

**MEMORANDUM OF UNDERSTANDING BETWEEN A DEPARTING  
INVESTIGATOR AND THE UNIVERSITY OF KENTUCKY**

Date of Submission:  
(by the departing investigator) \_\_\_\_\_

Name of Investigator: \_\_\_\_\_

University of Kentucky College/Unit: \_\_\_\_\_

University of Kentucky Department: \_\_\_\_\_

Receiving Institution (if applicable): \_\_\_\_\_

Last Day of UK Appointment: \_\_\_\_\_

This Memorandum of Understanding (MOU) documents an agreement between a departing investigator and the University of Kentucky (UK) regarding the closing of a research program and/or transfer of grants, contract(s) or award(s) for sponsored projects (active and closed/expired), equipment, supplies, and other research-related program(s) or activities to another non-profit institution.

**DUE DATE: *This MOU should be completed, reviewed, and approved not less than 90 days prior to an investigator's departure from the University of Kentucky campus or immediately after the departure date is known by the investigator if shorter than 90 days. A delay in final approval may result if this MOU is submitted with less than 90 days' notice.***

Note: Some approvals related to this research-related transfer require more notice (e.g., approval for transfer of research animals should be initiated at least three (3) months prior to the investigator's departure).

**FINAL APPROVAL OF MOU:** Final approval of this MOU by the Department Chair, Dean (or designee), Executive Director of the Office of Sponsored Projects Administration (OSPA), Vice President for Research (VPR) and Treasurer is required prior to any transfer of grants, equipment, supplies, or other research-related programs or activities.

Questions about this MOU should be directed to the investigator's College Grant Officer (CGO). The process can be complex, and investigators are strongly encouraged to contact their CGO early. The OSPA Research Administrator (RA) is also available to provide assistance.

Definition: For the purposes of this document, an "investigator" is defined as a University of Kentucky faculty member or research staff that has an independent and extramurally funded research program.

Investigators who leave the University for another non-profit institution may want to transfer grants, equipment, supplies, materials acquired from other third parties, and research animals to continue their research. This MOU documents specific agreements between the investigator and the University of Kentucky regarding these transfers as well as requirements for handling research records, intellectual property, hazardous materials that will be left behind, and the exit safety survey.

In preparing this MOU, an investigator must comply with applicable University of Kentucky administrative regulations, policies, and procedures, including but not limited to those noted below.

## Administrative Regulations

AR 6:3	Environmental Health and Safety (EHS)	<a href="http://www.uky.edu/regqs/files/ar/ar6-3.pdf">http://www.uky.edu/regqs/files/ar/ar6-3.pdf</a>
AR 7:3	Policies and Procedures for Soliciting, Receiving, Recording, and Administering Grants and Contracts for Sponsored Project	<a href="https://www.uky.edu/regqs/ar7-3">https://www.uky.edu/regqs/ar7-3</a>
AR 7:6	Intellectual Property Disposition	<a href="http://www.uky.edu/regqs/files/ar/ar7-6.pdf">http://www.uky.edu/regqs/files/ar/ar7-6.pdf</a>
AR 8:1	Disposition of Personal Property	<a href="http://www.uky.edu/regqs/files/ar/ar8-1.pdf">http://www.uky.edu/regqs/files/ar/ar8-1.pdf</a>

## Animal Protocols

IACUC Policies, Procedures, and Guidelines	<a href="https://www.research.uky.edu/office-attending-veterinarian/iacuc-policies-procedures-and-guidelines">https://www.research.uky.edu/office-attending-veterinarian/iacuc-policies-procedures-and-guidelines</a>
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## Business Procedures

E-12-4	Disposal of Property	<a href="http://www.uky.edu/EVPFA/Controller/files/BPM/E-12-4.pdf">http://www.uky.edu/EVPFA/Controller/files/BPM/E-12-4.pdf</a>
E-12-5	Physical Facilities Inventory System-Surplus Property Disposition Incentive Plan	<a href="https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-12-5.pdf">https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-12-5.pdf</a>
E-50-4	Project Payroll Confirmation	<a href="https://www.uky.edu/ufs/e-50-4-project-payroll-confirmation">https://www.uky.edu/ufs/e-50-4-project-payroll-confirmation</a>

