

**Exiting Faculty Checklist  
Addressing  
Sponsored Project Concerns**

**Version Date:** July 8, 2009

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 (Linda Hayes) Ext. 2-4456	<a href="mailto:linda.hayes@yale.edu">linda.hayes@yale.edu</a>
Human Subjects			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	<ul style="list-style-type: none"> <li>• Arrange for transfer of active protocols to another investigator at Yale, or</li> <li>• Close the protocol, or</li> <li>• Arrange for review/approval of the protocol at the new institution.</li> </ul>	HSC: Ext. 6-3650 HIC: Ext. 5-4688	<a href="mailto:human.subjects@yale.edu">human.subjects@yale.edu</a>  <a href="mailto:ysmhic@yale.edu">ysmhic@yale.edu</a> <ul style="list-style-type: none"> <li>• <a href="http://info.med.yale.edu/hic/">http://info.med.yale.edu/hic/</a></li> </ul>
HIPAA and Patient Information			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Arrange for appropriate transfer of PHI to new institution	HIPAA Privacy Office Ext. 2-5915	<a href="mailto:hipaa@yale.edu">hipaa@yale.edu</a>
	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"> <li>• Transfer protocol to different PI</li> <li>• Close protocol(s)</li> </ul>	IACUC Office Ext. 5-5992	<ul style="list-style-type: none"> <li>• <a href="http://iacuc.yale.edu/download/forms.html#modification">http://iacuc.yale.edu/download/forms.html#modification</a></li> <li>• <a href="http://iacuc.yale.edu/download/forms.html#annual">http://iacuc.yale.edu/download/forms.html#annual</a></li> </ul>
	Arrange for disposition of animals(s): <ul style="list-style-type: none"> <li>• Transfer animals to another institution</li> <li>• Euthanize animals (deactivate census)</li> <li>• Transfer animals to different PI/protocol</li> </ul>	YARC Ext. 5-2526 YARC/IACUC Ext. 5-2526/ Ext. 5-5992	<ul style="list-style-type: none"> <li>• <a href="http://iacuc.yale.edu/download/forms.html#modification">http://iacuc.yale.edu/download/forms.html#modification</a></li> </ul>

### 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 Ext. 6-8096	
	Ensure any co-inventions with other institutions are appropriately managed.	OCR Ext. 6-8096	

### Equipment

√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Disposition of equipment: <ul style="list-style-type: none"> <li>• Determine title to equipment in order to sell or transfer equipment.</li> <li>• If new organization is willing to purchase, a fair market value must be determined.</li> <li>• If a transfer of equipment to a new organization is to occur shipping should be paid by new organization.</li> <li>• Check with EHS regarding equipment used to store chemicals, biological agents, or radioactive materials.</li> <li>• Transfer equipment to foreign entity.</li> </ul>	GCFA: Bob Marchitto Ext. 2-3062  EHS: Ext. 5-3550  GCA: Don Deyo Ext. 5-3817	<ul style="list-style-type: none"> <li>• <a href="http://www.yale.edu/ppdev/policy/4209/4209.pdf">http://www.yale.edu/ppdev/policy/4209/4209.pdf</a></li> <li>• <a href="http://www.yale.edu/ppdev/forms/purchase/MEI_ChangeInStatusForm.pdf">http://www.yale.edu/ppdev/forms/purchase/MEI_ChangeInStatusForm.pdf</a></li> <li>• <a href="http://www.yale.edu/ehs/Documents/lab/deconguidelines.pdf">http://www.yale.edu/ehs/Documents/lab/deconguidelines.pdf</a></li> </ul>

