

# UVA FACULTY DEPARTURE CHECKLIST

## GENERAL INFORMATION

The following is a standardized checklist for faculty departing the University, whether through resignation, retirement, or termination. Faculty members assuming a new position at the University that will result in a significant change in responsibilities may also need to complete parts of the checklist. The checklist must be completed and signed by the faculty member and their department chair in order for the faculty member to officially exit from the University.

This checklist includes important information pertaining to University Human Resources, departmental logistics, and protocols for active research projects. This process is also intended to help departments and schools assist the University in complying with state and federal guidelines when closing out projects associated with sponsored research.

**Cover Sheet and Signature Page** contains the faculty member's basic information and forwarding address. It also indicates which of the appendices may apply to the faculty member's duties and research. Signatures on this sheet testify that part 1, part 2, and any necessary appendices are complete.

**Part 1: Faculty Member Responsibilities** should be provided by the designated department representative to the faculty member upon notice of their departure from the University. Some items within the document must be completed *90 days prior* to departure.

**Departmental Responsibilities** should be completed by the designated department representative to ensure all appropriate University entities are notified of the faculty member's departure and verify that the department has acknowledged the various faculty member tasks in part 1.

**Appendices** contain the close-out procedures and contact information for concerns specific to 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.*

## DATES

### Resignation

Members of the teaching faculty who do not intend to return to the University for the upcoming academic year are expected to indicate their intention in writing to their dean or department chair as soon as possible, generally between October 1<sup>st</sup> through May 1<sup>st</sup>, but no later than May 15<sup>th</sup> of the academic year in which he or she intends to resign.

### Retirement

A faculty member with teaching responsibilities who wishes to retire should inform the department chair, dean and the vice president and provost in writing by March 1 of the year in which retirement is planned.

*In the event that 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 1 and 2, as possible.*

# RELATED INFORMATION

## UNIVERSITY POLICIES

[HRM-004: Faculty Resignation and Retirement Notice](#)

[PROV-003: Part-Time Employment of Retired Members of the Faculty](#)

[PROV-018: Emeritus Faculty](#)

[HRM-005: Appointment of Unpaid Faculty](#)

## HUMAN RESOURCES LINKS

[Virginia Retirement System \(VRS\) Pre-Retirement Guide](#)

[Optional Retirement Plan \(ORP\) Pre-Retirement Guide](#)

[Medical Center Retirement Plan \(MCRP\) Pre-Retirement Guide](#)

[Retiree Medical](#)

[Prescription Drug Program](#)

[Perks for Retirees](#)

[How to Update Beneficiaries](#)

## OTHER

Va. Code 51.1-124.3. [Definitions pertaining to retirement](#)

Office of Sponsored Programs, Procedure 8.8: [Request for an Individual Not Meeting Policy Criteria to Serve as a Principal Investigator](#)

[Retired Faculty Association of the University of Virginia](#)

# COVER SHEET

*The following checklist must be completed by faculty members who are separating employment with the University through resignation, retirement, or termination. Faculty members assuming a new position at the University that will result in a significant change in responsibilities may also need to complete parts of the checklist. Department heads should retain a copy of the completed form in the faculty member's personnel file.*

Faculty Member Full Name: \_\_\_\_\_

Faculty Member Title: \_\_\_\_\_

Faculty Member Department: \_\_\_\_\_

Department Chair: \_\_\_\_\_

Faculty Member Computing ID: \_\_\_\_\_

Date of and Reason for Planned Departure (Resignation, Retirement, Termination, or New Position at UVA):

Forwarding Address:

Street Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_ Zip Code \_\_\_\_\_

***If moving to a foreign country there may be export control***

Non-UVA Email: \_\_\_\_\_

New Phone Number \_\_\_\_\_

**Will your bank account be available for the last payroll deposit?**

YES, please deposit in current account.  NO, but I have notified University Human Resources of a new account number for the deposit.

