

**Harvard Medical School**  
**GUIDELINES FOR THE FACULTY/RESEARCHER EXIT CHECKLIST**

Dear HMS Faculty Member:

HMS has developed a tool by which the appropriate HMS and University offices and officials would be notified of a faculty member's departure. This process is intended to assist departing faculty, as well as HMS/University Departments and Offices, to be in compliance with state, federal, and University guidelines, providing an efficient and effective means to close out projects and resources associated with sponsored research and ensure a smooth transition for student advisees and staff.

A team of HMS representatives from various offices has developed guidelines for faculty who end their employment with HMS, whether through resignation, retirement, or termination. The checklist provides the steps the faculty member and the department should complete in order for the faculty member to officially exit from HMS. This checklist includes important Human Resources information, departmental logistics, records management considerations, and procedures for faculty involved with active research projects. Following the steps outlined in the checklist will facilitate the transition of the faculty member from active employment to her/his eventual departure date.

Part I is to be provided by the designated department representative to the faculty member departing the University. The form should be given to the faculty member as soon as notification of his/her planned departure is received. When completed, this form should be reviewed and signed by the faculty member and the Department Chair.

Part II should be completed by the designated department representative to ensure all appropriate School and University entities are notified of the faculty member's departure. The form should be reviewed and signed by the Department Chair or Administrator once completed. If a faculty member departs the University unexpectedly, is deceased or otherwise is unable to carry out his/her responsibilities, department personnel should complete both Part I and II as best as possible.

Please review the information and feel free to contact me with your feedback and suggestions. I thank you for your assistance in implementing these new faculty exit procedures, and hope that this system will provide a useful tool and assist departments in closing out faculty employment.



\_\_\_\_\_ \_\_\_\_\_

**For faculty members with H-1B visas or H-1B visa status:**

Under US immigration laws, if the H-1B employee is dismissed (terminated) from employment by the department before the end of the H-1B expiration date, the department is liable for the reasonable costs of return transportation of the foreign faculty member to his/her country abroad. If your position is being terminated prior to the expiration of your H-1B visa, confirm with your department Chair and/or Administrator that you are departing the USA and returning to your home country so that airline tickets can be purchased at a reasonable cost.

\_\_\_\_\_ \_\_\_\_\_

If you have a managed conflict of interest or are involved in an active integrity review, inquiry or investigation, please notify the Office for Professional Standards and Integrity.

\_\_\_\_\_ \_\_\_\_\_

If you have an active Export License, please notify the [Office for Academic & Research Integrity](mailto:ari@hms.harvard.edu); ari@hms.harvard.edu

**If any of the following situations apply, please refer to the appropriate appendix:**

N/A    Completed

\_\_\_\_\_ \_\_\_\_\_

Serve as a PI on a sponsored award or other outside agreement? (See Appendix A)

\_\_\_\_\_ \_\_\_\_\_

Maintain a research lab? (See Appendix B)

\_\_\_\_\_ \_\_\_\_\_

Conduct human subject research? (See Appendix C)

\_\_\_\_\_ \_\_\_\_\_

Conduct animal research? (See Appendix D)

\_\_\_\_\_ \_\_\_\_\_

Transfer of equipment, resolution of deficit balances on non-sponsored funds, certification of outstanding annual faculty and monthly staff effort, and permissions regarding gift funds (See Appendix E)

\_\_\_\_\_ \_\_\_\_\_

Intend to transfer data or records (See Appendix G)

\_\_\_\_\_ \_\_\_\_\_

OTD is handling any of your inventions, patents and/or other intellectual property (if you have recent research results and/or intellectual property in the form of new discoveries or inventions that have not yet been published or protected via provisional patent filings, contact OTD to as soon as possible ensure these are formally disclosed prior to departure - See Appendix F)

**Approximately 2-3 weeks prior to departure date**

N/A    Completed

\_\_\_\_\_ \_\_\_\_\_

Discuss with Department the disposition of mail received by the Department after departure.

