PI Coming - PI Leaving
What To Do When A Principal Investigator (PI) Transfers

John Michnowicz, Associate Dean and Executive Director
Office of Research Administration
john.michnowicz@duke.edu
<table>
<thead>
<tr>
<th>PI Transfer</th>
<th>PI Coming</th>
<th>PI Leaving*</th>
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<tbody>
<tr>
<td>Communication, Communication, Communication</td>
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<td>Department/Division Chair</td>
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<td>Sponsoring Agency(s)</td>
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<td>Grants Office (i.e., Office of Research Administration - ORA)</td>
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<td>Human Resources</td>
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<td>Benefits Office</td>
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PI TRANSFER-PI COMING/PI LEAVING

- Communication, Communication, Communication & More Communication
- Asset Utilization/Plant Accounting
- Conflict of Interest Office (i.e., Research Integrity Office)
- Department/Division Chair
- Department/Division Business Manager
- Occupational & Environmental Safety Office
  - Biological Safety
  - Environmental Compliance
  - Occupational Hygiene & Safety
  - Radiation Safety
- Export Control Office
- Grants Office (i.e., Office of Research Administration - ORA)
- Human Resources
  - Benefits Office
- IACUC
- Intellectual Property(IP) Office (i.e., Office of Licensing and Ventures)
- IRB (including CRSO)
- Duke Visa Services
- Procurement Services
- Sponsoring Agency(s)
Objectives

- Provide insight to the various administrative aspects associated with a PI transfer

- Enhance basic knowledge of the aspects involved with a PI transfer and the overall process

- Implement and control the transfer process by understanding and dictating expectations:
  - Principal Investigator (PI)
  - Department Administrator(s)
  - Central Administration and
  - Sponsor
How to complete a transfer without losing your mind!
For a successful PI transfer, the overarching theme is:

- **Communication!**
- **More.......Communication!**
- **Greater.....Communication!!**
PI Coming
PI Coming

Communication with...

- Department Chair, Division Chair, the Principal Investigator, and the assigned ORA specialist within your own Institution
- Sponsoring Agency(s)
- Procurement Services
- Office of Licensing and Ventures (OLV)
PI Coming
Communication with… (continued)

- Asset Utilization / Plant Accounting
- IRB / IACUC Offices
- Occupational Environmental Health and Safety Office
- Export Control Office
- Duke Visa Services
- Research Integrity Office (Conflict of Interest - COI)
PI Coming
Communication with… (continued)

- Debarment Representative - personnel transferring with PI
- eRA Commons Registration
- ClinicalTrials.gov Registration
- Research Administration team from the previous Institution:
  ~ Your counterpart
  ~ Central Administration (e.g. Pre/Post Award, IACUC, IRB, HR, etc.)

- What did we fail to mention?
PI Coming

Checklist / Necessary Documentation - *Start Early!*

- Develop and propose a timeline
  - See previous list of “Communication” items – need I say more?
    - Granted a lot of these issues may already be dictated; however, you still need to communicate and identify a timeline based on “reality”

- Copy of PI’s “Offer and Acceptance” letter
  - Roles and Responsibilities
  - Fully executed and any addendums, if applicable
  - Tough to obtain……...BUT you need to know these commitments!
Recruitment Packages often include:
- Space
- Start-up funds
  - Budget restrictions
  - Time limits
- Personnel commitments
  - Restrictions and time limits
- Equipment
  - Budget restrictions
  - Time limits
PI Coming

Checklist / Necessary Documentation - *Start Early!* (continued)

- Copies of existing Grant Applications and Notice(s) of Awards
  - Budget(s) and budget justification(s)

- Copy of Notification to Sponsor(s) regarding transfer

- Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (PHS 3734)
  - Relinquishing Statement of other Agency(s)

- Final Invention Statement

- Final Progress Report
PI Coming

Checklist / Necessary Documentation - Start Early! (continued)

- Sponsoring Agency(s) – know applicable guidelines and policies

- IACUC/IRB – list of protocol(s), educational requirements, special facility needs

- Procurement Services – ensure that approved vendor(s) are being utilized

- Asset Utilization / Plant Accounting – listing of all Equipment coming

- Office of Licensing and Ventures (OLV) – more on this later
PI Coming

Checklist / Necessary Documentation - *Start Early!* (continued)

- Office of Corporate Research Collaborations (OCRC) – more on this later

- Occupational & Environmental Safety Office – more on this later

- Export Control Representative – any work occurring which would/could potentially involve foreign entities

- Duke Visa Services – are visas involved?

