

UVA FACULTY AND PROFESSIONAL RESEARCH STAFF (PRS) DEPARTURE CHECKLIST

Revised October 2019

The following is a set of standardized checklists for faculty and professional research staff (PRS) members departing the University through the completion of a limited appointment, resignation, retirement, or termination.

Individuals 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.

Ideally, individuals and their chairs are reviewing these forms and beginning the completion process at least 90 days prior to the individual employee's departure.

Faculty & PRS Departure Checklist (3 pages)

- This contains the departing individual's basic information and forwarding address.
- This is where the individual will indicate which checklists apply to their responsibilities.
- Signatures on this sheet affirm that all steps are complete, including any necessary supplementary checklists.
- Please note the dates for completing checklist items. Some items are expected *90 days prior* to departure.

Faculty/PRS Supplementary Departure Checklists

- Completion of a supplementary checklist is required only if it is applicable to the work of the individual who is departing.
- These checklists contain close-out procedures and contact information for concerns specific to research, such as environmental safety, human subjects, animal care, transfer of equipment and data, intellectual property, patient care, and export and technology controls.
- *Departments may add their own specific appendices tailored to their needs as appropriate.*

TO BE COMPLETED BY INDIVIDUAL'S SUPERVISOR OR DELEGATE:

The individual's supervisor is ultimately responsible for making sure that the departing individual has completed this checklist as appropriate. As a final step in the completion process, the supervisor will be required to verify in Workday that they have received this check-list, that it is complete, and that it has been placed in the individual's personnel file.

This form is to be filled out by the departing faculty or professional research staff member.

Questions about this form should be directed to vpfa@virginia.edu.

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

[UVA HR Retirement Benefits Information](#)

OTHER

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

FACULTY AND PRS DEPARTURE CHECKLIST (All Separations)

Full Name	Computing ID
Department	Chair/Manager
Anticipated Date of Departure	Reason for Departure: <input type="checkbox"/> Retirement <input type="checkbox"/> Resignation <input type="checkbox"/> Completion of Limited Term Appointment <input type="checkbox"/> Other:
Forwarding Address (include Country if not US):	
	Telephone
	Non-UVA Email Address

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 Checklist(s) Questions	Y/N	If Yes, Complete Checklist	And notify:
Do you serve as a Primary Investigator (PI) on a grant/contract?		A	Office of Sponsored Programs (OSP)
Do you maintain a research lab or work with hazardous materials?		B	Office of Environmental Health and Safety (EHS)
Do you conduct human subject research?		C	Institutional Review Board (IRB)
Do you conduct animal research?		D	Institutional Animal Care and Use Committee (IACUC)
Do you intend to transfer equipment, data, or records?		E	Vice President for Research (VPR)
Have you disclosed inventions to the Patent Foundation or do you have pending/issued patents?		F	Licensing & Ventures Group (LVG)
Are you involved with patient care?		G	Piedmont Liability Trust, UVA Health Information Services, and University Physician's Group
Are you identified on a Technology Control Plan or participating in an export-controlled project or activity?		H	Office of Export Controls

FACULTY AND PRS DEPARTURE CHECKLIST (All Separations)

60-90 Days Before Departure Date	Completed? Y/N/NA
Submit resignation or retirement letter to the appropriate dean 60 days prior to last day. SOM clinical faculty and PRS should notify UPB Provider Enrollment and Piedmont Liability Trust.	
Notify any committees or boards on which you serve.	
Contact the UVA HR Service Center with any questions related to continuation of health coverage under COBRA, conversion or continuation of life insurance, and distribution of retirement contributions. SOM clinical faculty and PRS contact the UPG Benefits Specialist.	
Submit information to your 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?	
If any of your students 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.	
Notify the Office of Sponsored Programs (OSP) with any requests for relinquishing awards (see Checklist A)	
Notify the Fixed Assets Accounting Group if any assets will be transferred to another institution (see Checklist E)	
If moving to another institution, contact your new institution regarding transfer procedures for sensitive information or equipment.	
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.	
If you have a managed conflict of interest, notify the Conflict of Interests Committee of your departure.	
Notify the relevant committee(s) if you are part of a pending inquiry or investigation.	
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 your department chair how much support, how long it will continue, and the source(s) of that support.	
Do you direct a center? If so, will the center continue or be dissolved? Discuss details with your immediate supervisor, department chair or dean's office.	
Will you have any liabilities or financial obligations after your departure? How will payment be made? (See also Checklist C for clinical research records.)	