\_\_\_\_\_ \_\_\_\_\_

Settle any cash advances, petty cash accounts, or pending reimbursements.

\_\_\_\_\_ \_\_\_\_\_

If in a supervisory role, insure that budgetary records, HR reviews, letters or emails containing resource commitments, and unit strategic plans are labeled and organized in hard copy files for the supervisory successor.

\_\_\_\_\_ \_\_\_\_\_

Consult with department, the Archives and Records Management Program at HMS ([arm@hms.harvard.edu](mailto:arm@hms.harvard.edu) or 617-432-6194), and HMS IT for retention and/or disposition of e-mail, home directory files, websites, and any other electronic materials, including all electronically- stored University data. University records and data should remain in the

care of your Department or be transferred to the HMS Archives (the Center for the History of Medicine at the Countway Library).

**Approximately 1-5 days prior to departure date**

\_\_\_\_\_

Remove all personal items from offices.

\_\_\_\_\_

Return ALL keys and ID badge(s) to department.

\_\_\_\_\_

Return all University credit cards or travel cards to department.

\_\_\_\_\_

Return any University items such as portable computer/cell phone/pager/PDA/etc.

\_\_\_\_\_

Contact parking to schedule termination of any parking permit

\_\_\_\_\_

Consult with HMS IT to delete all remaining electronic files containing University data or University licensed software from your personally owned computers, handheld devices, and electronic media.

\_\_\_\_\_

**Return all paper documents and research materials (e.g. slides, films) containing University data, including original laboratory notebooks/records to Department.**

**After Departure:**

\_\_\_\_\_

Notify Payroll of any change of address during the year so that a W-2 tax statement can be sent in January.

**FACULTY DEPARTURE CHECKLIST – Part II**  
**(To be completed by the department)**

\_\_\_\_\_  
 Faculty member’s Name (Last, First, Middle)                      Faculty member ID #                      Date of Departure

Date of physical department (if different) \_\_\_\_\_

**PART II- DEPARTMENT RESPONSIBILITIES**

**At First Notice of Departure:**

N/A      Completed

\_\_\_\_\_      \_\_\_\_\_      Give faculty member the Faculty Departure Checklist - Part I: Faculty Member Responsibilities and any checkout procedures specific to individual department.

\_\_\_\_\_      \_\_\_\_\_      Email signed notice of departure/resignation letter to the office of the Dean or Department Head and Faculty Affairs immediately upon receipt.

\_\_\_\_\_      \_\_\_\_\_      Notify the following offices (if applicable) of faculty member’s pending departure. Provide them with faculty name and departure date:

- [SPA/OSP](#)
- [HMS Office of Finance](#)
- [Environmental Health and Safety Department:](#)
- See web site [for move out and decontamination guidance](#)

Contact [Lab\\_Safety@harvard.edu](mailto:Lab_Safety@harvard.edu) to report anticipated move date or with any questions.

- [Institutional Review Board](#)
- [Animal Care and Use Committee](#)
- [Office of Technology Development](#)
- [Office for Professional Standards & Integrity](#)
- [Harvard Center for Comparative Medicine](#)
- [University Human Resources](#)
- [OFA](#)
- [COMS](#)
- [Facilities](#)
- Center for the History of Medicine ([HMS Archives & Records Management](#))

\_\_\_\_\_      \_\_\_\_\_      **Recommend to the faculty member that he/she meet with Human Resources Administrative Services.**

\_\_\_\_\_      \_\_\_\_\_      Update faculty member’s new address in MARS so that U.S. Mail can be forwarded.

\_\_\_\_\_      \_\_\_\_\_      Process any non-reimbursed travel expenses through the department prior to termination date.

**Approximately two weeks before departure:**

N/A      Completed

\_\_\_\_\_      \_\_\_\_\_      Verify that all equipment, records and data that will be left at HMS have been received, documented, and secured.

