**Principal Investigator Separation Checklist**

This Principal Investigator (PI) Separation Checklist is to be used by the PI and department administration to determine what activities must be initiated for a PI separation. A PI separation is defined as resignation or retirement from the University.

The activities of the Checklist will be completed by the unit executive officer, the department administrator, and the separating PI. Please note that the activities should include the PI’s other unit/institute affiliations (e.g. Beckman Institute, NCSA, IGB). The purpose of this Checklist is to ensure that tasks associated with close out procedures are completed in a timely manner and will also ensure that all aspects of the PI’s relationship with the Institution are appropriately concluded and terminated.

This document and resultant activity from the separation process will serve:

1. To promote effective processes for termination and close out of sponsored projects;
2. To comply with institutional, state, federal and non-federal sponsor guidelines regarding transfer of grants and property and close out;
3. To assign accountability and responsibilities to departments and the separating PI;
4. To provide points of contact and enhance communication among each area and responsible party with responsibilities associated with terminations and close outs;
5. To safeguard against the loss of institutional assets and research data;
6. To ensure continued safety and care of human and animal study subjects.

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**Date of Assessment:**

Principal Investigator’s Name Principal Investigator’s Title

Principal Investigator’s UIN Principal Investigator’s Home Unit

Unit Executive Officer Department Administrator’s Name, Title

Separation Date Affiliate Department Administrator Name, Title

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**New Institution Contact Information**

New Institution Name, Department Contact, Email, Phone Number

Principal Investigator’s New Email and Phone Number

**PRINCIPAL INVESTIGATOR SEPARATION CHECKLIST**

As soon as a decision is made to separate from the University, the PI should begin working with his/her home department’s administration to complete the checklist to ensure a trouble free separation and a successful transition. **If the PI is going to maintain a relationship with the University, they should work with his/her home department and affiliated units/institutes to discuss the disposition of any on-going sponsored projects**. Please refer to the Eligibility to Serve as Principal Investigator policy (<http://cam.illinois.edu/xi/xi-4.htm>) in the Campus Administrative Manual for further information.

The following set of questions are designed to assess current activity of the PI and identify plans and expectations for separation.

* Has a resignation letter been submitted to the supervisor and/or unit executive officer? [ ] Yes [ ] No

|  |  |  |
| --- | --- | --- |
|  An official written separation (resignation or retirement) notice should include:

|  |  |
| --- | --- |
| * + Your name and signature
	+ Department name
 | * + Date of Separation (last working day)
	+ Name of new institution (if applicable)
 |

Provide a copy of the separation letter to unit HR contact/office.**Any employees that are separating should work with their department and/or Academic Human Resources to complete the Academic Employee Exit Checklist:** [**http://www.ahr.illinois.edu/forms/ExitChecklist.pdf**](http://www.ahr.illinois.edu/forms/ExitChecklist.pdf)**.**  |

**Financial Information:**

**Sponsored Project Funding**

* Do you have any active sponsored projects, in which you are a PI, Co-PI,
key personnel or collaborator? [ ] Yes [ ] No
* Do you have committed (cost share) and/or actual effort on a sponsored project? [ ] Yes [ ] No
* Do you have sponsored projects that include subawards? [ ] Yes [ ] No
* Do you have any other active contractual agreements (Nondisclosure, Material Transfer, [ ] Yes [ ] No
Data Use, etc.)?

* Are you current with all reports (financial and technical) and other deliverables to sponsors? [ ] Yes [ ] No

**Note: Noncompliance with submitting final Progress Report may result in Investigator and Institution not being able to accept future funding from agency**.

Do you have any pending proposals that are likely to be funded and/or
agreements pending execution? [ ] Yes [ ] No

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| Active external awards | Transfer to your new institution | * Determine if subaward back to UIUC is needed
* Submit a request to transfer the award
* Terminate subawards
* Submit any outstanding reports to sponsor
* Close out the award
 |  |
| Relinquish prior to your separation  | * Terminate subawards
* Close out the award
* Submit any outstanding reports to sponsor
* Submit a final invention statement to OTM, if applicable
 |
| Remain at this institution | * Identify new PI of record
* Submit official request to sponsor to change PI on project
* Notify OSP of change in PI
 |

|  |  |  |
| --- | --- | --- |
| If you have… | You will need to… | Administrative Notes |
| Expired external awards | * Submit any outstanding reports to sponsor
 |  |

**Non-Sponsored Funding**

* Do you hold an endowed position (directorship, professorship, etc.)? [ ] Yes [ ] No
* Do you have any non-sponsored funding (ICR, Startup, Gift/Unrestricted Grant Funds, etc.)? [ ] Yes [ ] No

* Do you have any current internal awards (Research Board, Scholar Travel, iSEE, etc.)? [ ] Yes [ ] No

