



Faculty Exit Procedures Final Report

University of Virginia
March 17, 2008



Faculty Exit Procedures Final Report
Process Simplification

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I. Introduction

The Faculty Exit Procedures workgroup was tasked with creating a standardized checklist of exit procedures for all Administrative/Professional and Teaching/Research faculty and professional research staff to be executed prior to employee termination. Termination is any voluntary or non-voluntary resignation or retirement. The need for this formalized process was proposed by the Office of the Vice President for Research and Graduate Studies in order to mitigate financial risk and other liabilities associated with improper handling and management of materials, equipment, and information when an employee leaves the University.

Formalizing an exit process will:

1. establish a comprehensive repository of exit-related information;
2. create a formal means for notifying appropriate University resources of an employee's departure;
3. provide departments a point of contact in each area that has responsibilities associated with employment terminations;
4. assign accountability of responsibilities to departments and the departing employee; and
5. ensure tasks associated with closeout procedures are completed in a timely manner.

The team was established in July 2007, with members selected from units affected by the project and for their subject matter expertise. Process Simplification assisted in developing a preliminary scope of work document (*See Appendix A*) which was finalized by the team.

Team:

- Dave Hudson, Team Lead, Office of the Vice President for Research and Graduate Studies
- Susie Hoffman, Institutional Review Board for Health Sciences Research
- Michael Glasgow, Office of Sponsored Programs
- Lucy Russell, Office of the Executive Vice President and Provost
- Becky Yancey, Office of the Executive Vice President and Provost
- Rick Seaman, Office of the Assistant Vice President for Finance
- Neal Grandy, College of Arts & Sciences
- Donna Roach, University Human Resources
- Lea Moore, Office of Process Simplification

II. Goals/Objectives

The team was charged with offering final recommendations to:

1. promote efficient and effective processes for employee termination and closeout of research projects;
2. improve the overall termination process;
3. increase compliance with state and federal regulations and guidelines regarding transfer of a grant and/or property;
4. elicit communication among responsible parties for carrying out termination procedures; and

5. create a consistent and systematic, general termination checklist, which can be tailored for groups with special needs.

III. Evaluation and Assessment/Approach to Work

The workgroup conducted the following research: 1) external benchmarking of peer institutional practices; and 2) benchmarking of internal UVA processes to identify existing forms and reports used to manage termination procedures. Research results provided a foundation for developing checklist format and content, creating a communication plan for distribution, and subject matter review of the checklist with key department heads. For document management, a “Collab” website was established to share all resources, information and reports among the team members.

1) External Benchmarking

Peer institutions with review boards committed to protecting the rights and safety of research subjects were contacted to determine if they used any type of exit checklist and if so, did it specifically address research closeout procedures. Institutions contacted were: University of Mississippi, University of Alabama, Boston University, University of Minnesota, Oregon Health Sciences University, and Baylor University. Of these institutions, Oregon Health Sciences University utilized an exit checklist (*See Appendix B*) which included some research items; all other institutions within this research group did not have exit closeout procedures formally documented for terminating faculty.

An additional assessment of institutional websites was conducted and included: Cornell University, Nebraska Medical, Columbia Medical, Northern Illinois University, University of British Columbia, University of Nevada Las Vegas, University of Texas Medical, University of Colorado Boulder and Mount Sinai School of Medicine. The findings revealed that all institutions had a general, standard exit checklist, and only Columbia Medical, Northern Illinois University and University of Colorado Boulder checklists did not contain information regarding research or laboratory closeout procedures.

2) UVA Benchmarking

Data on faculty terminations were collected from the Office of Assessment and Studies. Historical, financial liabilities as a result of improper lab closeouts were requested from the Office of Environmental Health and Safety (EHS). These expenses were incurred because specimen analyses are required for all unlabeled substances left in a vacated lab. The EHS website was reviewed to determine if compliance guidelines are easily accessible to the University community summarizing local, state, and federal health and safety regulations and University policies concerning hazardous waste disposal. Additionally, a sample of University departments was contacted to assess current exit procedures and/or processes.

The Office of Assessment and Studies reported as of 2006, there are 2,102 full-time instructional, research and public service faculty and 766 full-time administrative and professional faculty. In 2006, 337 faculty departed the University via any type of separation. The average number of faculty terminations over the past five years is 320 annually.

Financial repercussions associated with improper faculty terminations are difficult to determine, as no formal process or owner is in place to track these impacts; however, EHS charges \$150 to analyze unlabeled substances during a laboratory closeout. Individual departments responsible for the lab incur the expense for these services. In 2006, EHS analyzed materials from 21 labs that were not properly closed after a researcher departed the University. EHS estimates the average cost to analyze a laboratory is \$3500, resulting in a 2006 annual expense of \$73,500.

The School of Medicine, School of Nursing, Curry School of Education, College of Arts and Sciences, and the School of Engineering and Applied Sciences were contacted to determine if a formal exit checklist is utilized for departing faculty. Only the School of Medicine (SOM) uses an exit checklist that included various laboratory closeout procedures. Given the comprehensiveness of the SOM checklist, it provided the content foundation and initial format for the final exit checklist.