Supplementary Checklists in Appendices	Include?	
A. Do you serve as a Primary Investigator (PI) on a grant/contract?		
B. Do you maintain a research lab or work with hazardous materials?		
C. Do you conduct human subject research?		
D. Do you conduct animal research?		
E. Do you intend to transfer equipment, data, or records?		
F. Have you disclosed inventions to the Licensing and Ventures Group or do you have pending/issued patents?		
G. Are you involved with patient care?		
H. Are you identified on a Technology Control Plan or participating in an export controlled project or activity?		

Signatures:

\_\_\_\_\_  
Faculty Member Name                      Signature                      Date

\_\_\_\_\_  
Department Chair Name                      Signature                      Date

# PART 1: FACULTY MEMBER RESPONSIBILITIES

60-90 Days from Departure Date	Done	N/A
Submit resignation or retirement letter to the appropriate dean at least 60 days prior to last day.	<input type="checkbox"/>	<input type="checkbox"/>
Notify any committees or boards on which you serve.	<input type="checkbox"/>	<input type="checkbox"/>
If retiring, discuss your eligibility for emeritus status and faculty retirement dinner attendance with your school's human resources representative.	<input type="checkbox"/>	<input type="checkbox"/>
Contact Human Resources Service Center with any questions related to continuation of health coverage under COBRA, conversion or continuation of life insurance, and distribution of retirement contributions.	<input type="checkbox"/>	<input type="checkbox"/>
Submit information to department chair regarding changes in status of your graduate student advisees. Are your students transferring to other institutions or finding a new mentor? If retiring, will you continue to chair or serve on any dissertation committees?	<input type="checkbox"/>	<input type="checkbox"/>
If any of your students are staying to finish a degree at UVA and are supported by a stipend, identify the source(s) of funding 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. Discuss details with department chair.	<input type="checkbox"/>	<input type="checkbox"/>
Notify the Office of Sponsored Programs (OSP) with any requests for relinquishing awards (see appendix A)	<input type="checkbox"/>	<input type="checkbox"/>
Notify the Fixed Assets Accounting Group if any assets will be transferred to another institution (see appendix E)	<input type="checkbox"/>	<input type="checkbox"/>
If moving to another institution, contact your new institution regarding transfer procedures for sensitive information or equipment.	<input type="checkbox"/>	<input type="checkbox"/>
Contact your department's local support partner (LSP) for guidance and assistance in deleting University-licensed software applications and/or records that are University property from any computers being transferred to a new institution.	<input type="checkbox"/>	<input type="checkbox"/>
If you have a managed conflict of interest, notify the Conflict of Interests Committee of your departure.	<input type="checkbox"/>	<input type="checkbox"/>
Notify the relevant committee(s) if you are part of a pending inquiry or investigation.	<input type="checkbox"/>	<input type="checkbox"/>
Do you currently provide salary support or startup funding to other employees? If so, how much annual support and how long will it continue? Discuss details with department chair.	<input type="checkbox"/>	<input type="checkbox"/>
Do you direct a center? If so, will your position be replaced or will the center be dissolved? Discuss details with department chair.	<input type="checkbox"/>	<input type="checkbox"/>
What liabilities and financial obligations will remain after your departure for which you will continue to be responsible? How will payment be made? (See also Appendix C for clinical research records.)	<input type="checkbox"/>	<input type="checkbox"/>
If you are leaving for another institution or accepting a new position at UVA, provide current department with contact information for your new department administrator.	<input type="checkbox"/>	<input type="checkbox"/>