FACULTY AND PRS DEPARTURE CHECKLIST (All Separations)

15 Days Before Departure Date	Completed? Y/N/NA
Provide your current department your preferred new contact information so that any mail can be forwarded.	
Settle any cash advances, petty cash accounts, pending reimbursements, parking or library fines, or any other unsettled accounts at the University.	
If you are a supervisor, insure that budgetary records, documents related to performance evaluations, letters or emails containing resource commitments, and unit strategic plans are labeled and organized in files for the supervisory successor.	
If a supervisor, verify that all evaluations have been completed for your direct reports.	
If you are teaching, submit all outstanding grades. All graded student work must be retained for one year, returned to the student, shredded, or deleted. Refer to the policy on Grading Practices: https://policy.itc.virginia.edu/policy/policydisplay?id=PROV-005	
Consult with your department LSP and the University Records Management Office (https://recordsmanagement.virginia.edu/) for retention and/or disposition of email, electronic files, any other data stored on devices or the cloud.	
Retirees may retain their computing ID. Please read the account process for retirees information at the University Information Technology Systems website.	
Contact University Human Resources (UVA HR) to determine if you need to complete a Virginia Conflict of Interest Statement.	
1-2 Days Before Departure Date	Completed? Y/N/NA
Remove personal items from offices, labs, and storage areas.	
Return all keys to department.	
If leaving UVA, return UVA ID to ID Card Office: http://www.virginia.edu/idoffice/ . Retirees can request a new identification card.	
Return all University-owned equipment to your department LSP, including laptops and phones.	
Return University credit cards and travel cards to your department's fiscal manager.	
Migrate or delete all electronic files containing University data from personally owned devices. Refer to all Health Insurance Portability and Accountability Act HIPAA and Family Educational Rights and Privacy Act (FERPA) guidelines.	
Transfer ownership of UVA Box folders and files to collaborators who will need continued access going forward.	
Set an auto-reply on your University email account that indicates your departure to recipients.	
Uninstall all University licensed software from personally owned computers and mobile devices.	
Notify UVA HR Payroll Office of your new address for your W-2 tax statement.	
If in possession of a university parking pass, return your pass to Parking & Transportation.	

Faculty/PRS Signature

Date

Department Chair/Manager Signature

Date

CHECKLIST 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 faculty/PRS departure from UVA.*

School Grants Office Contacts

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 Before Departure Date	Date Completed
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	Date Completed
Provide contact information for new institution to OSP and provide OSP's contact information to new institution. Send the relevant information to ospnoa@virginia.edu.	
Complete and submit final invention statements to sponsor as required, see Checklist F.	
Ensure that all required progress reports and final reports have been prepared and submitted to sponsor.	
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 Checklist 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.	
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.	

CHECKLIST A: GRANTS AND CONTRACTS - CONTINUED

Before Departure Date	Date Completed
For any collaborating institution receiving a subcontract on a UVA award, on an award, 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>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. Your administrator will work with OSP and the school for final approval. For grants and contracts where you are a key personnel (PI, Co-PI or significant contributor) review and certify final expenditures and work with your department administrator to ensure they have either been end dated or reassigned to the new key person</p>	
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 direct reports.	
<p>Material Transfer Agreements (MTAs), Data Use Agreements (DUAs), Confidential Disclosure Agreements (CDAs), other research-related Non-funded Agreements: Coordinate with OSP Grants & Contracts staff to ensure proper closeout of existing obligations and to comply with any requirements related to transfer or termination of the agreement. Review terms of agreements and ensure materials, data and information are handled accordingly. Materials, data or information to be transferred to another institution will likely require a new agreement to be processed between UVA and another institution. Before anything is transferred from UVA to another entity, an agreement (or institutional confirmation that no agreement is required) must be in place. Contact your department or School research administration team for assistance.</p>	
<p>Research Grants & Contracts: Coordinate with Grants & Contracts staff in OSP to ensure proper closeout of grants and contracts. Contact your department or School research administration team for assistance.</p>	
<p>System Accounts: Email researchuva-help@virginia.edu to request account deactivation and role removal.</p>	