Data Retention and Ownership Policy	<a href="https://www.research.uky.edu/research-misconduct/data-retention-and-ownership-policy">https://www.research.uky.edu/research-misconduct/data-retention-and-ownership-policy</a>
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## Environmental Health and Safety (EHS)

Environmental Health and Safety (EHS)	<a href="https://ehs.uky.edu/">https://ehs.uky.edu/</a>
EHS Laboratory Closeout	<a href="https://ehs.uky.edu/exit.php">https://ehs.uky.edu/exit.php</a> <a href="https://ehs.uky.edu/docs/pdf/bio_lab_laboratory_exit_and_closing_procedures_0001.pdf">https://ehs.uky.edu/docs/pdf/bio_lab_laboratory_exit_and_closing_procedures_0001.pdf</a>
EHS Equipment Clearance	<a href="https://ehs.uky.edu/docs/pdf/ep_factsheet_surplus_0001.pdf">https://ehs.uky.edu/docs/pdf/ep_factsheet_surplus_0001.pdf</a>

Guidance on Faculty and Equipment Transfers	<a href="https://www.research.uky.edu/office-sponsored-projects-administration/award-administration">https://www.research.uky.edu/office-sponsored-projects-administration/award-administration</a>
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## IRB Protocols

Human Research/Institutional Review Board (IRB)	<a href="https://www.research.uky.edu/office-research-integrity/researchers">https://www.research.uky.edu/office-research-integrity/researchers</a>
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## Transfer of Grants, Contracts, and Awards for Sponsored Projects and Pending Proposals

- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| 1. Does the investigator currently have active sponsored project(s) at UK?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. If yes, is the investigator requesting the transfer of active grant(s), contract(s), or award(s) for sponsored project(s) to another non-profit institution? | <input type="checkbox"/> | <input type="checkbox"/> |

If the answer to the above question is YES, complete **Appendix A** with a detailed list of the sponsored projects, including the sponsor/funding agency, title of the sponsored project, period of performance of the award, UK sponsored project account number, and current unexpended account balance. Also include the names of all co-PIs at UK and the name(s) of all subrecipient organizations and the current unexpended account balance, if applicable.

- |   |                          |                          |
|---|--------------------------|--------------------------|
| 3. Is the investigator the Principal Investigator (PI) of active sponsored project(s) that will not be transferred and will continue under the direction of a new PI at UK? | <input type="checkbox"/> | <input type="checkbox"/> |
|---|--------------------------|--------------------------|

If the answer to the above question is YES, complete **Appendix A** with a detailed list of those, including the sponsor/funding agency, title of the sponsored project, period of performance of the award, UK sponsored project account number, and current unexpended account balance, and identify the new UK PI. Also include the names of all co-PIs at UK and the name(s) of all subrecipient organizations and the current unexpended account balance, if applicable.

- |  |                          |                          |
|--|--------------------------|--------------------------|
| 4. Does the investigator have any pending sponsored project proposals that will be withdrawn by UK and/or resubmitted through the new institution? | <input type="checkbox"/> | <input type="checkbox"/> |
|--|--------------------------|--------------------------|

If the answer to the above question is YES, complete **Appendix A** with a detailed list of the proposals, including sponsor and title, with a notation of the intended action for each one.

### Please take note of the following information:

- OSPA requires this MOU, with required information attached and signed by the investigator, department chair, and college dean (or designee), to initiate the transfer of any grants, contracts, or awards for sponsored projects.
- If you are requesting the transfer of active grants and contracts from UK to another non-profit institution, AR 8:1 and UK Business Procedures E-12-4 apply as well as any restrictions that the sponsor(s) of the sponsored project(s) may impose.
- UK will not transfer cash assets resulting from gifts and/or fee-for- service agreements. Such unexpended assets remain with the university.
- If an award has an active subaward agreement, the agreement must be terminated and a final invoice from the subrecipient must be received by OSPA before the award may be transferred to another institution.
- If the investigator has been in communication with the program officer at the sponsor and received recommendations or additional guidance regarding the transfer process, that information must be attached to this MOU or forwarded separately to the OSPA Research Administrator.
- Submission of any reports that were due while the award was at UK are the responsibility of the investigator who must prepare and timely submit all required progress, programmatic, or technical reports to the sponsor due prior to investigator's last day at UK. Those reports should be submitted and approved by the sponsor, if applicable, prior to departure. The investigator may be requested to provide additional information or assistance after the investigator leaves the University to meet the sponsor's reporting requirements.
- Investigators should understand that transfers are subject to University and sponsor approvals and must follow UK's policies and procedures.
- If an active award will remain at UK until its end date, the investigator and department/college must arrange for a change in PI at UK. OSPA initiates the request for change in PI to the sponsor for approval and updates the sponsored project after sponsor approval is received.