Additionally, University Human Resources (UHR) provides a “removal of access privileges” document to departments for departing employees (*See Appendix A1*). UHR also sends an “Exit Interview Questionnaire”¹ to each terminating employee to ascertain his/her perceptions of the University as an employer and the reason for termination. The UHR website provides specific information about termination of health care and retirement benefits by employee type. While these established procedures adequately address UHR employee termination responsibilities, they are not comprehensive enough to meet the overall needs of teaching or research faculty departing the University.

3) Checklist Development and Communication Plan

The content from the School of Medicine exit checklist was combined with other exit procedures known to exist across the University. Instructions were developed, and information was divided into two sections, delegating responsibilities to both the supervisor and departing employee. Timelines were defined for each step of the termination process. Department heads should collaborate with the Human Resource Management Specialist (HRMS) representative to initiate and/or manage each faculty termination, ensuring its completion.

Since the Office of the Executive Vice President and Provost (EVPP) has oversight of the faculty and maintains faculty policies, it is the appropriate office to communicate with deans, department heads, and faculty about the new exit process. A communication letter was drafted for mass distribution.

4) Subject Matter Review

In November of 2007, the Process Simplification Advisory Committee reviewed the project work to date and draft recommendations. Feedback provided by members included combining appendices where appropriate to streamline information, and to solicit input from key department heads.

¹ Please contact University Human Resources for a copy of *Exit Interview Questionnaire*. As of the date of this document, a copy was not available for inclusion in this report.

Feedback was solicited from Deans, Associate Deans and key department heads. Each reviewer provided useful comments that led to revisions of sections on graduate student mentoring and support; transfers of visas for foreign nationals; intellectual property disclosures; and financial report completion and record retention.

V. Recommendations and Final Deliverables

The following recommendations and final deliverables detailed below include: 1) a faculty exit checklist and supporting reference documents; 2) implementation procedures for specific stakeholders and department owners; and 3) the Executive Vice President and Provost's communication letter to department heads and deans about the new exit checklist tool and procedures.

These formal closeout procedures serve as a repository for exit-related information. This checklist will assign accountability, and provide a means to ensure closeout procedures are completed accurately and in a timely manner.

1) Exit Checklist and Supporting Reference Documents

The checklist format is an effective means for communicating closeout procedures for faculty departing the University. *Appendix C: Faculty Exit Checklist & Supporting Reference Documents* includes a cover page describing the steps necessary to complete the checklist. The next section, *Part I: Faculty Member Responsibilities* is to be completed by the departing faculty member. Ideally, this checklist will be initiated at least 90 days prior to the last day of employment. If the employee gives less than 90 days notice, the checklist tasks must be expedited to ensure closeout procedures are completed. *Part II: Department Responsibilities* is to be completed by the department head/chair responsible for finalizing an employee's termination.

The following departments have specific responsibilities associated with employee terminations, and are cited in the checklist: University Human Resources, Institutional Review Boards, Animal Care and Use Committee, Environmental Health and Safety, and Information Technology and Communications.

2) Action List

The following list describes implementation procedures for key units. Successful execution of these actions will improve the overall termination process, facilitate communication across the University community, and assign ownership of the Exit Procedures Checklist. All procedures have been reviewed and agreed to by the pertinent department.

- Office of the Executive Vice President and Provost
 - Disseminate initial, electronic communication to University departments and schools regarding the new checklist, procedures, and general tutorial information.
 - Update the Faculty Policy website to reference the exit procedures.

- Add the Faculty Exit Procedure Checklist to the *University Forms Directory* found at: <http://uvaforms.virginia.edu>.
 - Contact the University Policy Manager to update HRM-004 policy, adding link to checklist and procedures.
 - Contact the Office of the University Comptroller to add a question to the Internal Controls Questionnaire to track the implementation and use of the process.
 - Conduct a post-implementation assessment to measure the success and to identify areas for further enhancement.
- University Human Resources
 - Create a link on the UHR forms website to checklist and procedures.
 - Communicate the new procedure to HRMS specialists and UHR staff, as appropriate.
 - Consider using the Faculty Exit Procedure Checklists as a template for developing a similar checklist for staff and wage employee terminations.

3) *Initial Communication Letter*

A communication letter to introduce the Faculty Exit Procedure Checklist to University departments will be distributed by the EVPP. The letter informs key department heads of the necessary steps for faculty to exit officially from the University. The initial communication from the EVPP to University departments is scheduled for March 2008.

VI. Conclusion and Follow-Up

This checklist assigns accountability and aids departments in finalizing faculty termination. The EVPP has agreed to take ownership of the formal checklist and communication with departments regarding its use. Additionally, UHR agreed to link the checklist on their website and disseminate communications to HRMS specialists regarding the new procedure. It is expected the implementation of these procedures will improve the overall termination process.

