



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

The diagram below provides a broad overview of PI transfer considerations. 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 Unit (Administrators, Dean and/or Chair)
  - Central Administration (OCG & Campus Controller's Office)
- Compliance Units (EH&S, IACUC, OAR, IRB, Export Controls, etc.)
- Other Units (Property, Venture Partners at CU Boulder, 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 Subagreement

### 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

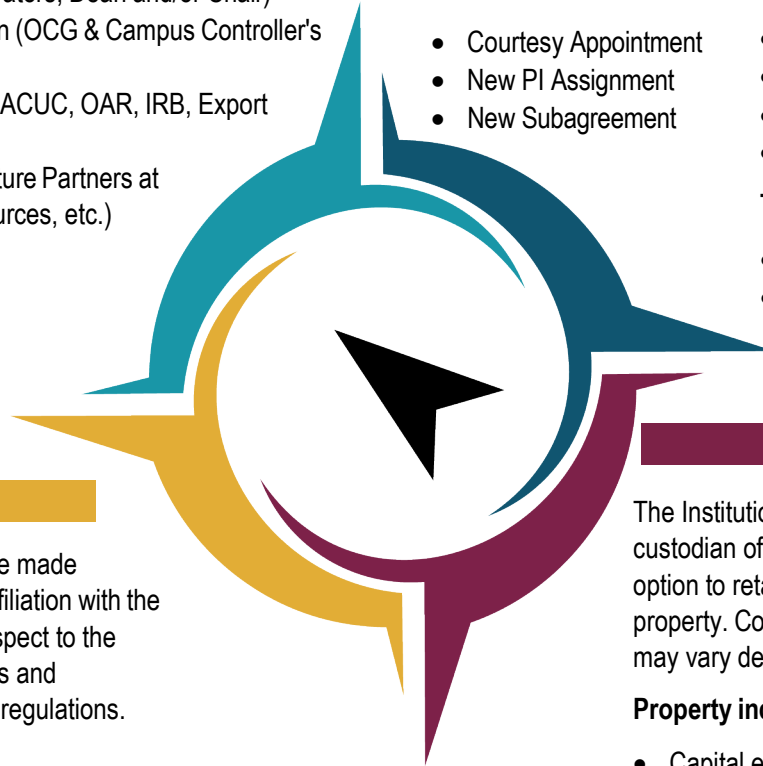
The Institution, not the PI, is the custodian of all property and has the option to retain, relinquish or dispose of property. Consideration of title to property may vary depending on acquisition.