- Research Integrity Office (Conflict of Interest – COI) – requirements!
  - Let’s get this issue addressed quickly!
PI Coming
Specific Issues: Personnel - Who is Coming?

- Listing of Personnel from the PI.....in writing
  - Name(s); SS#; Current Title(s); Current Salary; Expected Role(s)
  - Expected Start Date; Source of Funding

- Human Resources
  - Check Duke HR manual for policies
  - Long-term action plan in writing
  - Benefits
  - Eligible for moving expenses

- Duke Visa Services
  - Visas (e.g. F1, J1, M1, etc)
Specific Issues: Laboratory Space

- Occupational & Environmental Safety
  - Inspection of laboratory space
  - Educational Programs/Training requirements
  - Certifications for radioactive use (e.g. Commission space)
  - Certification of laboratory equipment (e.g. fume hoods)
- Chemicals of Interest
- Data Safety Sheets
- Special/Specific research needs
Specific Issues: Intellectual Property (IP)

- Notify and start communication with OLV as soon as possible
- With most Institutional policies, the PI is entitled to royalties from the invention(s)
- The transferring of royalties varies from institution to institution – check your institutional IP policy
- Material Transfer Agreement (MTA) – contact OCRC
  - Tissue samples, animal models, data, notebooks, stored data, files, etc.
    - If applicable, Institutional property - check your institutional IP policy for specifics
PI Coming

Specific Issues: Subawards / Subcontracts

- Establish communication with potential SubX
- Find out estimated/projected date for a final invoice
- Keep SubX updated and in the loop
PI Coming

Specific Issues: Equipment

- Detailed Listing from PI for all Equipment coming
  - If possible, get a list from your counterpart and note discrepancies

- Documentation regarding source of Funding

- Tag Equipment and register with Plant Accounting

- Share list with your Chair
PI Coming
Change of Grantee Application (NIH)

- Face Page
- Budget pages
  - If original award was modular, modular procedures apply
- Updated Biographical Sketches
  - PI and Key personnel (refer to NOA for Sponsor Key Personnel)
- Updated “Other Support”
  - PI and Key personnel (refer to NOA for Sponsor Key Personnel)
- Resources page
- Checklist page
  - Applicable F&A rate – hold this thought!
Change of Grantee Application (NIH) – (continued)

- Certification of IRB/IACUC approval
- Copy of Relinquishing Statement
- Describe scope of work and indicate any changes
- Essentially, you must address the administrative section all over again. As long as the Specific Aims remain the same, the Research text can remain the same
- Refer to NIH Grants Policy Statement (10/10)
  - Part II/Subpart A/Chapter 8 Administrative Requirements
Facilities and Administrative (F&A) Costs

- F&A rate transferring in is higher, use your current rate and re-budget difference in applicable direct cost categories*
  - Inform sponsor that “difference” will be utilized to fulfill the aims as originally proposed”
  - Seek “scientific “ justification from PI and let it be known that sponsor may not “award” difference.

- F&A rate transferring in is lower, use prior F&A rate for remainder of the current budget period
  - Next budget period, use your institutionally negotiated rate and make issue Sponsor issues Notice of Award using appropriate negotiated F&A rate

* Note: Provide assigned ORA specialist with copy of NOA and note on the Change of Grantee application why prior institution F&A rate is not being used
PI Leaving
PI Leaving
Communication with...