To ensure the ongoing success of this project, the Office of Process Simplification will check-in with the EVPP 60 days after the initial correspondence letter is sent to gather preliminary feedback on the checklist. In March of 2009, the EVPP should conduct a post-implementation assessment to measure the success and to identify areas for further enhancement. A periodic re-evaluation should be conducted thereafter as necessary.

Overall, the recommendations are intended to improve tracking, compliance and workflow of faculty terminations and improve coordination, communication, and cooperation between the EVPP, UHR and University departments and schools. The success of implementing these recommendations will be contingent upon the establishment of realistic timelines, a commitment to implementation, and periodic evaluation of the process.

APPENDIX A
PRELIMINARY SCOPE DOCUMENT

EXIT PROCEDURES – Draft Scope Document
July 17, 2007

Overview of Issue:

There is a need for a standardized checklist of exit procedures for all Administrative/Professional and Teaching/Research faculty and professional research staff prior to termination of employment. The checklist will serve as a comprehensive repository of exit-related information, and a formal means of notifying appropriate University resources of an employee's departure, including a contact list for those areas affected by the termination of employment. The absence of a formal process could result in financial and other liabilities associated with improper handling and management of materials, equipment, and information. One goal of formalizing this process is to assign accountability for departments to report on departing faculty, thereby ensuring tasks associated with closeout are completed accurately and in a timely manner.

The University Human Resources (UHR) department currently has a *Removal of Access Privileges and Return of University Property* form (See Appendix A1) that should be completed for faculty and staff whose employment is terminating; however, this is not a required, formal process and is limited to a subset of exit procedures. The primary purpose of the form is to document reasons for the change in hiring status and whether the employee is eligible for "re-hire." UHR also sends an "Exit Interview Questionnaire" to each departing employee to ascertain his/her perceptions of the University as an employer and to determine the reasons for termination. Currently, there is an initiative within UHR to improve its orientation packages and procedures for classified staff. The purpose of this initiative is to create a formal and complete checklist as a communication tool, thereby enhancing the existing UHR closeout procedures to include Administrative/Professional and Teaching/Research faculty and professional research staff.

University areas to be notified of employee termination include but are not limited to: research laboratories, human resources, institutional review boards, Animal Care and Use Committee, environmental health and safety, and information technology & communications departments. Also to be included are contact information associated with personnel records, such as University ID cards, keys, library, parking services, and financial and health benefits.

Overall Benefits:

Include:

- Identify a consistent and systematic general process, which can be tailored for groups with special needs
- Simplification of overall termination process
- Increased compliance with state and federal guidelines
- Transparent communication process
- Efficient and effective process for closeout of projects and resources associated with research

Scope of Work and Objectives:

Establish a Process Simplification team to:

- Benchmark peer institutions to identify best practices for exit procedures.
- Benchmark internal procedures.
- Create a summary and checklist with contact information for each internal and external department affected by the termination of administrative and research faculty and professional research staff.
- Determine a means for accountability in completing tasks.
- Establish ownership and online access for checklist.
- Create a communication plan to include:
 - A tutorial on the use of the checklist
 - A tutorial on updating information in Oracle for termination reporting.
 - A marketing plan for existing Human Resource Management Specialist (HRMS) within the University.

Timeline:

It is anticipated the team will be created in June 2007. The exact time frame for the work is difficult to define but the team is expected to provide a preliminary recommendations report to the Process Simplification Advisory Committee in September 2007.

Resources:

- Dave Hudson, Associate Professor, Office of the VP for Research, Team Lead
- Donna Roach, Director Of Employee Records Management, Human Resources
- Susie Hoffman, Director, Institutional Review Board for Health Sciences Research
- Mike Glasgow, Assist Vice President for Research Administration, Office of Sponsored Programs
- Lucy Russell, Executive Assistant to the VP and Provost, Office of the VP and Provost
- Rick Seaman, Director of Financial Information Services
- Neal Grandy, Research Administrator, College of Arts & Sciences
- Office of Process Simplification

Subject Matter Experts

- Michael Cohen, Radiation Safety Specialist, Department Office of Environmental Health and Safety
- Dave E. Smith, Professor, Department of Environmental Sciences

University Human Resources Procedures:

The following explains how UHR counsels employees when leaving the University.

Exit Interview Policy and Procedures:

The University sends an "Exit Interview Questionnaire" to each terminating employee to ascertain his/her perceptions of the University as an employer and to determine the reasons for termination. All terminating salaried staff employees are sent an "Exit Interview Questionnaire" by the University Human Resources. Exiting employees who want to discuss their perceptions concerning their employment may call the Employee Relations Division for an appointment. Employees who make unusually positive or negative comments on the "Exit Interview Questionnaire" may be invited by the Employee Relations Division to elaborate via telephone or in person.

