

Departure Questionnaire and Considerations When a Principal Investigator Leaves SBU

Associated guidance: PI Changes in Affiliation and Absences from a Sponsored Award Guidance

- Is the PI a named researcher on any active sponsored awards? Yes No (If yes, see #1 and #2 below)

- Does the PI have any active proposals that have not been awarded? Yes No (If yes, see # 1 below)

- Will the PI have Affiliate Status after departure? Yes No Unknown at this time

- Are there active labs or any research specimens that will need to be transitioned during departure? Yes No (If yes, see #5)

- If actively employing personnel (e.g. graduate students, postdocs) on research awards, determine if any will be leaving with the faculty and/or planned transitions of employment. Yes No (If yes, see #8)

- Does the faculty member have any managed conflict of interest? Yes No If yes, notify the Director for Research Security prior to departure from SBU.

- Is the faculty identified on a Technology Control Plan or participating in an export controlled activity? Yes No (If yes, see #7 below).

- Has the faculty disclosed any Intellectual Property to Intellectual Property Partners at SBU? Yes No (If yes, see #3 below).

- Does the faculty intend to transfer equipment, research data, or research data devices? For equipment transfer, see #2 below; for material transfer, see #3 below; for data transfer, contact the Research Computing and Innovation Team)

- Does the faculty have email, data storage, physical files, or University-owned devices? If yes, notify the Research Computing and Innovation Team.

- Is the faculty a PI on an IACUC protocol? Yes No (If yes, see #4)

- Is the faculty a PI on an IRB protocol or a www.clinicaltrials.gov folder? Yes No (If yes, see #4)

- Is the PI on any IBC protocol? Yes No (If yes, see #6)

- What email can the PI be contacted at after leaving SBU? _____

- What phone number can the PI be contacted at after leaving SBU? _____

Note: If moving to another institution, contact your new institution regarding transfer procedures for sensitive information or equipment and identify contact/liaison persons (e.g., legal, for data transfer, grants administration).

Sponsored project Principal Investigators (PIs) departing from Stony Brook University, whether through resignation, retirement or termination, must notify their Department Chair and schedule a meeting to finalize their departure plan. Matters of discussion should include, but are not limited to:

1. Funded Sponsored Awards

SBU holds each Sponsored Award as the recipient institution, not by the PI as an individual. Thus, the determination of whether or not a sponsored award is appropriate to transfer is a process involving SBU Leadership (Dept./College/Institution), Office of Sponsored Programs (OSP), and the Sponsor. The following types of sponsored awards require focused assessment and agreement: (1) large grant programs where the remaining infrastructure is not moving; (2) institutional grants specific to the state programs; (3) trials approaching enrollment closure; or, (4) specific pharma trials requiring unique patient populations.

Consult the terms and conditions of the award to determine the required course of action. Project options include:

1. The continuance of the award(s) at SBU under the direction of a new PI
2. The transfer of the award(s) to the new organization
3. Award termination

Any progress and/or final reports must be up to date prior to departure. The PI will work with the Office of Sponsored Programs to complete progress reporting requirements, and with the Office of Grants Management to finalize the financial portion of the project.

External Awards:

Provide OSP (osp_postawards@stonybrook.edu) with a complete list of the departing PI's awards and designate each with a planned outcome "NO INTENT TO TRANSFER" or "TRANSFER AWARD."

- ❖ **FOR NO INTENT TO TRANSFER AWARD:** To initiate a replacement SBU PI or the closeout of the award, coordinate with OSP (osp_postawards@stonybrook.edu) to allow submission of a prior approval request to the sponsor or the early termination as required by the terms and conditions of the award *prior* to your departure date.
 - **Invention Statements:** IPP will complete and submit final invention statements to sponsor as required.
 - **Progress Reports:** Complete and submit all required progress reports and final progress reports as required by the award terms and conditions. Provide copies to OSP.

❖ **FOR TRANSFERRING OUT AWARD:**

- **RELINQUISHMENT FORM (Signatures Required):** Complete and submit a 'Relinquishment Form: Transfer Award Out' form (requires signatures of the Dept. Chair, the Dean/Research Dean of the College/School, and OSP. OSP will work with you, your Department/Unit Administrator, and Office of Grants Management to submit a Relinquishment Statement to the Sponsor.
- **Transfer Contact Information:** Provide contact information for new institution to your OSP representative and provide OSP's contact information to new institution.
- **Invention Statements:** Work with IPP to complete and submit final invention statements to the sponsor as required.
- **Progress Reports:** Complete and submit all required progress reports and final progress reports as required by the award terms and conditions. Provide copies to OSP.
- **Active Subrecipient Collaborations:** If the active award(s) include ongoing subrecipient collaborations, action would be required to revise terms of the subrecipient agreements. Contact OSP's Outgoing Subawards Specialist to coordinate action. Final reconciliation of expenditures that are due would be required.

