FACULTY DEPARTURE CHECKLIST

FACULTY INFORMATION	
Faculty Member Name:	
College/Institute and Department: (include Division, if applicable)	
Estimated or Effective Departure Date:	
Forwarding email address:	
If moving, provide new institution administrative contact:	
IT contact at new institution if planning to move data:	
Sponsored programs administration contact at new institution:	

Refer to the identified appendix for a supplementary checklist for submission. Please check any that apply:

Do you have:	Appendix	Yes	No
A conflict of interest management plan?	A		
A Technology Control Plan (TCP) or have you participated in an export-controlled activity?	A		
Plans to transfer any research specimens to another institution?	A		
Any Intellectual Property disclosed to UNeMed?	A		
An active NDA, data use/data sharing agreement, or MTA?	A		
Plans to transfer equipment, research data, or research endpoints or devices?	A/B		
Active external sponsored project funding?	B		
Any IACUC or IBC protocols (past, current, or pending)?	C		
Any IRB protocols (past, current, or pending)?	C		
Does the faculty have email, electronic data, physical files, or University-owned endpoints?	D		
Actions		**Yes**	**N/A**
Return all UNO endpoints and devices (desktop, laptop, peripherals, tablets, mobile devices, etc.) to department administrator (please specify endpoints and devices), see **Appendix D**. In cooperation with IT, remove all University data, credentials, and software from personal devices.			

Upon completion of the checklist(s) in the required appendices, sign this page and send checklist along with any required forms to your Grants Coordinator or to unosponpro@unomaha.edu.

Faculty Signature   Date
     Print Name

Distributed IT Signature   Date
     Print Name

Chair Signature   Date
     Print Name

Dean Signature   Date
     Print Name

APPENDIX A: INTELLECTUAL PROPERTY, COMPLIANCE, & EQUIPMENT/ELECTRONIC DEVICES

To be completed by an investigator intending to transfer materials to another institution.

Faculty may have data, records, specimens, cell lines, or reagents they would like to take with them when leaving UNO. The ownership of these items may be unclear. It is important to communicate with UNeMed regarding any potential issues that may arise related to the faculty members intellectual property portfolio. All items listed below must be completed PRIOR to departing UNO.

Data & Records	Date Completed or NA
If you intend to transfer data to your new institution, please request a consult from researchcompliance@unomaha.edu to determine whether or not a Data Use Agreement is needed. Research Compliance and OSP will work with you to document any pre-existing rights and obligations that may be attached to the data in question.	
If you intend to transfer a Limited Data Set as defined under the Privacy Rule, then a Data Use Agreement (DUA) is required. Submit a request for a DUA to OSP unoawards@unomaha.edu	
If you have received Institutional Review Board (IRB) approval to transfer de-identified research data, faculty must remove all personal identifiers prior to transfer. All copies of databases that contain patient identifiers must be deleted or otherwise destroyed and may not be transferred from UNO. Contact researchcompliance@unomaha.edu with any technical questions on transferring data and to develop a data transfer plan.	
Faculty must work with OSP's contract specialist unoawards@unomaha.edu, to ensure a data transfer plan is in place. UNO will not transfer data without a signed data use agreement from OSP.	

Conflict of Interest	Date Completed or NA
If you have any managed conflict of interest, notify unocoi@unomaha.edu, prior to your departure.	

Materials & Specimens	Date Completed or NA
New MTAs: If the departing PI requires materials to be transferred to his/her new institution then request a new MTA to cover the transfer. The materials will not be transferred until an MTA is fully-executed between UNO (the providing entity) and New Institution (the receiving entity). Contact unoawards@unomaha.edu	
Consult with IRB if you will be transferring specimens or any data from subjects. *Please note that the IND and the Certificate of Confidentiality, if applicable, transfer with the protocol.* See **Appendix C**.	
Closeout of MTAs: Ensure proper closeout of existing material transfer agreements per terms and conditions of existing MTAs, including the return and/or destruction of the material.	
If you intend to transfer any animals remaining in inventory to another investigator's protocol or have the animals transferred to the new institution, you must contact UNO Animal Care and Use Program (ACUP) (iacuc@unomaha.edu) *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. Transfer of animals to other institutions requires a signed MTA.* See **Appendix C.**	
If you intend to destroy materials such as specimens, cell lines, or reagents, consult with Environmental Health & Safety (EHS) to arrange such actions. See **Appendix D**.	

Patents & Inventions	Date Completed or NA
Disclose to UNeMed (unemed@UNO.edu) final update and data related to any previously disclosed inventions. Copy OSP at unosponpro@unomaha.edu	
Submit to UNeMed (unemed@UNO.edu) any unreported inventions. Copy OSP at unosponpro@unomaha.edu	
Provide new address and contact information for intellectual property related activities to UNeMed (patent prosecutions, licensing support, revenue distribution, etc.) to (unemed@unmc.edu).	
Provide point of contact for technology licensing office at new institution.	
Ensure all necessary documentation (invention disclosures, patent assignments, etc.) have been executed and, if applicable, notarized.	

