Departing PI Award Disposition

**Purpose**
To clarify appropriate dispositions for a Principal Investigator (PI) who leaves USU, to either transfer a sponsored award to another institution, to another investigator at USU, or terminate the award.

**Applicability**
When a PI leaves USU for any reason, including transfer and retirement, action must be taken on active sponsored awards. PIs named on a grant or contract are responsible to USU and to the sponsor for compliant performance of the funded activities, financial stewardship, and submission of reports.

Typical actions on a sponsored award when a PI leaves USU include: (1) transfer the award to the PI's new institution, (2) change the PI on the award to another investigator at USU, or (3) terminate the award.

**Instructions**
1. The existing PI should work with his/her department chair and/or dean to determine the desired disposition of the award: transfer, change PI, or terminate.
   a. The desired timing of the disposition should also be determined. Possible options include the PI's departure date or anniversary date of the award.
2. When available, the departing PI should coordinate with the Sponsored Programs Office (SPO) to contact the sponsor to confirm that the sponsor agrees with the desired disposition, and to confirm documentation required for USU to initiate the change.
3. The PI and/or department administrator should submit a formal request to SPO for the award disposition. Each request must be initiated and approved by the PI and/or department chair and dean.
   a. Transferring awards and equipment to another institution requires the prior written approval of the department chair and dean. A memorandum signed by the PI, department head, and dean should be forward to SPO. The memorandum must list each award and the equipment that the PI wishes to transfer. If the transfer involves equipment, the PI needs to work with Equipment and Plant Fund Management Services in the Controller’s Office to complete any required documentation.
   b. A request for change of PI must be submitted using the PI/PD Change Form. The approved form should be forwarded to SPO.
   c. A request to terminate an award must be submitted through the department chair and emailed to SPO before submission to the sponsor. Contact SPO for guidance.
4. Approval of the request must be received by SPO in writing from the sponsor.
   a. SPO will share the approval information with Sponsored Programs Accounting (SPA) as needed and updates will be made to award records in Kuali and Banner as appropriate for the change that has been approved.
5. The PI is responsible for submitting all required reports, including final progress reports, before leaving USU.
   a. **NOTE:** If the PI leaves USU and is unable to submit required reports, this responsibility falls to the department. SPO recommends that department administrators and department heads ask for all required reports before the PI leaves USU.
   b. If the transfer involves lab animals, contact USU’s Institutional Animal Care and Use Committee (IACUC) to discuss updating your protocol.
   c. If the transfer involves human subject research, contact USU’s Institutional Review Board (IRB) to discuss updating your protocol.
   d. If applicable, the departing PI should close out material transfer agreements and coordinate arrangements directly with General Counsel, or Technology Transfer Services.

6. The departing PI should work with department administrators to reconcile expenses and timely submit financial reports.
   a. The department administrator must work with SPO to submit the documentation needed to transfer, change PI, or terminate the award.
   b. The department administrator must work with Sponsored Programs Accounting (SPA) to submit the final financial report and/or final invoice.