charges</i> to PI/Department for proper disposal	Departing PI	
(√)	Item	Responsibility	Point(s) of Contact
	• For research proposals that require medical surveillance closeout evaluation, contact the EHS at 401.874.7993 to schedule an appointment in accordance with the SOP.	Departing PI	Email: srm@etal.uri.edu Phone: 401.874.7993
	• New PIs who will move into the lab after the departing PI must complete a URI Laboratory Move-In Form .	Incoming PI	Phone: 401.874.7993

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)

(√)	Item	Responsibility	Point(s) of Contact
	• Contact the IACUC/IBC Specialist with the expected final date for animal work	Departing PI	IACUC/IBC Specialist: Gwen Currier Email: gwencurrier@uri.edu Phone: 401-874-2526 CBRC Facility Manager: Roland Lariviere Email: rlariviere1@uri.edu
	• Contact the CBRC Facility Manager to communicate animal facility departure	Departing PI	
	• File an IACUC amendment in IRBNet if transferring the protocol to another URI Principal Investigator	Departing PI	
	• If no animals are present and work at URI has concluded, file an IACUC termination form to close out the protocol in IRBNet	Departing PI	

INSTITUTIONAL BIOSAFETY COMMITTEE (IBC)			
(√)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> Contact the IACUC/IBC Specialist with the expected final date that you will conclude your biological research 	Departing PI	IACUC/IBC Specialist: Gwen Currier Email: gwencurrier@uri.edu Phone: 401-874-2526 Biosafety Officer: Megan Dyer Email: mdyer@uri.edu
	<ul style="list-style-type: none"> File an amendment in IRBNet if transferring the protocol to another URI Principal Investigator 	Departing PI	
	<ul style="list-style-type: none"> If work at URI has concluded, file an IBC termination form to close out the protocol in IRBNet 	Departing PI	
	<ul style="list-style-type: none"> Contact URI's Biosafety Officer to ensure all lab spaces are cleaned out appropriately and any biological agents are properly disposed of 	Departing PI	

DATA MANAGEMENT			
(√)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> If a Data Use Agreement (DUA) is anticipated, submit a request to AVPR to prepare the DUA which will be sent to OGC for review. Data not pertaining to human subjects or animal subjects also require a DUA. 	Departing PI	IRB Specialist Heather Paskalides Email: hpaskalides@uri.edu Phone: 401.874.4328 AVPR Elizabeth Buchanan Email: elizabeth.buchanan@uri.edu
	<ul style="list-style-type: none"> For faculty who plan to take research data from URI research studies, provide proof of the IRB's approval to take the research data, including the IRB study number, data elements to be disclosed, and recipient institution's name. 	Departing PI	
	<ul style="list-style-type: none"> For faculty who plan to take research data from closed research studies to an institution outside of URI the PI is responsible for ensuring the IRB-approved storage of data was approved for storage beyond closure date. 	Departing PI	
	<ul style="list-style-type: none"> For faculty who plan to take research data from research studies that will be transferred to the new institution, provide the IRB with approval for this transfer and proof that data will be stored and transferred appropriately. 	Departing PI	
	<ul style="list-style-type: none"> Ensure department chair approval has been obtained for the use of the data, if needed (such approval may be indicated on the DUA or through other URI processes) 	Departing PI	
	<ul style="list-style-type: none"> If the faculty member has already left URI (including retirees), more approvals may be required. 	Departing PI	

CONFLICT OF INTEREST (COI)

(✓)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> Email the COI Program with the date you are leaving URI and the name of the institution you are going to. 	Departing PI	Conflict of Interest Program (COI) Email: Researchintegrity@etal.uri.edu Phone: 401.874.4328
If you have	That Will:	You will need to:	Additional Notes
An IRB study	Stay at URI or transfer to transfer to new institution	<ul style="list-style-type: none"> Have your position and contact information changed on the IRB study so that you don't receive URI COI disclosures Change or remove COI disclosure text in the informed consent as needed 	
A Sponsored Project	Stay at URI	<ul style="list-style-type: none"> Have your position and contact information changed so that COI disclosures are linked appropriately 	A subcontract may need to be initiated with the Department.
A Management Plan for your COI	Stop once you leave URI	<ul style="list-style-type: none"> Schedule a "close-out" meeting with the COI Administrator before you leave URI. 	Email: Researchintegrity@etal.uri.edu Phone: 401.874.4328