<b>15 Days from Departure Date</b>	<b>Done</b>	<b>N/A</b>
Make arrangements for the disposition of mail received by the department after departure.	<input type="checkbox"/>	<input type="checkbox"/>
Settle any cash advances, petty cash accounts, pending reimbursements, parking or library fines, or any other unsettled accounts at the University.	<input type="checkbox"/>	<input type="checkbox"/>
If a supervisor, insure that budgetary records, documents related to performance evaluations that are not in Lead@, letters or emails containing resource commitments, and unit strategic plans are labeled and organized in hard copy files for the supervisory successor.	<input type="checkbox"/>	<input type="checkbox"/>
If a supervisor, verify that all evaluations, correspondence, etc., have been completed.	<input type="checkbox"/>	<input type="checkbox"/>
If you are currently teaching, verify that all grades have been submitted. All graded student work must be retained for one year, returned to the student, shredded, or deleted. Make arrangements with department to handle retention or destruction of hard copies of student work, as needed. Refer to the policy on Grading Practices: <a href="https://policy.itc.virginia.edu/policy/policydisplay?id=PROV-005">https://policy.itc.virginia.edu/policy/policydisplay?id=PROV-005</a>	<input type="checkbox"/>	<input type="checkbox"/>
Use a secure data deletion program to electronically delete all graded student work in electronic form that is older than one semester. Refer to the policy on Grading Practices and seek assistance from department LSP if needed: <a href="https://policy.itc.virginia.edu/policy/policydisplay?id=PROV-005">https://policy.itc.virginia.edu/policy/policydisplay?id=PROV-005</a>	<input type="checkbox"/>	<input type="checkbox"/>
Consult with department LSP and the Information Security, Policy, and Records Office (ISPRO) for retention and/or disposition of email, home directory files, websites, and any other electronic materials. Retirees may retain their computing ID by sending request to <a href="mailto:accounts-access@virginia.edu">accounts-access@virginia.edu</a> .	<input type="checkbox"/>	<input type="checkbox"/>
Contact <a href="#">University Human Resources</a> to determine if you need to complete a Virginia Conflict of Interest Statement.	<input type="checkbox"/>	<input type="checkbox"/>

<b>Within 1-2 Days from Departure Date</b>	<b>Done</b>	<b>N/A</b>
Remove personal items from offices or lockers.	<input type="checkbox"/>	<input type="checkbox"/>
Return all keys to department.	<input type="checkbox"/>	<input type="checkbox"/>
If leaving UVA, return UVA ID to ID Card Office: <a href="http://www.virginia.edu/idoffice/">http://www.virginia.edu/idoffice/</a> . Retirees can request a new identification card.	<input type="checkbox"/>	<input type="checkbox"/>
If leaving UVA, return all University-owned equipment to department LSP or ITS, including UVA identity token, computers, mobile devices, pagers, long distance calling cards, copy cards, and storage media. If transferring to a new position within UVA, determine necessary returns/transfers with department LSPs in current and new departments.	<input type="checkbox"/>	<input type="checkbox"/>
If in possession of a university parking pass, return your pass to Parking & Transportation	<input type="checkbox"/>	<input type="checkbox"/>
Return University credit cards and travel cards to department.	<input type="checkbox"/>	<input type="checkbox"/>
Return University portable computer/mobile devices/pager/long distance calling card/copy card to department or to ITS.	<input type="checkbox"/>	<input type="checkbox"/>
Migrate or delete all electronic files containing University data from personally owned computers, mobile devices, cloud storage, and storage media (e.g. flash drives, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
Uninstall all University licensed software from personally owned computers and mobile devices.	<input type="checkbox"/>	<input type="checkbox"/>

<b>Post-Departure</b>	<b>Done</b>	<b>N/A</b>
Notify UHR Payroll Office of any change of address during the year so that a W-2 tax statement can be sent in January.	<input type="checkbox"/>	<input type="checkbox"/>

