**Faculty/Researcher Separation Checklist**

UNC developed this checklist for faculty members who are leaving the University (including retirees) and who are involved with research activities to ensure notification of the appropriate central research offices occurs prior to the departure. Please contact each Office below, as applicable, and provide the information requested below.

**NOTE: This document is not to the exclusion of coordination with the Human Resources Consultant for your unit. You can find yours at this link:** [**https://hr.unc.edu/about/directory/schools-divisions/**](https://hr.unc.edu/about/directory/schools-divisions/)

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| **office of sponsored research (OSR)**  **Email:** [**resadminosr@unc.edu**](../../../../../Forms/External/Change%20Requests%20Forms/resadminosr@unc.edu) **Phone: 919-966-3411** | | | | |
| P | Item | | | |
|  | * PI needs to request approval from their Department Chair before beginning the process of communicating with OSR. Of note: grants are awarded to the institution and department. So, it is only upon Department Chair & higher institutional approvals that sponsored external awards are permitted to be transferred. * Provide OSR with the following information: * Active sponsored project(s) in which you are a PI, Co-PI, listed as key personnel or collaborator * Have committed (cost share) and/or actual effort on a sponsored project * Sponsored projects that include sub-awards * Pending proposals that are likely to be funded and/or agreements pending execution * Any active contractual agreements (Federal/State funded grants, cooperative agreements/contracts, subcontracts) | | | |
|  | * Ensure all reports (financial and technical) and other deliverables have been submitted to sponsors * Work with Departmental Effort Coordinator to review and certify their final effort statement   Note: Noncompliance with submitted final Progress Report may result in Investigator and Institution not being able to accept future funding from agency | | | |
| **If you have** | | **That Will…** | **You will need to…..** | **Administrative Notes** |
| Active External Awards | | Transfer to new institution | * Determine if sub-award back to UNC is needed (i.e. to continue support of grad students / fellows) * Submit a request to OSR to transfer the award; agency relinquishing statement * Notify OSR to terminate Sub-awards * Submit a prior approval request to OSR to transfer equipment to new institution (See UNC Policy 603.6) * Submit any outstanding reports to sponsor and deliverables * Close out the award |  |
|  | | Relinquish prior to separation | * Notify OSR to terminate sub-awards * Submit any outstanding reports and deliverables to sponsor * Submit a final invention statement, if applicable * Work with OSR to close out the award |  |
|  | | Remain at this institution | * Identify new PI of record * Submit official request to OSR to change PI on project |  |
| Expired external awards | |  | * Submit any outstanding reports and deliverables to sponsor |  |

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| **OFFICE OF INDUSTRY CONTRACTING (OIC)**  **Email:** [**OIC@unc.edu**](mailto:OIC@unc.edu) **Phone: 919-843-2698** | |
| P | Item |
|  | ***Industry Sponsored Projects*** |
|  | * Contact OIC with a list of Industry Sponsored Research Projects (clinical and non-clinical) |
|  | * Indicate whether the study will be transferred to the new Institution or transferred to a new PI at UNC |
|  | * Provide a UNC Department contact |
|  | * Provide contact information for the new Institution |
|  | * Indicate whether the Sponsor has been notified of the departure |
|  | ***PI Initiated Projects with Industry Funding*** |
|  | * Contact OIC with a list of projects that are PI initiated and are Industry funded (clinical and non-clinical) |
|  | * Indicate whether the Clinical Trial Agreement (CTA) will be transferred to the new Institution |
|  | * Will there be an interim UNC PI? If so, provide contact information for the interim PI |
|  | * Will UNC remain a site for the project? If so, provide contact information for the new PI |
|  | * Indicate whether the funding source (inclusive of those studies that only have drug/device provided) has been contacted |
|  | * If the project will be continued at the new Institution, provide contact information |
|  | * Provide OIC with information on any expected Date Use Agreements needed related to departure (incoming and outgoing) |

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| **Institutional Animal Care and Use Committee (IACUC)**  **Email:** [iacuc@med.unc.edu](mailto:iacuc@med.unc.edu) **Phone: 919-966-5569** | |
| P | Item |
|  | * Contact the Office of Animal Care and Use (OACU) with the expected final date for animal work |
|  | * Provide OACU with the name of the new UNC faculty member who is transferring the protocol |
|  | * File an amendment with the IACUC Office if transferring the protocol to another UNC Principal Investigator |
|  | * If no animals are present and work at UNC has concluded, terminate the protocol with the IACUC Office |

