

Faculty Separation Checklist

The purpose of this Checklist is to ensure that tasks associated with close out procedures are completed in a timely manner and will also ensure that all aspects of the faculty member's relationship with the Institution are appropriately documented, concluded, and terminated. It should be used collaboratively between the faculty member and department administration to determine what activities must be initiated for a faculty member separation. A faculty member separation is defined as voluntary or involuntary termination from the University.

The activities of the Checklist must be completed by the department chair or center director, the department administrator, and the separating faculty member as soon as possible upon decision of separation but no later than the final date of employment. Please note that the activities should include the faculty member's other unit/institute affiliations.

This document and resultant activity from the separation process will serve:

- 1. To promote effective processes for termination and close out of sponsored projects;
- 2. To comply with institutional, state, federal, and non-federal sponsor guidelines regarding transfer of awards and property and close out;
- 3. To assign accountability and responsibilities to departments and the separating PI;
- 4. To provide points of contact and enhance communication among each area and responsible party with responsibilities associated with terminations and closeouts;
- 5. To safeguard against the loss of institutional assets and research data;
- 6. To ensure safety and security of facilities and other resources; and
- 7. To ensure continued safety and care of human and animal study subjects.
- 8. To reduce the amount of time required for transfer of continuing awards, data, and lab equipment and as result, reduce the amount of downtime a researcher will incur due to moving to another University.

Date of Assessment:	
Faculty Member's Name	Faculty Member's Title
Faculty Member's UID	Faculty Member's Home Unit
Department Chair's Name	Department Administrator's Name, Title
Separation Date	Affiliate Department Administrator's Name (if applicable)

New Institution Contact Information – if applicable

New Institution Name	Department Contact Name	
Faculty Member's Forwarding Email Address	Department Contact Email	
Faculty Member's Forwarding Phone	Department Contact Phone	

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FACULTY INVESTIGATOR SEPARATION CHECKLIST

If the faculty member is going to maintain a relationship with the University, they should work with their home department and affiliated units/institutes to discuss the disposition of any ongoing sponsored projects.

The following set of questions is designed to assess current activity of the PI and identify plans and expectations for separation. *Note: Please complete all 13 sections.*