**On last day:**

N/A Completed

- \_\_\_\_\_ Obtain the Faculty Departure Checklist.
- \_\_\_\_\_ Confirm with faculty member all electronic files containing University data have been preserved and transferred to HMS from his/her personally-owned computers, hand-held devices and electronic media and subsequently removed.
- \_\_\_\_\_ Confirm with faculty member that all paper documents containing University data have been returned to the department or appropriately archived with HMS Archives and Records Management.
- \_\_\_\_\_ Confirm that department has access and passwords for any electronic files being left at HMS.
- \_\_\_\_\_ Verify removal of personal items from offices or lockers.
- \_\_\_\_\_ Verify the return of all keys and ID badge(s) to department.
- \_\_\_\_\_ Verify that the parking office was notified, if applicable
- \_\_\_\_\_ Verify return of VPN hardware key to department LSP or ITC.
- \_\_\_\_\_ Verify return of University credit cards or travel cards to department.
- \_\_\_\_\_ Verify return of University portable computer/cell phone/pager/long distance calling card/copy card to department.
- \_\_\_\_\_ Confirm that the faculty member has completed the applicable items on the EHS Move Out Checklist, or that someone remaining in the department has appropriate knowledge and has assumed the responsibility for closing out the items.

**After faculty member's last day (as appropriate):**

N/A Completed

- \_\_\_\_\_ Clear/change all applicable passwords
- \_\_\_\_\_ Return faculty member's University ID to the ID office.
- \_\_\_\_\_ Deactivate building access and security cards.
- \_\_\_\_\_ Cancel signature authority.
- \_\_\_\_\_ Cancel access to the network, University Integrated System, etc. within 48 hours.
- \_\_\_\_\_ Cancel photocopy access number.
- \_\_\_\_\_ Clean drives for computers being reassigned.
- \_\_\_\_\_ Remove access to locally-maintained computer network.

## APPENDIX A – Sponsored Awards, ISRAs and other Agreements

### (To be completed by a Principal Investigator on a Grant, Contract, or ISRA or other Agreement)

Because grants are made to, and contracts and industry sponsored research agreements (ISRAs) are entered into by, Harvard University and not individuals, they must be closed out by Harvard University before they are relinquished back to the sponsor, terminated or, if permitted, transferred to another institution. The requirements vary but HMS typically will relinquish the award or contract back to the sponsor or other outside party (e.g., a collaborator or provider of data or materials) and the sponsor or other party may then make a new award or enter into a new contract or ISRA or other agreement with the new institution. Alternatively, if permitted, HMS may transfer the grant, contract or ISRA to the new institution directly. All items listed below should be completed **PRIOR** to departing HMS.

### Sponsored Programs Administration (SPA), Office of Sponsored Programs (OSP) and/or Office of Technology Development (OTD), as relevant:

#### 90 Days From Departure Date:

N/A      Completed

\_\_\_\_\_      \_\_\_\_\_      Alert your department grants management personnel, SPA Team, OSP and (in the case of an ISRA) OTD of your intent to depart the institution and the departure date, if known, or your intent to transfer a grant or contract (including any collaboration agreements, MTAs, data use agreements and the like and/or data or materials received under such agreements) or ISRA to another institution. *Please be aware that Harvard's ability to transfer any agreement to your new institution is contingent upon the prior written approval of the funding agency, foundation, company or other organization with which Harvard has made the agreement, as well as your new institution's ability to accept the terms and conditions of that agreement or to negotiate and sign a new agreement on your behalf.*

\_\_\_\_\_      \_\_\_\_\_      In collaboration with department grants management personnel and SPA Team, review list of current sponsored awards on which faculty member is PI or listed as Key Personnel. Determine how each award where the faculty member is PI will be handled (transfer to new institution, assign new Harvard PI, terminate award). Determine if requests/notifications need to be submitted to sponsors in cases where the faculty member is listed as Key Personnel.

