

Dartmouth College

PI Transfer Guidelines (from Dartmouth to another Institution) Items on this checklist should be reviewed and completed PRIOR to departing Dartmouth.

GUIDED CHECKLIST QUESTIONS (COMPLETE THESE FIRST AND REFER TO GUIDANCE ON FOLLOWING PAGES)

<input type="checkbox"/>	Was any intellectual property developed at Dartmouth?	See Section 6
<input type="checkbox"/>	Will any equipment be transferred to the new institution?	See Section 5
<input type="checkbox"/>	Will any material (biological or otherwise) be transferred to the new institution?	See Section 2
<input type="checkbox"/>	Are there any IRB or IACUC protocols open at Dartmouth?	See Section 3
<input type="checkbox"/>	Do you work with hazardous materials?	See Section 2
<input type="checkbox"/>	Will any IRB or IACUC protocols remain open at Dartmouth?	See Section 3
<input type="checkbox"/>	Will you request to transfer any bio-specimens to your new institution?	See Sections 2 and 3
<input type="checkbox"/>	Will you request to transfer any health information or data from human subjects to your new institution?	See Section 3
<input type="checkbox"/>	Are there subawards currently active at Dartmouth?	See Section 1
<input type="checkbox"/>	Will a subaward to Dartmouth be necessary after transfer to complete the project?	See Section 1
<input type="checkbox"/>	Will the PI maintain any appointment at Dartmouth?	Contact Chair and Dean's Office

Resource	Website	Important Notes
Department Research Administrator (DRA)	n/a	Meet with your department administrator as soon as possible to review all issues related to your transfer. Some items also require Department Chair approval (e.g. equipment transfers)
Office of Sponsored Projects (OSP)	http://www.dartmouth.edu/~osp/	Please refer to the OSP website or contact the OSP Director to identify your OSP Post-Award contact who will assist in contacting sponsors to closeout and transfer award(s).
Office of Environment Health and Safety (EHS)	http://www.dartmouth.edu/~ehs/	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 actions listed in Section 2 should be referenced.
Committee for the Protection of Human Subjects (CPHS)	https://www.dartmouth.edu/~cphs/	Once a study is closed, it is the responsibility of the research team to maintain the confidentiality of the data. PHI (protected health information) or PII (personally identifiable information) may <u>not</u> be disclosed (released outside of Dartmouth) without appropriate institutional approvals. Contact the CPHS Office for further information. Contact the CPHS Office if you intend to use stored research data for a future research purpose other than that originally proposed.
Institutional Animal Care and Use Committee (IACUC)	https://www.dartmouth.edu/iacuc/ <u>Center for Comparative Medicine:</u> https://www.dartmouth.edu/~ccmr/	It is imperative that proper steps be taken with regard to the disposition of animal subjects prior to departure from Dartmouth. All items listed below should be completed PRIOR to departing Dartmouth.
Technology Transfer Office (TTO)	http://www.dartmouth.edu/~tto/	
Office of the Senior Vice Provost for Research	http://www.dartmouth.edu/~provost/vpresearch.html	

SECTION 1: GRANTS AND CONTRACTS	
Alert OSP, Sponsor and your DRA of your intent to transfer a grant or contract to another institution. Share OSP contact information with Dartmouth OSP and the new institution OSP.	
Complete and submit final invention statements to sponsor as required, see Section 6 . Ensure that all required progress reports and final reports have been prepared and submitted.	
Work with OSP and your DRA to prepare a relinquishing statement or similar sponsor document.	
Equipment/Materials: Coordinate with Chair/DRA/Procurement, verify ownership; arrange for disposal or transfer. http://www.dartmouth.edu/~osp/resources/pitransfers.html	
Ensure submission of all sponsored required reports and provide a copy to OSP.	
Notify collaborating institutions in writing, on any awards with subcontracts.	
Work with your DRA to budget for remaining months at Dartmouth, ensure funds are left to cover outstanding balances. Review/certify final expenditures. Resolve budget deficits.	
Contact the OSP to make arrangements to review and certify final effort reports for you and your lab personnel.	
Material Transfer Agreements (MTA): Coordinate with TTO to closeout material transfer agreements. Transferred materials will require a new MTA.	
Confidentiality Agreements (CDA): Coordinate with OSP staff to closeout. Information to be transferred to another institution will likely require a new CDA.	
SECTION 2: RESEARCH LAB/HAZARDOUS MATERIALS	
If the lab contains hazardous materials, all unwanted items MUST be removed and disposed of properly. Note some materials must be decontaminated before disposal. Contact the EHS for instructions. http://www.dartmouth.edu/~ehs/chemical/lab_move_closure_guidelines_2015.pdf	
Contact the EHS for removal or disposal of chemicals, biological materials, 'sharp' items, all radioisotopes and related samples/specimens, and unknown/unidentified containers.	
If you are a generator of hazardous waste, contact EHS to verify the disposal of your wastes and confirm proper labeling of all hazardous materials that will not be disposed.	
Notify EHS if you plan to ship or transport any chemical, biological or radiological materials to another institution. They will provide you with required regulations.	
Notify IBC of the termination or transfer of an IBC registration.	
Section 3: HUMAN SUBJECT RESEARCH	
Projects to be Transferred to a new Institution	
Submit application through <u>new</u> institution's IRB as applicable.	
Submit plan for currently enrolled research subjects (e.g., withdrawing subjects from research who do not wish to be transferred to the new institution, etc.) with closure form.	
Consult CPHS to transfer specimens, health information or data from research subjects. Please note that the IND and the Certificate of Confidentiality transfer w/protocol.	