## PART 2: DEPARTMENTAL RESPONSIBILITIES

At First Notice of Departure	Date Complete
Give faculty member part 1 of this checklist, <b>Faculty Member Responsibilities</b> , as well as any relevant appendices and any checkout procedures specific to your individual department.	
Fax notice of resignation or retirement letter to the office of the dean or department head and University Human Resources immediately upon receipt. Track resignation and retirements for the purposes of reporting them to the Board of Visitors. Email the faculty actions specialist in the Provost's Office directly if a retiring faculty member will be nominated for emeritus status.	
Notify the following offices (where applicable) of faculty member's pending departure or change in position. Provide them with faculty name and departure date. These offices correspond with the additional appendices to this form. <b>Appendix A: Grants and Contracts/Office of Sponsored Programs (OSP)</b> <b>Appendix B: Research Labs and Hazardous Materials/Office of Environmental Health and Safety (EHS)</b> <b>Appendix C: Human Subjects Research/Institutional Review Board (IRB)</b> <b>Appendix D: Animal Research/Institutional Animal Care and Use Committee (IACUC)</b> <b>Appendix E: Transfer of Equipment, Data, Records or Other/Vice President for Research (VPR)</b> <b>Appendix F: Intellectual Property/Licensing &amp; Ventures Group (LVG)</b> <b>Appendix G: Patient Care/Piedmont Liability Trust and UVA Health Information Services</b> <b>Appendix H: Exports and Technology Control Plans/Office of Export Controls</b>	
Enter faculty member termination date in University's Integrated System and enter appropriate reason code.	
Recommend to faculty member that he/she meet with UVA HR Benefits Office.	
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.	

60-90 Days from Departure Date	Done	N/A
<b>For faculty members in non-immigrant visa status (H-1B, TN, E-3, O-1):</b> Notify University Human Resources Compliance and Immigration Services (HRCIS) of <i>all</i> departing faculty, whether resigning or being dismissed, so HRCIS can withdraw visa sponsorship and work authorization. Under US immigration laws, if an H-1B or O-1 employee is terminated from employment by the department before the ending validity date, the department is liable for and <i>must offer</i> the reasonable cost of return transportation of the foreign faculty member to his/her country abroad. Written proof of the offer <i>must</i> be retained by the department and communicated to HRCIS. If the faculty member is not departing the USA, the department is not required to pay the reasonable costs of transportation. Contact HRCIS at <a href="mailto:immigration@virginia.edu">immigration@virginia.edu</a> .	<input type="checkbox"/>	<input type="checkbox"/>

15 Days from Departure Date	Done	N/A
Verify that all equipment, records, and data that will be left at UVA have been received and secured.	<input type="checkbox"/>	<input type="checkbox"/>
Confirm removal of access privileges and return of University property. See: <a href="http://www.hr.virginia.edu/hr-for-you/university-staff/university-staff-policies-and-procedures/university-staff-employee-relations-policies-and-procedures/access-privileges/">http://www.hr.virginia.edu/hr-for-you/university-staff/university-staff-policies-and-procedures/university-staff-employee-relations-policies-and-procedures/access-privileges/</a>	<input type="checkbox"/>	<input type="checkbox"/>

<b>On Last Day</b>	<b>Done</b>	<b>N/A</b>
Request completed part 1 of the faculty departure checklist from the faculty member.	<input type="checkbox"/>	<input type="checkbox"/>
Verify that all electronic files containing University data have been removed/transferred to UVA from his/her personally-owned computers, hand-held devices, and electronic media.	<input type="checkbox"/>	<input type="checkbox"/>
Verify all University licensed software from personally owned computers and mobile devices has been uninstalled.	<input type="checkbox"/>	<input type="checkbox"/>
Verify return of University portable computer/mobile devices/pager/long distance calling card/copy card to department or to ITS.	<input type="checkbox"/>	<input type="checkbox"/>
If leaving UVA, verify return of VPN hardware/UVA identity key to department LSP or ITS.	<input type="checkbox"/>	<input type="checkbox"/>
Confirm that department has access and passwords for any electronic files being left at UVA.	<input type="checkbox"/>	<input type="checkbox"/>
Verify return of University credit cards or travel cards to department.	<input type="checkbox"/>	<input type="checkbox"/>
Verify removal of personal items from offices or lockers.	<input type="checkbox"/>	<input type="checkbox"/>
Verify return of all keys to department.	<input type="checkbox"/>	<input type="checkbox"/>
Verify return of ID badge to UVA ID Badge Office.	<input type="checkbox"/>	<input type="checkbox"/>