#### For awards which will be transferred to the new institution:

\_\_\_\_\_      \_\_\_\_\_      Share SPA and OSP or OTD (in the case of an ISRA, industry collaboration agreement or MTA) contact information with the institution that you intend to transfer your awards or ISRAs to and share their information with OSP, SPA and/or OTD.

\_\_\_\_\_      \_\_\_\_\_      Complete and submit final invention statements to sponsor and OTD as required, also see Appendix F.

\_\_\_\_\_      \_\_\_\_\_      Ensure that all required reports of invention, progress reports and final reports have been prepared and submitted to sponsor or (in the case of an ISRA, MTA or industry collaboration agreement) to OTD. **(OTD prefers that investigators submit reports of invention, manuscripts and reports to OTD, rather than directly to the corporate sponsor.)**

\_\_\_\_\_      \_\_\_\_\_      Request that your department administrator prepare a relinquishing statement or similar sponsor document for any governmental or foundation awards. He/she will work with SPA for final approval. In the case of an ISRA, industry collaboration agreement or MTA, you instead should make this request of OTD.

\_\_\_\_\_      \_\_\_\_\_      Prepare request to sponsor as required for the transfer of any equipment, also see Appendix E.

\_\_\_\_\_ \_\_\_\_\_ Ensure that all original documents are given to the appropriate departmental administrator and inform that administrator about any copies of documents that will be leaving the University.

\_\_\_\_\_ \_\_\_\_\_ If transferring an award ensure that SPA has an up-to-date copy of all proposals and reports. In the case of an ISRA, industry collaboration agreement or MTA, provide such information to your Director of Business Development in OTD.

\_\_\_\_\_ \_\_\_\_\_ Notify sub-awardees, in writing that the award will be transferring. If you have a Certificate of Confidentiality, notify the issuing office of your new institutional affiliation.

**Financial Responsibilities:**

\_\_\_\_\_ \_\_\_\_\_ With the help of the appropriate administrator, prepare budget for remaining months at the University, and ensure that sufficient funds are retained at the University to cover any outstanding balances. This step must be completed prior to the preparation of a relinquishing statement or similar sponsor document for the transfer of the award, as mentioned above. He/she will work with SPA and OSP (or, in the case of an ISRA, OTD) and the School for final approval.

\_\_\_\_\_ \_\_\_\_\_ Review and certify final expenditures made to sponsored award.

\_\_\_\_\_ \_\_\_\_\_ Resolve any outstanding commitments and budget deficits.

\_\_\_\_\_ \_\_\_\_\_ Contact the HMS Office of Finance Effort Reporting Coordinator (<http://hms.harvard.edu/departments/office-finance/cost-analysis/effort>) to make arrangements to review and certify final effort reports for you and your lab personnel. (See Appendix E)

**Material Transfer Agreements (MTA):**

\_\_\_\_\_ \_\_\_\_\_ Coordinate with OTD staff to identify materials covered by existing material transfer agreements.

\_\_\_\_\_ \_\_\_\_\_ Review terms of MTA and ensure materials are handled accordingly. Materials to be transferred to another institution will likely require a new MTA to be processed between the providing entity and the receiving entity.

\_\_\_\_\_ \_\_\_\_\_ Before Materials are transferred permission must be granted by the provider. *Please be aware that there is no obligation on the part of any provider to grant permission for a given transfer.*

**Confidentiality Agreements:**

\_\_\_\_\_ \_\_\_\_\_ Coordinate with Sponsored Program Contracting or OTD staff to identify information covered by existing confidential disclosure or data use agreements

\_\_\_\_\_ \_\_\_\_\_ Review terms of confidentiality agreement to ensure that any information provided is handled accordingly. Information to be transferred to another institution will likely require a new CDA or data use agreement to be processed between the providing entity and the receiving entity.