- Department Chair, Division Chair, the Principal Investigator, and the assigned ORA specialist within your own Institution
- Sponsoring Agency(s)
- Procurement Services
- Office of Licensing and Ventures (OLV)
PI Leaving
Communication with…(continued)

- Asset Utilization /Plant Accounting
- IRB / IACUC Offices
- Occupational & Environmental Safety Office
- Export Control Office
- Research Integrity Office (Conflict of Interest – COI)
PI Leaving
Communication with...(continued)

- Update eRA Commons Registration
- Update ClinicalTrials.gov Registration
- Subcontractor(s) – Termination clause
  - C’mon........giv’em a “heads up”!
- What did we fail to mention?
PI Leaving

Checklist / Necessary Documentation - *Start Early!*

- Develop and propose a timeline
  - See previous list of “Communication” items – need I say more?
  - Granted a lot of these issues may already be dictated, however, you still need to communicate and identify a timeline based on “reality”

- Copy of PI’s “Resignation” Letter
  - Fully executed and any addendums, if applicable
  - Tough to obtain, but you need to know the specifics/details in order to identify an effective action plan(s) to address expectation(s)
PI Leaving

Checklist / Necessary Documentation - \textit{Start Early!} (continued)

- Sponsoring Agency(s) - know applicable guidelines and policies

- Copy from PI notifying Sponsor(s) about his/her transfer and the effective date

- Official Statement Relinquishing Interests and Rights in a Public Health Service Research Grant (PHS 3734)
  - Relinquishing Statement of other Agency(s)

- Final Invention Statement

- Copy of Final Progress Report (when applicable)
PI Leaving
Checklist / Necessary Documentation - Start Early! (continued)

- Status of existing protocols (IACUC and/or IRB)
- Equipment List
- Office of Licensing and Ventures – more to come on this!
- Occupational & Environmental Safety Office – more to come on this!
- Export Control Office – any work occurring which could have potentially involved foreign entities, foreigners, equipment and/or data
- Duke Visa Services – are visas involved?
PI Leaving
Stop! Put that back!

- Sometimes it is in the best interest of the institution to keep the grant

- Communicate the need to keep the grant to the PI
  - Always best when Institution and PI agree, but…..

- Submit requests to agency justifying keeping the grant (new PI, other support, bio, aims, budget, protocol)
PI Leaving

Specific Issues: Personnel - Who is Leaving?

- Who will stay? Who will go?
  - Other Faculty- check University’s Faculty Handbook/HR manual
  - Postdocs – check University’s HR manual
  - Predoc – check University’s HR manual
    - *What is the impact on their education?*
    - *Their dissertation?*
  - Research Staff - check University’s HR manual
PI Leaving

Specific Issues: Personnel - Who is Leaving?

- Human Resources
  - Verify with HR what you have researched via the University’s HR manual

- Duke Visa Services
  - Visas (e.g. F1, J1, M1, etc)
PI Leaving
Specific Issues: Laboratory Space

- Occupational & Environmental Safety
  - Inspect laboratory space
  - De-commission space regarding radioactive use
  - Check laboratory equipment for potential damage/misuse
  - Identify Chemicals of Interest and document action plan
  - Verify Data Safety Sheets
  - Facilitate the disposal of chemicals - toxic agents
PI Leaving
Specific Issues: Intellectual Property (IP)

- Notify and start communication with OLV as soon as possible

- The transferring of royalties varies from institution to institution – check your institutional IP policy

- Get a listing of disclosures, inventions, patents, specimens*, tissues samples*, animal models*, data*, notebooks*, stored data*, files*, etc.

  * = these are the property of the host/awarding institution! If PI wants these to go, a Material Transfer Agreement (MTA) is needed
PI Leaving

Specific Issues: Subawards/ Subcontracts

- Inform existing SubX that PI is leaving
- Find out estimated/projected date for termination
- Forecast a final invoice and $ amount
- Notify ORA to prepare amendment for termination
  - Be sure terms and conditions are adhered (i.e. 30 day notice)
- Keep SubX updated and in the loop
PI Leaving

Specific Issues: Equipment

- Detailed Listing from PI for all Equipment leaving
  - Utilize equipment transfer letter template for assistance

- Documentation regarding source of Funding
  - Federally Purchased (Terms and Conditions of Award)
  - Purchased with start-up/matching or soft funds
    - GAP 200.410 – Faculty Discretionary Accounts Policy
      - Negotiations occur between PI, Chair and possibly Dean
      - Get outcome of the negotiation in writing
      - Work with Procurement Services when equipment needs to be purchased to move