EXPORT CONTROL	Date Completed or NA

Contact the Export Control Office by email (exportcontrol@unomaha.edu) for help in determining how to transfer your responsibilities related to export-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 put them in touch with the UNO Export Control Office to coordinate the transfer of any export-controlled research projects, 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 an export-controlled activity after leaving UNO, work with the Export Control Office to apply for any necessary export licenses or other authorizations prior to your departure. The Export Control Office cannot guarantee that all destinations will be eligible, willing, or able to accept export-controlled materials or that the U.S. government will approve any license applications.	
Contact the Export Control Office by email (exportcontrol@unomaha.edu) to confirm authorization to remove export-controlled technical data, equipment, software or other materials from UNO Items subject to a pending or denied export license application may not be exported by or from UNO.	
Work with the Export Control Office (exportcontrol@unomaha.edu) to notify the shipper or freight forwarder if export-controlled technical data, equipment, software or other materials will be included in any shipment from UNO to a foreign destination and ensure that they receive copies of all export licenses or other authorizations.	

Equipment & UNO Electronic Devices	**Date Completed or NA**
Equipment Transfers: Complete the Fixed Assets Department Checklist and submit to departmental administrator. *Note: Faculty moving to another university who want to transfer research equipment with them must have approval from the department Chair or administrator and the UNO Controller's Office in Business/Finance before dispensation.* *Note: IT security restricts movement of laptops, computers, or servers to another institution.*	
Endpoints, Devices, & Servers: UNO restricts laptops, desktops, servers, and other computers from physically being moved to another institution for compliance with cybersecurity regulations. Please see **Appendix D** for more information.	

APPENDIX B: EXTERNAL SPONSORED PROJECTS

UNO holds each Sponsored Award as the recipient institution, not by the PI as an individual. Thus, the determination of whether a sponsored award is appropriate to transfer is a process involving UNO Leadership (Dept./College/Institution), Office of Sponsored Programs (OSP), and the Sponsor.

Office of Sponsored Programs (Pre-Award) Tasks	Date Completed or NA
NO INTENT TO TRANSFER AWARD: To initiate a replacement UNO PI or the closeout of the award, coordinate with OSP (unosponpro@unomaha.edu) to allow submission of a prior approval request to the sponsor or the early termination as required by the terms and conditions of the award *prior* to your departure date. • **Invention Statements**: Complete and submit final invention statements OSP for it to review and to submit sponsor as required (unosponpro@unomaha.edu) . • **Progress Reports**: Complete and submit all required progress reports and final progress reports as required by the award terms and conditions. Provide copies to OSP	
TRANSFER OUT AWARD: • **OSP FORM (Signatures Required)**: Complete and submit a 'OSP Form: AWARD TRANSFER OUT (requires signatures of the Dept. Chair, the Dean/Research Dean of the College/Institute. Each award in question needs its own completed form. ➢ Submit to your assigned grants coordinator to email unosponpro@unomaha.edu • **Relinquishment**: OSP will then work with you, your Dept. Administrator, and to submit a Relinquishment Statement to the Sponsor. • **Transfer Contact Information**: Provide contact information for new institution to your OSP representative and provide OSP's contact information to new institution (unosponpro@unomaha.edu) • **Invention Statements**: Complete and submit final invention statements OSP for it to review and to submit sponsor as required (unosponpro@unomaha.edu). • **Progress Reports**: Complete and submit all required progress reports and final progress reports as required by the award terms and conditions. Provide copies to OSP. • **Original Documents & Files:** Hand off all original documents and files to your appropriate departmental administrator and identify for that administrator any copies of such documents that you wish to take a copy with you.	
Office of Sponsored Programs (Post-Award) Tasks	Date Completed or NA
• **Effort Certifications**: Contact your Grants Accountant representative to make arrangements to review and certify final Effort Reports for you and your lab personnel. • **Financial Reconciliation & Closeout**: With the help of your appropriate department administrator and Grants Accounting representative, prepare the award budget to **retain** sufficient funds by UNO to cover any outstanding balances and/or budget deficits. Review and certify final expenditures made to grant or contract.	

APPENDIX C: HUMAN OR ANIMAL SUBJECT RESEARCH

To be completed by an investigator responsible for human or animal subject research.

It is imperative that proper steps be taken regarding the disposition of human or animal subject research protocols prior to departure from the University. All items listed below should be completed PRIOR to the faculty member's departure from UNO.