<b>Post-Departure</b>	<b>Done</b>	<b>N/A</b>
Reassign any direct reports to a new supervisor in the University Integrated System, if necessary.	<input type="checkbox"/>	<input type="checkbox"/>
Deactivate building access and security cards.	<input type="checkbox"/>	<input type="checkbox"/>
Confirm departure with University Human Resources (UHR).	<input type="checkbox"/>	<input type="checkbox"/>
Cancel access to the network, University Integrated System, etc. within 48 hours.	<input type="checkbox"/>	<input type="checkbox"/>
Cancel photocopier access number.	<input type="checkbox"/>	<input type="checkbox"/>
Clean drives for computers being reassigned.	<input type="checkbox"/>	<input type="checkbox"/>
Remove access to locally-maintained computer network(s).	<input type="checkbox"/>	<input type="checkbox"/>
If applicable, change signature authority for time cards by sending a memorandum to Payroll Office in UHR.	<input type="checkbox"/>	<input type="checkbox"/>

## 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 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 the faculty member's departure from UVA.*

### School Grants Offices

Architecture	982-2306
Arts & Sciences	924-7139
Education	924-3841
Engineering	924-3756
Medicine	924-8426
Nursing	924-0074

**All other schools, contact the  
Office of Sponsored Programs  
924-4270  
<http://www.virginia.edu/sponsoredprograms/>**

90 Days from Departure Date	Date Complete
Alert your unit administrator, school administrator, and the Office of Sponsored Programs (OSP) of your intent to transfer a grant or contract to another institution.	

Before Departure	Date Complete
Provide contact information for new institution to OSP and provide OSP's contact information to new institution.	
Complete and submit final invention statements to sponsor as required, see <b>Appendix F</b> .	
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. Your administrator will work with OSP for final approval.	
Prepare request to sponsor for the transfer of any equipment, also see <b>Appendix E</b> . <i>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.</i>	
If transferring a grant or contract, ensure that your school's Grants and Contracts Office and OSP have a current copy of all proposals and reports.	



## Appendix A: Grants and Contracts (cont.)

Before Departure	Date Complete
<p>For any collaborating institution on an award with subcontracts, notify the collaborating institution in writing that the award will be transferring. If you have a Certificate of Confidentiality, notify the issuing office of your new institutional affiliation.</p>	
<p><b>Financial Responsibilities:</b>            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. Your administrator will work with OSP and the school for final approval. Review and certify final expenditures made to grant or contract.</p>	
<p>Resolve any outstanding commitments and budget deficits.</p>	
<p>Contact the OSP effort reporting coordinator (4-3852) to make arrangements to review and certify final effort reports for you and your lab personnel.</p>	
<p><b>Material Transfer Agreements (MTA):</b>            Coordinate with contracting staff in OSP 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.</p>	
<p><b>Confidentiality Agreements:</b>            Coordinate with contracting staff in OSP 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.</p>	
<p><b>Research Contracts:</b>            Coordinate with contracting staff in OSP to ensure proper closeout of contracts.</p>	

## APPENDIX B: RESEARCH LAB/HAZARDOUS MATERIALS

**To be completed by an investigator responsible for closing down a laboratory.**

*When vacating laboratories containing potentially hazardous materials (chemical, biological, radiological, sharps, or other hazards), it is imperative that principal investigators coordinate with the Office of Environmental Health and Safety (EHS) to ensure proper disposal or transfer. Failure to comply with the rules that govern hazardous materials is significant and could result in civil or criminal penalties, including monetary fines and imprisonment.*