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**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"> <li>• If so, notify sponsor               <ul style="list-style-type: none"> <li>○ If NIH, complete Relinquishing Statement; and</li> <li>○ Connect with new institution.</li> </ul> </li> <li>• If not, notify sponsor as to disposition of award. If new PI identified, provide appropriate information to sponsor otherwise, terminate award.</li> </ul>	Business Office GCA Ext. 5-6475  GCFA Ext. 2-3060  Business Office  GCA Ext. 5-6475	<ul style="list-style-type: none"> <li>• <a href="http://grants.nih.gov/grants/forms.htm">http://grants.nih.gov/grants/forms.htm</a></li> </ul>
	Determine if subawards should be terminated	GCA Ext. 5-6475	
	Reconcile financial reports	GCFA Ext. 2-3060	
	Ensure Effort Reports are complete	Business Office GCFA: Effort Reporting Central Administrator, Michele Greenhouse Ext. 2.9544	<a href="mailto:Effort.reports@yale.edu">Effort.reports@yale.edu</a> <ul style="list-style-type: none"> <li>• <a href="http://www.yale.edu/gcfa/effort/">http://www.yale.edu/gcfa/effort/</a></li> </ul>
	MTA Concerns (e.g., if materials can be transferred to another institution)	GCA: Chris Howe 5-6762	<a href="mailto:christine.howe@yale.edu">christine.howe@yale.edu</a>
	Determine if employees paid on sponsored projects require termination	Business Office	

**Gifts**

	Gift Concerns	University Corporate Foundation and Relations Ext. 6-8518	
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**Environmental Health and Safety**

√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Transfer and transportation of research materials to another institution and/or foreign entity.	EHS Ext. 5-3550	<ul style="list-style-type: none"> <li>• <a href="http://www.yale.edu/ehs/hazmatship.htm">http://www.yale.edu/ehs/hazmatship.htm</a></li> <li>• <a href="http://www.yale.edu/ehs/Documents/lab/researchmaterialschecklist.pdf">http://www.yale.edu/ehs/Documents/lab/researchmaterialschecklist.pdf</a></li> </ul>

	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"> <li>• Chemicals</li> <li>• Radioactive materials</li> <li>• Biological materials</li> <li>• Human pathogens</li> <li>• Controlled substances</li> </ul>	Safety Officer Ext. 5-3550	<ul style="list-style-type: none"> <li>• <a href="http://www.yale.edu/ehs/Documents/lab/deconguidelines.pdf">http://www.yale.edu/ehs/Documents/lab/deconguidelines.pdf</a></li> </ul>
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### Data/Record Retention

√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Ensure records/data are retained by Yale.		<ul style="list-style-type: none"> <li>• <a href="http://www.yale.edu/ppdev/policy/1105/1105.pdf">http://www.yale.edu/ppdev/policy/1105/1105.pdf</a></li> <li>• <a href="http://www.yale.edu/researchadministration/documents/RecordRetention.pdf">http://www.yale.edu/researchadministration/documents/RecordRetention.pdf</a></li> <li>• <a href="http://www.yale.edu/researchadministration/documents/GuidelinesRecordsRetentionv5_000.pdf">http://www.yale.edu/researchadministration/documents/GuidelinesRecordsRetentionv5_000.pdf</a></li> </ul>

### 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"> <li>• <a href="http://www.yale.edu/ppdev/Procedures/purchase/PurchasingCard/3215PR.01PCardEMS.pdf">http://www.yale.edu/ppdev/Procedures/purchase/PurchasingCard/3215PR.01PCardEMS.pdf</a></li> <li>• <a href="http://www.yale.edu/ppdev/forms/purchase/3215FR.01EMSPCardRequest.pdf">http://www.yale.edu/ppdev/forms/purchase/3215FR.01EMSPCardRequest.pdf</a></li> </ul>
	Make arrangements for e-mail account closure	Business Office	<ul style="list-style-type: none"> <li>• <a href="http://www.yale.edu/its/policy/email-policies.html">http://www.yale.edu/its/policy/email-policies.html</a></li> </ul>
	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"> <li>• <a href="http://www.yale.edu/ppdev/forms/hr/3501FR.31Termination_Checklist.doc">http://www.yale.edu/ppdev/forms/hr/3501FR.31Termination_Checklist.doc</a></li> </ul>

#### Acronyms:

EHS:	Office of Environmental Health and Safety
GCA:	Office of Grant and Contract Administration
GCFA:	Office of Grant and Contract Financial Administration
HIC:	Human Investigation Committee
HIPAA:	Health Insurance Portability and Accountability Act
HSC:	Human Subjects Committee
IACUC:	Institutional Animal Care and Use Committee
MTA:	Material Transfer Agreement
PHI:	Protected Health Information

YARC: Yale Animal Resources Center

