**Keck School of Medicine**

**Faculty/Researcher Separation Checklist**

This checklist is to be used by and for faculty members who are leaving the University (including retirees) and who are involved with research activities (sponsored and non-sponsored) to ensure that notification to the appropriate Keck School and central research offices occurs prior to the departure. Please contact each office below, as applicable, and provide the information requested.

**Note: USC Department of Contracts & Grants (DCG) requires an Award Assessment for externally funded grants and contracts prior to transfer. The instructions and forms can be found at:** [https://dcg.usc.edu/post-award/#:~:text=Investigator’s,-Departures](https://nam10.safelinks.protection.outlook.com/?url=https%3A%2F%2Fdcg.usc.edu%2Fpost-award%2F%23%3A~%3Atext%3DInvestigator%25E2%2580%2599s%2C-Departures&data=05%7C02%7Cstoecker%40med.usc.edu%7C7fa4c067119449c8bc1a08ddb287b186%7Ca63249ac3e0b4a249e0cc90ab9891e30%7C1%7C0%7C638863018051904540%7CUnknown%7CTWFpbGZsb3d8eyJFbXB0eU1hcGkiOnRydWUsIlYiOiIwLjAuMDAwMCIsIlAiOiJXaW4zMiIsIkFOIjoiTWFpbCIsIldUIjoyfQ%3D%3D%7C0%7C%7C%7C&sdata=cjhJGNBBdUGVX4EyGydgxau6ykJt%2FFCvMYYFFJcEb2Q%3D&reserved=0) and [https://dcg.usc.edu/wp-content/uploads/2024/05/REVISED\_Outbound-Assessment\_Nov10\_FORM-1.pdf](https://nam10.safelinks.protection.outlook.com/?url=https%3A%2F%2Fdcg.usc.edu%2Fwp-content%2Fuploads%2F2024%2F05%2FREVISED_Outbound-Assessment_Nov10_FORM-1.pdf&data=05%7C02%7Cstoecker%40med.usc.edu%7C20dc568a4205410a89f508ddad1b7d28%7Ca63249ac3e0b4a249e0cc90ab9891e30%7C1%7C0%7C638857055778570981%7CUnknown%7CTWFpbGZsb3d8eyJFbXB0eU1hcGkiOnRydWUsIlYiOiIwLjAuMDAwMCIsIlAiOiJXaW4zMiIsIkFOIjoiTWFpbCIsIldUIjoyfQ%3D%3D%7C0%7C%7C%7C&sdata=zrZSV9wyT464SpCnhKrD38GrXcrewrLRx%2Bj%2B8VymGTM%3D&reserved=0) .

**The KSOM checklist for Faculty who are PIs on grant awards is consistent with the USC DCG checklist. You may use either checklist.**

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| **\*Faculty who are PIs on grant awards\*** |
| * Sponsored grants and contracts are awarded to USC and at the Keck School of Medicine, the Department Chair and Vice Dean for Research must approve before sponsored external awards are permitted to be transferred. PIs should provide the Department Research Administrator/KSOM Research Administration with the following information: * Active externally sponsored project(s) in which you are a PI, Co-PI, listed as key personnel or collaborator * Active USC/KSOM internally sponsored projects(s) in which you are a PI, co-PI * Pending proposals that are likely to be funded and/or agreements pending execution |

**For the faculty:**

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| **If you have** | **That Will…** | **You will need to….** | **Administrative Notes** |
| Active External Awards | Transfer to new institution | * Submit a request to KSOM Research Administration and DCG to transfer the award; include agency relinquishing statement * Submit a prior approval request to transfer equipment to new institution * Notify any MPIs of potential transfer * Notify any faculty with satellite accounts * Determine if sub-award back to USC is needed (i.e., to continue support of grad students / fellows) * Notify DCG to terminate Sub-awards * Close out the award: Ensure all expenses have been processed and the account is reconciled, Effort certification completed for all reporting periods * Work with your Department Research Administrator to determine amount to be relinquished to the sponsor * Ensure all cost sharing commitments have been met and documented * Submit any outstanding reports/deliverables to the sponsor * Submit a final invention statement, if applicable * Note: Noncompliance with submitted final Progress Report may result in Investigator and Institution not being able to accept future funding from agency |  |
|  | Remain at this institution | * Identify new PI of record * Submit official request to KSOM Research Administration and DCG to change PI on project |  |
| Expired external awards |  | * Submit any outstanding reports and deliverables to sponsor |  |

**Please provide the following GENERAL INFORMATION:**

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| Faculty Name: |
| Faculty Title: |
| KSOM Department/Unit Name: |
| KSOM Department Administrator Contact Name and email: |
| Last Date Faculty will be employed by USC: |
| Is the Faculty transferring to a new institutions (Yes/No): |
| If applicable, provide name of new Institution: |
| New institution administrative contact information (Name, Phone, email): |
| New institution administrative contact information (Name, Phone, email): |

**If Applicable: Faculty Active Grant Information (add rows as needed)**

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| **Award Title** | **Sponsor Name** | **Sponsor Award No.** | **Project Start Date** | **Project End Date** | **USC Account No.** |
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**THE FOLLOWING ADDITIONAL CHECKLISTS MAY APPLY:**

**Animal Use**

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| **Departmentment of Animal Resources (DAR) & Institutional Animal Care and Use Committee (IACUC)** | |
| Date Completed or NA | **Description** |
|  | * Contact the Department of Animal Resources (DAR) with the expected final date for animal work |
|  | * Provide DAR with the name of the new USC faculty member who is transferring the protocol |
|  | * File an amendment with the IACUC if transferring the protocol to another USC Principal Investigator |
|  | * If no animals are present and work at UC has concluded, terminate the protocol with the IACUC |
|  | * Contact DAR with information on whether animals will be transferred to the new institution or to discuss other disposition options |
|  | * Access to buildings will be terminated |

