

Harvard Medical School Faculty Offboarding Checklist and Appendix Checklists

This document outlines the required steps and institutional compliance obligations for faculty departing Harvard Medical School. Faculty members and department administrators should use this checklist to ensure a complete and well-coordinated transition. All applicable items must be completed prior to departure to ensure compliance with Harvard Medical School, Harvard University, and applicable sponsor and regulatory requirements.

This checklist is intended for all HMS faculty departures, including different appointment types and both voluntary and involuntary departures. Some items may not apply depending on the circumstances of the departure.

If an item does not apply, mark it “Not Applicable (N/A).” If there is uncertainty regarding applicability, consult your Department Administrator or appropriate central office for clarification prior to departure.

Faculty Information

Faculty Name: _____

Harvard University Identification Number (HUID): _____

Department: _____

Departure Date: _____

Forwarding Address: _____

Personal/Alternate Email: _____

Phone Number: _____

Faculty Offboarding Checklist

As Soon as Possible / 90+ Days Prior to Departure

- ☐ Submit formal resignation letter to the appropriate Dean, if applicable, and provide a copy to the Department Chair and Department Administrator
- ☐ Notify any committees or boards on which you serve and provide the Department Administrator with a list for record closure or transition follow-up
- ☐ Contact the [Benefits Office](#) with any questions about your benefits and/or to obtain [COBRA information](#)

- ☐ Ensure your forwarding address is accurate in [PeopleSoft](#)
- ☐ Confirm your bank account will remain available for the final payroll deposit and confirm access to tax documents, including electronic W-2 forms if applicable
- ☐ Provide Department Chair and Department Administrator with a written trainee and laboratory transition plan
- ☐ Contact the [Office of Technology Development](#) (OTD) if you plan to transfer biological or other materials, *e.g.*, DNA constructs, proteins, cell lines, animals, chemical compounds, mixtures, etc. to your future institution
- ☐ Contact [Office of Research Administration Data Compliance Team](#) to transfer data to your future institution
- ☐ Reference the HMS IT [Leaving HMS website](#) for offboarding guidance to secure your data, return devices, and manage access before you leave HMS
- ☐ Meet with the [HMS IT Research Data Management team](#) to discuss logistics related to annotating and organizing research data that will remain at HMS, and data that might be transferred to a new institution
- ☐ Consult [Archives and Records Management](#) at Countway Library regarding data that might be retained/archived at HMS
- ☐ Contact international_collaborations@hms.harvard.edu for export control review prior to transferring equipment (including computers), samples, materials, research data, or technology outside of the US
- ☐ If you hold a visa or nonimmigration status sponsored by Harvard, notify your Department Administrator so they can coordinate required notification to the [Harvard International Office](#) (HIO)
 - ☐ For faculty members with H-1B or O1 visas or visa status: If your position is being terminated prior to the expiration of your H-1B or O1 petition end date, 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.
- ☐ Notify the [Office for Academic and Research Integrity](#) if involved in a managed conflict of interest, research compliance matter or integrity review

4-6 Weeks Prior to Departure

- ☐ Resolve all outstanding reimbursements and card transactions

- ☐ Organize supervisory, budgetary, and administrative records for successor or departmental designee
- ☐ Discontinue use of University-issued corporate cards and purchasing cards according to applicable card and billing cycles
 - Purchasing Card activity should be discontinued early enough to allow final reconciliation by the applicable monthly cycle deadline
 - Corporate Card activity should be discontinued early enough to allow the final Concur report to be submitted prior to departure

1–5 Days Prior to Departure

- ☐ Remove personal items from offices and laboratories
- ☐ Return all University property, including keys, badges, cards, devices, tokens, and permits
- ☐ Transfer, archive, or delete University data from personal devices, consistent with DUA or funder requirements
- ☐ Return all paper records, laboratory notebooks and research materials

Appendices – Complete If Applicable

The following appendices apply only if the corresponding activity or responsibility pertains to your roles, research activities, or administrative responsibilities. If any item below applies, you must complete the referenced appendix prior to departure. **If an item does not apply, mark it “Not Applicable (N/A).”**

- ☐ I maintain or am responsible for a research laboratory (See **Appendix A**)
- ☐ I am responsible for the transfer of research materials (See **Appendix A**)
- ☐ I conduct biological and recombinant or synthetic nucleic acid research (See **Appendix B**)
- ☐ I conduct human subjects research (See **Appendix C**)
- ☐ I conduct animal research (See **Appendix D**)
- ☐ I serve as a Principal Investigator (PI) on a sponsored award or other outside agreement (See **Appendix E**)
- ☐ I am responsible for transfer of equipment (See **Appendix F**)
- ☐ I am responsible for the resolution of deficit balances on non-sponsored funds (See **Appendix F**)
- ☐ I am responsible for the certification of outstanding annual faculty and monthly staff effort (See **Appendix F**)
- ☐ I am responsible for permissions regarding gift funds (See **Appendix F**)
- ☐ The Office of Technology Development (OTD) is handling any of my inventions, patents, or other intellectual property. (See **Appendix G**)
 - 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 as soon as possible to ensure these are formally disclosed prior to departure.
- ☐ I intend to transfer research data or records (See **Appendix H**)

Appendix A – Research Laboratory Closeout and Hazardous Materials

Environmental Health and Safety (EHS): ehs@harvard.edu

Committee on Microbiological Safety: COMS@hms.harvard.edu

- ☐ Notify EHS and Department Administrator as early as possible and at least 60–90 days prior to laboratory closure or transfer
- ☐ Review [EHS Lab Move Out Website](#)
- ☐ Complete an EHS [lab move-out and renovation approval form](#)
- ☐ Transfer or close COMS protocols (see **Appendix H**)

Appendix B – Biological, Recombinant, or Synthetic Nucleic Acid Research

Committee on Microbiological Safety: COMS@hms.harvard.edu

- ☐ Notify COMS at least 90 days prior to departure
- ☐ Transfer protocol(s) to a new Harvard Principal Investigator or request closure
- ☐ Submit required scientific amendments in [e-COMS](#)
- ☐ Transfer or properly dispose of biological materials (See **Appendix B**)

Appendix C – Human Subjects Research

Harvard Longwood Campus (HLC) Institutional Review Board:

orarc@hsph.harvard.edu or find your [department-assigned IRB Review Specialist](#).