**Office of Environmental Health and Safety (EHS) 982-4911**

<http://ehs.virginia.edu/ehs>

30–60 Days from Departure Date	Date Complete
Notify your unit administrator or school administrator <b>and</b> EHS of your intent to close down a research laboratory to ensure that you have adequate time for appropriate decontamination, transfer, surplus, or disposal of any hazardous materials and equipment. Refer to EHS checklists for instructions and schedule a meeting with EHS: <a href="http://ehs.virginia.edu/ehs/ehs_lab_decommission.html">http://ehs.virginia.edu/ehs/ehs_lab_decommission.html</a>	
Before Departure	Date Complete
Decontaminate all hazard-containing or hazard-labeled equipment before transfer, surplus, or disposal, in accordance with EHS instructions.	
Dispose of unwanted hazardous materials in accordance with EHS waste procedures. Contact EHS as early as possible to make arrangements for removal; <b>significant lead time is often required.</b>	
If you are a generator of hazardous waste, contact EHS to verify the disposal of your wastes and confirm proper labeling of all hazardous materials that will not be disposed.	
Consult with EHS on the proper transport or shipping of hazardous materials or equipment if you plan to transfer hazardous materials/equipment to another institution or foreign entity.	
Post-Departure	Date Complete
Department administrator coordinates with EHS for final walkthrough of vacated space(s) and signs the EHS “Green Sign,” which is to be posted on the door(s) acknowledging all hazardous material has been removed.	

## 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 the faculty member's departure from UVA.*

**IRB-HSR (Institutional Review Board for Health Sciences Research) 924-9634 or 243-9847**

<https://research.virginia.edu/irb-hsr>

**IRB-SBS (Institutional Review Board for Social and Behavioral Sciences) 924-5999**

<https://research.virginia.edu/irb-sbs>

<b>60-90 Days from Departure Date</b>	<b>Date Complete</b>
Contact the appropriate IRB overseeing protocols/ grants to identify open protocols/grants and provide IRB with departure date	

<b>PROJECTS TO BE TRANSFERRED:</b>	<b>Date Complete</b>
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: Protocols: <a href="https://research.virginia.edu/sites/vpr/files/2020-04/Closure_Form-Protocols.docx">https://research.virginia.edu/sites/vpr/files/2020-04/Closure_Form-Protocols.docx</a> Grants: <a href="https://research.virginia.edu/sites/vpr/files/2020-04/Closure%20Form-Grants%204-20-20.docx">https://research.virginia.edu/sites/vpr/files/2020-04/Closure%20Form-Grants%204-20-20.docx</a> IRB-SBS: <a href="https://research.virginia.edu/irb-sbs/closing-iprotocol">https://research.virginia.edu/irb-sbs/closing-iprotocol</a>	

<b>PROJECTS TO BE RETAINED AT UVA</b>	<b>Date Complete</b>
If you will remain the PI on the project, ask department chair to initiate process with school and Office of Vice President of Research to approve your continued PI status. See <a href="#">Procedure 8-8, Office of Sponsored Programs</a> .	
If a new PI will be appointed at UVA, work with department to identify new PI. When research is industry-sponsored, the sponsor has final approval over change of PI and/or change of institution and modification of any clinical trial agreements. Ask department to contact OSP to discuss details.	