**Human Subjects**

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| **IRB and Human subjects** | |
| Date Completed or NA | **Description** |
|  | * Submit a modification requesting closure of the study if all study activities have been completed |
|  | * Provide IRB with IRB #’s of studies where the departing faculty member is the Principal Investigator |
|  | * For studies that will be transferred to the PI’s new institution, an MOU must be in place to cover IRB oversight of the study during the transition to the new institution. |
|  | * An MOU between USC and the new institution may remain in place in certain circumstances (i.e., the study is in data analysis and USC personnel will continue involvement). |
|  | * For studies that will continue at USC, submit a modification naming a new USC 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 USC, the faculty member’s department is responsible for ensuring the IRB approved storage of data/specimens were approved for storage beyond study closure. |

**Clinical Trials**

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| **CLINICAL TRIALS OFFICE (CTO) and CLINICALTRIALS.GOV** | |
| Date Completed or NA | **Description** |
|  | ***Industry Sponsored Projects*** |
|  | * Contact CTO with a list of Industry Sponsored Clinical Trials |
|  | * Indicate whether the study will be transferred to the new Institution or transferred to a new PI at USC |
|  | * Provide a 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 CTO with a list of projects that are PI initiated and are Industry funded |
|  | * Indicate whether the Clinical Trial will be transferred to the new Institution |
|  | * Will there be an interim USC PI? If so, provide contact information for the interim PI |
|  | * Will USC 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 CTO with information on any expected Date Use Agreements needed related to departure (incoming and outgoing) |
|  | * For Studies Registered in Clinicaltrials.gov: Notify PRS Administrator of award transfer |

**Employment and Benefits**

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| **FACULTY AFFAIRS** | |
| Date Completed or NA | **Description** |
|  | * The department should submit the faculty member’s notice of resignation (with the chair’s written acceptance of the resignation) as soon as it is received to Faculty Affairs to process the termination of the position and pay-out of any owed salary and accrued vacation. |
|  | * USC healthcare benefits terminate on the last day of the month in which the faculty member’s position ends. Individuals may elect to use COBRA to bridge any gap in benefits between USC and a new employer. COBRA election must be done within 60 days of the termination date. Contact the Benefits Administration office at (213) 821-8100 or [benefits@usc.edu](mailto:hscpers@usc.edu) for further information. |
|  | * The balance of a housing loan with USC must be paid in full within 90 days of the resignation date. Contact Faculty Affairs for guidance. |
|  | * If the departing faculty member receives USC tuition assistance for themselves or an eligible family member, they are responsible for immediate payment to the university of any prorated amount of tuition assistance at the time of departure. |

**Laboratory Facilities**

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| **Environment, health and safety (ehs)** | |
| Date Completed or NA | **Description** |
|  | * Notify EHS via email 30 days prior to shutdown date at [hazmat@usc.edu](mailto:hazmat@usc.edu)   + Exception: If you have controlled substances in your possession that have been used for research purposes, please notify EH&S via email at least 45 days prior to shutdown date at [ehs-cs@usc.edu](mailto:ehs-cs@usc.edu). |
|  | * Review and follow laboratory close-out procedures which outlines roles and responsibilities.   + These procedures are detailed on the [EH&S webpage](https://ehs.usc.edu/hazmat/move-lab/) and in the USC [Laboratory Close-Out Procedure SOP](https://cpb-us-e1.wpmucdn.com/sites.usc.edu/dist/0/713/files/2022/02/USC-HazMat-Laboratory-Close-Out-Procedure-with-Decon-Form-March-2021.pdf). |
|  | * Schedule a laboratory walkthrough with USC HazMat staff to determine scope of work, resources and disposal needs. |
|  | * Complete EHS “Waste Disposal Request” 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 the full step by step waste submission process you may follow the [Hazardous Waste Pick-Up SOP](http://tiny.cc/ehsa-waste-PU). |
|  | * If using radioactive materials (RAM), contact [radsafety@usc.edu](mailto:radsafety@usc.edu). Provide information on RAM, equipment that will be transferred to the new location or to another principal investigator. Return radiation badges and update [dosimetry form](https://cpb-us-e1.wpmucdn.com/sites.usc.edu/dist/0/713/files/2018/12/dosimeter-application-2018-ff.pdf) to delete the staff. |

**Data or Material Transfer**

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| **MTAs and DATA USE AGREEMENTS** | |
| Date Completed or NA | **Description** |
|  | * Provide information on materials that will be transferred to the new location (cell lines, clinical samples, etc.) |
|  | * 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 |
|  | * If a Data Use Agreement is anticipated, submit a request to USC Stevens to prepare the DUA which will be sent to the Department and School for review |
|  | * For faculty who plan to take research data from USC 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 USC, the faculty member’s department is responsible for ensuring the IRB-approved storage of data was approved for storage beyond study closure. Provide Department and School 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 |
|  | * If the faculty member has already left USC (including retirees), more approvals may be required. |

**Collaborations with Foreign Entities**

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| **Export CoNTROL** | |
| Date Completed or NA | **Description** |
|  | * If the departing employee has participated in any type of export-controlled research or project, they should notify the Office of Compliance 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 Office of Compliance 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 Office of Compliance. 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 Office of Compliance 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. |

**Review and Approval of Award Transfer Plan**

**Signature – Principal Investigator:**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_**

**Signature – Replacement Principal Investigator, if applicable:**

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**Signature – Dean or Dean Designee**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_**

**Signature – Vice President of Research**

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