\_\_\_\_\_ \_\_\_\_\_ Before provided information is transferred, permission must be granted by the provider. *Please be aware that there is no obligation on the part of any provider to grant permission for a given transfer.*



## APPENDIX B - RESEARCH LAB/HAZARDOUS MATERIALS

(To be completed by an Investigator responsible for closing down a laboratory)

Because laboratories often contain hazardous materials and equipment and other supplies obtained through several sources, coordination and care must be taken when either closing a lab completely or transferring some or all of the contents to another institution. To fully comply with health, safety and ownership requirements, the following actions may be required. All items listed below should be completed **PRIOR** to departing HMS.

### Environment Health and Safety Department (EH&S):

#### 60-90 Days From Departure Date:

N/A      Completed

\_\_\_\_\_      \_\_\_\_\_      Alert your Unit Administrator or School Administrator and the Environmental Health and Safety Department (as specified below) of your intent to close down a research laboratory to ensure the orderly cataloguing of equipment and the disposal of any hazardous materials.

\_\_\_\_\_      \_\_\_\_\_      Coordinate with your Department Administrator to verify ownership of all equipment and materials, and make arrangements for disposal or transfer. For transfer requirements – see Appendix E.

Note: If the lab contains hazardous materials, all chemical, biological or radiological agents are clearly identified so that agents can be properly classified and safely packaged for disposal or transfer. Ensure that you have all the necessary permits, e.g.: for transferring agents to a new site. Determine-before shipping or transporting privately whether the materials (even dry ice!) is considered a hazardous material. Understand that shipping or transporting hazardous materials may have additional requirements.

Unwanted items **MUST** be decontaminated. Contact the Office of Environmental Health and Safety (EHS) with questions, and see Move Out guidance on EHS web site:

<http://www.ehs.harvard.edu/programs/lab-closeout-decontamination>

Completion of a Certificate of Decontamination may be required by the movers or facilities and engineering departments.

\_\_\_\_\_      \_\_\_\_\_      Contact the Environmental Health and Safety Department to make arrangements for removal or disposal of chemicals, biological materials, ‘sharp’ items, all radioisotopes and related samples/specimens, and unknown/unidentified containers.

\_\_\_\_\_      \_\_\_\_\_      If you are a generator of hazardous waste, contact the Environmental Health and Safety Department to verify the disposal of your waste and confirm proper labeling of all hazardous materials that will not be disposed.

\_\_\_\_\_      \_\_\_\_\_      Notify the Environmental Health and Safety Department if you plan to ship or transport any chemical, biological or radioisotopic materials to another institution. They will provide you with required regulations.

## APPENDIX C - HUMAN SUBJECT RESEARCH

(To be completed by an Investigator working on a human subject protocol)

It is imperative that proper steps be taken with regard to the disposition of human subject protocols prior to departure from the University. All items listed below should be completed **PRIOR** to departing HMS.

### 60-90 Days From Departure Date:

\_\_\_\_\_ \_\_\_\_\_ Contact the appropriate IRB overseeing protocols/ grants to identify open protocols/grants and provide IRB with departure date. Principal Investigator must complete Section I for each protocol for which he/she is responsible.

### SECTION I

#### *Projects to be Transferred*

N/A      Completed

\_\_\_\_\_ \_\_\_\_\_ Assess transferability of research to new institution (e.g., geographic proximity for human subjects, etc.)

\_\_\_\_\_ \_\_\_\_\_ Submit application through new institution's IRB.

\_\_\_\_\_ \_\_\_\_\_ 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 Harvard LMA IRB with request for study closure.

\_\_\_\_\_ \_\_\_\_\_ Consult with IRB, if you will be transferring health information from subjects. *Please note that the IND and the Certificate of Confidentiality, if applicable, transfer with the protocol.*

\_\_\_\_\_ \_\_\_\_\_ Request study closure in [ESTR](#) once approval is secured at new institution:

Log into [ESTR](#) using your HUID and PIN

Open the main study workspace

Click "Create Study Closure" and follow the system prompts

#### *Projects to be Retained at HMS*

\_\_\_\_\_ \_\_\_\_\_ If you will remain the PI on the project, apply for Voluntary or Adjunct Faculty Appointment through Chair (may be done via Resignation Letter).

