Departure of a Principal Investigator from Iowa State University

What happens at ISU?
When a Principal Investigator (PI) informs ISU of his/her intent to leave the university, sponsor guidelines must be reviewed to determine what changes may need to be made to active awards.

The following are some of the typical options:
- Transfer an active award with the lead PI to the new institution.
- Transfer an active award with the lead PI to the new institution, and subcontract part of the funds back to ISU if any activity is to continue here.
- No change to lead PI at ISU, if departing PI is granted emeritus at ISU.
- Change the lead PI at ISU.
- Change the lead PI at ISU and subcontract part of the funds to the new institution so the departing PI may continue work on the project there.
- Terminate the project and return/relinquish unspent funds to the sponsor.
- If departing individual is a Co-Investigator, the lead PI should provide guidance to OSPA/OIPTT regarding how/if the departing faculty member role will continue on the project.

Transfers may take longer than anticipated in order to coordinate with the sponsor, ISU department, and new institution, so it is best to begin the process as soon as possible. Some sponsors have specific forms that must be completed, while others have no formal guidelines. The departing PI should work with his/her department chair and grant coordinator(s) to provide the following information to the OSPA Awards Team or OIPTT Industry Contracts Team:
- Final date of employment at ISU and effective date of transfer (usually the day after final day at ISU).
- Plans for transfer or necessary changes to each active award.
- Department chair approval of proposed plan for each active award.
- Advise if PI will be granted emeritus status or affiliate status.
- Most sponsors will require submission of a brief summary of progress to date and description of work to be accomplished. This summary should be sent to OSPA/OIPTT.
- If an award has active subrecipient agreements, the subs will need to be terminated and final invoice received by SPA before transfer.
- Amount of funds to be transferred. This includes reviewing all expenditures to ensure they benefit the award within the newly revised end date (usually the PI’s final day of employment) and ensuring all project expenditures are posted to the project account.
- Contact information for a departmental staff person or sponsored programs staff person at the new institution.
- If the PI has been in communication with a program officer at the sponsor/agency and received recommendations or additional guidance regarding the transfer process, please forward this information to OSPA/OIPTT.

Your OSPA Awards Team or OIPTT Industry Contracts Team contact will advise the departing PI of any sponsor-specific requirements and use the information provided to prepare the transfer request.

Other factors to consider:
- It is recommended that the department ensure all technical progress reports on active and expired awards under the direction of the departing PI have been submitted and approved by the sponsor prior to the departure of the PI and prior to the transfer of any awards to PI’s new institution. Submittal of any reports that were due while the award was at ISU remain the responsibility of the university department even after the PI has left.
To determine if equipment purchased on sponsored project accounts at ISU can be transferred to another institution, contact your SPA accountant. For more information on equipment disposition, please see: http://www.controller.iastate.edu/spa/equipment.html.

The SPA Accountant will work with OSPA to determine the amount of the award to transfer to the new institution. The SPA Accountant will accomplish this by emailing the department to confirm that all expenditures have posted to the award/grant worktag.

The SPA Accountant may request an unrestricted continuation program worktag from the department to place the transferring project’s account in a temporary final status.

Once the transfer is finalized and approved by the sponsor, the SPA Accountant will close the award in the ISU financial system and submit any final financial reports required by the sponsor.

Industry contracts should not be assumed to transfer when a PI leaves ISU. Contact the OIPTT Industry Contracts Team for assistance.

On-going Flexible Solution B and C funded projects will require special consideration. Contact the OIPTT Industry Contracts Team for assistance.

NDAs and MTAs need to be reviewed. As a general rule, confidential information and materials received from a third party should not be taken to the new institution without written permission of the other party. Most NDAs include obligations to keep information received confidential for several years after the agreement expires and all individuals remain bound by these obligations even after leaving ISU. Active NDAs and MTAs may require an amendment or termination. Contact the OIPTT Industry Contracts Team for assistance.

Other unfunded agreements must also be reviewed with OSPA/OIPTT.

All ISURF intellectual property invention disclosure forms need to be completed and submitted well in advance of the PI’s departure. Schedule a meeting with the OIPTT Commercialization Manager assigned to your department at least a month before the PI’s departure date. This discussion should also address the PI’s intentions for using ISU or ISURF intellectual property after his/her departure and what rights the PI will have in these intellectual property.

Who should I contact with additional questions?

Office of Sponsored Programs Administration (OSPA)
OSPA Pre-Award Team (ospa-proposals@iastate.edu)
- Questions about pending proposals
OSPA Award Team (ospa-awards@iastate.edu)
- Awards and contracts from non-industry and non-commodity sponsors

Office of Intellectual Property and Tech Transfer (OIPTT)
Iowa State University Research Foundation, Inc.
OIPTT Industry Contracts Team (industry-contracts@iastate.edu)
- Awards or contracts from industry and commodity sponsors
- Non-Disclosure Agreements
- Materials Transfer Agreements
OIPTT Commercialization Manager (licensing@iastate.edu)
- Intellectual property disclosures and licenses (needed, pending and/or existing)
ISU Research Foundation (licensing@iastate.edu)
- Patents or patent applications

Sponsored Programs Accounting (SPA)
SPA (spa@iastate.edu)
- Close out of accounts
- Equipment Sales/Transfers