

**Mount Sinai School of Medicine
PI Exit Checklist
November, 2005**

Item	Action	Responsib.	Item Perform. Initial/Date	Item Verified Initial/Date
1.0	Notification (MSSM Administration) – 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 MSSM Employees.			
1.1	Division Chair & Admin. – Resignation Letter	PI		
1.2	Dean's Office – PSM 100	Admin.		
1.3	Finance (SPA) – Copy of Resignation Letter	Admin.		
1.4	GCO – Copy of Resignation Letter	Admin.		
1.5	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.	Admin.		
1.6	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.	Admin.		
2.0	IRB			
2.1	<i>Projects to be Transferred</i>			
2.1.1	Assess transferability of research to new institution (e.g., geographic proximity for human subjects, etc.)	PI		
2.1.2	Submit application through new institution's IRB.	PI		
2.1.3	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		
2.1.4	Submit final scientific report to MSSM IRB/GCO.	PI		
2.1.5	Consult with IRB regarding any necessary HIPPA management plans for transfer of research data.	PI		
2.2	<i>Projects to be Retained at MSSM</i>			
2.2.1	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		
2.2.2	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		
2.2.3	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		
2.3	<i>Projects to be Terminated</i>			
2.3.1	Submit Final Report	PI		
	<i>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.</i>			

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3.0	Equipment (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.			
3.1	Prepare a list of equipment. (Include: Description of Equipment, MSSM Tag #, Purchase Order #, and Funding Source.)	PI/Admin.		
3.2	Approve list; send to Finance.	Chair		
3.2.1	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 Chair approval. If approved....	Finance PI		
3.3	Negotiate Fair Market Value.	Chair/PI/ Admin/DO		
3.4	Prepare Property Pass.	SPA		
3.5	Approve transaction; sign Property Pass.	Dean's Office		
4.0	Subcontracts			
4.1	Notify collaborating institutions in writing that grants may/will be transferring.	PI		
4.2	Prepare 'Change Orders' to terminate MSSM subcontracts.	Admin.		
5.0	Laboratory Close-out			
5.1	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.	Admin.		
5.2	Notify <u>Safety Officer</u> , and make arrangements for disposal of chemicals, biological specimens, 'sharp' items, and unknown/unidentified containers.	PI		
5.3	Notify <u>Radiation Safety</u> , and make arrangements for the removal or disposal of all radioisotopes, and related samples/specimens.	PI		
5.4	Any/All agents found on the CDC/USDA Select Agents list have specific requirements for the destruction/disposal of the agent. Notify 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.	PI		

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6.0	Personnel Actions – Online Personnel Actions are required for all terminating staff employees, well in advance of the termination dates. Termination transactions for Faculty are processed on PSM-100's. (P-112, Recruit-to-Replace documents may also be required.)			
6.1	Submit /Process Terminations.	Admin		
6.2	Submit /Process Terminations.	Finance		
6.3	Review Time & Effort Reports; Obtain employee signatures; Return to Finance.	Admin		
6.4	File Time & Effort Reports.	Finance		
7.0	Shared Research Facilities & Other Allocations			
7.1	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/Res. Coord.		
7.2	Contact appropriate service provider and/or Finance to investigate/process appropriate re-charges.	Admin		
7.3	Process re-charges.	Finance		
8.0	Relinquishing Statement – Receipt in Finance of this completed and signed checklist is required prior to MSSM relinquishing its Grants.	PI		
8.1	Grant activity/unexpended balances are reviewed; Relinquishing Statement or other documents are prepared.	Finance		
9.0	Federal/NIH Specific			
9.1	Prepare Final Invention Report; submit to Office of Industrial Liaison (OIL) for signature; mail to Federal funding agency.	PI		
9.2	Relinquishing statement for yet-to-be funded grants may be requested from GCO.	GCO		
10.0	Funds Management			
10.1	Reassign Fund Ownership (via email communication to School Finance.)	Chr./Admin.		
10.2	Re-assign Fund 'rights' in Sinai Central.	Admin.		