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| **Division of Comparative medicine (DCM)**  **Email:** [dg@unc.edu](mailto:dg@unc.edu) **Phone: 919-962-5335** | |
| P | Item |
|  | * Contact DCM with information on whether animals will be transferred to the new institution or to discuss other disposition options |
|  | * If required, change the chart field in ACAP (for billing) |
|  | * Access to buildings will be terminated |

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| **Environment, health and safety (ehs)**  **Website:** [ehs.unc.edu](mailto:dg@unc.edu) **Phone: 919-962-5507** | |
| P | Item |
|  | * Notify EHS via email ([labsafety@unc.edu](mailto:labsafety@unc.edu)) 30 days prior to shutdown date |
|  | * Complete lab closeout checklist and submit to EHS when completely moved out of lab space   <https://ehs.unc.edu/files/2015/09/closeout_checklist.pdf> |
|  | * Complete EHS “Waste Disposal Request” <https://ehs.cloudapps.unc.edu/HazMat_Pickup/>) for any unwanted hazardous materials prior to closeout. **Note:** Any hazardous material left behind ***may result in charges*** to PI/Department for proper disposal |
|  | * For research proposals that require medical surveillance closeout evaluation, contact the UEOHC at 919-966-9119 to schedule an appointment in accordance to the SOP. |

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| **office of Technology commercialization (oTC)**  **Email:** [otc@unc.edu](mailto:otc@unc.edu) **Phone: 919-966-3929** | |
| P | Item |
|  | * Provide the name of the new employer and a forwarding address |
|  | * Provide information on materials that will be transferred to the new location (cell lines, clinical samples, etc.) **Please note:** Contact the Office of Sponsored Research (OSR) to transfer research equipment. |
|  | * Confirm material received from external parties has been returned/destroyed **OR** permission has been obtained to take it |
|  | * Provide a final update on previously disclosed inventions |

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| **Institutional Privacy office (IPO)**  **Email:** [**privacy@unc.edu**](mailto:privacy@unc.edu) **Phone: 919-962-6332** | |
| P | Item |
|  | * If a Data Use Agreement is anticipated, submit a request to OIC to prepare the DUA which will be sent to IPO for review |
|  | * For faculty who plan to take research data from UNC research studies, provide proof of the IRB’s approval to take the research data, including the IRB study number, data elements to be disclosed, and recipient institution’s name. |
|  | * For faculty who plan to take research data from closed research studies outside of UNC, the faculty member’s department is responsible for ensuring the IRB-approved storage of data was approved for storage beyond study closure.  (See IRB application section A.12.1). Provide IPO with proof of IRB approval of storage beyond study closure and items requested above. |
|  | * For faculty who plan to take research data from research studies that will be transferred to the new institution, provide the IRB approval for this transfer and proof that data will be stored and transferred appropriately. |
|  | * Ensure department chair approval has been obtained for the use of the data, if needed (such approval may be indicated on the DUA or through other OIC processes) |
|  | * If the faculty member has already left UNC (including retirees), more approvals may be required. |

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| **Conflict of Interest (COI)**  **Email:** [**coi@unc.edu**](mailto:coi@unc.edu)  **Phone: 919-843-9953** | | | | |
| P | Item | | | |
|  | * Email the COI Program with the date you leaving UNC and the institution to where you are going | | | |
|  | * Ensure any unsubmitted COI disclosures have been completed in the AIR system. | | | |
| **If you have** | | **That Will…** | **You will need to…..** | **Administrative Notes** |
| An IRB study | | Stay at UNC or transfer to transfer to new institution | * Have your position and contact information changed on the IRB study so that you don’t receive UNC COI disclosures * Change or remove COI disclosure text in the informed consent as needed |  |
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| A Sponsored Project | | Stay at UNC | * Have your position and contact information changed on the IPF or account in Ramses so that COI disclosures are linked appropriately | A subcontract may need to be initiated with the Dept. |
| A Monitoring Committee for your COI | | Stop once you leave UNC | * Have time in your schedule for a “close-out” meeting before you leave with the COI Program and COI Chair. Email coi@unc.edu |  |