### Property includes:

- Capital equipment
- Non-capital property, including laptops
- Supplies

### Considerations:

- Titled
- Value
- Transfer Agreement
- Surplus
- Dispose



(✓)	Checklist Item	Responsibility	Point(s) of Contact
<b>Start Here:</b> These items apply to all Departing PIs with Sponsored project awards and/or proposals			
	Complete <a href="#">Web Submission Form</a> . Notifies applicable Research Administration Offices that Researcher is departing CU.	Departing PI or designated DRA	Office of Contracts & Grants Grant or Contract Officer
	Determine if <b>proposals</b> currently under consideration by a Sponsor need to be transferred to New Institution.	Departing PI or designated DRA	Office of Contracts & Grants Proposal Analyst <a href="#">assigned to department</a> can assist with determinations, as needed
	Complete and submit all <b>reports</b> up to the date of transfer.	Departing PI or designated DRA	Office of Contracts & Grants Compliance Team <a href="mailto:ocgcompliance@colorado.edu">ocgcompliance@colorado.edu</a>
	Complete <b>Effort Certification</b> and certification for all direct reports, for all reporting periods required, prior to Departure Date. This may be ongoing for all projects where Departing PI has a Courtesy Appointment.	Departing PI or designated DRA	Campus Controller's Office <a href="mailto:epers@colorado.edu">epers@colorado.edu</a>
	Coordinate with <b>Area Accounting</b> to ensure proper and accurate: <ul style="list-style-type: none"> <li>• <b>Reconciliation of accounts and expenditures</b> (including subs)</li> <li>• Completion of <b>financial reports</b></li> <li>• <b>Closeout</b> of awards</li> </ul>	Departing PI or designated DRA	Campus Controller's Office <a href="mailto:accounting@Colorado.EDU">accounting@Colorado.EDU</a> Routed to assigned Area Accountant Office of Contracts & Grants Compliance Team <a href="mailto:ocgcompliance@colorado.edu">ocgcompliance@colorado.edu</a> <a href="#">Office of Contracts &amp; Grants Contract, Grant and/or Subcontract Officers</a> as needed
	Work with <b>Subcontract Officer</b> for awards that contain subs to ensure proper de-obligations and closeouts are complete.	Departing PI or designated DRA	Office of Contracts & Grants Subcontract Officer assigned to department
	Work with <b>Campus Controller's Office Cost Share Accountant</b> to reconcile accounts, cost share obligations and certify to Sponsor.	Departing PI or designated DRA	Campus Controller's Office Cost Share Accountant <a href="mailto:accounting@colorado.edu">accounting@colorado.edu</a>
	Reconcile <i>infoED</i> record	OCG	Office of Contracts & Grants Contract, Grant and/or Subcontract Officers

(✓)	Checklist Item	Responsibility	Point(s) of Contact
<b>RETENTION OF AWARD</b> (These items apply when the award stays at CU Boulder)			
	Subject to Department Chair/Dean's approval, obtain <b>Courtesy Appointment</b> if Departing PI is to remain on award as CU's PI.	Departing PI or designated DRA	Office of Contracts & Grants Assigned Proposal Analyst, Contract Officer, Grant Officer and Subcontract Officer for department
	As applicable, Department Chair needs to <b>name a replacement CU PI</b> if the award is remaining at CU and the Departing PI will not remain as CU PI (may be subject to Sponsor approval).	Department Chair / Dean	

	<p>If Departing PI will continue work as Sub Co-PI:</p> <ul style="list-style-type: none"> <li>• <b>Gain Sponsor approval</b> and submit the request for an outgoing subagreement.</li> </ul> <p><b>NOTICE:</b> <i>Departing PI cannot be the PI on the CU Award and PI on sub-agreement to the New Institution.</i></p>	OCG Proposal Analyst, Grant, Contract & Subcontract Officers	<p>Campus Controller's Office <a href="mailto:accounting@colorado.edu">accounting@colorado.edu</a></p> <p>Departing PI's New Institution</p>
	<p>Obtain the necessary <b>subrecipient/transfer documentation</b>.</p> <ul style="list-style-type: none"> <li>• Forward to OCG for review and submission to the Sponsor.</li> </ul>	Departing PI or designated DRA	
	Newly assigned CU Boulder PI and DRA will need to coordinate with OCG Proposal Analyst and Grant/Contract Officer to <b>initiate the sub</b> process, including revision to the prime budget.	Departing PI or designated DRA	
	Departing PI should <b>coordinate with New Institution</b> to create required subagreement proposal documents.	Departing PI or designated DRA	
<b>RELINQUISHMENT OF AWARD</b> (These items apply when the award transfers to the New Institution)			
	<b>Determine if award is eligible for transfer</b> to another institution per the Sponsor's policies and/or terms and conditions.	OCG Grant / Contract Officers	Office of Contracts & Grants Assigned Contract Officer or Grant Officer for department
	<b>Gain all approvals</b> from both institutions, as applicable, including Department Chair/Dean, Institute/Center Directors, and OCG.	Departing PI or designated DRA	
	<p>Prepare the necessary <b>transfer documentation</b>.</p> <ul style="list-style-type: none"> <li>• Forward to OCG for review and submission to the Sponsor.</li> </ul> <p><b>NOTICE:</b> <i>Once the award has been terminated, standard closeout procedures will be initiated (including signed relinquishment letter from Department Chair/Dean once final balance is determined).</i></p>	Departing PI or designated DRA	<p>Campus Controller's Office <a href="mailto:accounting@colorado.edu">accounting@colorado.edu</a></p> <p>Departing PI's New Institution</p>
	Deobligate and closeout all subagreements.	Departing PI or designated DRA	Office of Contracts and Grants Assigned Subcontract Officer
	Determine if all reporting requirements have been met. For example: Annual and final technical reports.	Departing PI	Office of Contracts and Grants Assigned Compliance Officer
	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.	Departing PI or designated DRA	
<b>TERMINATION OF AWARD</b> (These items apply when no transfer is applicable)			
	<p><b>Determine the final balance of the award</b> with Area Accounting</p> <p><b>NOTICE:</b> <i>The same cost categories as detailed in the Relinquishment of Award should be considered.</i></p>	Departing PI or designated DRA	<p>Campus Controller's Office <a href="mailto:accounting@colorado.edu">accounting@colorado.edu</a></p>
	Once final balance has been determined, work with OCG Grant or Contract Officer assigned to the Department to <a href="#">complete internal relinquishment letter</a> with Departing PI and Department Chair/Director signature.	Departing PI or designated DRA	Office of Contracts & Grants Assigned Contract Officer or Grant Officer for department
	OCG Grant/Contract Officer will work with Sponsor to obtain formal relinquishment of the award.	OCG Grant / Contract Officers	
(✓)	<b>Checklist Item</b>	<b>Responsibility</b>	<b>Point(s) of Contact</b>