- **Financial Report:** OGM completes and submits final reports to sponsors as required.

Internal Awards:

Faculty who serve as PI, CoPI, or key personnel on research internal awards (e.g. start up, seed) should notify the Department Chair and the Office of Sponsored Programs. An agreement may be reached on how the funds can be used while the PI is still at SBU. Once the PI has left the University, the Vice President for Research will contact the Department Chair to determine how the remaining internal funds will be managed.

2. Grants Management (Post-Award) Tasks

All items listed below are recommended actions to be completed PRIOR to departing SBU.

- ❖ **Equipment Transfers:** Submit a transfer request for any Equipment purchased on an award to the Office of Grants Management for review, approval, and submission to the sponsor (email). Any equipment and supplies purchased while employed at Stony Brook University are the property of Stony Brook University or the sponsoring agency. Coordinate with your Department Chair, the Office of Grants Management and [Property Control](#) to verify ownership and make arrangements for the disposal and/or transfer of any items. Prior approval may be needed from the sponsoring agency for any transfers.
- ❖ **Effort Certifications:** Contact your Grants Management Sponsored Award Analyst to make arrangements to review and certify final Effort Reports for you and your lab personnel.
- ❖ **Financial Reconciliation & Closeout:** With the help of your appropriate department administrator and Grants Management Sponsored Award Analyst, prepare the award budget to retain sufficient funds by SBU to cover any outstanding balances and/or budget deficits. Review and certify final expenditures made to grant or contract.
- ❖ **[See Termination/Closeout Checklist for further guidance.](#)**

3. Inventions / Patents / Non-Disclosure or Confidentiality Agreements (NDA or CDA) / Material Transfer Agreements (MTA)

Contact Intellectual Property Partners. Subject to SUNY Patents, Inventions and Copyright Policy, faculty may have specimens, cell lines, reagents or invention related data, they would like to take with them when leaving SBU. The ownership of these items may be unclear. It is important to communicate with IPP regarding your intellectual property. All items listed below are recommended actions to be completed PRIOR to departing SBU.

Materials & Invention Related Data

- ❖ If you intend to transfer materials such as, animals, prototypes, specimens, cell lines, or reagents, acquired through an MTA or generated at Stony Brook University, consult with IPP to determine feasibility of transfer and whether or not a Material Transfer Agreement is needed.
- ❖ If you intend to transfer data pertaining to a new technology disclosure or discovery created at Stony Brook University to your new institution, please request a consult from IPP to determine whether or not an agreement is needed. IPP will work with you to document any pre- existing rights and obligations that may be attached to the data in question.
- ❖ To set up an appointment with an IPP representative please email ovpr_IPP@stonybrook.edu.

Patents & Inventions

- ❖ Submit to ovpr_IPP@stonybrook.edu final updates and data related to any previously disclosed inventions.
- ❖ Disclose to ovpr_IPP@stonybrook.edu any unreported inventions and research reagents generated at Stony Brook University.
- ❖ Provide new address and contact information for activities related to IPP (patent prosecution, licensing support, royalty distribution, etc.) to ovpr_IPP@stonybrook.edu.
- ❖ Provide a point of contact for technology licensing office at new institution.
- ❖ Ensure all necessary outstanding documentation (invention disclosures, patent assignments, declarations of inventorship, royalty sharing agreements, etc.) have been executed.

4a. Human Research

It is imperative that proper steps be taken with regard to the disposition of human or animal subject research protocols prior to departure from the University. All items listed below should be completed PRIOR to the faculty member's departure from SBU. Contact the Office of Research Compliance (ORC) with questions or concerns.

All items listed below are recommended actions to be completed PRIOR to departing SBU. For assistance, contact your clinical research coordinator or ORC.

- ❖ Contact the appropriate IRB Administrator overseeing the protocol to identify any open protocols and provide the IRB Administrator with a departure date.
- ❖ If research is industry-sponsored, the sponsor has final approval over change of PI and/or change of institution or modifications of any clinical trial agreement. Contact the Office of Sponsored Programs team of Contracts and Clinical Trials Specialists to discuss details.
- ❖ If the PI is changing, complete an amendment and send it to myResearch.
- ❖ For Sub investigators: If you will continue to work on the protocol after you leave SBU notify the principal investigator and the IRB Administrator.
- ❖ If you are closing a study, submit an amendment in myResearch and consult with your IRB Administrator.
- ❖ Describe data generated during the study for which you were the principal investigator that must be retained under contractual obligations or FDA regulations. Include the following:
 - o where the data are stored and, if stored at a secure, commercial facility, the source of future storage costs through destruction of the records
 - o number of boxes/file cabinets involved and how they are identified
 - o how long the records must be retained
 - o sponsor contact information