**Transfer of Research Equipment Purchased by Active Grants, Contracts, or Awards for Sponsored Projects**

5. Is the investigator requesting the transfer of equipment purchased with funds from currently active grant(s), contracts(s) or award(s) that are being transferred to another non-profit institution? Yes  No

If the answer to the above question is YES, complete **Appendix B** with a detailed list of the specific equipment, manufacturer, purchase date, property number, account numbers used to purchase the equipment, and a copy of the eBARs report of the items. The list must be attached to this MOU and co-signed by the department chair and college dean (or designee) to initiate the transfer of equipment.

Please take note of the following information:

- Investigators should begin the process of seeking approval for the removal of equipment from campus well in advance of their intended departure date.
- All necessary approvals must be obtained prior to removal of the equipment from campus. Removing UK property without appropriate approvals is considered theft.
- UK policy permits the release of equipment purchased on an active grant, contract, or award for sponsored projects when the equipment is being transferred to another non-profit institution.
- The investigator requesting transfer of the equipment must be the principal investigator on the active sponsored project from which the equipment was purchased.
- Investigators who are co-principal investigators or collaborators on active sponsored projects cannot transfer equipment purchased on those sponsored projects to another institution.
- OSPA reviews the equipment list for completeness compared to the equipment expenditures on the sponsored project account(s) and forwards the equipment list, along with the signed MOU, to the VPR for approval and signature. After the VPR signs, the MOU is forwarded to Capital Assets Accounting in University Financial Services for their review and approval. The Treasurer provides final approval of the transfer of the equipment.
- Any investigator must properly decommission and decontaminate equipment which was used in conjunction with biological, chemical, or radiological materials. Clearance by EHS must occur prior to releasing the equipment for transfer. Examples of equipment include, but are not limited to, refrigerators, freezers, centrifuges, incubators, chromatography systems, lyophilizers, biological safety cabinets, and liquid scintillation counters. [https://ehs.uky.edu/docs/pdf/ep\\_factsheet\\_surplus\\_0001.pdf](https://ehs.uky.edu/docs/pdf/ep_factsheet_surplus_0001.pdf)  
[https://ehs.uky.edu/docs/pdf/bio\\_lab\\_surplusing\\_biohazardous\\_equipment\\_0001.pdf](https://ehs.uky.edu/docs/pdf/bio_lab_surplusing_biohazardous_equipment_0001.pdf)

**Transfer of Research Equipment Purchased by Expired Grants, Contracts or Awards for Sponsored Projects or Non-grant Cost Objects, and Equipment Purchased in Full or In Part with University Funds**

6. Is the investigator requesting the transfer of equipment purchased on closed/expired grants or with non-grant funds to another non-profit institution? Yes  No

If the answer to the above question is YES, complete **Appendix C** with a detailed list of the specific equipment, manufacturer, purchase date, property number, account numbers used to purchase the equipment, and a copy of the eBARs report of the items. The list must be attached to this MOU and must be co-signed by the department chair and college dean (or designee). Signatures of the chair and dean (or designee) indicate that the equipment is surplus to the needs of the department and college and they are willing to release the equipment.

