



Checklist for Departure of Faculty and Researchers

This checklist is intended to provide general assistance to departmental staff when faculty and researchers (including postdocs, graduate students, etc.) depart the University. The considerations herein apply to faculty and researchers departing the University for another institution. It does not apply to faculty and researchers retiring from the University unless they will be resuming scholarly activities elsewhere after retirement.

Notification should be provided to each of the central offices below, as appropriate. Each office will then initiate their own internal processes to determine and further communicate with department staff if additional action is required.

In addition to the below, departments may consider having faculty or researchers sign a statement indicating that data/materials required for Princeton compliance purposes will remain at the University.

Last Updated: April 29, 2023

Dean of Faculty

Departments should provide the Office of the Dean of Faculty with a copy of the resignation letter as set forth below. The resignation letter should include the anticipated last date of work, the reason for the departure, and, if leaving for a new position, the name of the new employer.

For faculty, researchers, and postdocs, departments should submit an eForm with the resignation letter.

The Dean of the Faculty will report faculty resignations to the Board (as required by applicable policies and procedures) and facilitate updates to PeopleSoft and personnel files.

Note: For retirements, faculty should communicate with ODOF directly, so that retirement plans can be reviewed.

Contact: Jessica Mathewson
Director of Governance
phone: 609-258-2018
email: jmathewson@princeton.edu

Davis International Center

Departments should ensure that the Davis International Center has been notified of any resignations of international (i.e., non-U.S. citizen or permanent resident) employees, ideally at least 14 days before the international employee leaves.

Contact: Davis International Center
phone: 609-258-5006
email: intlscholar@princeton.edu

Notify your department manager of any visiting scholars that may require a new sponsor while at Princeton.

 N/A

Graduate School

For faculty who will continue to advise Princeton students after their departure, ensure that they retain a status at Princeton that will allow them to continue to advise students. For students who will remain Princeton graduate students and will continue to receive Princeton support, ensure a source of funding to cover their tuition and stipend costs through the remainder of their enrollment at Princeton, work with the department to secure physical space for the student(s) to occupy. For students who will remain Princeton students, but move with the faculty member, ensure the students are in an appropriate enrollment status at Princeton that will allow them to complete degree requirements at the new institution. For students who will transfer to the new institution, ensure that an end of enrollment plan has been discussed with the department and the Graduate School.

Contact: For science and engineering departments contact Christine Murphy (cm15@princeton.edu). For departments in the humanities and social sciences contact Geoffrey Hill (gbhill@princeton.edu).

Current and Pending Awards and Non-Funded Research Agreements

When a faculty member or researcher notifies the department of his/her departure from Princeton, it is appropriate for department staff to timely review with them their list of current and pending sponsored programs, and current and pending non-funded research agreements (NDAs, DUAs, etc.), which are usually processed through ORPA. The circumstances regarding each particular current or pending project or agreement may be unique, are worth discussing, and should inform decision making regarding that project or agreement.

Regarding pending proposals, it may be appropriate for department staff to work with the departing faculty/researcher, the relevant Department Manager(s) as well as ORPA to timely communicate with potential sponsors on the faculty/researcher's departure from Princeton.

A departing researcher's plans to transfer awards to another institution should be discussed with the relevant Department Manager(s) and reviewed by ORPA. Timely sponsor notification (and in some cases approval) is required for award transfers.

Note that on occasion, awards in a faculty or researcher's name may remain at Princeton even after the faculty or researcher has departed Princeton. In these cases, ensure that the faculty/researcher retains a status at Princeton that will allow them to continue to be PI or key/senior personnel (including fulfilling any related effort commitments) on awards at Princeton. In other cases, it may be appropriate to transfer the departing faculty/researcher's role on a sponsored program or non-funded agreement to another faculty/researcher at Princeton.

In addition, students/trainees remaining at Princeton to continue research activities will require supervision. The departing faculty member or researcher must work with departmental staff to ensure the students/trainees are appropriately supervised, including oversight of physical activities in lab spaces.

To the extent that awards are transferring out of Princeton, closing at Princeton, or continuing at Princeton, keep in mind that the departing PI/researcher may continue to be responsible for project-related work including the submission of final technical and financial reports, invention reports, etc. after having arrived at their new institution.