- Work with Plant Accounting to update equipment inventory
PI Leaving

Specific Issues: Non-NIH Funding Agencies

- If proposal has yet to be funded, have PI contact Sponsor (cc you) and inform Sponsor of transfer to seek insight
  - case-by-case basis
  - review policies, guidelines and procedures

- If awarded, review award terms and conditions and prepare accordingly

- Communication and document
### Post Award Prior Approval Content Letter Matrix

<table>
<thead>
<tr>
<th>Carryover**</th>
<th>Re-Budgeting</th>
<th>Request for Additional Funds</th>
<th>No Cost Extension</th>
<th>Withdrawal of Application</th>
<th>Change in PI</th>
<th>PI Transfer</th>
<th>Change in Key Personnel</th>
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* Click on the following hyperlink to open further guidelines for Carryover Letter contents: Carryover Guidance for Grantees
* For NIH applications, refer to the NIH Grants Policy Statement
*** For NIH Multiple PI awards, the signatures of all of the PIs and their respective Department Chairs are required on ORA’s copy
*1 If carryover > 25%, indicate amount of balance, why there is a balance & how the money will be spent. If carryover is ≤25%, explain how balance is spent
*2 Indicate why additional funds are needed & how they will be spent
*3 Specify the close-out date
*4 Needs to be signed by both PIs
*5 Only signed if there is a change in scope of work
*6 Not needed if the department is withdrawing a re-submission because the original application was awarded
*7 If dealing with two different divisions, both Dept Chairs/Deans Signatures are needed
*8 Revert applicable approvals in new PI’s name prior to name change in profile and follow-up approval from the agency
*9 ORA specialist to check balance & ask Dept. if any cost sharing is required. If NO. document & proceed. If YES, inform Dept. to create a cost sharing agreement

NOTE: Matrix may vary depending on grant situation. ORA suggests to e-mail any letter to assigned ORA Specialist for initial review prior to obtaining signature.

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** Duke Medicine **
INCOMING
Material Transfer Agreement Submission Form
To provide sufficient information required for the execution of the MTA, please complete this form and send it to the Office of Corporate Research Collaboration. Please note that you must submit a copy for Duke University:

[Form fields for Duke University information]

Is the Principal Investigator associated with Novant Health Medical Institute (NHMI)? [YES] [NO]

Provider Information:
[Fields for provider information]

Material Information

Note: To expedite the handling of samples from another institution, please complete the import/export section based on your contact with the appropriate office. Duke requires a letter of authority and a statement of human subject research.

[Fields for material information]
Dear Department Chair:

As we discussed, I will be resigning my position as ____________ effective ____________ . I am accepting a position at ____________ effective ____________ .

As you and I discussed I am requesting to transfer the following proposals and awards:

Thank you for your consideration, please contact me at _____ or by email ____________ if there are any questions.

Sincerely,

P.I.

P.I. Name and Chair Name have discussed the contents of this letter and agree that the projects listed should be transferred to New Institution Name.

____________________

P.I. Approval

____________________

Chair Approval

____________________

Dean Approval

____________________

V.P. Approval

"Information presented is courtesy of Amy Sikalis, Administrative Director, Office of Research and Institute for Health Care Delivery Research, Intermountain Health Care and Marcia Trudgen, Business Manager, Institute of Social and Economic Research, University of Alaska"
To Sponsor:

RE: Proposal Reference no. (or internal reference no.)
Entitled: “”
P.I. Name

Dear (insert name of Grants Management Specialist)

The principal investigator on the above referenced proposal has resigned his/her position at this institution effective __________ and has expressed a desire to perform this research project at the (insert new institution name).

In view of the fact that no funds have yet been awarded and we do not wish to nominate another principal investigator to perform the research at this Institution, this is to signify our willingness to relinquish this grant as well as all future support of this project.

Sincerely,

Director
Office of Sponsored Projects

Cc: P.I.