INSTITUTIONAL REVIEW BOARD (IRB)

(✓)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> Provide IRB Office with IRB numbers of studies where the exiting faculty member is the Principal Investigator 	Departing PI	Office of Research Integrity IRB/RCR Specialist: Heather Paskalides Email: hpaskalides@uri.edu
	<ul style="list-style-type: none"> Submit a modification requesting closure of the study if all study activities have been completed 	Departing PI	
	<ul style="list-style-type: none"> For studies that will be transferred to the PI's new institution, a reliance agreement must be in place to cover IRB oversight of the study during the transition to the new institution. 	Departing PI	

<ul style="list-style-type: none"> • A reliance agreement between URI and the new institution may remain in place in certain circumstances (i.e., the study is in data analysis and requires continued URI personnel) <p>PLEASE NOTE: URI Adjunct Faculty who hold primary appointments at other institutions or organizations may not continue to serve as the PI at URI. Emeritus faculty (retirees) may continue to serve as PI on studies that are in data analysis only.</p>	Departing PI	
<ul style="list-style-type: none"> • For studies that will continue at URI, submit a modification naming a new URI PI and remove the existing PI from the IRB personnel list 	Departing PI	
<ul style="list-style-type: none"> • For faculty whose role is other than the PI, submit a modification to remove name from IRB personnel list 	Departing PI	
<ul style="list-style-type: none"> • Faculty who plan to take research data or specimens obtained from closed research studies outside of URI, the faculty member's department is responsible for ensuring the IRB approved storage of data/specimens were approved for storage beyond study closure. 	Departing PI	

EXPORT COMPLIANCE			
(✓)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> • Notify URI's Export Control Office (ECO) of the PI's departure if the PI has participated in any type of export-controlled research or controlled project. • Follow all procedures outlined in the PI's Technology Control Plan (TCP) and/or Technology Control Security Plan (TCSP). 	Departing PI	Export Control Office Carol A. Connolly, Director Research Security/Export Control Officer (ECO) Email: carolconnolly@uri.edu Phone: 401.874.5467
	<ul style="list-style-type: none"> • If the departing PI is a foreign national returning to their home country and they have participated in any type of export-controlled research or project, they must work with URI's ECO to determine what (if any) data may be taken back to their home country. Controlled data may not be transferred out of the country without review and written approval from URI's ECO. • The foreign national employee will also be required to sign an export attestation prior to transferring any controlled data outside of the United States. 		Export Control Office Carol A. Connolly, Director Research Security/Export Control Officer (ECO) Email:
	<ul style="list-style-type: none"> • If the departing PI intends to transfer export-controlled items and/or data to another institution/entity, they must work with URI's ECO to ensure that all documentation and export 	Departing PI	

	control requirements are met. URI's ECO must work directly with the receiving institution/entity to ensure that requirements are met for the transfer.		carolconnolly@uri.edu Phone: 401.874.5467
	<ul style="list-style-type: none"> If the departing PI is retiring and wishes to personally retain export-controlled data, they must get written approval from URI's ECO. 	Departing PI	

INTELLECTUAL PROPERTY

(✓)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> If you have submitted an invention disclosure, provide an updated email and physical address 	Departing PI	Brian A. Nath, JD Director, IP Email: briannath@uri.edu Phone: 401.874.9003 Fax: 401.874.7832

OFFICE OF GENERAL COUNSEL (OGC)

(✓)	Item	Responsibility	Point(s) of Contact
	<ul style="list-style-type: none"> If the departing PI is on legal hold notice, contact the Office of University Counsel and be prepared to identify the departing employee. 	Departing PI	Office of University Counsel (OUC)

PERSONNEL ACTIONS

(✓)	Item	Responsibility	Point(s) of Contact
	Complete the URI Human Resource Checklist	Departing PI	URI Human Resources