1. Notice	
 Has a resignation letter been submitted to the supervisor and/or department chair? 	☐ Yes ☐ No
 Have your institutional committees been notified of your separation? 	\square Yes \square No
Have any employees, graduate students, contractors or subawardees supported	\square Yes \square No
by your funding sources been notified of your separation?	
If yes to any of the above, see Section 1 of the Faculty Separation Supplement	
Contact: Department Director of Administrative Services	
Note: You must discuss these positions with your department administration and Un	iversity Human
Resources.	
2. Sponsored Project Funding	
 Do you have any active sponsored projects in which you are a faculty member, CO-lead, key personnel, or collaborator? 	☐ Yes ☐ No
• Do you have committed effort and/or cost shared effort on a sponsored project?	\square Yes \square No
 Do you have any other active contractual agreements (e.g., nondisclosure, material transfer, data use)? 	☐ Yes ☐ No
 Do you have any pending proposals that are likely to be funded and/or agreements pending execution? 	☐ Yes ☐ No
 Do you have graduate students or postdocs supported by sponsored project funds? 	☐ Yes ☐ No
 Are you current with all reports (financial and technical) and other deliverables to sponsors? 	☐ Yes ☐ No
Have your laboratory personnel been notified of a move or closure of the lab?	☐ Yes ☐ No
If yes to any of the above, see Section 2 of the Faculty Separation Supplement	
Contact: Office of Research Administration, https://ora.umd.edu/staff and/or Spons	ored Accounting
and Compliance for effort and cost share commitments, https://spac.umd.edu/staff	
Note: Noncompliance with submitting the final progress report may result in the PI and Instit	ution not being
able to accept future funding from federal agencies.	
3. Non-Sponsored Funding	
 Do you hold an endowed position (e.g., directorship, professorship)? 	☐ Yes ☐ No
 Do you have any non-sponsored funding (e.g., DRIF, start-up, gift, 	☐ Yes ☐ No
unrestricted funds, endowment funds)?	_ 1es _ 1to
 Do you have any current internal awards (e.g., seed grants, Catalyst 	☐ Yes ☐ No
Fund programs)?	
If yes to any of the above, see Section 3 of the Faculty Separation Supplement	
Contact: Department Director of Administrative Services	
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4.	Ongoing Appointment or Research	
•	Will you continue to have a paid or non-0% appointment at UMD?	\square Yes \square No
•	Will you still have an active role in any sponsored research at UMD?	\square Yes \square No
lf	yes to any of the above, see Section 4 of the Faculty Separation Supplement	
Со	ntact: Department Director of Administrative Services	
5.	Human Subjects Research	
	Are you the Responsible Project Investigator on any active studies involving	☐ Yes ☐ No
	human subjects?	
	Are you a Co-lead on any active studies involving human subjects?	☐ Yes ☐ No
	yes to any of the above, see Section 5 of the Faculty Separation Supplement	
	ntact: Institutional Review Board (IRB), irb@umd.edu	
-	institutional netroit board (ins)) insecumental	
6.	Animal Research	
	Do you conduct research involving animals?	☐ Yes ☐ No
	yes to any of the above, see Section 6 of the Faculty Separation Supplement	_ 1C3 _ 11O
	ntact: Institutional Animal Care and Use Committee (IACUC), iacuc@umd.edu	
CO	matt. institutional Allimar care and ose committee (IACOC), lacace amateur	
7.	Research Involving Use of Materials, Data, or Confidential Information	
	Do you currently have materials or data furnished by an outside party pursuant to	☐ Yes ☐ No
	a material transfer, data use, nondisclosure, or other agreement?	_ 1C3 _ 110
	Do you plan to continue to use any materials (e.g., biospecimens, tissue, cells),	☐ Yes ☐ No
	data, or confidential information obtained from an outside party pursuant to a	
	material transfer, data use, nondisclosure, or other agreement?	
_	Do you plan to continue to use any materials, data, or confidential information	☐ Yes ☐ No
•	owned by UMD?	□ Tes □ NO
ıf	yes to any of the above, see Section 7 of the Faculty Separation Supplement	
	ntact: UM Ventures, umdtechtransfer@umd.edu; Office of Research Administratio	_
		11,
HU	ps://ora.umd.edu/staff	
Q	Laboratory	
	Do you maintain a research lab, including inactive or abandoned labs?	☐ Yes ☐ No
	Do you intend to take with you, or transfer to your new institution, any type of	☐ Yes ☐ No
_	laboratory materials, equipment, or supplies?	
٠	Have you contacted your new institution regarding transfer procedures for laboratory materials, equipment, or supplies?	☐ Yes ☐ No
_		
•	Do you work with biological materials, recombinant DNA, select agents or toxins,	☐ Yes ☐ No
	radioactive materials, radiation-producing materials, controlled substances,	
	hazardous materials, or have a chemical inventory?	
•	Do you maintain any storage space outside the lab (items in closets, shared	☐ Yes ☐ No
	spaces, etc)?	
	Do you have any lab equipment on loan to another faculty member?	☐ Yes ☐ No
	yes to any of the above, see Section 8 of the Faculty Separation Supplement	
	ntact: ESSR Office of Research Safety, https://essr.umd.edu/research-safety	
	te: In most cases, transferring chemicals and radioactive material is cost-prohibitive and su	cn transfer
req	uests will not be honored.	