## TERMINATION OF AWARD - CONTINUED

	Once the Award has been terminated, <b>standard closeout procedures will be initiated.</b> Departing PI is responsible for <b>all deliverables required</b> up to the date of award termination.	Departing PI or designated DRA OCG Grant / Contract Officers	OCG Compliance Team Ocgcomplince@colorado.edu
<b>CONSIDERATIONS FOR LABS/FACILITIES</b> (CU Boulder 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 CU Boulder property, other equipment or supplies.			
	<b>Complete <a href="#">List of Tagged Fixed Assets and/or Untagged Non-Consumable Property Form</a></b> for tagged equipment and/or untagged non-consumable property. <b>Complete <a href="#">List of Untagged Consumable Material and/or Supplies Form</a></b> for all other items in the lab. <ul style="list-style-type: none"> <li>Have Department Chair or Institute Director sign the forms.</li> <li>Submit to OCG Property and EH&amp;S.</li> </ul>	Departing PI or designated DRA	Office of Contracts & Grants Property Compliance Officer <a href="mailto:ocgproperty@colorado.edu">ocgproperty@colorado.edu</a> And CCO <a href="mailto:property@colorado.edu">property@colorado.edu</a> Environmental Health & Safety <a href="mailto:EHSbio@colorado.edu">EHSbio@colorado.edu</a> <a href="mailto:EHS@colorado.edu">EHS@colorado.edu</a>
	Work with OCG Compliance Officer to determine if equipment is eligible for disposal or for transfer internally or externally. <b>NOTICE:</b> <i>Approval from Sponsor may be needed prior to disposal or transfer of items.</i>	Department Chair OCG Property Officer	Office of Contracts & Grants Compliance Officer <a href="mailto:ocgproperty@colorado.edu">ocgproperty@colorado.edu</a>
Complete the forms and actions identified in this section if Departing PI has any CU Discoveries or would like to transfer Tangible Research Materials to New Institution.			
	<b>Complete an inventory of all Tangible Research Materials and CU Discoveries</b> using the <a href="#">Tangible Research Materials and CU Discoveries Form</a> . <b>Submit a copy</b> to OCG Contract Administrator and Environmental Health & Safety.	Departing PI or designated DRA	Office of Contracts & Grants Assigned Contract Administrator for department <a href="mailto:ocgcontracts@colorado.edu">ocgcontracts@colorado.edu</a>
	<b>Items obtained elsewhere:</b> CU may need to terminate or transfer contractual responsibilities to New Institution. <b>Items developed solely at CU:</b> Work with OCG Contract Administrator to execute MTA between CU and New Institution.	Departing PI or designated DRA OCG Contract Administrator	Environmental Health & Safety <a href="mailto:EHSbio@colorado.edu">EHSbio@colorado.edu</a> <a href="mailto:EHS@colorado.edu">EHS@colorado.edu</a>
<b>ENVIRONMENTAL HEALTH &amp; SAFETY/BIOSAFETY</b> (Laboratory Closeout)			
	Work with <a href="#">EH&amp;S</a> to begin the <b>Laboratory Closeout Process.</b>	Departing PI or designated DRA	Environmental Health & Safety <a href="mailto:EHSbio@colorado.edu">EHSbio@colorado.edu</a> <a href="mailto:EHS@colorado.edu">EHS@colorado.edu</a>  Office of Contracts & Grants Assigned Contract Administrator for department <a href="mailto:ocgcontracts@colorado.edu">ocgcontracts@colorado.edu</a>
	<b>Close out any active IBC, RAD protocols or applications</b>		
	As needed, work with Biosafety and ChemSafety to <b>ensure proper transfer or destruction of material(s).</b> <b>NOTICE:</b> <i>May require an MTA – see Tangible Research Materials transfer steps in the previous section.</i>		
	Read <b><a href="#">Lab Closure and Decommissioning Instructions</a></b> and complete <b><a href="#">EH&amp;S Laboratory Decommissioning Checklist</a></b>		
(✓)	<b>Checklist Item</b>	<b>Responsibility</b>	<b>Point(s) of Contact</b>