Please take note of the following information:

- *Investigators should begin the process of seeking approval for the removal of equipment from campus well in advance of their intended departure date.*
- *All necessary approvals must be obtained prior to removal of the equipment from campus.* Removing University property without appropriate approvals is considered theft.
- The University of Kentucky normally has ownership of the following equipment: 1) any equipment purchased wholly or in part with University funds, and 2) equipment purchased from a grant, contract, or award for a sponsored project that is now closed.
- Equipment brought by investigators who transferred to UK from other institutions and now seek to transfer that equipment to a third institution, will be subject to the same process and requirements as outlined below.
- Any investigator must properly decommission and decontaminate equipment which was used in conjunction with biological, chemical, or radiological materials. Clearance by EHS must occur prior to releasing the equipment for transfer. Examples of equipment include, but are not limited to, refrigerators, freezers, centrifuges, incubators, chromatography systems, lyophilizers, biological safety cabinets, and liquid scintillation counters. [https://ehs.uky.edu/docs/pdf/ep\\_factsheet\\_surplus\\_0001.pdf](https://ehs.uky.edu/docs/pdf/ep_factsheet_surplus_0001.pdf)  
[https://ehs.uky.edu/docs/pdf/bio\\_lab\\_surplusing\\_biohazardous\\_equipment\\_0001.pdf](https://ehs.uky.edu/docs/pdf/bio_lab_surplusing_biohazardous_equipment_0001.pdf)

Per the guidelines listed below, under certain circumstances the UK Treasurer and/or Board of Trustees may approve the release and/or sale of such equipment to a non-profit institution. Approval generally requires balancing the extent to which the equipment uniquely supports the investigator's research against the extent to which it would be of value to other UK investigators. The VPR plays the key role in making this value judgment.

Three following stages of consideration are involved in processing a request for the transfer of equipment in this category.

- Continuing Needs Assessment. This assessment determines the University's short- and long-term need for the specific equipment. The list described above is first evaluated at the department and college levels and subsequently by the VPR who will make the recommendation for retention or release to the Treasurer. See Business Procedures E-12-4-2.d for detailed instructions.
- Estimated Value Assignment. Any equipment designated for release and deemed to hold some value to the institution is assigned an estimated value. This estimated value is established by General Accounting based on the greater of the net book value or 10% of original acquisition cost. The receiving institution must pay the declared estimated value and all shipping costs. Any items provisionally designated "Retain" by a college, but clearly of importance to the investigator's continuing research, may, at the recommendation of the VPR and the Treasurer, be reconsidered for release. Equipment in this exceptional category will also be assigned an estimated value in the same manner.
- Approval. The Treasurer and/or Board of Trustees give final approval of an agreement from the receiving institution stating that the receiving institution will reimburse the University for the FMV and shipping costs for the equipment. *No equipment will be released for loading and shipment unless and until final approval for release is given.* Contract and Transaction approvals will be followed, as outlined in AR 8:3.

## Transfer of Research Supplies

This section of the MOU deals with supplies other than those that represent hazardous chemicals or biological agents. (See below for those types of materials.)

7. Is the investigator requesting the transfer of research supplies to another non-profit institution? Yes  No

If the answer to the above question is YES, complete **Appendix D** with a detailed list of the types of supplies (e.g., chemicals, glassware, etc.), the current (depreciated) value of the used supplies, and the source(s) of funding for those purchases.

### Please take note of the following information:

- BPM E-12-4 on property disposition pertains to property requested to be taken by a departing investigator.
- A detailed list of every individual supply item is not needed; however, a categorical list should be provided. The list must include supplies separately identified as 1) purchased with funds from an active grant, contract, or award for sponsored project, 2) purchased on an expired grant, contract, or award for sponsored project, or 3) purchased with UK funds.
- Like equipment, when the grant, contract or award is transferred to another nonprofit institution, supplies funded by an active grant, contract or award for sponsored project are conveyed at no cost.
- If the supplies are declared surplus to the institution, they may be purchased by the receiving institution at a fair market value (FMV).
- The FMV of supplies is determined by the Associate Vice President of Auxiliary Services, and the dept (i.e., user of the supplies) may assist in the determination.

## Transfer of Hazardous Chemicals and Biological Agents

8. Is the investigator requesting the transfer of hazardous chemicals and biological agents to another non-profit institution? Yes  No

If the answer to the above question is YES, complete **Appendix E** with a detailed list of hazardous chemicals and biological agents slated for transfer.