9. <u>Export Compliance</u>	
 Are you a faculty member on a project covered by a technology control plan (TCP)? 	☐ Yes ☐ No
• Are you a faculty member on a project that utilized equipment, software, data, or materials covered by a TCP?	☐ Yes ☐ No
If yes to any of the above, see Section 9 of the Faculty Separation Supplement	
Contact: Export Compliance Officer, export@umd.edu	
10. Intellectual Property (IP) & Technology	
 Do you have any patents, license agreements, start-ups, or royalty income based on IP arising from research conducted at UMD? 	☐ Yes ☐ No
• Do you have any new research, inventions, IP, and/or abstracts that are yet to be published or protected?	☐ Yes ☐ No
 Do you have a patent pending at the USPTO or other patent office that will require your input to get to patent issuance? 	☐ Yes ☐ No
 Do you have any disclosed or undisclosed inventions that include inventors or creators from other institutions or organizations? 	☐ Yes ☐ No
 Are you going to transfer any awards from UMD to your new institution that are likely to create IP in the future? 	☐ Yes ☐ No
If yes to any of the above, see Section 10 of the Faculty Separation Supplement	
Contact: Your UM Ventures Technology Manager, umdtechtransfer@umd.edu	
11. Property Accounting	
Do you have any UMD-owned or leased assets/equipment?	☐ Yes ☐ No
Do you have any UMD-owned or leased assets/equipment located offsite?	☐ Yes ☐ No
 Do you have any UMD-owned or leased assets/equipment on loan to a researcher on campus? 	
If yes to any of the above, see Section 11 of the Faculty Separation Supplement	
Contact: Sponsored Accounting and Compliance: spac.compliance@umd.edu	
12. Data and Records	
• Do you own or are you in possession of any computing equipment and devices	\square Yes \square No
(e.g., computers, tablets, cell phones, pagers, external hard drives, USB drives) capable of storing electronic data?	
• Do you have, own, or manage any listservs, databases, applications, platforms	\square Yes \square No
and/or networks that are necessary for continued/ongoing grant program operations?	
 Do you have any institutionally owned/licensed software or electronic files containing institutional data in your possession? 	☐ Yes ☐ No
 Do you have any institutional data, paper documents, files, materials, etc. stored at offsite warehouses or facilities or cloud storage (Dropbox, Box, One-Drive, Google drive)? 	□ Yes □ No
Will any of this data transfer to your new institution?	☐ Yes ☐ No
If yes to the above, see Section 12 of the Faculty Separation Supplement	
Contact: UM Ventures, <u>umdtechtransfer@umd.edu;</u> Office of Research Administration	on,
https://ora.umd.edu/staff	



13. Conflict of Interest (COI)

- Do you have a current facility use agreement (FUA)?
- Do you have a current COI management plan?

☐ Yes ☐ No ☐ Yes ☐ No

If yes to any of the above, see Section 13 of the Faculty Separation Supplement

Contact: Conflict of Interest Office, https://research.umd.edu/coi

END OF CHECKLIST

Additional Resources:

Conflict of Interest or Commitment: https://research.umd.edu/coi
Animal Care and Use: https://research.umd.edu/iacuc
Human Subjects: https://research.umd.edu/irb
Laboratory and Research Safety: https://www.essr.umd.edu/research-safety

☐ Intellectual Property: https://www.umventures.org/

☐ Export Compliance Office: https://research.umd.edu/eco



Faculty Separation Supplement

The purpose of this supplement is to identify tasks associated with the 13 major checklist categories and provide guidance to investigators and departmental administrators in closing out awards when investigators separate from the University.

The activities of the Checklist must be completed by the department chair or center director, the department administrator, and the separating Investigator as soon as possible upon decision of separation but no later than the final date of employment. Please note that the activities should include the PI's other unit/institute affiliations.

1. Notice

After you give notice to your	You will need to:	Administrative Notes
supervisor or department, if you:		
Have institutional committees on	Give notice to the committees of	
which you serve	your separation date	
Have supervisees	Give notice to employees and graduate students of your separation date	
Supervise graduate students engaged in dissertation/thesis work	Discuss with the department and the student the plan to continue supporting the research, or to identify another faculty member to do so	
Are working with any contractors or subawardees	 Give notice of the University separation or change of institution. See Section 2 of the Faculty Separation Supplement 	

Contact: Department Director of Administrative Services

Note: You must discuss these positions with your department administration and University Human Resources

2. Sponsored Project Funding

If you have active external awards that will:	You and your Department will need to work with ORA to:	Administrative Notes
Transfer to your new institution	 Determine if a subaward back to UMD is required; Submit a request to transfer the award; Ensure all subaward invoices are received/paid; Terminate subawards; Submit any outstanding reports to the sponsor; 	

If you have active external awards that will:	You and your Department will need to work with ORA to:	Administrative Notes
	 Close out the award; and Notify OTC and submit any required IP disclosures. 	
Relinquish prior to your separation from UMD	 Terminate subawards; Close out the award; Submit any outstanding reports to the sponsor; and Submit a final invention disclosure to OTC, if applicable. 	
Remain at UMD	 Identify the new PI of record; and Submit official request to sponsor to change PI. 	