"Information presented is courtesy of Amy Sikalis, Administrative Director, Office of Research and Institute for Health Care Delivery Research, Intermountain Health Care and Marcia Trudgen, Business Manager, Institute of Social and Economic Research, University of Alaska"
Dear (insert name of grants management specialist)

The principal investigator on the above referenced grant has resigned his/her position at this Institution effective _______ and has expressed a desire to perform this research project at (insert the name of new institution).

In view of the fact that we do not wish to nominate another principal investigator to perform the research at this Institution, this is to signify our willingness to relinquish this grant as well as all future support of this project.

Sincerely,

Director
Office of Sponsored Projects

Cc: P.I.

“Information presented is courtesy of Amy Sikalis, Administrative Director, Office of Research and Institute for Health Care Delivery Research, Intermountain Health Care and Marcia Trudgen, Business Manager, Institute of Social and Economic Research, University of Alaska”
Sample D
Via Certified Mail

Date
To: (Subcontractor)
Re: Termination of Subagreement with

Project Title:
Institution P.I.: Institution P.I.: Award No. or P.O. No.: 

Dear (insert subcontractor’s business officials name):

Dr.___________ has terminated his/her employment with (insert current institution) on__________, 20__. This notice is to provide termination of the above referenced subagreement per Article__ of the subcontract. The effective date of termination will be__________, at which time the Institution of (insert current institution) will formally close the project. Please submit the final invoice for payment at that time.

Please provide acknowledgement of this notice by signing where indicated and returning one copy to:

Institution
Office of Sponsored Projects

Attn: __________________________

If you need further assistance please contact ________________ Sponsored Projects at ________________.

Sincerely,

___________________________

Acknowledged by:
Institution of__________

“Information presented is courtesy of Amy Sikalis, Administrative Director, Office of Research and Institute for Health Care Delivery Research, Intermountain Health Care and Marcia Trudgen, Business Manager, Institute of Social and Economic Research, University of Alaska”
Sample E

FAX (letter only)
Hard Copy by U.S. Mail

Date

To: (Sponsor name)

Re: Grant/Contract No.:
    Entitled:"
    Institution

Dear (insert name of grants management specialist):

    The principal investigator on the above referenced award has resigned his/her position at this institution effective___. The (insert name of current institution/awardee) desires for the award to proceed under the direction of__________, copy of curriculum vitae attached. This letter is to request your approval of a change in Principal investigator effective__________, 20__.

Sincerely,

Director, Sponsored Projects
Office Phone:
Fax:
E-mail:

Enclosures
Cc:

"Information presented is courtesy of Amy Sikalis, Administrative Director, Office of Research and Institute for Health Care Delivery Research, Intermountain Health Care and Marcia Trudgen, Business Manager, Institute of Social and Economic Research, University of Alaska"
Dear Department Chair

As we discussed, I will be resigning my position as ____________ effective ______. I am accepting a position at ____________ effective _______. As you and I discussed I am requesting to transfer the following items of acquired equipment:

Name and Description of the Item, Cost, Acquisition Date, Asset #, & Funding Source.

(Justify in your own words the need for the items listed at the new institution and the reason(s) why there is not a present need at the current institution).

Thank you for your consideration, Please contact me at_________ or by email_________ if there are any questions.

Sincerely,

P.I.

P.I. NAME and Chair Name have discussed the contents of this letter and agree that the equipment listed should be transferred to New Institution Name.

______________________________
P.I. Signature

______________________________
Chair Signature

______________________________
Dean Signature

______________________________
V.P. Signature

“Information presented is courtesy of Amy Sikalis, Administrative Director, Office of Research and Institute for Health Care Delivery Research, Intermountain Health Care and Marcia Trudgen, Business Manager, Institute of Social and Economic Research, University of Alaska”
Principal Investigator Release

**P.I. NAME** has resigned his/her employment with (insert current institution) effective _______ and has accepted a position at (insert new institution).

The **Name of Previous Institution** does remise, release, and discharge **P.I. Name** of and from all research related obligations. **P.I. Name** has cooperated and completed all active research related activities at the **Name of Previous Institution** and has acquired the appropriate approvals to transfer projects and equipment (where applicable)

This release is executed this day ______ of, 20____.

Vice President for Research.

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Questions