### Please take note of the following information:

- Any "dangerous materials" shipped within the country must be in compatible U.S. Department of Transportation (DOT) containers and must comply with DOT's Hazardous Materials Regulations at <https://www.uky.edu/env/additional-services/shipping-dangerous-goods-training>. Contact the Environmental Quality Management Department at (859) 323-6280 for further information."
- The Radiation Safety Office must be contacted prior to transfer of radioactive materials. The Radiation Safety Officer will arrange for shipment of the materials to the radiation safety officer at the receiving institution. Any licensing issues must be resolved in advance. Shipping costs are the responsibility of the investigator.
- The institutional Biosafety Officer must be contacted for transfer of biological agents or toxins. Federal requirements are complex and are different for different agents. For more information, see <https://ehs.uky.edu>.
- Failure to comply with these rules, may subject UK, the receiving institution, and the investigator to significant civil and criminal penalties.

## Laboratory, Studio, and Office Close-out Inspection

9. Is the investigator vacating (building or rooms) laboratory, studio, and/or office space?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

If the answer to the above question is YES, complete **Appendix F** with a detailed list (building and room numbers) of any laboratory (individual or shared), studio, and/or office space that the investigator will vacate.

Please take note of the following information:

- The investigator must comply with Environmental Health & Safety requirements for laboratory exit and closing procedures requirements outlined in <https://ehs.uky.edu/exit.php> and [https://ehs.uky.edu/docs/pdf/bio\\_lab\\_laboratory\\_exit\\_and\\_closing\\_procedures\\_0001.pdf](https://ehs.uky.edu/docs/pdf/bio_lab_laboratory_exit_and_closing_procedures_0001.pdf).
- The investigator must send an email detailing their intent to exit and close the lab spaces to [bioraft@uky.edu](mailto:bioraft@uky.edu).
- All hazardous materials must be in properly labeled containers that are compatible with the material.
- Contact Environmental Quality Management for removal of unwanted chemicals, <https://www.uky.edu/env/waste-management>.

## Animal Protocols

This section of the MOU deals with Animal Protocols. Contact the Office of the Attending Veterinarian (OAV) IACUC Office to discuss currently approved protocols.

10. Does the investigator plan to transfer research animals to another institution?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

If the answer to the above question is YES, a plan must be developed indicating the status, and proposed disposition of any research animals. A copy of the plan for moving and disposition of animals must be approved by the Division of Laboratory Animal Resources (DLAR) veterinarian or the Attending Veterinarian (AV) and attached to this MOU.

Please take note of the following information:

- The DLAR veterinarian charged with coordinating animal shipments should be contacted *at least three (3) months prior* to the investigator's departure if the investigator expects to transfer animals to another institution.
- All animals must be transferred to the receiving institution prior to the date the grant ends at UK or an alternative departmental account must be designated for costs related to care and shipping of the animals.
- In some cases, especially with transgenic animals, the animals may need to be rederived or quarantined for long periods before they are allowed into the animal colony for research. This may take three (3) to six (6) months and should be considered when moving to a new institution.
- An active IACUC protocol is required for any animal activity (including animal holding) at or sponsored by the University of Kentucky. Please refer to IACUC Policy 113 "Requirements for PI on IACUC Protocols" at <https://www.research.uky.edu/office-attending-veterinarian/iacuc-policies-procedures-and-guidelines> for further details.

## Institutional Review Board (IRB) Protocols

11. Does the Investigator have an active UK Institutional Review Board (IRB) protocol? Yes  No

If the answer to the above question is YES, what is the UK IRB protocol number? \_\_\_\_\_

### Please take note of the following information:

- University of Kentucky investigators who are principal investigators for human research protocols covered by active Institutional Review Board (IRB) protocols must develop a plan for closing or having the appropriate chair or director assign a new principal investigator.
- Approval of the new investigator requires approval of a modified IRB protocol. A copy of the plan for accomplishing this change must be approved by the IRB and appropriate chair or director and dean (or designee) and a copy attached to this document.

## UK (IRB) Protocols

12. Does the Investigator have active Institutional Review Board (IRB) protocols to close, or to modify to include a new Principal Investigator? Yes  No

If the answer to the above question is YES, attach a copy the plan for closing or having a new PI assigned to the protocol.

