

Icahn School of Medicine at Mount Sinai (ISMMS)

PI Exit Document

June 2020

This is a standard document that must be completed by Principal Investigators (PIs) who end their employment with the School, whether through resignation, retirement, or termination. The document provides the steps the PI and department will need to complete in order for the PI to officially exit from the School. This document includes important Human Resources information, departmental logistics, and procedures for PIs involved with active research projects. Following the steps outlined in the document will facilitate the transition of the PI from active employment to her/his eventual departure date. This process is intended to assist the School and Departments to be in compliance with state and federal guidelines, providing an efficient and effective means to close out projects and resources associated with sponsored research.

Item	Action	Responsib.	Item Perform. Initial/Date	Item Verified Initial/Date
1.0	Notification (ISMMS Administration)			
	<i>Formal written notification is required at least 6-weeks prior to intended departure date. The notification should include: Date of departure, Name and Contact (Grants Officer) of new institution (if applicable), Grants expected to transfer (by GCO #), and Names, Life Numbers and Termination Dates of other ISMMS Employees.</i>	PI		
1.1	Division Chair & Admin. – Resignation Letter	PI		
1.2	Dean’s Office – PSM 100	Administrator		
1.3	Finance (SPA) – Copy of Resignation Letter	Administrator		
1.4	GCO – Copy of Resignation Letter	Administrator		
2.0	CCMS / IACUC			
2.1	CCMS – Copy of Resignation Letter -- Animal users MUST develop a transition plan with CCMS to ensure that all protocols, animal colonies and charges are adequately addressed.	Administrator		
2.2	IACUC – Copy of Resignation Letter -- Animal users MUST develop a transition plan with IACUC to ensure that all protocols, animal colonies and charges are adequately addressed.	Administrator		
3.0	IRB			
3.1	Projects to be Transferred	PI		
3.1.1	Assess transferability of research to new institution (e.g., geographic proximity for human subjects, etc.)	PI		
3.1.2	Submit application through new institution’s IRB.	PI		
3.1.3	Submit management plan for any currently enrolled research subjects (e.g., withdrawing subject from research that do not wish to be transfer to the new institution, etc.) to IRB.	PI		
3.1.4	Submit final scientific report to ISMMS IRB/GCO.	PI		
3.1.5	Consult with IRB regarding any necessary HIPPA management plans for transfer of research data.	PI		
3.2	<i>Projects to be Retained at ISMMS</i>			
3.2.1	Apply for Voluntary or Adjunct Faculty Appointment through Chair (may be done via Resignation Letter,) and/or work with Department to identify new PI.	PI		

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3.2.2	If 'new' PI: Submit GCO pages 1, 6 & 7, IRB assurance page (Form 4) and any required consent forms (Form 2), and revised HIPPA forms.	'New' PI		
3.2.3	Prepare a memo to document the project's transfer, signed by both the 'exiting' PI and the 'new' PI. (If 'new' PI is in another division, the Chairman of the 'exiting' PI's division also signs.) [Memo Template?]	'Exiting' PI and 'New' PI		
3.3	<i>Projects to be Terminated</i>	PI		
3.3.1	Submit Final Report	PI		
	Note: Special Considerations for Industry Sponsored Research – Industry sponsor has final approval over change of PI and/or Institution, and will modify any Clinical Trial agreement.			
4.0	Equipment			
	<i>To be transferred – All equipment sent to another facility MUST be decontaminated! Contact the Chemical, Bio-, or Radiation Safety Officer, as appropriate. Complete Form BSO2 – Certificate of Decontamination, as necessary.</i>	PI / Administrator		
4.1	Prepare a list of equipment. (Include: Description of Equipment, ISMMS Tag #, Purchase Order #, and Funding Source.)	PI / Administrator		
4.2	Approve list; send to Finance.	Chair / Administrator		
4.2.1	Compare the list of items for transfer to the Capital Asset Ledger. Account for the absence of any capital items indicated as 'purchased with Grant funds,' but not on the PI's itemized list. Equipment purchased with Institutional or Donated funds cannot be transferred without Dean's or CFO's approval.	SPF / Administrator / PI		
4.3	Negotiate Fair Market Value.	Chair/PI/ Administrator		
4.4	Prepare Property Pass.	SPF		
4.5	Approve transaction; sign Property Pass.	Dean's Office		
5.0	Subcontracts			
5.1	Notify collaborating institutions in writing that grants may/will be transferring.	PI		
5.2	Copy SPF so SPF can prepare Amendment to terminate the subcontract	PI / Administrator		
5.3	Prepare 'Change Orders' to terminate ISMMS subcontracts.	Administrator		