<input type="checkbox"/>	Work with appropriate department staff and leadership as well as the departing PI/researcher to verify that there is an appropriate plan in place for each current and pending award and non-funded agreement in their portfolio, including winding down spending on any projects as	Different plans may need to be put into place for different current and pending projects/agreements in the departing PI/researcher's portfolio.
<input type="checkbox"/> N/A	(This cell is merged with the text above and is not explicitly defined in the original image)	(This cell is merged with the text above and is not explicitly defined in the original image)

	appropriate, in collaboration with SRA.	
<input type="checkbox"/>	Work with the Department Manager and the departing PI/researcher on the transition as appropriate of any lab personnel working on/supported by sponsored programs or non-funded agreements, including visiting scholars.	Are the departing researcher's lab personnel transferring to another institution? If staying at Princeton, how will they be supported? Who will be the new mentor/sponsor/advisor? Do they have a visa?
<input type="checkbox"/> N/A		
<input type="checkbox"/>	As appropriate, work with the departing PI/researcher, Department Manager, ORPA, and SRA to close out the sponsored project/grant. SRA, Capital Assets/Office of the Controller, and OTL will complete and submit the final closeout financial, property and invention reports.	
<input type="checkbox"/> N/A		
If the award will be transferred to another PI at Princeton:		
<input type="checkbox"/>	Obtain approval from the current PI, the new (proposed) PI, the department chair of the current PI and (if different) of the proposed PI.	
<input type="checkbox"/> N/A		
<input type="checkbox"/>	Provide the letter requesting this change in PI to ORPA. ORPA will submit to the sponsor for approval. The letter should include:	Contact: ORPA (awards@princeton.edu)
<input type="checkbox"/> N/A	<ul style="list-style-type: none"> • Justification of change statement • Effective date of transfer • Biographical sketch of new PI • Other sources of support/Current & Pending support for new PI • Approval signatures 	

If an award will transfer to another institution, the following steps must be taken **ideally 90 days prior to departure**.

<input type="checkbox"/>	Contact ORPA and review the sponsor's requirements to determine if the award is eligible for transfer.
<input type="checkbox"/> N/A	
<input type="checkbox"/>	Obtain concurrence from the other institution to accept the award, including the PI, department chair/unit head, and sponsored programs office.
<input type="checkbox"/> N/A	
<input type="checkbox"/>	Work with the department manager to notify ORPA to begin the process for terminating the award at Princeton and transferring the award to the new institution. Include: <ul style="list-style-type: none"> • Contact information for the sponsored research office at the new institution. • Effective date of transfer • Any projected expenses through the effective date of transfer. • Signatures accepting Princeton's approval for the transfer (PI, Department Chair/Unit Head, etc.)
<input type="checkbox"/> N/A	ORPA will submit the notification to the sponsor. NOTE: Final financial, technical and invention reports must be completed prior to transfer.

Intellectual Property (IP)

<input type="checkbox"/>	Read and understand the Princeton IP policy. https://dof.princeton.edu/governance/policies/intellectual-property
<input type="checkbox"/>	Are all disclosures of IP up to date with the Office of Technology Licensing? (Keep in mind that inventions partially conceived and/or reduced to practice at Princeton may be co-owned with your new institution)
<input type="checkbox"/> N/A	

Research Materials, Data, and Equipment

Prior to departure, the project materials, data, and equipment must be accounted for, transferred, or disposed of, and documented appropriately.

Research records from projects awarded to (or by) Princeton belong to Princeton. PIs may take copies of research materials under certain circumstances. Original records are retained by Princeton.

To request to transfer **materials** to another institution:

<input type="checkbox"/>	Contact the Office of Technology Licensing	The transfer of materials (e.g., biological specimens, technology, etc.) to another institution may be subject to third party obligations or require the execution of a Material Transfer Agreement. Information on MTAs may be found here: https://patents.princeton.edu/faculty-researchers/material-transfer-and-confidentiality-agreements Please provide a list of all materials that you propose taking with you to your new institution.
<input type="checkbox"/> N/A		
<input type="checkbox"/>	Contact EHS	Many research materials are regulated for transport and need to adhere to specific packaging and documentation requirements. Contact EHS either through the Regulated/Hazardous Shipping Request for small material transfers or at hazmat_ship@princeton.edu to arrange for consultation on larger relocations, which will often necessitate the use of a third-party hazardous material transport. The transfer of radioactive material requires additional checks and balances due to licensing conditions. Sufficient notification should be provided to EHS.
<input type="checkbox"/> N/A		

To request the transfer of **data** to another institution:

<input type="checkbox"/>	Contact the Office of Research and Project Administration to complete a Data Transfer and Use Agreement, or revise an existing one with a sponsor/collaborator.	To transfer data to another institution, a Data Transfer and Use Agreement may be required. Note that not all data sets (i.e., sensitive or secure data sets) may necessarily be transferred outside of Princeton. Data transfers may require approval by multiple Princeton offices. ORPA will coordinate internal approvals. Contact: awards@princeton.edu
<input type="checkbox"/> N/A		