If you have expired external awards:	You will need to work with ORA to:	
	Submit any outstanding reports to the sponsor.	

Contact: Office of Research Administration, https://ora.umd.edu/staff and/or Sponsored Accounting and Compliance for effort and cost share commitments, https://spac.umd.edu/staff

Note: Noncompliance with submitting the final progress report may result in the PI and Institution not being able to accept future funding from federal agencies.

3. Non-Sponsored Funding

If you have:	You will need to:	Administrative Notes
Endowment funding that remains unspent	Return unused funds	
Endowment funding that will terminate prior to your separation	Notify the funding unit	
Non-sponsored funding	Return unused funds	
Internal awards that remain unspent	Submit any outstanding reports	

Contact: Department Director of Administrative Services



4. Ongoing Appointment or Research

If you have:	You will need to:	Administrative Notes
A non-0% or paid appointment that will continue after separation from UMD	Continue to file annual faculty activity reports with UMD	
An active role in a UMD sponsored research project that will continue after separation from UMD	 Continue to disclose significant financial interests to UMD as required by UMD policy and sponsor policies and regulations. 	

Contact: Department Director of Administrative Services

5. Human Subjects Research

Box 1 (Responsible Project Investigator)

If you have:	You will need to:	Administrative Notes
Active studies that still involve recruitment, consent, data collection, and/or analysis of identifiable data and you plan to identify a new Responsible Project Investigator	 File a research amendment with the IRB to change the Responsible Project Investigator to a full-time, permanent UMD faculty; Update the IRB application, consent forms, and related materials as appropriate. Inform co-investigators and research team members involved in the protocol of the transfer or termination. Comply with any federal and state reporting requirements, including those applicable to clinical trials (e.g., FDA, adverse report events). 	
Active studies that still involve data analysis of identifiable data and you plan to remain as the Responsible Project Investigator	 Remain as Responsible Project Investigator for no more than one year after separation, if assisting a student to complete their thesis or dissertation. Ensure that all participants are taken off the study in the institutional databases and data queries are resolved. Add new contact information to the Responsible Project Investigator section of the IRB application and submit to IRB. Contact the IRB at your new institution. 	

If you have:	You will need to:	Administrative Notes
	Comply with any federal and state reporting requirements, including those applicable to clinical trials (e.g., FDA, adverse report events.	
Non-active studies	Notify the IRB and request that the application be archived.	
Cash or cash-equivalents on hand in the laboratory	Return all cash and reconcile participant receipts.	

Contact: Institutional Review Board (IRB), irb@umd.edu

Box 2 (Co-Investigator)

If you have:	You will need to:	Administrative Notes
Active studies that will continue	Notify the Responsible Project	
after separation	Investigator to update their	
	Research Team attachment to	
	document the separating co-	
	investigator's new institutional	
	affiliation.	
	Contact the IRB at the new	
	institution.	
	Remove the separating co-	
	investigator from the IRB	
	application/protocol, as	
	appropriate.	

Contact: Institutional Review Board (IRB), irb@umd.edu

6. Animal Research

If you have animal research protocols that will:	You will need to:	Administrative Notes
Be closed	 Contact the IACUC Office Submit protocol closure report via IRBnet. Animals must be transferred, euthanized, sold, or adopted out, per the below: Transfer to alternate internal protocol – Contact DLAR: Obtain and complete an Animal Transfer Agreement form. Euthanize – Contact facility manager and faculty supervisor to determine whether other uses for the animals may be found; contact DLAR for 	



If you have animal research protocols that will:	You will need to:	Administrative Notes
	 assistance if large number of animals must be euthanized. Sold – Contact Legal: Livestock only. Sales of animals must comply with federal, state and local laws governing the sale of livestock. Adoption – Contact DLAR; animal adoption form must be completed for each animal transferred to private ownership. Coordinate disposal of waste, carcasses, or other animal products. 	
Transfer to a new UMD PI	 Contact the IACUC Office Submit an amendment to each active protocol to change the PI via IRBnet. Obtain and complete an Animal Transfer Agreement form. 	
Require transfer of live animals to your new institution	 Review policy on exporting live animals. Contact DLAR: Obtain and complete an Animal Transfer Agreement form. Complete the receiving institution's IACUC requirements (e.g., protocol, housing). Request a Material Transfer Agreement from OTC. Coordinate disposal of waste, carcasses, or other animal products. 	
Not be transferred to new UMD PI or Institute	 Work with IACUC to adopt out animals if possible. Obtain and complete an Animal Transfer Agreement form. 	

