

The Office of Sponsored Projects Exiting Faculty Checklist

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This Checklist is an informational tool for faculty and business administrators. Its purpose is to provide contact information and possible areas to address if a faculty member is leaving Yale and s/he is a Principal Investigator on an award(s). This Checklist may not be all inclusive regarding the particular concerns of the faculty member but is an attempt to highlight the more common issues/concerns.

Human Resources and Payroll			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Ensure proper termination of employees supported by sponsored awards, if appropriate.	Business Office	
	Ensure that faculty with 9-month appointments and departing Yale after July 1 but before September 1 do not receive advance payments during July and August for the subsequent academic year.	Business Office/Provost Office (203) 432-4456	
Human Subjects			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	<ul style="list-style-type: none"> • Arrange for transfer of active protocols to another investigator at Yale; or • Close the protocol; or • Arrange for review/approval of the protocol at the new institution. 	HRPP (203) 785-4688	Email: HRPP@yale.edu Website: Human Research
HIPAA and Patient Information			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Arrange for the appropriate transfer of PHI to a new institution.	HIPAA Privacy Office (203) 432-5919	Email: hipaa@yale.edu
	Arrange for patient notification and continuation of care.	Clinical Administrator	

Animal Subjects			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Arrange for disposition of animal protocol(s): <ul style="list-style-type: none"> • Transfer protocol to different PI • Close protocol(s) 	OARS (formerly IACUC) (203) 785-5992	<ul style="list-style-type: none"> • Creating a Modification • Creating a Personnel Qualification Form (PQF) • For assistance with closing an animal protocol, please call the main OARS number.
	Arrange for disposition of animals(s): <ul style="list-style-type: none"> • Transfer animals to another institution • Euthanize animals (deactivate census) • Transfer animals to different PI/protocol 	YARC (203) 785-2526 OARS (203) 785-5992	<ul style="list-style-type: none"> • Creating a Modification • For assistance with closing an animal protocol, please call the main OARS or YARC number.
Intellectual Property			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Ensure any Intellectual Property matters covered by a Patent Application or Issued Patent are resolved.	OCR (203) 436-8096	
	Ensure any co-inventions with other institutions are appropriately managed.	OCR (203) 436-8096	
Equipment			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Disposition of equipment: <ul style="list-style-type: none"> • Determine title to equipment in order to sell or transfer equipment. • If new organization is willing to purchase, a fair market value must be determined. • If a transfer of equipment to a new organization is to occur shipping should be paid by new organization. • Check with EHS regarding equipment used to store chemicals, biologics, or radioactive materials. • Transfer equipment to foreign entity. 	Manager, Finance (203) 436-2657 EHS: (203) 785-3550 OSP: Don Deyo (203) 785-3817	<ul style="list-style-type: none"> • Policy 4209 Equipment 4209 FR.05 Capital Equipment Transfer Release Form • Website: Yale Environmental Health & Safety Email: Donald.deyo@yale.edu

Sponsored Projects			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Active Awards: Determine if awards will be transferred to another organization <ul style="list-style-type: none"> If so, notify sponsor <ul style="list-style-type: none"> If NIH, complete Relinquishing Statement; and Contact with new institution. If not, notify sponsor as to disposition of award. If new PI identified, provide appropriate information to sponsor otherwise, terminate award. 	Business Office OSP (203) 785-4689 OSP Director, Proposal & Award Management (203) 737-4264	NIH Relinquishing Statement (Scroll down to Administrative-Change of Grantee to find the form)
	Determine if subawards should be terminated.	OSP Associate Director, Subawards (203) 737-1103	
	Reconcile financial reports	OSP Manager, Financial Reporting (203) 737-5675	
	Ensure Effort Reports are complete.	Business Office OSP: Effort Reporting Administrator (203) 785-3517	Email: Effort.reports@yale.edu Webpage: Effort Reporting
	Determine if an MTA is required for the transfer of any biologic or non-biologic materials.	OSP (203) 785-4689 (203) 785-6313	
	Determine if employees paid on sponsored projects require Termination.	Business Office	
Gifts			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Review gifts received while at Yale. Determine if they remain at Yale or can/will be transferred to another institution.	University Corporate Foundation and Relations (203) 436-8518	
Environmental Health and Safety			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Transfer and transportation of	EHS	<ul style="list-style-type: none"> Research Materials Shipping

	research materials to another institution and/or foreign entity.	(203) 785-3550	<ul style="list-style-type: none"> • Laboratory Safety Tools & Resources
	Review the EHS Laboratory Move/Closure Checklist when vacating laboratories or ancillary research spaces (cold rooms, freezers in hallways) in order to address remaining: <ul style="list-style-type: none"> • Chemicals • Radioactive materials • Biological materials • Human pathogens • Controlled substances 	Safety Officer (203) 785-3550	<ul style="list-style-type: none"> • Laboratory Decommissioning Checklist • Laboratory Closure and Decommissioning Policy

Data/Record Retention

√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Ensure records/data are retained by Yale.		<ul style="list-style-type: none"> • 1601 Information Access and Security • Policy 1105 Retention of University Financial Records • Yale Records Retention Schedule (Under “Resources” on the right-hand side of the page)

Personal/Administrative Concerns

√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Return all keys/ID/Stock Card/library book.	Business Office	
	Return Purchasing Card.	Business Office	<ul style="list-style-type: none"> • 3215 PR.01 Yale Purchasing Card Procedure • Procedure 3215 FR.06 Purchasing Card Request Form
	Make arrangements for e-mail account closure.	Business Office	<ul style="list-style-type: none"> • ITS Service Portal
	Terminate access to systems and Net ID.	Business Office	
	Empty gym locker and take care of parking tickets, if applicable.		
	Review University’s Termination Checklist.	Business Office	<ul style="list-style-type: none"> • Form 3501 FR.31 Termination and Transfer Checklist

Acronyms:

EHS:	Office of Environmental Health and Safety
OSP:	Office of Sponsored Projects Administration
HIPAA:	Health Insurance Portability and Accountability Act
OARS:	Office of Animal Research Support
MTA:	Material Transfer Agreement
PHI:	Protected Health Information
YARC:	Yale Animal Resources Center