4b. Animal Research

- ❖ Institution Animal Care and Use Committee (IACUC): If PI on IACUC protocol, send written notification to the ORC IACUC administrator to inform them of the proposed transfer. The notification should include:
 - o exact date of departure
 - o requested date of protocol termination
 - o intended disposition of any remaining animals
 - o new contact information.
- ❖ If you are likely to transfer animals, contact ORC IACUC administrator and DLAR to prepare and arrange for appropriate transfer forms. Note: Animals transferring to another institution requires a signed MTA and will likely need to be placed in quarantine at the new institution, so adequate lead-time must be taken into account.
- ❖ If you plan to continue collaborative research with another qualified SBU faculty member, the collaborating SBU faculty member must agree to accept responsibility for any ongoing research and animals in inventory. The departing faculty member's protocol will be terminated; therefore, the collaborator must submit a NEW animal use protocol under his/her name in myResearch together with a cover letter that clearly details:
 - o the nature of the collaborative work

- o the collaborator's willingness to accept the research project
- o the extent of his/her experience with the research of the departing investigator
- o any graduate students or post-docs previously supervised by the departing faculty member who will continue to work on the project
- o timetable for completion of the collaborative project.

5. Research Laboratory/Hazardous Material Cleanup

When vacating laboratories containing potentially hazardous materials (chemical, biological, radiological, sharps, or other hazards), it is imperative that principal investigators coordinate with Environmental Health & Safety (EHS) to ensure proper disposal or transfer. Failure to comply with the rules that govern hazardous materials is significant and could result in civil or criminal penalties, including monetary fines and imprisonment.

Notify Environmental Health & Safety (EHS) of your intent to close down a research laboratory to ensure that you have adequate time for appropriate decontamination, transfer, surplus, or disposal of any hazardous materials and equipment. Refer to Environmental Health & Safety Policy & Procedure Manual <https://www.stonybrook.edu/commcms/environmental-health-and-safety/programs/laboratory-safety/general-laboratory-safety/docs/Lab%20Close%20Out%20Policy.pdf>

6. Institutional Biosafety Committee & Select Agents

If you have an active IBC protocol, please notify the IBC Coordinator at erin.augello@stonybrook.edu. SBU is not obligated to sponsor or transfer work that cannot be performed at another institution due to inadequate space or provisions for select agents. Any active protocols with select agent(s) should be discussed with the IBC.

7. Export Control

All items listed below are recommended actions to be completed PRIOR to departing SBU.

- ❖ Projects with Technology Control Plans, Project Management Plans, or other IT Management Plans: Contact the Research Security Program at ovpr_researchsecurity_admin@stonybrook.edu for help in determining how to transfer your responsibilities to others or to establish a plan for your continued involvement with the project.
- ❖ Transition of employment to a foreign entity (wherever located): If you plan to continue to be involved with a SBU project that has a Technology Control Plan, Project Management Plan or uses export-controlled technology, contact the Research Security Program at ovpr_researchsecurity_admin@stonybrook.edu prior departure to discuss whether any export licenses are required.

- ❖ Transition of employment to a foreign country (whether foreign or domestic employer): If you will be working in a foreign country and will continue to be involved with SBU projects, contact the Research Security Program at ovpr_researchsecurity_admin@stonybrook.edu prior departure to discuss whether any export licenses are required.
- ❖ Shipments of export-controlled items (i.e., technical data, equipment, software, or other materials): Contact the Research Security Program at ovpr_researchsecurity_admin@stonybrook.edu if export- controlled items will be included in any shipment from SBU to a foreign destination and ensure that all parties receive copies of all export licenses or other authorizations as required under federal laws.
- ❖ Transfer/remove export-controlled items (i.e., research projects, technical data, equipment, software, or other materials):
 - Contact the Research Security Program at ovpr_researchsecurity_admin@stonybrook.edu to confirm authorization to transfer/remove from SBU.
 - Contact your new employer's office or person responsible for export controls and put them in touch with the Research Security Program to coordinate the transfer from SBU to the new employer.
 - Note: items subject to a pending or denied export license application may not be exported by or from SBU.

8. Other Considerations

Lab Notebooks

Submit all lab notebooks to your Department Chair.

Graduate Students, Post-Docs or Other Employees

Notify the students, post-docs or other employees whom you advise & supervise, and coordinate with your Department Chair for a replacement advisor. If you intend to transfer those employees to your new institution, coordinate with your new institution.

Benefit and other Administrative Services

An appointment for a benefit termination can be made with SBU Human Resources. Other administrative services should be discussed with department heads, supervisors or local HR coordinators.