In regards to benefits, the UHR website has termination information specific to health care and retirement accounts by employee type at: <http://www.hrs.virginia.edu/benefits.html>

APPENDIX B
OREGON HEALTH SCIENCES EXIT CHECKLIST

OHSU
Checklist for Voluntary Terminations

Department Responsibility:

- 1. PA to be submitted to HR within 48 hours of termination. Attach letter of resignation. Since the final paycheck or paystub is sent via US mail, verify the employee's address. If the employee has a new address, please type it on the PA in the address section and type a note in the remarks box "note new address."
- 2. Cancel employee's access to the network, Groupwise, Oracle, etc. within 48 hours.
- 3. Cancel telephone long distance access code number.
- 4. Cancel the photocopy access number.
- 5. Give employee this checklist at his/her submission of resignation.
- 6. Retrieve any issued department equipment (e.g., computers, book, tapes, etc.).
- 7. Any checkout procedures specific to individual department.

Employee Responsibility:

- 1. On the last day of work, return **all** keys and ID badge to Public Safety.
- 2. When employee turns in resignation, he/she should contact the Parking Office; a refund may be due the employee. On the last day of work, return parking permit(s) to the Parking Office.
- 3. The final paycheck for AFSCME- and ONA-represented employees will be processed on the applicable payroll run in accordance with the bargaining agreement. Final paychecks and earnings statements for employees who have direct deposit are mailed to the employee's home address. Final paychecks for student and unclassified employees are processed on the employee's last day and mailed to their home address. If a student or unclassified employee wishes to have their final paycheck processed on the normal biweekly pay run so that it can be directly deposited, please contact Payroll at 48103 in advance of the employee's last day.
- 4. Notify the Payroll Office of any change of address during the year so that a W-2 Tax Statement can be sent in January.

APPENDIX C
FACULTY DEPARTURE CHECKLIST & SUPPORTING REFERENCE DOCUMENTS

FACULTY DEPARTURE CHECKLIST INFORMATION SUMMARY

The following is a standardized checklist that must be completed for faculty who end their employment with the University, whether through resignation, retirement, or termination. The checklist provides the steps the faculty member and the department will need to complete in order for the faculty member to officially exit from the University. This checklist includes important Human Resources information, departmental logistics, and procedures for faculty involved with active research projects. Following the steps outlined in the checklist will facilitate the transition of the faculty member from active employment to her/his eventual departure date. This process is intended to assist University departments and schools 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.

Part I is to be provided by the designated department representative to the faculty member departing the University. The form should be given to the faculty member as soon as notification of their departure is received. Some items within the document must be completed 90 days prior to departure, making it time critical. When completed, this form should be reviewed and signed by the faculty member and the department Chair.

Part II should be completed by the designated department representative to ensure all appropriate University entities are notified of the faculty member departure. The form should be reviewed and signed by the department Chair once completed. If a faculty member departs the University unexpectedly, is deceased or otherwise is not able to carry out their responsibilities, department personnel should immediately complete both Part I and II as possible.

The appendices contain the close out procedures and contact information for specific areas within research such as human subjects, animal subjects, patents, equipment and/or data transfer, hazardous materials etc. Completion of an appendix is required only if it is applicable to the work of the individual faculty member. Departments may add their own specific appendices tailored to their needs as appropriate.

FACULTY DEPARTURE CHECKLIST - Part I
(To be completed by the departing faculty member)

Faculty member's Name (Last, First, Middle) Faculty Member ID # Date of Departure

Forwarding Address: *(If you are moving to a foreign country there may be export control issues)*

New Phone Number

New Email:

Will your bank account be available for the last payroll deposit: YES NO
If no, provide Human Resources with another account number for last automatic payroll deposit.

The following checklist must be completed for faculty who are separating employment with the University. Department heads should retain a copy of the completed form in the faculty member's personnel file.

PART I: FACULTY MEMBER RESPONSIBILITIES

60-90 Days from Departure Date:

N/A 4

- Submit resignation letter to the appropriate Dean at least two months prior to last day.
- Notify any committees or boards on which you serve.
- Contact Human Resources to set up appointment to discuss issues such as:
 - Continuation of health coverage under COBRA
 - Conversion or continuation of life insurance
 - Distribution of retirement contributions
- Submit information to Department Chair regarding changes in status of your graduate student advisees (transfer to other institutions or new mentors).

For any students who are continuing to a degree at UVa and are supported by a stipend, identify the source of funding to support the stipend for the remainder of their course of study, the mentor of record, the lab space in which the work is to be done (if applicable), equipment to be used, and a budget for any needed supplies. In many cases, it may be necessary to maintain an account at UVa for these purposes after the faculty member's departure date. All of these details should be defined in consultation with the Department Chair.
- Contact your future institution for information regarding their transfer procedures, if you are transferring sensitive or controlled information or equipment that contains such information.
- Contact your department Local Support Partner (LSP) for guidance and assistance in deleting University licensed software applications and/or records that are deemed to be University property from any computers being transferred to a new institution.