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| **office of human research ethics (ohre)**  **Email:** [**irb\_questions@unc.edu**](mailto:irb_questions@unc.edu) **Phone: 919-966-3113** | |
| P | Item |
|  | * Provide OHRE with IRB #’s of studies where the exiting faculty member is the Principal Investigator |
|  | * Submit a modification requesting closure of the study if all study activities have been completed |
|  | * For studies that will be transferred to the PI’s new institution, a reliance agreement must be in place to cover IRB oversight of the study during the transition to the new institution. |
|  | * A reliance agreement between UNC and the new institution may remain in place in certain circumstances (i.e., the study is in data analysis and UNC personnel will continue involvement).   **PLEASE NOTE:**  UNC Adjunct Faculty who hold primary appointments at other institutions or organizations may not continue to serve as the PI at UNC. Emeritus faculty (retirees) may continue to serve as PI on studies that are in data analysis only. (See IRB document: “How to Request a Reliance Agreement.”) |
|  | * For studies that will continue at UNC, submit a modification naming a new UNC PI and remove the existing PI from the IRB personnel list |
|  | * For faculty whose role is other than the PI, remove name from IRB personnel list |
|  | * Faculty who plan to take research data or specimens obtained from closed research studies outside of UNC, the faculty member’s department is responsible for ensuring the IRB approved storage of data/specimens were approved for storage beyond study closure. (See IRB application section A.12.1) |

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| **Export Compliance**  **Email:** [**exportcontrol@unc.edu**](mailto:exportcontrol@unc.edu) **phone: 919-962-4102** | |
| P | Item |
|  | * If the departing employee has participated in any type of export-controlled research or project, they should notify the EC Office of their departure. * If the departing employee is a foreign national returning to their home country and they have participated in any type of export-controlled research or project, they must work with the EC office to determine what (if any) data may be taken back to their home country. Controlled data may not be transferred out of the country without review and approval from the EC office. The foreign national employee will also be required to sign an export attestation prior to transferring any permitted controlled data outside of the United States. * If the departing employee intends to transfer export controlled equipment, materials, biologics, and/or data to another institution/ entity, they must work with the export control office to ensure that all documentation and export controls requirements are met. The EC office will also work with the receiving institution/ entity to ensure that requirements are met for the transfer. * If the departing employee is retiring and wishes to personally retain export controlled data, they must complete an EC attestation prior to termination. |

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| **office of university counsel (OUC)**  **Email:** [**N/A**](mailto:privacy@unc.edu) **Phone: 919-962-6332** | |
| P | Item |
|  | * If the departing employee is on a legal hold notice, contact OUC at the number above, and be prepared to identify the departing employee. |

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| **office of clinical trials**  **Email:** [**oct@unc.edu**](mailto:oct@unc.edu) **Phone: 919-843-2698** | | | | |
| P | Item | | | |
| **If you have** | | **That Will…** | **You will need to…..** | **Administrative Notes** |
| An active trial that meets FDAAA Registration or Results reporting requirements and you hold the IND/IDE | | Transfer to new institution | * Transfer the CT.gov record to the new institution |  |
|  | | Remain at this institution | * Assign a new PI to be the responsible party at this institution |  |
| An active federal grant that is associated with the project and is active and meets FDAAA Registration or Results Reporting requirements | | Transfer to the new institution | * Transfer the CT.gov record to the new institution |  |
| Remain at this institution | * Assign a new PI to be the responsible party at this institution |  |
| **IND/IDE HOLDERS** | | | | |
| **If you have** | | **That Will…** | * **You will need to…..** | **Administrative Notes** |
| An IND/IDE held by you | | Transfer with you to the new institution | * Contact the IND/IDE Specialist in the LCCC CPO if an oncology study **OR** the IND/IDE Program Coordinator at NC TraCS if non-oncology study |  |
|  | | Transfer with you to the new institution, but the study will still be conducted at UNC | * Identify new PI of record for this institution * Have the new PI submit a 1572 to you as the sponsor * Contact the IND/IDE Specialist in the LCCC CPO if an oncology study **OR** the IND/IDE Program Coordinator at NC TraCS if non-oncology study |  |
| An IND/IDE held by the University | | Transfer to the new institution | * Contact your Department chair to request permission to transfer the IND/IDE to you * Provide OCT with the approval information * Contact the new institution to determine their process to transfer the IND/IDE and provide this information to OCT * Specialist in the LCCC CPO if an oncology study **OR** the IND/IDE Program Coordinator at NC TraCS if non-oncology study |  |
|  | | And will remain at this institution | * Contact the IND Specialist in the LCCC CPO if an oncology study **OR**  the IND/IDE Program Coordinator at NC TraCS if non-oncology study * Identify a new PI of record |  |