Section 3: HUMAN SUBJECT RESEARCH (continued)	
Projects to be Retained at Dartmouth with new PI	
If a new PI will be appointed at Dartmouth, work with Department to identify new PI. Note: Special Considerations for Industry Sponsored Research –Sponsor has final approval over change of PI and/or Institution, and will modify any Clinical Trial agreement.	
Create a modification in Rapport. If you are the PI of the project, select 'Other parts of the study.' If you have another role on the study, click 'Study team member information'.	
Modify your study documents as appropriate using tracked changes. Specifically, your protocol or study plan and consent forms may need to be updated.	
Modify PI information on all consent materials, if protocol remains open to enrollment.	
Gene Transfer Protocols: PI's should send a written notification to the IBC-CGT in addition to the CPHS.	
CPHS Projects to be Terminated	
Create a Continuing Review in Rapport to trigger a closure. More information can be found on the closure form found at http://www.dartmouth.edu/~cphs/tosubmit/forms/	
Contact the CPHS Office if you wish to remove research data from Dartmouth.	
If biomedical research: notify Clinical Trials Office for instructions on how to archive data.	
Consult with CPHS if you will be transferring specimens or health information from subjects. If you will be transferring specimens, additionally consult with EHS.	
SECTION 4: ANIMAL RESEARCH	
Notify IACUC & CCMR of intent to leave. Include: date of departure, date of termination of protocols, intended disposition of any remaining animals, new contact information.	
If you intend to transfer any animals remaining in inventory to another investigator's protocol or have the animals transferred to the new institution, you must contact the Director of the CCMR to obtain approval and to complete the appropriate transfer forms. Note: Animals transferring to another institution will likely need to be placed in quarantine, so adequate lead time must be taken into account. Transfer of animals to other institutions requires a signed Material Transfer Agreement http://www.dartmouth.edu/~tto/mtas.html	
If you plan to continue collaborative research with another qualified Dartmouth faculty member, the collaborating Dartmouth faculty member must agree to accept responsibility for any ongoing research and animals in inventory. The departing faculty member's protocol will be terminated. Therefore, the collaborator must submit a NEW animal use protocol under his/her name to the IACUC Office together with a cover letter that clearly details: The nature of the collaborative work and his/her willingness to accept the research project and the extent of his/her experience with the research of the departing investigator. The timetable for completion of the collaborative project.	
Verify that any qualified Dartmouth collaborator(s) have received full IACUC approval for the new protocol. Otherwise, they may not be allowed to continue or initiate the departing investigator's research.	
The collaborating faculty member will need to seek IBC approval for any biohazards used on the new IACUC protocol if they are not currently approved to work with those biohazards.	
Contact the IACUC at new place at least 3 months in advance of departure and initiate the steps necessary to obtain IACUC approval for the animals you will be transferring.	

SECTION 5: TRANSFER OF EQUIPMENT, DATA, RECORDS OR OTHER ITEMS	
Data or Record: If you will be transferring data or records please see the Laboratory Notebook and Recording Keeping Policy. Note that this policy applies to all research data or records even if they were not collected in a "lab": http://www.dartmouth.edu/~osp/resources/policies/dartmouth/dataretention.html	
Equipment: If you will be transferring equipment please see the Transfer of Research Equipment Policy: http://www.dartmouth.edu/~control/equipfixed/transferequip.html	
Other Items: If you will be transferring specimens, cell lines or reagents please see the additional information on Material Transfer Agreements: http://www.dartmouth.edu/~tto/ Contact EHS for consult on how to transfer/ship such specimens/materials.	
If you have received IRB approval to transfer de-identified research data, the Clinical Data Repository must remove all personal identifiers prior to transfer. All copies of databases that contain patient identifiers must be deleted or otherwise destroyed, and may not be transferred from Dartmouth.	
SECTION 6: PATENTS/INVENTIONS	
Forward information for patent prosecution, help in licensing activities and change in royalty flow to the Technology Transfer Office. http://www.dartmouth.edu/~tto/	