\_\_\_\_\_ \_\_\_\_\_ If a new PI will be appointed at HMS, work with Department (and, in the case of an ISRA or industry collaboration agreement, with OTD) to identify new PI. *Note: Special Considerations for Industry Sponsored Research – Industry sponsor has final approval over change of PI and/or Institution, and will modify any Clinical Trial agreement.*

\_\_\_\_\_ \_\_\_\_\_ **IRB Tasks:**

Request Modifications in [ESTR](#) to change the principal investigator and modify study documents, e.g., recruitment and consent materials, when appropriate:

Log into [ESTR](#) using your HUID and PIN

Open the main study workspace

Click "Create Modification" and follow the system prompts

***Projects to be Terminated***

N/A    Completed

- \_\_\_\_\_    \_\_\_\_\_    Request study closure in [ESTR](#):
  - Log into [ESTR](#) using your HUID and PIN
  - Open the main study workspace
  - Click “Create Study Closure” and follow the system prompts
- \_\_\_\_\_    \_\_\_\_\_    If biomedical research: notify School of Medicine Clinical Trials Office for instructions on how to archive data.
- \_\_\_\_\_    \_\_\_\_\_    Consult with the School of Medicine Clinical Trials Office on records disposal.

**\*Sub-Investigator must complete Section II for each protocol on which he/she is a participant**

**SECTION II**

- \_\_\_\_\_    \_\_\_\_\_    If you will continue to work on the protocol after you leave HMS, notify the Principal Investigator and IRB.
- \_\_\_\_\_    \_\_\_\_\_    Request Modifications in [ESTR](#):
  - Log into [ESTR](#) using your HUID and PIN
  - Open the main study workspace
  - Click “Create Modification” and follow the system prompts
- \_\_\_\_\_    \_\_\_\_\_    Obtain IRB review from your new affiliation and submit documentation to Harvard LMA IRB, or submit one of the following:
  - [Individual Investigator Agreement \(IIA\)](#) if your new affiliation is not a Federal wide Assurance (FWA)-holding institution.
  - [Institutional Authorization Agreement \(IAA\) Request](#) whereby your new affiliated institution would cede review to Harvard LMA IRB
- \_\_\_\_\_    \_\_\_\_\_    Request that PI contact Grants and Contracts Office (or, in the case of an ISRA or industry collaboration agreement, OTD) to determine if a contract or contract amendment will be required.

**APPENDIX D - ANIMAL RESEARCH**  
**(To be completed by an Investigator using animals as research subjects)**

Please ensure that proper steps are taken with regard to the disposition of animal subjects prior to departure from the University. All items listed below should be completed prior to departing HMS.

**90 Days Prior to Departure Date:**

N/A      Completed

\_\_\_\_\_      \_\_\_\_\_      Send written notification to the Office of the IACUC (OOTI) 617-432-3192 ([iacuc@hms.harvard.edu](mailto:iacuc@hms.harvard.edu)) and the Center for Comparative Medicine (HCCM) 617-432-1285 ([hccmwebmgr@hms.harvard.edu](mailto:hccmwebmgr@hms.harvard.edu)) informing them of your intent to leave the University. The notification must include: exact date of departure, date of termination of protocols, intended disposition of any remaining animals, and new contact information. If closing a protocol, also submit the IACUC Protocol Closure Form (<http://hms.harvard.edu/departments/hma-standing-committee-animals/forms>).

\_\_\_\_\_      \_\_\_\_\_      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 the OOTI and the HCCM to obtain approval and to complete the appropriate transfer forms. (<http://hms.harvard.edu/departments/hma-standing-committee-animals/forms>). **Note:** Animals transferring to another institution will likely need to be placed in quarantine, so adequate lead time must be taken into account.