## Appendix C: Human Subject Research (cont.)

PROJECTS TO BE RETAINED AT UVA (Continued)	Date Complete
IRB-HSR:	
Complete IRB-HSR Personnel Change Form.	
Modify IRB-HSR protocol/application using tracked changes and obtain signatures from new principal investigator.	
Modify IRB-HSR consent form using tracked changes, if protocol remains open to enrollment. Submit to IRB-HSR.	
IRB-SBS:	
Complete and submit IRB-SBS modification form.	
Modify IRB-SBS protocol and obtain signatures obtained from new principal investigator.	
Obtain signature of new principal investigator on investigators agreement.	
Modify PI information on all IRB-SBS consent materials if protocol remains open to enrollment.	
Submit all documents to IRB-SBS as instructed. (Information about submission: <a href="https://research.virginia.edu/irb-sbs/sbs-iprotocol">https://research.virginia.edu/irb-sbs/sbs-iprotocol</a> )	
PROJECTS TO BE TERMINATED	Date Complete
Submit closure form: IRB-HSR: Protocols: <a href="https://research.virginia.edu/sites/vpr/files/2020-04/Closure_Form-Protocols.docx">https://research.virginia.edu/sites/vpr/files/2020-04/Closure_Form-Protocols.docx</a> Grants: <a href="https://research.virginia.edu/sites/vpr/files/2020-04/Closure%20Form-Grants%204-20-20.docx">https://research.virginia.edu/sites/vpr/files/2020-04/Closure%20Form-Grants%204-20-20.docx</a> IRB-SBS: <a href="https://research.virginia.edu/irb-sbs/closing-iprotocol">https://research.virginia.edu/irb-sbs/closing-iprotocol</a>	
If biomedical research, consult with School of Medicine Clinical Trials Office to archive data.	
If biomedical research, consult with UVA Records Management Office regarding 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.	
RETENTION OF CLINICAL TRIALS DATA	Date Complete
Describe data generated during clinical trial for which you were the principal investigator that must be retained under contractual obligations or FDA regulations. Include the following: where the data are stored; number of boxes/file cabinets involved and how they are identified; how long the records must be retained; sponsor contact(s); and, if stored at a secure, commercial facility, the source of future storage costs through destruction of the records. For assistance, contact the Clinical Trials Office.	

## Appendix C: Human Subject Research (cont.)

<b>SECTION II: <i>Sub-Investigator must complete Section II for each protocol on which they are listed.</i></b>	<b>Date Complete</b>
If you will continue to work on the protocol after you leave UVA, notify the principal investigator and IRB.	
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 the faculty member's departure from 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 the faculty member's 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/vpr/iacuc>

### Center for Comparative Medicine 924-2741

<b>At Least 90 Days Before Departure Date</b>	<b>Date Complete</b>
<p>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, requested date of protocol termination, intended disposition of any remaining animals, and new contact information. The IACUC policy on departing faculty must be followed: <a href="https://researchcompliance.web.virginia.edu/acuc/pi/policy/Policy_Departing_Faculty.pdf">https://researchcompliance.web.virginia.edu/acuc/pi/policy/Policy_Departing_Faculty.pdf</a>.</p>	
<p>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) <i>Note: Animals transferring to another institution will likely need to be placed in quarantine at the new institution, so adequate lead-time must be taken into account. Weather may also determine acceptable shipping time for animals.</i></p>	
<p>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:</p> <ul style="list-style-type: none"> <li>• the nature of the collaborative work,</li> <li>• the collaborator's willingness to accept the research project and the extent of his/her experience with the research of the departing investigator,</li> <li>• any graduate students or post-docs previously supervised by the departing faculty member who will continue to work on their projects, and</li> <li>• the timetable for completion of the collaborative project.</li> </ul>	
<p>Data associated with animal subjects must be retained in accordance with the IACUC data retention policy: <a href="https://researchcompliance.web.virginia.edu/acuc/pi/policy/Policy_Document_Retention_for_Investigators.pdf">https://researchcompliance.web.virginia.edu/acuc/pi/policy/Policy_Document_Retention_for_Investigators.pdf</a></p>	

## 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 members 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 the faculty member's departure from UVA.*

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

**Fixed Assets Accounting**

<http://www.virginia.edu/finance/finanalysis/prop.html>

60- 90 Days Before Departure Date	Date Complete
<p>Faculty moving to another university who want to transfer research equipment with them must have approval from the department head and dean and notify the Fixed Assets Accounting Group of the Department of Financial Analysis &amp; Reporting. Restrictions on such a transfer depend on who has title to the equipment.</p> <p>see also:  <a href="#">Preparation of Inventory Change Request</a>  <a href="#">Fixed Assets—Releasing UVA Capital Equipment to Another Institution Outside the Commonwealth</a>  <a href="#">Equipment Inventory Change Request (P-1) Form</a></p>	
<p><b>Data or Records</b>                      If you will be transferring data or records, please see policy <a href="#">RES-002: Laboratory Notebook and Recordkeeping</a>, which applies to all research data or records even if they were not collected in a "lab."</p>	
<p><b>Equipment</b>                      If you will be transferring equipment, please see policy <a href="#">X.A.2: Fixed Assets—Releasing UVA Capital Equipment to Another Institution Outside the Commonwealth</a></p>	
<p><b>Other Items</b>                      If you will be transferring items such as specimens, cell lines, or reagents, please see the additional information on <a href="#">Material Transfer Agreements</a>.</p>	