N/A 4

- For faculty members with H-1B visas or H-1B visa status:**

Under US immigration laws, if the H-1B employee is dismissed (terminated) from employment by the department before the end of the H-1B expiration date, the department is liable for the reasonable costs of return transportation of the foreign faculty member to his/her country abroad. If the faculty member is not departing the USA, the department is not required to pay the reasonable costs of transportation. Confirm with your department that you are departing the USA and returning to your home country so that airline tickets can be purchased at a reasonable cost.

- If you have a managed conflict of interest, please notify the Conflict of Interests Committee.
- Notify the relevant committee(s) if you are part of a pending inquiry or investigation.

If any of the following situations apply, please refer to the appropriate appendix:

N/A 4

- Serve as a PI on a grant/contract? (See Appendix A)
- Maintain a research lab? (See Appendix B)
- Conduct human subject research? (See Appendix C)
- Conduct animal research? (See Appendix D)
- Intend to transfer equipment, data or records? (See Appendix E)
- Serve as a Webmaster or Listserve owner? (See Appendix F)
- Have disclosed inventions to the Patent Foundation or have pending/issued patents? (See Appendix G) (If you have recent research results and/or intellectual property in the form of new discoveries or inventions that have not yet been published or protected via provisional patent filings, contact the UVAPF to insure these are formally disclosed prior to departure from UVA.)
- Are involved with patient care? (See Appendix H)

Two Weeks from Departure Date:

N/A 4

- Discuss with department the disposition of mail received by the department after departure.
- Settle any cash advances, petty cash accounts, or pending reimbursements.
- If in a supervisory role, insure that budgetary records, HR reviews, letters or emails containing resource commitments, and unit strategic plans are labeled and organized in hard copy files for the supervisory successor.
- Settle any University parking fines, library fines, or other unsettled accounts.
- If teaching faculty, verify that all grades have been submitted.
- If a supervisor, verify that all evaluations, correspondence, etc., have been completed.
- Submit a proposal for alternate use of remaining funds left in a recruitment/retention package. (See policy 1.52. https://www.healthsystem.virginia.edu/opr/usr/entiremanual.cfm?man_id=14)

- Consult with department Local Support Partner (LSP) and ITC for retention and/or disposition of e-mail, home directory files, websites, and any other electronic materials.

Within Last Few Days of Departure Date:

N/A 4

- Remove all personal items from offices or lockers.
- Return ALL keys and ID badge(s) to department.
- Return VPN hardware key to your department LSP or ITC.
- Return all University credit cards or travel cards to department.
- Return any University items such as portable computer/cell phone/pager/PDA/long distance calling card/copy card to department.
- Return parking permit/parking garage smart tag to Parking and Transportation.
- Consult with LSP to delete all remaining electronic files containing University data or University licensed software from your personally owned computers, handheld devices, and electronic media.
- Return all paper documents containing University data to department.

After Departure:

- Notify the UHR Payroll office of any change of address during the year so that a W-2 tax statement can be sent in January.

Signatures:

Faculty Member Name	Signature	Date
Department Chair Name	Signature	Date

FACULTY DEPARTURE CHECKLIST – Part II
(To be completed by the department)

Faculty member's Name (Last, First, Middle) Faculty member ID # Date of Departure

PART II- DEPARTMENT RESPONSIBILITIES

At First Notice of Departure:

N/A 4

- Give faculty member the Faculty Departure Checklist - Part I: Faculty Member Responsibilities and any checkout procedures specific to individual department.

- Fax notice of departure/resignation letter to the office of the Dean or Department Head and Human Resources immediately upon receipt.

- Notify the following offices (if applicable) of faculty member's pending departure. Provide them with faculty name and departure date.
 - Grants and Contracts/OSP
 - Environmental Health and Safety
 - Institutional Review Board
 - Animal Care and Use Committee
 - Office of the Vice President for Research and Graduate Studies
 - ITC
 - Patent Foundation
 - Center for Comparative Medicine
 - University Human Resources

- Recommend to the faculty member that they meet with UVA HR Benefits Office.

- Enter faculty member termination date in University Integrated System and enter appropriate reason code.

- Enter faculty member's new address with UHR so that U.S. Mail can be forwarded.

- Process any non-reimbursed travel expenses through the department prior to termination date.

Approximately two weeks before departure:

- Verify that all equipment, records and data that will be left at UVA have been received and secured.

- Complete *Removal of Access Privileges and Return of University Property Form* at <http://www.hrs.virginia.edu/forms/removalofaccessprivileges8-02.doc>.

On last day:

- Obtain the Faculty Departure Checklist.

- Confirm with faculty member all electronic files containing University data have been removed/transferred to UVA from his/her personally-owned computers, hand-held devices, and electronic media.

N/A 4

- Confirm with faculty member that all paper documents containing University data have been returned to the department.
- Confirm that department has access and passwords for any electronic files being left at UVa.
- Verify removal of personal items from offices or lockers.
- Verify the return of all keys and ID badge(s) to department.
- Verify return of VPN hardware key to department LSP or ITC.
- Verify return of University credit cards or travel cards to department.
- Verify return of University portable computer/cell phone/pager/long distance calling card/copy card to department.
- Verify return all paper documents containing University data to department.