CHECKLIST 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://www.ehs.virginia.edu/	
30–60 Days Before Departure Date	Date Completed
Notify your unit administrator or school administrator and 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: http://ehs.virginia.edu/Chemical-Safety-Decommission.html	
Before Departure Date	Date Completed
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 procedures. Contact EHS as early as possible to make arrangements for removal; significant lead time is often required.	
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.	
Consult with EHS on the proper transfer, disposal or surplus of lasers or laser-containing equipment.	
Post-Departure	Date Completed
Designate a department administrator that will coordinate with EHS for a final walkthrough of vacated space(s). EHS and the department representative will sign the “Green Sign,” which is to be posted on the door(s) acknowledging all hazardous materials have been removed.	

CHECKLIST 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 faculty/PRS departure from UVA.

Institutional Review Board for Health Sciences Research (IRB-HSR) 924-9634 or 924-2620 http://www.virginia.edu/vpr/irb/hsr/	
Institutional Review Board for Social and Behavioral Sciences (IRB-SBS) 924-5999 http://www.virginia.edu/vpr/irb/sbs/	
60-90 Days Before Departure Date	Date Completed
Contact the appropriate IRB to identify open protocols/grants and provide IRB with departure date	
PROJECTS TO BE TRANSFERRED	Date Completed
Assess transferability of research to new institution (e.g., geographic proximity for human subjects, specialized facilities, 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 Protected 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: <ul style="list-style-type: none"> • Protocols: http://www.virginia.edu/vpr/irb/HSR_docs/Forms/Closure_Form%20-Protocols.doc • Grants: http://www.virginia.edu/vpr/irb/HSR_docs/Forms/Closure%20Form-Grants.doc IRB-SBS: <ul style="list-style-type: none"> • http://www.virginia.edu/vpr/irb/sbs/forms.html 	
PROJECTS TO BE RETAINED AT UVA	Date Completed
If you remain the PI on the project, or a new one is named, 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 your department to contact OSP to discuss the details.	

CHECKLIST C: HUMAN SUBJECT RESEARCH - CONTINUED

PROJECTS TO BE RETAINED AT UVA (Continued)	Date Completed
<p>Submit the following to the IRB-HSR: Personnel Change Form; revised application or protocol as applicable; revised consent forms if study remains open to enrollment.</p>	
<p>Submit the following to the IRB-SBS: Modified protocol using iProtocol; modified PI information on all IRB-SBS recruitment; notification or consent materials as needed if protocol is to remain open to enrollment.</p>	
PROJECTS TO BE TERMINATED	Date Completed
<p>Submit closure forms: IRB-HSR:</p> <ul style="list-style-type: none"> • Protocols: http://www.virginia.edu/vprgs/irb/HSR_docs/Forms/ClosureForm.doc • Grants: http://www.virginia.edu/vpr/irb/HSR_docs/Forms/Closure%20Form-Grants.doc <p>IRB-SBS:</p> <ul style="list-style-type: none"> • http://www.virginia.edu/vpr/irb/sbs/forms.html 	
If biomedical research, consult with School of Medicine Clinical Research 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 Completed
Describe data generated during clinical trials 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 Research Office.	

CHECKLIST 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 faculty/PRS 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/PRS 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	
At Least 90 Days Before Departure Date	Date Completed
<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/PRS must be followed: https://researchcompliance.web.virginia.edu/acuc/pi/policy/Policy_Departing_Faculty.pdf.</p>	
<p>If you intend to transfer any remaining animals 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 date 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"> • the nature of the collaborative work, • the collaborator's willingness to accept the research project and the extent of his/her experience with the research of the departing investigator, • any graduate students or post-docs previously supervised by the departing faculty/PRS who will continue to work on their projects, and • the timetable for completion of the collaborative project for completion of the collaborative project. 	
<p>Data associated with animal subjects must be retained in accordance with the IACUC data retention policy: https://researchcompliance.web.virginia.edu/acuc/pi/policy/Policy_Document_Retention_for_Inv_estigators.pdf</p>	

CHECKLIST E: TRANSFER OF EQUIPMENT, DATA, RECORDS, OR OTHER ITEMS

To be completed by a faculty member/PRS intending to transfer materials to another institution.