\_\_\_\_\_      \_\_\_\_\_      If you plan to continue collaborative research with another qualified HMS faculty member, the collaborating HMS faculty member must agree to accept responsibility for any ongoing research and animals in inventory. The departing faculty member's protocol must be formally transferred to the new responsible faculty member. A protocol transfer letter, signed by both the departing and newly responsible faculty member, must be submitted to and approved by the IACUC. (<http://hms.harvard.edu/departments/hma-standing-committee-animals/forms>).

\_\_\_\_\_      \_\_\_\_\_      If you have received any animal under an MTA, please contact the Office of Technology Development (<http://www.techtransfer.harvard.edu/>) for assistance in obtaining the provider's consent to transfer the animal to your new institution.

**30-60 Days Prior to Departure Date:**

\_\_\_\_\_      \_\_\_\_\_      Verify that animal related equipment and supplies have been disposed of or have been removed from the animal facilities in accordance with the Transfer of Research Equipment Policy.

Failure to adhere to these procedures will result in the following:

1. Any expenses, including per diems, will be billed to your department chair for the recovery of costs incurred.
2. Euthanasia of animals may be conducted at the discretion of the IACUC.

**APPENDIX E – HMS OFFICE OF FINANCE REQUIREMENTS: EFFORT CERTIFICATIONS, TRANSFER OF EQUIPMENT, & NON-SPONSORED FUNDS**

**(To be completed by a Faculty Member regarding the transfer of equipment to another institution, outstanding non-sponsored funds issues, and effort certification)**

In many cases faculty will have equipment, gifts, and/or funds that they would like to take with them when they leave the University. The ownership and permissions associated with these items may be unclear. It is best to clarify these issues prior to your departure or the transfer of these items. All items listed below should be completed **PRIOR** to departing HMS.

**60-90 Days From Departure Announcement Date:**

Effort Certifications

N/A      Completed

\_\_\_\_\_      \_\_\_\_\_      You must coordinate with the HMS Office of Office Effort Reporting Coordinator and Department Administrator to certify, and authenticate all outstanding effort certifications (annual and monthly).

Equipment

\_\_\_\_\_      \_\_\_\_\_      If a Faculty Member is leaving Harvard to join another institution and will be taking capital equipment from Harvard, the following procedures in accordance with the [Equipment Management Policy](#) should be followed:

- \_\_\_\_\_      \_\_\_\_\_      • Obtain sponsoring agency's approval
- \_\_\_\_\_      \_\_\_\_\_      • Prepare an Equipment Transfer Notification Form (If the award is a Public Health Service Research Grant, and the PHS Relinquishing form is applicable, reference the Equipment Transfer Notification form in the Equipment portion of the PHS form. Show the details concerning the equipment being transferred only on the Equipment Transfer Notification Form)
- \_\_\_\_\_      \_\_\_\_\_      • Contact the HMS Office of Finance for any disposal regulations and obtain Department Head's signed approval for the release of listed items.
- \_\_\_\_\_      \_\_\_\_\_      • Update the appropriate record(s) in the school's equipment inventory system (MAES) and
- \_\_\_\_\_      \_\_\_\_\_      • Send a copy of the form(s) and a list of items to the HMS Office of Finance.

Non-Sponsored Funds

\_\_\_\_\_      \_\_\_\_\_      Coordinate with Department Administrator and the HMS Office of Finance to resolve any non-sponsored funds under your responsibility and/or discretion with a deficit account balance (e.g., TFT, start-up, service center, support funds, etc.)

\_\_\_\_\_      \_\_\_\_\_      Identify source of funding for students and post-docs on non-sponsored support for the remainder of their course of study.

\_\_\_\_\_      \_\_\_\_\_      Obtain approval first from the HMS Office of Finance regarding eligibility of gifts funds for transfer to another institution.

**APPENDIX F – PATENTS/INVENTIONS**

**(To be completed by a Faculty Member who has patent or invention activity)**

In order to ease your departure, it is important to communicate with OTD regarding any potential issues that may arise related to you patents and/or inventions. All items listed below should be completed **PRIOR** to departing HMS.