Contact: Institutional Animal Care and Use Committee (IACUC), iacuc@umd.edu

7. Research Involving Use of Materials, Data, or Confidential Information

If you have:	You will need to:	Administrative Notes
Third party-owned materials, data, or confidential information that:	Consult with ORA regarding contractual obligations related to these items.	



 will be transferred to your new institution, needs to be returned to the owner or destroyed, or needs to be transferred to another UMD PI 		
UMD-owned materials that need to be transferred to your new institution	Consult with OTC to initiate a Material Transfer Agreement.	
UMD-owned materials that need to be transferred to a new UMD PI	Notify your departmental administrator.	
UMD-owned research data that need to be transferred to your new institution	Consult with ORA and OTC regarding the need for a Data Use Agreement and/or Intellectual Property License.	
UMD-owned research data that need to be transferred to a new UMD PI	Notify your department administrator.	

Contact: UM Ventures, <u>umdtechtransfer@umd.edu;</u> Office of Research Administration, https://ora.umd.edu/staff

8. <u>Laboratory</u>

If yes, please provide an inventory of the following for each lab:

Location of lab

Laboratory equipment (refer to section 11)

Laboratory supplies

Specimens (inventory of blood, tissue, etc., including location)

Data stored or maintained in the lab

Lab notebooks involving institutional research that is being transferred

All research-related materials that will remain at UMD

Expired or unused drugs that need to be disposed of

Note: In most cases, transferring chemicals is cost-prohibitive and requests will not be honored.

If you have:	You will need to:	Administrative Notes
Biological materials (including	Inform ESSR of any authorizations	
human or animal tissue),	that will end or be transferred to	
recombinant DNA, select agents or	another person (e.g., BioRAFT Lab	
toxins, radioactive materials,	Registration, Radioactive Material	
radiation-producing materials,	Permit, IBC Registrations).	
controlled substances, hazardous	Submit an IBC Registration	
	Transfer or Termination request.	



If you have:	You will need to:	Administrative Notes
materials, a chemical inventory, or expired or unused drugs?	 Complete the ESSR "Checklist for Vacating Laboratories" for each assigned space. Consult with ESSR to properly dispose and/or UM Ventures transfer ownership of hazardous materials, samples in storage/freezers, chemicals, waste. Consult with ESSR to properly destroy select agents or toxins. Obtain ESSR clearance of all radioactive material use locations. Obtain ESSR Research Safety exit inspection of all assigned spaces. 	
Laboratory equipment that you will transfer to another UMD PI	 Clean and decontaminate equipment, properly dispose of hazardous material and waste solutions, and obtain radiological clearance of all posted equipment. If {exterior or interior} decontamination certification is impossible, identify the agent(s) that may be present so that ESSR can take appropriate future action. Identify laboratory equipment that cannot be certified as decontaminated or free of internal hazardous materials (e.g., mercury). 	
Laboratory equipment that you will transfer to your new institution	 Clean and decontaminate equipment, properly dispose of hazardous material and waste solutions, and obtain radiological clearance of all posted equipment. If (exterior or interior) decontamination certification is impossible, identify the agent(s) that may be present so that ESSR can take appropriate future action. Identify laboratory equipment that cannot be certified as decontaminated or free of internal hazardous materials (e.g., mercury). Follow ESSR's and/or UM Ventures' procedures to transfer/ship equipment to the new institution. 	

If you have:	You will need to:	Administrative Notes
Any storage space outside the lab (items in closets, shared spaces,	 Re-acquire the equipment and/or work with Dept/ORA/SPAC to determine if the equipment can remain with other researcher. Clean and decontaminate equipment, properly dispose of hazardous material and waste solutions, and obtain radiological clearance of all posted equipment. If (exterior or interior) decontamination certification is impossible, identify the agent(s) that may be present so that ESSR can take appropriate future action. Identify laboratory equipment that cannot be certified as decontaminated or free of internal hazardous materials (e.g., mercury). Follow ESSR's procedures. Reclaim and cleanout any storage space outside lab 	
etc)	opade ducide ido	
Equipment that will be disposed of	Work with dept to contact Terrapin Trader and fill out the accompanying paperwork	

Contact: ESSR Office of Research Safety, https://essr.umd.edu/research-safety and/or UM Ventures Innovation Manager, https://www.umventures.org/about-us/directory/college-park

Note: In most cases, transferring chemicals and radioactive material is cost-prohibitive and such transfer requests will not be honored.