In many cases, faculty/PRS wish to take equipment, data, records, or such things as specimens, cell lines, or reagents with them when they leave the University. It is best to clarify the ownership of these items prior to your departure or their transfer. All items listed below should be completed PRIOR to faculty/PRS departure from UVA.

Office of the Vice President for Research 924-3606 or 924-7026	
Fixed Assets Accounting https://fro.vpfinance.virginia.edu/fixed-assets-accounting	
60- 90 Days Before Departure Date	Date Completed
<p>Faculty or PRS 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 & Reporting. Restrictions on such a transfer depend on who has title to the equipment.</p> <p>See also: Preparation of Inventory Change Request Fixed Assets – Releasing UVA Capital Equipment to Another Institution Outside the Commonwealth Equipment Inventory Change Request (P-1) Form</p>	
<p>Data or Records: If you will be transferring data or records, please see policy: RES-002: Laboratory Notebook and Recordkeeping, which applies to all research data or records even if they were not collected in a "lab." If you will be transferring data or records categorized as controlled unclassified information (CUI) or covered defense information (CDI), please see Checklist H: Export Controls and Technology Control Plans.</p>	
<p>Equipment: If you will be transferring equipment, please see policy: X.A.2: Fixed Assets—Releasing UVA Capital Equipment to Another Institution Outside the Commonwealth</p>	
<p>Other Items: If you will be transferring items such as specimens, cell lines, or reagents, please see the additional information on: Material Transfer Agreements.</p>	

CHECKLIST F: INTELLECTUAL PROPERTY

To be completed by a faculty member/PRS 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 or PRS' intellectual property portfolio. All items listed below should be completed **PRIOR** to the faculty member's departure from UVA.*

Licensing & Ventures Group 924-2175 lvlg@virginia.edu	
Before Departure Date	Date Completed
Disclose final update and data related to any previously disclosed inventions.	
Disclose any final inventions.	
Provide new address and contact information for ongoing activities correspondence (patent prosecutions, licensing support, revenue distribution, etc.)	
Provide point of contact at technology licensing office at new institution (if applicable).	
Ensure all necessary documentation (invention disclosures, patent assignments, etc.) have been executed and, if applicable, notarized.	

CHECKLIST G: PATIENT CARE

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

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

Piedmont Liability Trust: 434-296-2100 UVA Health Information Services: 434-243-5811 University Physician's Group: 434-924-2472	
90 Days Before Departure Date	Date Completed
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.	
14 Days Before Departure Date	Date Completed
Contact the Risk Management – Records Manager at 3-6007 for assistance regarding the appropriate storage of any privately held records, including those containing patient health information.	
Contact Health Information Services at 4-5136 to ensure that all open patient encounters and related documentation have been completed	

CHECKLIST H: EXPORT CONTROLS AND TECHNOLOGY CONTROL PLANS

To be completed by a faculty member/PRS who is participating in export controlled activity or working under a technology control plan for export controlled items, information, or software; controlled unclassified information (CUI); or covered defense information (CDI).

*It is important that the faculty member/PRS 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/PRS departure from UVA.*

Export Controls 982-5725 https://export.virginia.edu/	
60-90 Days Before Departure Date	Date Completed
Contact the Office of Export Controls by email (export-controls@virginia.edu) for help in determining how to transfer your responsibilities related to 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 information security and put them in touch with the UVA Office of Export Controls to coordinate the transfer of any 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 a 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 controlled materials or that the U.S. government will approve any license applications.	
Within the Last Few Days of Departure Date (or prior to packing and shipping)	Date Completed
Contact the Office of Export Controls by email (export-controls@virginia.edu) to confirm authorization to remove controlled technical data, equipment, software or other materials from UVA. Items subject to a pending or denied export license application may not be removed or 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.	