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| Endowment funding | Remain unspent  | * Return unused funds
 |  |
| Terminate prior to your separation  | * Notify funding unit
 |
| Non-sponsored funding | Remain unspent | * Return unused funds
 |  |
| Internal awards | Remain unspent  | * Submit any outstanding reports
 |  |
| Terminate prior to your separation |

**Conflict of Interest and Significant Financial Interest:**

* Will you continue to have a paid or non-0% appointment at University of Illinois? [ ] Yes [ ] No
* Will you still have an active role in any sponsored research at University of Illinois? [ ] Yes [ ] No

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| A non-0% or any paid appointment | Continue after separation  | * Continue to file annual Report of Non-University Activities with University of Illinois
 |  |
|  |
| Have an active role in sponsored research | Continue after separation | * Continue to disclose significant financial interests to University of Illinois as required by the University and research sponsors
 |  |
|  |

**Human Subjects Research:**

* Are you the Responsible Project Investigator (RPI) on any active studies? If yes, see box 1 below. [ ] Yes [ ] No
* Are you a co-investigator on any active studies involving human subjects? [ ] Yes [ ] No

If yes, see box 2 below.

**Box 1 (RPI)**

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| Active studies and plan to identify a new RPI | Still involve recruitment, consent and data collection or analysis of identifiable data remains as a research activity | * File a research amendment with the Office for the Protection of Research Subjects (OPRS) changing RPI to a full time permanent UIUC faculty
* Update the IRB application, consent forms and related materials as appropriate
* Inform co-investigators and research team members involved in the protocol of the transfer or termination
* Consider any federal and state reporting requirements applicable to clinical trials (FDA, clinicaltrials.gov, adverse events reports, etc.)
* Add new contact information to the Research Team Attachment and submit to OPRS and contact IRB at new institution
 |  |
| Active studies and will remain as the RPI | Still involve only data analysis of identifiable data  | * Remain as RPI for no more than one year after termination if assisting a student to complete their thesis or dissertation
* Ensure all patients are taken off study in the institutional databases and data queries resolved
* Consider any federal and state reporting requirements applicable to clinical trials (FDA, clinicaltrials.gov, adverse events reports, etc.)
* Add new contact information to the RPI section of the IRB application and submit to OPRS and contact IRB at new institution
 |  |
| Non-active studies  | No longer involve recruitment, consent, data collection and -if data analysis continues -all data has been de-identified | * Notify OPRS to request the application be archived
 |  |

**Box 2 (Co-investigator)**

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| Active studies  | Continue after separation | * Notify RPI to update their Research Team Attachment to document the separating co-investigator’s new institutional affiliation; contact IRB at new institution; or
* To remove separating co-investigator from the application
 |  |

**Research Involving Animals:**

* Do you conduct animal research? [ ] Yes [ ] No

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| Animal research protocols | Transfer to a new Principal Investigator on campus | * Submit an amendment to all active animal use protocols to change the PI
 |  |
| Be closed | * Transfer or euthanize any assigned animals
* Request protocol termination
 |  |
|  Transfer live animals to your new institution | * Review policy on exporting live animals <http://research.illinois.edu/regulatory-compliance-safety/policy-exporting-laboratory-animals>
* Request Animal Export Request Form
* Complete receiving institution’s IACUC requirements (protocol, housing, etc.)
* If applicable, submit and negotiate a Material Transfer Agreement
 |  |

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| --- |
| **Contact:** Institutional Animal Care and Use Committee **(**IACUC) at IACUC@illinois.edu  |

**Research Involving Use of Materials, Data or Confidential Information:**

* Do you plan to continue to use any materials (e.g. biospecimens, tissue, cells), data

or confidential information being used in research which were obtained from a

third party under contractual terms (i.e. Material Transfer Agreement,

Data Use Agreement or Non-Disclosure Agreement)? [ ] Yes [ ] No

* Do you plan to continue to use any materials, data or confidential information being

used in research which are owned by the University of Illinois? [ ] Yes [ ] No

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| Third party owned materials, data or confidential information  | Need to be transferred to another institution Need to be transferred to another PI | * Consult with OSP regarding contractual terms associated with these items
 |  |
| University owned materials  | Need to be transferred to another institution.  | * Work with OTM to initiate a Material Transfer Agreement to transfer UI owned materials
 |  |
| Need to be transferred to another PI. | * Notify Department Administrator
 |
| University owned research data  | Need to be transferred to another institution  | * Consult with OSP regarding necessity for Data Use Agreement
 |  |
| Need to be transferred to another PI. | * Notify Department Administrator
 |