After faculty member's last day (as appropriate):

- Clear/change all passwords including AIS, Voicemail, PC station.
- Return faculty member's University ID to the ID office.
- Reassign any direct reports to a new supervisor in the University Integrated System, if necessary.
- Deactivate building access and security cards.
- Cancel signature authority.
- Confirm departure with Human Resources.
- Cancel access to the network, University Integrated System, etc. within 48 hours.
- Cancel telephone long distance access code number.
- Cancel photocopy access number.
- Clean drives for computers being reassigned.
- Remove access to locally-maintained computer network.
- Change signature authority for time cards by sending a memorandum to Payroll.
- Change signature authority over University accounts.

Department Chair Name

Signature

Date

APPENDIX A – GRANTS and CONTRACTS
(To be completed by a Principal Investigator on a Grant or Contract)

Because Grants and contracts are made to the University of Virginia and not to individuals, they must be closed out by the University of Virginia before they are relinquished (transferred) to another institution. The requirements vary but generally include financial, technical and patent reporting. UVa will relinquish the award or contract back to the sponsor and the sponsor will then make a new award or enter into a contract with the new institution. All items listed below should be completed **PRIOR** to departing UVa.

School Grants Offices:

Architecture	982-2306
Arts & Sciences	924-7139
Education	924-3841
Engineering	924-3756
Medicine	924-8426
Nursing	924-0074
Other schools, contact OSP.	924-4270

Office of Sponsored Programs: 924-4270

<http://www.virginia.edu/sponsoredprograms/>

90 Days From Departure Date:

Alert your unit administrator, School Administrator and the Office of Sponsored Programs of your intent to transfer a grant or contract to another institution.

N/A 4

- Share OSP contact information with the institution that you intend to transfer your grants and contracts to and share their information with OSP.
- Complete and submit final invention statements to sponsor as required, also see Appendix G.
- Ensure that all required progress reports and final reports have been prepared and submitted.
- Request that your administrator (department or school as appropriate) prepare a relinquishing statement or similar sponsor document. They will work with OSP for final approval.
- Prepare request to sponsor as required for the transfer of any equipment, also see Appendix E.
- Ensure that all original documents are given to the appropriate departmental administrator and inform that administrator about any copies of documents that will be leaving the University.
- Ensure, if transferring a grant or contract, that your school's Grants and Contracts office and OSP have an up-to-date copy of all proposals and reports.
- Notify collaborating institutions in writing, on any awards with subcontracts, that the award will be transferring. If you have a Certificate of Confidentiality, notify the issuing office of your new institutional affiliation.
- Financial Responsibilities:
With the help of the appropriate administrator, prepare budget for remaining months at the University, and ensure the correct amounts of funds are left at the University to cover any outstanding balances. Request that your administrator (department or school as appropriate) prepare a relinquishing statement or similar sponsor document. They will work with OSP and the School for final approval.
- Review and certify final expenditures made to grant or contract.

APPENDIX A – GRANTS and CONTRACTS

(Page 2 of 2)

N/A 4

- Resolve any outstanding commitments and budget deficits.
- Contact the OSP Effort Reporting Coordinator (4-3852) to make arrangements to review and certify final effort reports for you and your lab personnel.
- Material Transfer Agreements (MTA):
Coordinate with Sponsored Program Contracting staff to ensure proper closeout of existing material transfer agreements and confidential disclosure agreements.
- Review terms of MTA and ensure materials are handled accordingly. Materials to be transferred to another institution will likely require a new MTA to be processed between the providing entity and the receiving entity.
- Before Materials are transferred permission must be granted by the provider.
- Confidentiality Agreements:
Coordinate with Sponsored Program Contracting staff to ensure proper closeout of existing confidential disclosure agreements
- Review terms of confidentiality agreement to ensure that any information provided is handled accordingly. Information to be transferred to another institution will likely require a new MTA to be processed between the providing entity and the receiving entity.
- Before provided information is transferred, permission must be granted by the provider.
- Research Contracts:
Coordinate with Sponsored Program Contracting staff to ensure proper closeout of contracts.

APPENDIX B - RESEARCH LAB/HAZARDOUS MATERIALS
(To be completed by an Investigator responsible for closing down a laboratory)

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 UVa.

Office of Environment Health and Safety (EHS) - 982-4911
<http://www.ehs.virginia.edu/>

60-90 Days From Departure Date:

Alert your Unit Administrator or School Administrator and the Office of Environmental Health and Safety (as specified below) of your intent to close down a research laboratory to ensure the orderly cataloguing of equipment and the disposal of any hazardous materials.