9. Export Compliance

If you have:	You will need to:	Administrative Notes
A TCP and the project will transfer to your new institution	 Notify UMD's Export Compliance Officer. Provide notice to your new institution. Make arrangements to properly transfer controlled data/equipment to your new institution. 	
A TCP that will transfer to a new UMD PI	 Notify UMD's Export Compliance Officer. Work with your departmental administrator, new UMD PI, and 	



	the Export Compliance Officer to ensure that the new PI can engage in a controlled project and managed controlled items/information.	
A TCP that will be terminated	 Notify UMD's Export Compliance Officer. Consult with Export Compliance Officer to dispose of controlled items/information. 	

Contact: Export Compliance Officer, export@umd.edu

10. Intellectual Property (IP) & Technology

If you answered "Yes" to any of the above questions	You will need to:	Administrative Notes
	 Notify OTC immediately so that OTC can properly manage IP on which you are a named inventor or creator. Submit an Intellectual Property Disclosure for any previously undisclosed IP. The form and instructions are here: https://www.umventures.org/for-inventors/disclosures/college-park. 	

Contact: Your **UM Ventures Innovation** Manager, https://www.umventures.org/about-us/directory/college-park

11. Property Accounting

If you:	You will need to:	Administrative Notes
Have UMD-owned or UMD-leased assets located offsite	 Contact your department's Property Contact and, if property was purchased with sponsored funds, SPAC Compliance to determine the proper disposition of the property (e.g., return to	



If you:	You will need to:	Administrative Notes
Plan to permanently transfer UMD equipment to your new institution	 Consult with Inventory Control to obtain approvals to permanently transfer equipment from UMD or the State of Maryland. Consult with department and Inventory Control to dispose of property Contact your departmental administrator to initiate the appropriate equipment loan or 	
	transfer request. Notify SPAC Compliance and Property Control	
Plan to leave equipment at UMD or its current offsite location	Contact your department's Property Contact to update the property record as needed for custodian, location, condition code, etc. Notify SPAC Compliance and Property Control	

Contact: Department Director of Administrative Services and/or Sponsored Accounting and

Compliance: spac.compliance@umd.edu

12. Data and Records

If you have:	You will need to:	Administrative Notes
Hard copy and/or electronic files of research-related data that will transfer to your new institution	 Consult with ORA and UM VENTURES to review award terms and conditions relating to IP and data ownership and use. Work with ORA to complete a Data Use Agreement, if applicable. Work with your departmental IT administrator, DivIT, and your new institution to determine delivery methods for electronic data, if necessary Work with your department administrator for delivery of hard copy data, if necessary. Work with ORA to ensure that UMD receives copies of all data files, lab notebooks, and other materials for institutional record keeping purposes. 	

Contact: UM VENTURES, <u>umdtechtransfer@umd.edu;</u> Office of Research Administration, https://ora.umd.edu/staff



13. Conflict of Interest (COI)

If you have:	You will need to:	Administrative Notes
A current Facilities Use Agreement (FUA)	Work with your department administrator and the COI Chair and Manager to determine the requirements to terminate the FUA.	
A current COI Management Plan	Work with your department administrator and the COI Chair and Manager to finalize your reports.	

Contact: Conflict of Interest Office, https://research.umd.edu/coi

END OF CHECKLIST SUPPLEMENT

Additional Resources:

1	Conflict of Interest or Commitment: https://research.umd.edu/coi
)	Animal Care and Use: https://research.umd.edu/iacuc
)	Human Subjects: https://research.umd.edu/irb
)	Laboratory and Research Safety: https://www.essr.umd.edu/research-safety
)	Intellectual Property: https://www.umventures.org/
3	Export Compliance Office: https://research.umd.edu/eco