**Laboratory:**

* Do you maintain a research lab (this includes inactive or abandoned labs)? [ ] Yes [ ] No

|  |
| --- |
| If yes, please provide inventory of the following for each lab:* Location of lab
* Laboratory equipment
* Laboratory supplies
* Specimen (inventory of blood, tissue, etc. including location)
* Data stored or maintained in the lab
* Laboratory notebooks involving institutional research have been transitioned
* All research-related materials that will remain at the institution have been properly labeled and stored appropriately

**Note: In most cases, transferring chemicals is cost-prohibitive and requests will not be honored.** |

* Do you intend to take with you or transfer to your new institution any type of

laboratory materials or supplies? [ ] Yes [ ] No

* Have you contacted your newinstitution regarding transfer procedures for

laboratory materials or supplies? [ ] Yes [ ] No

* Do you work with radioactive material, controlled substances, recombinant DNA,

hazardous agents, select agents, or chemical inventory? [ ] Yes [ ] No

If “yes”, see “Close Out Procedures”

(<https://www.drs.illinois.edu/SafetyLibrary/LaboratoryCloseOutProcedures>) provided by the Division of Research Safety for retiring or separating laboratory managers.

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to…. | Administrative Notes |
| Radioactive material | Transfer registration to a Principal Investigator | * Inform DRS of any permissions that may end or be taken up by another person (Radiation Permit, IBC Registrations, etc.)
* Obtain radiological clearance of all equipment and assigned laboratory space
 |  |
| Be disposed of or remain at the institution | * For Radiation Permit, arrange for a closeout survey by DRS to confirm the absence of radioactive contamination
 |  |
| **Note: In most cases, transferring radioactive materials is cost-prohibitive and requests will not be honored.** |
| If you have… | That will…. | You will need to…. | Administrative Notes |
| * Controlled substances
* Recombinant DNA
* Hazardous agents
* Select agents
* Chemical inventory
 | Transfer to the new institution;Transfer to another Principal Investigator at this institution;Be disposed of or destroyed | * Submit an IBC Registration Transfer or Termination request
* Properly dispose of chemicals through DRS
* Properly destroy select agents through DRS
* Decontaminate laboratory equipment and glassware
* If decontamination is impossible, identify the agent(s) that may be present so that action may be taken in the future
 |  |
| **Note: In most cases, transferring chemicals is cost-prohibitive and requests will not be honored.** |

**Export Compliance**

* Are you a PI on a project covered by a technology control plan (TCP)? [ ] Yes [ ] No
* Are you a PI on a project that utilized equipment, software, data or materials covered by a TCP? [ ] Yes [ ] No

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | Will the Project | You will need to… | Administrative Notes |
| TCP | Transfer to your new institution? | * Provide notice to your new institution
* Make arrangements to transfer controlled data/equipment
* Inform UIUC’s Export Compliance Officer
 |  |
| Transfer to a new UIUC PI | * Have department and new PI work with Export Compliance Officer to ensure new PI can engage in a controlled project and manage controlled items/information
 |  |
| Be terminated  | * Make arrangements with Export Compliance Officer to dispose of controlled items/information
 |  |

|  |
| --- |
| **Contact:** Export Compliance Officer atexportcontrols@illinois.edu  |

**Intellectual Property (IP) & Technology:**

The Office of Technology Management (OTM) must be informed of your separation from the University of Illinois so that it can appropriately manage IP on which you are named an inventor or creator.

If the answer to any of the questions below is YES, please contact your Technology Manager at the Office of Technology Management, alternatively call 217 333-6807 or email otm@illinois.edu.

* Do you have any patents, license agreements, start-ups or royalty income based on

IP arising from research conducted at the University of Illinois? [ ] Yes [ ] No

* Do you have any new research, inventions, intellectual property and/or abstracts that

are yet to be published or protected? [ ] Yes [ ] No

* Do you have a patent pending in the USPTO or other patent office that will require your

input to get to patent issuance? [ ] Yes [ ] No

* Do you have any disclosed or undisclosed inventions that include inventors or creators

from other institutions or organizations? [ ] Yes [ ] No

* Are you going to be transferring a grant from the University of Illinois to your new

employer that is likely to create IP in the future? [ ] Yes [ ] No

Please also submit a Final Statement of Disclosure for any previously undisclosed intellectual property to OTM. <http://otm.illinois.edu/disclosure-forms>

**Property Accounting**

University Property Accounting and Reporting (UPAR) and GCO will need to be contacted regarding any loan or transfer request to determine if the equipment can be transferred, per sponsor terms and conditions and UIUC Policy. UPAR will also facilitate final approval of any University permanent transfer request from the State of Illinois through the Department of Central Management Services (CMS). The State/CMS has 30 days to respond to University requests.

All approvals, including State/CMS approval, are required prior to any equipment leaving the UIUC campus.