HUMAN SUBJECT RESEARCH	Date Completed or NA
Contact researchcompliance@unomaha.edu to identify open protocols/grants and provide a departure date.	
Initiate change request form in RSS to update personnel changes.	
IRB is not obligated to continue serving as the single IRB if the PI moves to another site, discuss with the IRB.	
Projects to be transferred	**Date Completed or NA**
Assess transferability of research to new institution (e.g., geographic proximity for human subjects, etc.) and submit application through new institution's IRB.	
Consult with Research Compliance if you will be transferring specimens or copies of any data from subjects. *Please note that the IND and the Certificate of Confidentiality, if applicable, transfer with the protocol.*	
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 IRB with closure form.	
Check with IRB for any outstanding issues including fees (e.g. for serving as Central IRB) which must be paid <u>prior</u> to transfer.	
Submit closure form by accessing RSS, choose "form" and choose "completion report."	
Projects to be retained at UNO	**Date Completed or NA**
The PI on an IRB must be current faculty, employee or student of organization. See https://guides.unmc.edu/books/hrpp-policies-and-procedures (policy 1.26, section 4.0). If 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 department to contact Sponsored Programs to discuss details.	
If the PI is changing, complete IRB Change Form in RSS. Even if the new PI is listed on the protocol, a change request must be completed to update the personnel and list the new primary investigator.	
Projects to be terminated	**Date Completed or NA**
Submit closure form by accessing RSS, choose "form" and choose "completion report."	
Consult with your department, college, or institute regarding record retention and/or disposal. IRB records must be maintained and someone from the department must become the new data custodian.	
Retention of clinical trials data	**Date Completed or NA**
Describe data generated during clinical trial 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 your clinical research coordinator, the clinical research center, or UNeHealth.	

For Sub-investigator: *Sub-Investigator must complete the below for each protocol on which they are listed.*	Date Completed or NA
If you will continue to work on the protocol after you leave UNO notify the principal investigator and IRB.	
Modify protocol using tracked changes and submit to IRB. The new PI must modify protocol and Consent Form to reflect transfer of data out of institution. Make change request through RSS.	
Contact the IRB to discuss an unaffiliated investigators agreement.	
Request that PI contact OSP to determine if a contract will be required.	
ANIMAL SUBJECT RESEARCH	Date Completed or NA
If PI on Institution Animal Care and Use Committee (IACUC) protocol, send written notification the UNO Animal Care and Use Program (ACUP) (iacuc@unomaha.edu) to inform them of proposed transfer. The notification should include: exact date of departure, requested date of protocol termination, intended disposition of any remaining animals, and new contact information.	
Transferring Animals	Date Completed or NA
If likely to transfer animals, contact ACUP at iacuc@unomaha.edu *Note: Animals transferring to another institution requires a signed MTA and will likely need to be placed in quarantine at the new institution, so adequate lead-time must be taken into account.*	
If you plan to continue collaborative research with another qualified UNO faculty member, the collaborating UNO 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: 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 member who will continue to work on their projects, the timetable for completion of the collaborative project.	
Verify that any qualified UNO collaborators have received full IACUC approval for the new protocol, otherwise they may not be allowed to continue or initiate the departing investigator's research.	

To be completed by an investigator intending to leave UNO, PRIOR to departing

UNO Physical Files	Date Completed or NA
Does the faculty member have physical files containing UNO-owned research results, data, curriculum/lecture materials, copyrighted materials, etc.? If so, ensure appropriate review for final disposition through your department administrator.	

UNO Credentials and Email	Date Completed or NA
Is the faculty member requesting to retain a UNO electronic credentials or email beyond the date of employment? This is not guaranteed, must be tied to an appointment (e.g. adjunct professor), and will have limited access to UNO resources. Discuss with your department administrator.	

Endpoints and Devices	Date Completed or NA
Confirm all university-owned endpoints and devices, whether associated with or separate from research equipment, have been appropriately reviewed for final disposition. Note: UNO restricts laptops, desktops, servers, and other computers from physically being moved to another institution for compliance with cybersecurity regulations.	
Contact your department's IT support for guidance and assistance in removing University-licensed software, applications, and/or records that are University property from any endpoints or devices personal devices or those being transferred to a new institution.	

Data Storage sites	Date Completed or NA
In what locations does the faculty currently store data?	
File share or mapped drive. Describe:	
Microsoft 365 (Teams, SharePoint, OneDrive). Describe:	
On-Premise Physical or Virtual Server (locally managed). Describe:	
On-Premise Physical or Virtual Server (NU-ITS Data Center). Describe:	
Cloud Services (Amazon Web Services, Microsoft Azure). Describe:	
Clinical Trial Management System. Which studies, if primary:	
Bioinformatics and Systems Biology Core. Describe:	
Other Translation Cores. Describe:	
Holland Computing Center. Describe:	
Iron Mountain or other long-term paper/data storage location. Describe:	
Other:	

Internal Data Reassignment:	Date Completed or NA
If any of the data/projects/folders are to be transferred to another faculty member, please designate and work with IT or researchcompliance@unomaha.edu to arrange transfer.	

External Data transfer	Date Completed or NA
Does the faculty plan to transfer data from any data storage site above, and if so, which one(s)?	
Is the data associated with a grant or contract being transferred, and if so, which ones? *Note: Will require Data Transfer Agreement for any research data being replicated or transferred and may require specific method of transfer depending on type and amount of data. Contact researchcompliance@unomaha.edu with any technical questions on transferring data once data transfer agreement signed and completed.*	

Data Destruction	Date Completed or NA
Is the faculty under obligation to destroy any data, and to whom to report to when complete? Inform researchcompliance@unomaha.edu of the requirement and specific obligations.	

Data Upload	Date Completed or NA
Is the faculty under any obligation to upload data to a public or semi-public data repository (e.g., GeneBank, Clinicaltrials.gov), and if so, who will help the faculty complete that task?	