

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

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

- 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
- 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 Listserv 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
- 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 email, home directory files, websites, and any other electronic materials.

- 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

- 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 ✓

- 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

N/A ✓

- 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 cataloging of equipment and the disposal of any hazardous materials.

N/A ✓

- 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 research protocol.)

It is imperative that proper steps be taken with regard to the disposition of human subject research 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.

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

Projects to be Transferred

N/A ✓

- 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 specimens or 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 ✓

- 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 for Researcher:

- Complete IRB-HSR **Personnel Change Form**.
- Modify protocol using tracked changes and obtain signatures from new principal investigator.
- Modify consent form using tracked changes, if protocol remains open to enrollment. Submit all documents to IRB-HSR.

IRB-SBS Tasks for Researcher:

- 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 ✓

- 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.
- Consult with IRB-HSR, if you will be transferring specimens or health information from subjects. *Please note that the IND and the Certificate of Confidentiality, if applicable, transfer with the protocol.*

SECTION II *Sub-Investigator must complete Section II for each protocol on which they are listed

- If you will continue to work on the protocol after you leave UVa, notify the Principal Investigator and IRB.

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 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 ✓

- 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 ✓

Data or Records

If you will be transferring data or records please see the Laboratory Notebook and Recording Keeping Policy (<https://policy.itc.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 ✓

- 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



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



- 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.