<input type="checkbox"/>	Contact Research Computing to manage how to transfer data to a new institution.	RC will determine whether and how the data can be transferred to the new institution from a technical standpoint. In addition, they will determine whether or not the data needs to be maintained by the University, archived, or dispositioned, as well as address access to the data by the researcher (i.e., remove access). Contact: cses@princeton.edu
<input type="checkbox"/> N/A		
<input type="checkbox"/>	Contact the Information Security Office if the departing researcher will need to continue to have access to data or University systems.	ISO will take steps to ensure that researchers that depart the University can continue to have access to data (e.g., via a Research Computer User account) at the University, if required. Contact: infosec@princeton.edu
<input type="checkbox"/> N/A		

To transfer **equipment to another Princeton department or another institution, or to dispose of project equipment:**

<input type="checkbox"/>	For research equipment that may be transferred (internally or externally) or disposed as surplus equipment, submit a Lab/Equipment Clearance Request to EHS.	Laboratory equipment used with or potentially contaminated by hazardous materials must be drained and/or decontaminated by the lab and assessed by EHS to ensure that they have been reasonably prepared for movement. EHS provides assistance in identifying and documenting equipment that may be persistently contaminated and should be provided an acknowledgement, release and waiver or equivalent documentation.
<input type="checkbox"/> N/A		
<input type="checkbox"/>	For internal (Princeton) transfers of University-owned equipment, submit a request to transfer the equipment.	Equipment purchased with University funds (in whole or in part) is the property of Princeton. Equipment purchased using funds from an external sponsor may belong to the University or to the sponsor.
<input type="checkbox"/> N/A	For external transfers, contact ORPA (awards@princeton.edu) to arrange equipment/asset transfers	

<input type="checkbox"/>	Notify EHS for the transfer or disposition of any radiation producing equipment, e.g., X-ray imaging, diffraction, fluorescence, etc.	https://ehs.princeton.edu/laboratory-research/radiation-safety/x-ray-machines-other-radiation-producing
<input type="checkbox"/> N/A		
<input type="checkbox"/>	Work with the department manager and EHS to appropriately manage surplus equipment.	https://ehs.princeton.edu/news/need-surplus-old-lab-equipment-trust-the
<input type="checkbox"/> N/A	Care must also be taken to remove sensitive information from any device prior to transfer or disposal of the equipment.	

Regulated Materials

Researchers must consider regulations that apply to the transfer of materials to or from Princeton University. The researcher must have appropriate approvals to work with regulated or controlled items. For an overview of Research Compliance areas pertaining to research animal use and registered biological materials, please see <https://ria.princeton.edu/>. Information pertaining to chemical and radiological materials, please see <https://ehs.princeton.edu/laboratory-research/laboratory-safety>. Specific compliance areas pertaining to transfers to another institution are summarized below.

If you have a Conflict of Interest (COI) Management Plan:

<input type="checkbox"/>	Existing COI issues, including Management Plans, may require additional notification of both funding agencies and the new institution, in order to maintain fluid management of complex financial conflicts of interest. Contact: coi@princeton.edu .
<input type="checkbox"/> N/A	

	If the faculty or researcher has funding that continues through Princeton University, they will still be required to complete the annual COI disclosure form as well as any updates.
If your work involves human subjects:	
<input type="checkbox"/>	Review the list of your current studies. Submit to the IRB a list of which studies will end, remain open (with a Princeton PI), and/or transfer to another institution. The IRB may require a reliance agreement with the new institution. https://ria.princeton.edu/human-research
<input type="checkbox"/> N/A	
If your work involves animals:	
<input type="checkbox"/>	A request for closure must be submitted to IACUC for each open protocol. Approved animal use protocols may be transferred to another PI at Princeton University, but this requires a major amendment and must be approved by the IACUC prior to implementation. https://ria.princeton.edu/animal-care-and-use
<input type="checkbox"/> N/A	
<input type="checkbox"/>	Requests for health records for any animals or animal transfers from Princeton facilities to another institution must be submitted to LAR. https://ria.princeton.edu/animal-care-and-use
<input type="checkbox"/> N/A	
If your work involves hazardous or regulated/licensed research materials:	
<input type="checkbox"/>	If your work involves recombinant or synthetic nucleic acid molecules (including use of transgenic animals), infectious agents, biological toxins, human cell lines, unfixed human tissues or fluids, certain animal-derived substances, notify the Biosafety Officer (ehs@princeton.edu). https://ehs.princeton.edu/laboratory-research/biological-safety Institutional Biosafety Committee (IBC) registrations should be officially closed in the eRIA IBC system or transferred to another approved Princeton University PI. All labs should be decommissioned (see below)
<input type="checkbox"/> N/A	
<input type="checkbox"/>	Ensure that any remaining registered material has been destroyed or transferred to an approved PI also registered with the IBC.
<input type="checkbox"/> N/A	