13. Does the Investigator have an active IRB protocol under a Reliance Agreement with a non-UK IRB?

If the answer to the above question is YES, what is the UK E-IRB protocol number for the protocol under Reliance Agreement? \_\_\_\_\_  
Attach a copy of the Reliance agreement

14. Does the Investigator have an active IRB protocol under a Reliance Agreement to close, or to modify to include a new Principal Investigator?

If the answer to the above question is YES, attach a copy of the plan for closing or having a new PI assigned to the protocol.

### Please take note of the following information:

- University of Kentucky investigators who are principal investigators for human research protocols covered by active Institutional Review Board (IRB) protocols must develop a plan for closing, or having the appropriate chair or director assign a new principal investigator.
- Approval of the new investigator requires approval of a modified IRB protocol. A copy of the plan for accomplishing this change must be approved by the IRB and appropriate chair or director and dean (or designee), and a copy of the plan must be attached to this MOU.

## ClinicalTrials.gov Registration

15. Does the investigator have studies that are registered on ClinicalTrials.gov? Yes  No

If the answer to the above question is YES, the investigator is responsible for contacting the OSPA Clinical Trials Compliance Administrator at ospaclinicaltrials@uky.edu to discuss the transfer or closing of those records.

### Please take note of the following information:

- If the departing investigator is the Sponsor or Investigator of a study registered in the UK PRS account, the Sponsor, Investigator, or Sponsor Organization may need to be changed. The OSPA Clinical Trials Compliance Administrator will provide guidance to facilitate those changes.



## Retention of Research Data

16. Has the investigator generated research data and/or experimental descriptions while at UK that remain within the five-year retention requirement (or longer if specified by other statutes or external agency regulations)?  Yes  No

If the answer to the above question is YES, attach a plan that describes how the data retention requirements will be fulfilled. The plan must be approved by the appropriate department chair or center/institute director and college dean (or designee), and a copy of the plan must be attached to this MOU.

### Please take note of the following information:

- UK's policy concerning the retention of research data is described at <https://www.research.uky.edu/research-misconduct/data-retention-and-ownership-policy>.
- Prior to transfer, the investigator may be asked by University administration to leave copies of original data with the institution. Other investigators, including students associated with the project may make copies of data, unless restricted by the terms of any contractual agreements or regulations that may apply.
- Departing investigators who transfer original data are obligated to hold original data in trust for the University for the five-year retention period or in accord with the applicable funding/regulatory agency requirements, whichever is longer. The original Research Data must be returned to the UK, if requested.
- During the retention period and under the appropriate circumstances (e.g., conflicts of interest, audit compliance, infraction of regulation(s), etc.) Research Data must be immediately provided to relevant administrators upon request. Research Data must also be available to representatives of external sponsors or designated governmental officials, as appropriate.
- Questions related to requests for Research Data should be directed to the Office of Research Integrity. <https://www.research.uky.edu/office-research-integrity>

## Intellectual Property

17. Has the investigator developed intellectual property that requires disclosure prior to the investigator's transfer to another institution?  Yes  No

If the answer to the above question is YES, the investigator is responsible for disclosing such intellectual property to the Office of Technology Commercialization (OTC) and must consult with the OTC to provide an agreement about how all intellectual property issues will be handled after the investigator leaves UK. That agreement must be approved and signed by OTC, the investigator, and the appropriate department chair or director and college dean (or designee). A copy of the agreement must be attached to this MOU.

### Please take note of the following information:

- Intellectual property generated at UK should be reported to the Intellectual Property Committee for action before the investigator leaves the University.
- Intellectual properties that have the investigator as an inventor or co-inventor remain the property of UK and all agreements remain in force after the investigator leaves the University.
- UK's policy concerning intellectual property disposition is described at <https://www.uky.edu/regs/ar7-6>.
- Contact the Office of Technology Commercialization at <https://research.uky.edu/office-technology-commercialization> for assistance or email [otcinfo@uky.edu](mailto:otcinfo@uky.edu).

**Material Transfer Agreements (MTA), Data Use Agreements (DUA), and Non-Disclosure Agreements (NDA)**

18. Is the investigator requesting the transfer of agents acquired under a Material Transfer Agreement to another institution? Yes  No

If the answer to the above question is YES, the investigator must consult with the Office of Technology Commercialization (OTC). Complete **Appendix G** with a detailed list of all MTAs executed while at the University of Kentucky and a notation as to whether the material acquired under the MTA was completely consumed, will be transferred to the new institution, or will be returned to the third-party provider. A copy of all active MTAs must also be attached to this MOU.