N/A 4

- Coordinate with your Department Administrator to verify ownership of all equipment and materials, and make arrangements for disposal or transfer. For transfer requirements – see Appendix E.
Note: If the lab contains hazardous materials, all unwanted items **MUST** be decontaminated. Contact the Office of Environmental Health and Safety (EHS) for instructions. Completion of Form OEHS BSO-2 – Certificate of Decontamination (available from EHS) may be required.
- Contact the Office of Environmental Health and Safety to make arrangements 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 the Office of Environmental Health and Safety to verify the disposal of your wastes and confirm proper labeling of all hazardous materials that will not be disposed.
- Notify the Office of Environmental Health and Safety if you plan to ship or transport any chemical, biological or radioisotopic materials to another institution. They will provide you with required regulations.

APPENDIX C - HUMAN SUBJECT RESEARCH
(To be completed by an Investigator working on a human subject protocol)

It is imperative that proper steps be taken with regard to the disposition of human subject protocols prior to departure from the University. All items listed below should be completed **PRIOR** to departing UVa.

IRB-HSR (Institutional Review Board for Health Sciences Research) 924-9634 or 243-9847
IRB-SBS (Institutional Review Board for Social and Behavioral Sciences) 924-5999
<http://www.virginia.edu/vprgs/irb/>

60-90 Days From Departure Date:

Contact the appropriate IRB overseeing protocols/ grants to identify open protocols/grants and provide IRB with departure date.

***Principal Investigator must complete Section I for each protocol for which you are responsible.**

SECTION I

Projects to be Transferred

N/A 4

- Assess transferability of research to new institution (e.g., geographic proximity for human subjects, etc.)
- Submit application through new institution's IRB.
- Submit management plan for any currently enrolled research subjects (e.g., withdrawing subjects from research who do not wish to be transferred to the new institution, etc.) to UVa IRB with Closure Form.
- Consult with IRB-HSR, if you will be transferring health information from subjects. *Please note that the IND and the Certificate of Confidentiality, if applicable, transfer with the protocol.*
- Submit Closure form.
IRB-HSR: http://www.virginia.edu/vprgs/irb/HSR_docs/Forms/ClosureForm.doc
IRB-SBS: http://www.virginia.edu/vprgs/irb/sbs_forms.html

Projects to be Retained at UVa

N/A 4

- If you will remain the PI on the project, apply for Voluntary or Adjunct Faculty Appointment through Chair. (may be done via Resignation Letter)
- If a new PI will be appointed at UVa, work with Department to identify new 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.*

IRB-HSR Tasks:

4

- Complete IRB-HSR [Personnel Change Form](#).
- Modify protocol using tracked changes and obtain signatures from new principal investigator.
- Obtain signature of new principal investigator and their supervisor on Investigators Agreement: http://www.virginia.edu/vprgs/irb/HSR_docs/Forms/investigator_agreement.doc
- Modify consent form using tracked changes, if protocol remains open to enrollment.
- Submit all documents to IRB-HSR.

APPENDIX C - HUMAN SUBJECT RESEARCH

(Page 2 of 2)

IRB-SBS Tasks:

4

- Complete and submit a IRB-SBS modification form.
- Modify protocol and obtain signatures obtained from new principal investigator.
- Obtain signature of new principal investigator on Investigators Agreement.
- Modify PI information on all consent materials, if protocol remains open to enrollment.
- Submit all documents to IRB-SBS as instructed.

(All forms can be found at http://www.virginia.edu/vprgs/irb/sbs_forms.html)

Projects to be Terminated

N/A 4

- Submit Closure form:
IRB-HSR: http://www.virginia.edu/vprgs/irb/HSR_docs/Forms/ClosureForm.doc
IRB-SBS: http://www.virginia.edu/vprgs/irb/sbs_forms.html
- If biomedical research: notify School of Medicine Clinical Trials Office for instructions on how to archive data.
- Consult with the School of Medicine Clinical Trials Office on records disposal.

***Sub-Investigator must complete Section II for each protocol on which you are a participant**

SECTION II

- If you will continue to work on the protocol after you leave UVa, notify the Principal Investigator and IRB.
- 4
- Modify protocol using tracked changes and submit to IRB.
 - Sign an Unaffiliated Investigators Agreement and submit to IRB with modified protocol.
 - Request that PI contact Grants and Contracts Office to determine if a contract will be required.

APPENDIX D - ANIMAL RESEARCH
(To be completed by an Investigator using animals as research subjects)

It is imperative that proper steps be taken with regard to the disposition of animal subjects prior to departure from the University. All items listed below should be completed **PRIOR** to departing UVa. Failure to adhere to these procedures will result in the following:

1. A Letter of reprimand will be sent to the principal investigator; with a copy sent to the department chair and to the IACUC at the new institution.
2. Any expenses, including per diems, will be billed to your department chair for the recovery of costs incurred.
3. Euthanasia of animals may be conducted at the discretion of the IACUC.