EXPORT CONTROL			
	Departing PI must <b>sign Export Control Exit Certification</b> stating they will not distribute controlled devices, software, and/or information. Any electronic devices need to be wiped/cleared.	Department Chair	Export Controls Office <a href="mailto:OEC-OCG@colorado.edu">OEC-OCG@colorado.edu</a>
Departing PIs with Active Licenses			
	Work with <a href="#">Export Control Office</a> to arrange for transfer of active protocols to another investigator at CU Boulder, <i>or</i>	Departing PI or designated DRA	
	Close the protocol, <i>or</i>		
	Arrange for resubmittal of license application under New Institution registration.		
Departing PIs with Technology Control Plans			
	Arrange for transfer of active protocols to another investigator at CU, <i>or</i>	Departing PI or designated DRA	
	Close the protocol		
ANIMAL SUBJECTS			
Disposition of Protocol			IACUC <a href="mailto:iacucoffice@colorado.edu">iacucoffice@colorado.edu</a>
	Arrange for transfer of active protocols to another investigator at CU, <i>or</i>	Departing PI or designated DRA	
	Close the protocol, <i>or</i>		
	Arrange for review/approval of the protocol at New Institution		
Disposition of Animals			
	Arrange for transfer of animals to another CU PI / protocol, <i>or</i>	Departing PI or designated DRA	Office of Animal Resources <a href="mailto:oaroffice@colorado.edu">oaroffice@colorado.edu</a>
	Arrange for transfer of animals to another institution. <b>NOTICE:</b> <i>May require an MTA – see Tangible Research Materials transfer steps in the previous section.</i>	Departing PI or designated DRA	Office of Contracts & Grants Assigned Contract Administrator for department <a href="mailto:ocgcontracts@colorado.edu">ocgcontracts@colorado.edu</a>
HUMAN SUBJECTS			
	Work with <a href="#">CU Boulder's IRB</a> to discuss transition plan with regard to management of human research projects.	Departing PI or designated DRA	CU Boulder Institutional Review Board (IRB) <a href="mailto:irbadmin@colorado.edu">irbadmin@colorado.edu</a>
Termination of the Project			Office of Contracts & Grants Assigned Grant Officer, Contract Officer or Contract Administrator for department
	Departing PI may choose to terminate the protocol if work on the project is completed or the research project is not to be continued.	Departing PI or designated DRA	
Transition of Project to New CU Boulder Researcher			
	If research (enrollment, follow-up, or analysis) is ongoing at CU Boulder, Departing PI or Department Chair/Dean will need to assign new CU Researcher.	Departing PI or designated DRA	Office of Contracts & Grants Compliance Team <a href="mailto:ocgcompliance@colorado.edu">ocgcompliance@colorado.edu</a>
(✓)	Checklist Item	Responsibility	Point(s) of Contact