Laboratory Close-Out

Because laboratories often contain hazardous materials and equipment and other supplies obtained through several sources, coordination and care must be taken when either closing a lab completely or transferring some or all of the contents to another institution. To fully comply with health, safety and ownership requirements, the following actions may be required. All items listed below should be completed PRIOR to departing the School

Item	Action	Responsib.	Item Perform. Initial/Date	Item Verified Initial/Date
6.0	<i>Laboratory Close-out</i>			
6.1	Notify <u>Facilities Management</u> , and make arrangements for disposal of unwanted items (furniture, equipment, etc.) All unwanted items MUST be decontaminated! Contact the Chemical, Bio-, or Radiation Safety Officer, as appropriate. Complete Form BSO-2 – Certificate of Decontamination, as necessary.	Administrator		
6.2	Notify <u>Safety Officer</u> , and make arrangements for disposal of chemicals, biological specimens, 'sharp' items, and unknown/unidentified containers.	PI / Administrator		
6.3	Notify <u>Radiation Safety</u> , and make arrangements for the removal or disposal of all radioisotopes, and related samples/specimens.	PI / Administrator		
6.4	Select Agents CDC/USDA <u>Select Agents</u> list have specific requirements for the destruction/disposal of the select agent. Develop a plan for disposition with the BioSafety Officer and either/both regulatory agencies controlling the use/disposal of these agents. If the agents are to be sent to another institution, all regulations under 42 Part 73 must be adhered to. Please contact Environmental Safety Office.	PI / Administrator		
7.0	<i>Personnel Actions</i>			
	<i>Online HRTS Transactions are required for all terminating staff employees, well in advance of the termination dates.</i>			
7.1	Process HRTS Termination Transactions	Administrator		
7.2	Process Terminations.	SPF		
7.3	Review Time & Effort Reports; Obtain employee signatures; Return to Finance.	Administrator		
7.4	File Time & Effort Reports.	SPF		
8.0	<i>Shared Research Facilities & Other Allocations</i>			
8.1	Verify that all Grant-related re-charges have been properly allocated to the fund. Charges include, but are not limited to: <ul style="list-style-type: none"> ▪ Shared Research Facilities ▪ Print Shop ▪ Library ▪ Etc. Notify Admin. of missing/expected re-charges.	PI / Administrator		

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8.2	Contact appropriate service provider and/or SPF to investigate/process appropriate re-charges.	Administrator		
8.3	Process re-charges.	SPF		
9.0	Relinquishing Statement			
	<i>Receipt in Finance of this completed and signed checklist is required prior to ISMMS relinquishing its Grants.</i>	PI		
9.1	Grant activity/unexpended balances are reviewed; Relinquishing Statement or other documents are prepared.	SPF		
9.2	File Relinquishing Statements	GCO		
10.0	Federal/NIH Specific			
10.1	Prepare Final Invention Report; submit to Mount Sinai Innovation Partners (MSIP) for signature; mail to Federal funding agency.	PI		
10.2	Relinquishing statement for yet-to-be funded grants may be requested from GCO.	GCO		
11.0	Funds Management			
11.1	Reassign Fund Ownership (via email communication to School Finance.)	Chair / Administrator		
11.2	Re-assign Fund 'rights' in Sinai Central.	Administrator		
12.0	Data/Materials and Inventions			
12.1	Finalize reporting of all inventions to MSIP	PI/MSIP		
12.2	Request an MTA from MSIP if taking anything (ie samples, data) to new Institution.	PI/MSIP		