<input type="checkbox"/>	If your work involves radioactive materials, please contact EHS at ehs@princeton.edu .
<input type="checkbox"/> N/A	
<input type="checkbox"/>	If your work involves the use of hazardous chemicals (including compressed gases), please contact EHS at ehs@princeton.edu .
<input type="checkbox"/> -N/A	
<input type="checkbox"/>	If your work involves the use of DEA Controlled Substances, please contact EHS at ehs@princeton.edu .
<input type="checkbox"/> -N/A	
<p>If your work involves export-controlled items, data, software or technology (e.g., military or space related, controlled biological materials, radioactive materials, etc.):</p>	
<input type="checkbox"/>	If transferring equipment, materials, software or technology to a new institution overseas, Export Controls must conduct a review to determine if an export license is required. Contact exports@princeton.edu .
<input type="checkbox"/> N/A	
<input type="checkbox"/>	Contact Export Controls to close out any Technology Control Plans or Research Security Plans. PI must provide Export Controls with information related to the proposed transfer, destruction and closeout. https://orpa.princeton.edu/export-controls/exclusions
<input type="checkbox"/> N/A	

Laboratory Decommissioning

If you work with hazardous materials (biological, chemical, radiological) or potentially hazardous equipment:

<input type="checkbox"/>	Contact EHS for decommissioning assistance, disposal of	https://ehs.princeton.edu/laboratory-research/laboratory-safety/laboratory-equipment-and-engineering/equipment-clearance-and-release
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<input type="checkbox"/> N/A	hazardous biological, chemical, or radioactive materials, and clearance of the research areas.	
<input type="checkbox"/>	Ensure that remaining chemical containers are labeled. Dispose of or transfer all chemicals.	https://ehs.princeton.edu/laboratory-research/chemical-safety
<input type="checkbox"/> N/A		
<input type="checkbox"/>	Dispose of laboratory wastes.	Chemical/Universal Waste: https://princeton.servicenow.com/service?id=sc_cat_item&sys_id=a8903c70db920c10aa2cc25a13961962 Regulated Medical Waste: https://ehs.princeton.edu/environmental-programs/waste/biohazard-waste-disposal Radiologic Waste: https://ehs.princeton.edu/laboratory-research/radiation-safety/radioactive-materials/waste
<input type="checkbox"/> N/A		
<input type="checkbox"/>	Notify EHS for disposition of any radiation producing equipment, e.g., X-ray imaging, diffraction, fluorescence, etc.	https://ehs.princeton.edu/laboratory-research/radiation-safety/x-ray-machines-other-radiation-producing
<input type="checkbox"/> N/A		
<input type="checkbox"/>	Work with EHS and department to update owner/contact info associated with lab spaces and update SHIELD.	https://princeton.bioraft.com/
<input type="checkbox"/> N/A		

Financial

If you have discretionary funds, including student funding:

<input type="checkbox"/>	Work with your Department Manager to close out any discretionary accounts.
<input type="checkbox"/> N/A	
To finalize your effort reports:	
<input type="checkbox"/>	Contact your Department Manager to complete the effort certification report(s).
<input type="checkbox"/> N/A	

Appendix A

Form to be Used for Submission of Information to Central Offices	
Name of Faculty Member/Researcher	
PUID number	
Forwarding contact information for Faculty Member/Researcher (including new institution name/location, if appropriate; new email?)	
Department affiliation (primary, as well as any secondary affiliations)	
Effective date of resignation	
Will faculty member/researcher need a departmental affiliation/appointment after the date of resignation?	
List of current students/trainees: <ul style="list-style-type: none"> • Will students/trainees remain at Princeton or be leaving for another institution? • For remaining students/trainees, who will be the new advisor? 	
List of current and pending research projects (including those in no cost extension) <ul style="list-style-type: none"> • Which research projects may be transferred to another researcher, and name of that researcher • For each project, please state whether the sponsor has been notified of the researcher's departure and when notice was provided. 	
Location of assigned experimental areas being vacated or temporarily retained.	

List of other active and pending research-related agreements such as CDAs, MTAs, DUAs (including non-funded agreements)	
Whether or not any equipment, materials or data are to be transferred to the researcher's new institution <ul style="list-style-type: none">• Will personnel (i.e., students) in the research group will continue to require access to the data, the data will need to be archived, or destroyed.• Will the researcher continue to require access to the data from their new institution?	