**60-90 Days From Departure Date:**

N/A      Completed

- |       |       |  |
|-------|-------|--|
| _____ | _____ | Report any unreported inventions to OTD.   |
| _____ | _____ | Execute any formal documents (assignments, declarations and the like required for Harvard to prosecute any new or existing patent applications).                               |
| _____ | _____ | Provide OTD with your future contact information, both to enable ongoing patenting and licensing activities, and to facilitate delivery to you of any future royalty payments. |
| _____ | _____ | Discuss with OTD any terms of existing license or other industry agreements that might be relevant to your future work.  |

## APPENDIX G – TRANSFER DATA, RECORDS OR OTHER ITEMS

(To be completed by a faculty member intending to transfer materials to another institution)

In many cases faculty will have data, records, specimens, cell lines or reagents that they would like to take with them when they leave the University. The ownership of these items may be unclear. For more information about the disposition of records, please see the Harvard University General Records Schedule (<http://grs.harvard.edu>). It is necessary to clarify these issues prior to your departure or the transfer of these items. All items listed below must be completed **PRIOR** to departing HMS.

### 60-90 Days From Departure Date:

#### Data or Records

N/A    Completed

\_\_\_\_\_    \_\_\_\_\_

If you will be transferring data or related research records please see the [Retention of Research Data and Materials Policy and related FAQs](#)

\_\_\_\_\_    \_\_\_\_\_

Administrative records from your time at HMS regardless of format may be considered University records. Please contact the Archives and Records Management program at the Countway Library for information on disposition ([arm@hms.harvard.edu](mailto:arm@hms.harvard.edu), or 617-432-6194).

\_\_\_\_\_    \_\_\_\_\_

If any of your records relate to inventions on which OTD has sought patent protection, please ensure that OTD is aware of the location of those records, in case they should need access to them in connection with your patents.

#### Other Items- Including Such Things as Specimens, Cell Lines or Reagents

\_\_\_\_\_    \_\_\_\_\_

If you will be transferring items such as specimens, cell lines or reagents please see the additional information on Material Transfer Agreements and contact OTD.

**APPENDIX H – BIOLOGICAL AND RECOMBINANT OR SYNTHETIC NUCLEIC ACID RESEARCH  
(To be completed by an Investigator using biological, recombinant and/or synthetic nucleic acids in research)**

**60-90 Days From Departure Date:**

N/A    Completed

\_\_\_\_\_    \_\_\_\_\_    Transfer the protocol to new PI

\_\_\_\_\_    \_\_\_\_\_    Close the protocol

**Transferring your COMS Protocol**

The Current PI or designee should log into e-COMS and complete steps 1-5:

- 1) Select Scientific Update
- 2) Fill out what is changed with the amendment under “Amendment Summary”
- 3) This could include other information such as change of personnel
- 4) The last step in the amendment process is to change the PIs name to the New PI.
- 5) Once the PI completes Step 4 and changes the PI name on the amendment they'll be locked out of the project after they exit the Amendment form.

The New PI should log into e-COMS and complete steps 6-10:

- 6) The new PI must then login to e-COMS and select the registration they are taking responsibility for
- 7) The new PI clicks on “Submit amendment”
- 8) The new PI signs the MOU electronically.
- 9) The amendment now goes to “Awaiting BSO assignment”

**Closing your COMS protocol**

- 1) Log into e-COMS and select the registration that will be closed
- 2) Click “Request Inactivation”
- 3) COMS will finalize the inactivation process in e-COMS

**30 days from departure**

N/A    Completed

Confirm the following:

\_\_\_\_\_    \_\_\_\_\_    Materials not being disposed of are transferred to a new PI registered with COMS,

\_\_\_\_\_    \_\_\_\_\_    Inactivate remaining materials and dispose in biohazard, (See Appendix B)