Institutional Animal Care and Use Committee (IACUC) 924-0405
<http://www.virginia.edu/vprgs/iacuc/index.html>

Center for Comparative Medicine-924-2741

At Least 90 Days From Departure Date:

N/A 4

- Send written notification** to the Institutional Animal Care and Use Committee (IACUC) Office and the Center for Comparative Medicine informing them of your intent to leave the University. **The notification must include:** exact 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 Center for Comparative Medicine to obtain approval and to complete the appropriate transfer forms. (Dr. Sanford Feldman: 4-5058 or shf2b@virginia.edu) **Note:** Animals transferring to another institution will likely need to be placed in quarantine, so adequate lead time must be taken into account.
- If you plan to continue collaborative research with another qualified UVA faculty member, the collaborating UVA 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,
 - 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 UVA 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.

APPENDIX E – TRANSFER OF EQUIPMENT, DATA, RECORDS OR OTHER ITEMS
(To be completed by a Faculty Member intending to transfer materials to another institution)

In many cases Faculty will have equipment, data, records or such things as specimens, cell lines or reagents that they would like to take with them when they leave the University. The ownership of these items may be unclear. It is best to clarify these issues prior to your departure or the transfer of these items. All items listed below should be completed **PRIOR** to departing UVa.

Office of the Vice President for Research – 924-3606 or 924-7026

60-90 Days From Departure Date:

N/A 4

Data or Records

If you will be transferring data or records please see the Laboratory Notebook and Recording Keeping Policy (<https://etg07.its.virginia.edu/policy/policydisplay?id='RES-002'>). Please note that this policy applies to all research data or records even if they were not collected in a "lab".

Equipment

If you will be transferring equipment please see the Transfer of Research Equipment Policy. (<http://www.virginia.edu/finance/polproc/pol/xa2.html>)

Other Items- Including Such Things as Specimens, Cell Lines or Reagents

If you will be transferring items such as specimens, cell lines or reagents please see the additional information on Material Transfer Agreements. (<http://www.healthsystem.virginia.edu/internet/grants/MTAINTRO.cfm>)

APPENDIX F - WEBMASTER/ LISTSERV OWNER

(To be completed by a Faculty Member who maintains a web site or central email list)

In order to maintain continuity of communications, faculty members who maintain web sites or email distribution lists housed on resources administered by ITC need to make arrangements for their transfer or discontinuance prior to departure from the University. All items listed below should be completed **PRIOR** to departing UVa.

Information Technology and Communications (ITC) - 924-3731

15-30 Days From Departure Date:

N/A 4

- Transfer ownership of any email distribution lists. This may be done either by having the list administrator assign a new owner or by contacting ITC.

- Contact your department LSP (Local Support Partner) or ITC to transfer ownership and update permissions on any web sites for which you are responsible.

APPENDIX G – PATENTS/INVENTIONS
(To be completed by a Faculty Member who has patent or invention activity)

In order to ease your departure, it is important to communicate with the Patent Foundation regarding any potential issues that may arise related to you patents and/or inventions. All items listed below should be completed **PRIOR** to departing UVa.

Patent Foundation - 924-2175

60-90 Days From Departure Date:

N/A 4

- Forward information for patent prosecution, help in licensing activities and change in royalty flow to the Patent Foundation.

APPENDIX H – PATIENT CARE
(To be completed by a Faculty Member who is involved with patient care)

In order to ease your departure, it is important to communicate with your patients and to make arrangements for their continued care. All items listed below should be completed **PRIOR** to departing UVa.

Piedmont Liability Trust - 296-2100

UVA Health Information Services – 243-5811

90 Days From Departure Date:

N/A 4

- Notify your patients of your departure and make arrangements for the transfer of their care, as appropriate.
- Notify Piedmont Liability Trust of your departure date.
- Discuss with your department chair how income from your patient billing accounts will be handled after you leave UVa.

Approximately Two Weeks From Departure Date:

- Contact Health Information Services for assistance regarding the appropriate storage of privately held patient charts.

APPENDIX D
INITIAL COMMUNICATION LETTER
FROM THE EXECUTIVE VICE PRESIDENT AND PROVOST

Dean _____:

During the past year, the University began to develop a formal means by which the appropriate University offices and officials would be notified of a faculty member's departure. Such a process will help us comply with state and federal guidelines, and provide an efficient and effective means to close out projects and resources associated with sponsored research.

A University Process Simplification team has completed a review of faculty exit procedures and has developed a standardized checklist for faculty who end their employment with the University, whether through resignation, retirement, or termination. The checklist provides the steps the faculty member and the department will need to complete in order for the faculty member to officially exit from the University. This checklist includes important Human Resources information, departmental logistics, and procedures for faculty involved with active research projects. Following the steps outlined in the checklist will facilitate the transition of the faculty member from active employment to her/his eventual departure date.

The checklist is available for download on the web at: http:_____. Please review the information and feel free to contact me with your feedback and suggestions.

I thank you for your assistance in implementing this new system for faculty exit procedures. I hope that this new process will provide a useful tool and assist departments and schools in closing out faculty employment.

Sincerely,

Dr. Arthur Garson, Jr., Executive Vice President and Provost