## APPENDIX F: INTELLECTUAL PROPERTY

**To be completed by a faculty member who has patent or invention activity.**

*It is important to communicate with the Licensing & Ventures Group regarding any potential issues that may arise related to the faculty member's intellectual property portfolio. All items listed below should be completed **PRIOR** to the faculty member's departure from UVA.*

**Licensing & Ventures Group    924-2175**

<b>Before Departure</b>	<b>Date Complete</b>
Disclose final update and data related to any previously disclosed inventions.	
Disclose any final inventions (including any inventions disclosed in invention statements on Page 9).	
Provide new address and contact information for on-going activities correspondence (patent prosecutions, licensing support, revenue distribution, etc.)	
Provide point of contact at technology licensing office @ new institution (if applicable).	
Ensure all necessary documentation (invention disclosures, patent assignments, etc.) have been executed and, if applicable, notarized.	



## APPENDIX G: PATIENTCARE

**To be completed by a faculty member who is involved with patient care.**

*It is important that the faculty member communicate with his/her patients and make arrangements for their continued care. All items listed below should be completed **PRIOR** to the faculty member's departure from UVA.*

<b>Piedmont Liability Trust 296-2100 UVA</b> <b>Health Information Services 243-5811</b>
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<b><i>90 Days From Departure Date</i></b>	<b>Date Complete</b>
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.	

<b><i>Approximately 14 Days From Departure Date</i></b>	<b>Date Complete</b>
Contact Health Information Services for assistance regarding the appropriate storage of privately held patient charts.	

## APPENDIX H: EXPORTS AND TECHNOLOGY CONTROL PLANS

**To be completed by a faculty member who is participating in export controlled activity.**

*It is important that the faculty member communicate with the Office of Export Controls regarding involvement in any activity subject to a technology control plan. All items listed below should be completed **PRIOR** to the faculty member's departure from UVA.*

### Export Controls 982-1539

<b>60-90 Days From Departure Date</b>	<b>Date Complete</b>
Contact the Office of Export Controls by email ( <a href="mailto:export-controls@virginia.edu">export-controls@virginia.edu</a> ) for help in determining how to transfer your responsibilities related to export controlled projects to others or to establish a plan for your continuing involvement with the project.	
Contact your new employer's office or person responsible for export controls and put them in touch with the UVA Office of Export Controls to coordinate the transfer of any export controlled technical data, equipment, software or other materials.	
If you will be working in a foreign country or for a foreign entity (company, institution, government, individual, etc.) and plan to continue your involvement with an export controlled project after leaving UVA work with the Office of Export Controls to apply for any necessary export licenses or other authorizations prior to your departure. The Office of Export Controls cannot guarantee that all destinations will be eligible, willing or able to accept export controlled materials or that the U.S. government will approve any license applications.	

<b>Within the Last Few Days of Departure Date (or prior to packing and shipping)</b>	<b>Date Complete</b>
Contact the Office of Export Controls by email ( <a href="mailto:export-controls@virginia.edu">export-controls@virginia.edu</a> ) to confirm authorization to remove export controlled technical data, equipment, software or other materials from UVA. Items subject to a pending or denied export license application may not be exported by or from UVA.	
Notify the shipper or freight forwarder if export controlled technical data, equipment, software or other materials will be included in any shipment from UVA to a foreign destination and ensure that they receive copies of all export licenses or other authorizations and make appropriate submissions through AESDirect; the Office of Export Controls can work with the shipper or freight forwarder to facilitate this process.	