Transition of Project to New CU Boulder Researcher - Continued		
	<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 CU IRB and OCG to determine if additional agreements (such as data use agreements, tissue transfer agreements, etc.) are needed between CU Boulder and the New Institution.</li></ul> <p><b>NOTICE:</b> Any data or human tissue samples that Departing PI plans to transfer must be listed on the Tangible Research Materials and CU Discoveries List.</p>	<p>Departing PI or designated DRA</p> <p>CU Boulder Institutional Review Board (IRB) <a href="mailto:irbadmin@colorado.edu">irbadmin@colorado.edu</a></p> <p>Office of Contracts &amp; Grants Assigned Grant Officer, Contract Officer or Contract Administrator for department</p>
PERSONNEL ACTIONS		
	<p>Complete <a href="#">Human Resource Exit Checklist</a> If applicable, set up temporary 0% appointment.</p>	<p>Departing PI or designated DRA</p>
INTELLECTUAL PROPERTY		
	<p>Work with Venture Partners to ensure that all matters related to CU discoveries and Intellectual Property are resolved. These include:</p> <ul style="list-style-type: none"><li>Disclosing all discoveries in accordance with the Regent Policy 5J and APS1013 policies</li><li>Executing all outstanding patent related documents such as assignments and declarations</li><li>If departing PI has any active inventions on file with Venture Partners, provide an updated e-mail address and contact information for future correspondence to <a href="mailto:vpcontact@colorado.edu">vpcontact@colorado.edu</a></li></ul>	<p>Departing PI or designated DRA</p> <p>Venture Partners at CU Boulder <a href="mailto:vpcontact@colorado.edu">vpcontact@colorado.edu</a></p> <p>Office of Contracts and Grants IP Legal Counsel</p> <p>Office of Contracts &amp; Grants Compliance Team <a href="mailto:ocgcompliance@colorado.edu">ocgcompliance@colorado.edu</a></p>
	<p>Sign acknowledgement statement that Departing PI has disclosed to <a href="#">Venture Partners at CU Boulder</a> all Discoveries, including all inventions and software programs, required under CU IP policy through their end-date.</p> <p>Provide copy to OCG Compliance.</p>	
OTHER CONTRACTUAL OBLIGATIONS		
	<p>Terminate or transfer responsibilities for other contractual obligations to the New Institution. (e.g. no cost collaborations, bailment agreements, data use agreements, non-disclosure agreements)</p> <p>Inform Sponsor of the change and inform OCG of agreed upon plans.</p>	<p>Departing PI or designated DRA</p> <p>Office of Contracts &amp; Grants Assigned Contract Officer for department</p>
	<p>Notify Facility Security Officer (FSO) in OCG if CU holds an active security clearance for Departing PI.</p>	<p>Departing PI or designated DRA</p> <p>Office of Contracts &amp; Grants FSO or Assistant FSO</p>



## Glossary of Terms

**Departing PI** referenced in this document includes any faculty or staff engaging in sponsored projects in a Key Personnel role that plans to dissolve their affiliation with CU Boulder. This term is not limited to just the named Principal Investigators on a sponsored project.

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

**Property** includes all items acquired under a Sponsored project, such as: supplies, materials, capital and non-capital equipment, computers, and electronic devices.

**CU Discoveries** means any inventive idea and/or its reduction to practice which relates to, but is not limited to: new processes 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.

**Tangible Research Property** means a tangible 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 (Regent Policy 5k).