* Do you have any institutionally owned/leased assets located offsite? [ ] Yes [ ] No

If “yes”, work with the department’s Property Contact, University Property Accounting

and Reporting (UPAR), and GCO to determine the proper disposition of the property

(return items to UIUC, transfer to another organization, abandon in place, etc.).

* Do you intend to permanently transfer
 any University equipment to your new institution? [ ] Yes [ ] No

If “no”, work with the department’s Property Contact to update the property record as needed for custodian, location, condition code, etc. If you don’t know your department’s Property Contact, please contact UPAR at 217-333-2402.

If “yes”, contact your department to initiate the appropriate equipment loan or transfer request. There are different loan and transfer request procedures and forms depending on the funding source used to purchase the equipment as follows:

**OBFS Policy & Procedures Manual links:**

* Transfer Sponsored Equipment to Another University:

 <https://www.obfs.uillinois.edu/bfpp/section-12-property-accounting/transfers-sponsored-equipment-another-university>

* Transfer Non-Sponsored Equipment to Another University:

 <https://www.obfs.uillinois.edu/bfpp/section-12-property-accounting/transfer-nonsponsored-equipment-another-university>

* Loan Equipment to Another Institution:

<https://www.obfs.uillinois.edu/bfpp/section-12-property-accounting/loan-equipment-to-another-institution>

**OBFS Form links:**

* Equipment Management & Surplus Forms:

<https://www.obfs.uillinois.edu/forms/equipment-management-surplus/>

Property Accounting “Who to Ask” <https://www.obfs.uillinois.edu/equipment-management/who-to-ask/>

**Data and Records**

* Do you own or are you in possession of any computing equipment and devices

(computers, iPads, cell phones, pagers, external hard drives, USB drives, etc.)

capable of storing electronic data? [ ] Yes [ ] No

* Do you have, own, or manage any listservs, databases, applications, platforms

and/or networks that are necessary for continued/ongoing grant program

operations or department administration operations? [ ] Yes [ ] No

* Do you have any electronic files containing institutional data or institutionally

owned/licensed software from any computers, portable devices, or electronic

media in your possession? [ ] Yes [ ] No

* Do you have any institutional data, paper documents, files, materials, etc. stored

at offsite warehouses or facilities? [ ] Yes [ ] No

* Do you have any cloud storage containing institutional data (Dropbox, Box,
One-Drive, Google drive)? [ ] Yes [ ] No
* Do you have any social media accounts (Facebook, Twitter, etc.) to be removed or
management of the account transferred to another individual? [ ] Yes [ ] No

|  |  |  |  |
| --- | --- | --- | --- |
| If you have… | That will… | You will need to… | Administrative Notes |
| Hardcopy and/or electronic files of research-related data | Transfer to the new institution | * Review award IP terms and conditions with OSP and OTM to determine ownership and rights to use
* Work with OSP to complete a Data Use Agreement, if necessary
* Work with the Unit’s IT group, Technology Services, and new institution on delivery method for electronic data
* Work with the department administration on the delivery of hard copy data files, if necessary
 |  |

**Note:** The Records and Information Management Services program works with University Archives to identify records that have archival value to the University. They encourage all faculty, including those departing the University, to submit CVs/Biosketches, publication lists, syllabi, and other identifiable records. These then become part of the permanent searchable records.

**Supervisory Responsibilities:**

* Please provide a list of any employees whose salaries/wages are supported by your funding sources. These positions should be addressed with the appropriate department administration and HR personnel.

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| --- |
| Employee Names |
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|  |

**Service:**

* Do you serve on any institutional committees? If so, please list the committee names below and indicate whether or not they’ve been notified of your separation.

|  |  |
| --- | --- |
| Committee Names | Notified (Y/N) |
|  |  |
|  |  |
|  |  |

**Miscellaneous:**

* Are any membership dues, state licenses or other credentialing

and privileges, that you are professionally responsible to maintain, prepaid by

the institution? [ ] Yes [ ] No

* Do you have any registration or prepaid travel for

trips occurring after your last day of employment at the institution? [ ] Yes [ ] No

* Have all expense receipts been submitted for reimbursement? [ ] Yes [ ] No

|  |
| --- |
| **Additional Resources:*** Conflict of Commitment or Interest: <http://research.illinois.edu/regulatory-compliance-safety/conflict-commitment-or-interest>
* Animal Care and Use: <http://research.illinois.edu/regulatory-compliance-safety/animal-care-and-use>
* Human Subject Use: <http://oprs.research.illinois.edu/?q=regulation-policies/uiuc-policies.html>
* Laboratory and Research Safety: <http://research.illinois.edu/regulatory-compliance-safety/laboratory-research-safety>
* Equipment Transfers and Loans: <https://www.obfs.uillinois.edu/equipment-management/transfers-and-loans/>
* Sponsored Awards Management: <http://sponsoredprograms.illinois.edu/manage/index.html>
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