19. Is the investigator requesting the transfer of data acquired under a Data Use/Transfer Agreement to another institution?

If the answer to the above question is YES, complete **Appendix G** with a detailed list of all DUAs associated with data the investigator wishes to transfer.

20. Does the investigator have any active Non-Disclosure Agreement (also known as a confidential disclosure agreement)?

If the answer to the above question is YES, the investigator must consult with the Office of Technology Commercialization (OTC). Complete **Appendix G** with a detailed list of all NDAs executed while at the University of Kentucky and a notation on how the confidential information will be used at the new institution. A copy of all active NDAs must also be attached to this MOU.

Please take note of the following information:

- Materials received from a third-party should not be taken to the new institution without written permission of the other party. The investigator is responsible for providing a copy of each active MTA and a plan that is approved by the third-party provider for transfer of the material to the receiving institution. This information should be provided to the Office of Technology Commercialization (OTC) for evaluation and authorization for transfer before any materials received from a third party are transferred.
- Most NDAs include obligations to keep received information confidential for several years after the agreement expires, those who received confidential information under an NDA, are bound by these obligations even after leaving UK.
- Active MTAs and NDAs require an amendment or termination. Contact the Office of Technology Commercialization at <https://research.uky.edu/office-technology-commercializaton> for assistance or email OTC at [otc-contracts@uky.edu](mailto:otc-contracts@uky.edu).

**Payroll Confirmation**

21. Has the investigator reviewed and verified the accuracy of all payroll confirmation statements for themselves and all personnel working on active sponsored projects throughout the revised project period?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

If the answer to the above question is NO, the investigator must ensure all required payroll confirmation reporting is completed prior to their last day of UK employment. Please contact Research Financial Services at [ecrt.help@uky.edu](mailto:ecrt.help@uky.edu) for assistance with ensuring this requirement is met.

**Account Expenditures and Balance**

22. Have all expenditures been reviewed to ensure they benefit the award within the newly revised end date and have all project expenditures been posted to the sponsored project account?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

If the answer to the above question is NO, the PI must review all expenditures to assure appropriate allocation of expenses and allowability of all costs in preparation for the account close-out.

Please take note of the following information:

- The PI must review all expenditures to assure appropriate allocation of expenses and allowability of all costs in preparation for the account close-out.
- Funds may not be obligated after the termination of the investigator’s UK employment or the date the award is relinquished to the new institution.
- After the transfer is finalized and approved by the sponsor, Research Financial Services (RFS) will close the award in the UK financial system and submit any financial reports required by the sponsor.

**Certification**

I understand the provisions of this Memorandum of Understanding and will abide by the provisions of this agreement, as well as University of Kentucky policies including but not limited to AR 8:3 (Disposal of Personal Property), AR 7:6 (Intellectual Property Disposition), AR 6:3 (Environmental Health and Safety), and UK Business Procedures E-12-4 (Property Disposition Policy).

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Investigator

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Date

**Approvals**

The following institutional individuals have reviewed the information provided herein by the investigator and approve the transfer of those sponsored project awards, equipment, supplies and other research materials and activities identified in this MOU, and/or the substitution of a new UK Principal Investigator for those awards.

\_\_\_\_\_  
Department Chair or Director Date

\_\_\_\_\_  
Dean or Designee Date

\_\_\_\_\_  
Director, Office of Sponsored Projects Administration Date

\_\_\_\_\_  
Vice President for Research Date

\_\_\_\_\_  
Treasurer, when required for transfer of equipment Date

A copy of this MOU, including the signatures of the chair, dean (or designee), and VPR, is forwarded by OSPA to the following units, as appropriate based on responses provided above.

- Office of Research Integrity
- Office of the Attending Veterinarian
- Office of Technology Commercialization
- Research Financial Services

A copy of this MOU is also sent to the College Grant Officer, and a copy of this MOU is stored in OSPA's e-file(s) of the applicable sponsored project(s).

Office of Sponsored Projects Administration  
MOU for Departing Investigator  
Revised May 2023