Harvard University Institutional Review Board: cuhs@harvard.edu or use our [Find Your IRB Reviewer page](#)

- ☐ Identify all active protocols
 - For HLC protocols, use the [QIP Departing Researcher Guide](#)
- ☐ Notify the appropriate review board of planned departure date
- ☐ Transfer (internally or externally) or close all protocols prior to departure. For HLC, use the [HRP-327 - Worksheet - HLC IRB Researcher Departure](#) worksheet
- ☐ Confirm whether Embryonic Stem Cell Research Oversight (ESCRO) review applies to any human stem cell research activities and if so contact [ESCRO Administrator](#)

Appendix D – Animal Research

Institutional Animal Care and Use Committee (IACUC): iacuc@hms.harvard.edu

Harvard Center for Comparative Medicine (HCCM): hccm@hms.harvard.edu

- ☐ Notify IACUC and HCCM as early as possible and at least 90 days prior to departure; external animal transfers may require substantially longer lead time
- ☐ Identify disposition of animal protocols and inventories
- ☐ Submit protocol amendments for internal transfers and closures
- ☐ Coordinate material transfer agreements with [OTD](#) for external transfer of animals
- ☐ Work with HCCM and EH&S on logistics related to shipping or transferring animals
- ☐ Allow sufficient time for quarantine if animals are transferred externally

Appendix E – Sponsored Awards, Industry-Sponsored Research Agreements, and Other Agreements

Office of Research Administration – SPAContracts@hms.harvard.edu

Office of Sponsored Programs: osp@harvard.edu

Office of Technology Development: <https://otd.harvard.edu/contact-us/>

- ☐ Notify ORA, OSP, and/or OTD of intent to depart and anticipated departure date
- ☐ Review all active:
 - Sponsored awards
 - Other research agreements, including:
 - Unfunded collaborations
 - Data Use Agreements (DUA)
 - Material Transfer Agreements (MTA)
 - Confidentiality Disclosure Agreements (CDA)
 - Memoranda of Understanding (MOU)
- ☐ Work with the Department Administrator and appropriate central offices to determine whether Harvard will propose a replacement Principal Investigator, seek sponsor-approved transfer, or terminate each award or agreement
- ☐ Obtain required sponsor or third-party approvals before any award, agreement, data, material, or equipment transfer; transfers are not guaranteed and remain subject to Harvard approval and applicable sponsor terms

- ☐ If transfer is supported, coordinate with the new institution and central offices as early as possible; program officer notification and transfer applications may require substantial lead time
- ☐ Provide information needed for progress reports, relinquishment documentation, final invention statements, and financial closeout; department and central offices will submit institutional documents as appropriate
- ☐ Coordinate certification of final effort reports for self and laboratory personnel with the Department Administrator or department effort coordinator
- ☐ Resolve all outstanding expenditures, commitments, and deficit balances

Appendix F –Equipment and Non-Sponsored Funds

HMS Office of Research Finance: HMS_Research-Finance@hms.harvard.edu

Strategic Procurement: Procurement@hms.harvard.edu

- ☐ Contact your Department Administrator, who will coordinate with HMS Office of Research Finance, Strategic Procurement, Asset Management, ORA, and other offices as appropriate
- ☐ Review and resolve outstanding financial commitments, including open purchase orders, unpaid invoices, outstanding reimbursements, or deficit balances on non-sponsored funds
- ☐ Coordinate equipment transfer requests through the Department Administrator before transfer. Equipment transfers are not guaranteed and may depend on sponsor terms, Harvard ownership, remaining depreciation value, and whether the receiving institution will cover transfer or transportation costs (see [Capital Asset/Equipment Management Policy](#))
- ☐ Ensure equipment records are updated in the University inventory system
- ☐ Discuss funding continuity for students and postdoctoral fellows on non-sponsored support with the Department Chair and Department Administrator as early as possible

Appendix G – Patents and Inventions

Office of Technology Development: <https://otd.harvard.edu/contact-us/>

- ☐ Disclose any unreported inventions prior to departure:
<https://otd.harvard.edu/roiform/> (HarvardKey login required)
- ☐ Execute documents required for patent prosecution or maintenance
- ☐ Provide future contact information to OTD

- ☐ Review existing license or industry agreements that may affect future work

Appendix H – Research Data, Records, and Materials

Archives and Records Management: arm@hms.harvard.edu

HMS IT Research Data Management: rdmhelp@hms.harvard.edu

HMS Research Data Compliance: Data_ORA@hms.harvard.edu

- ☐ If you will be transferring data or related research records, please reference the HMS IT [Leaving HMS website](#) and the following resources:

- [Data management offboarding](#)
- [Research Data Management knowledge transfer file](#)

- ☐ Identify all locations where research data and records are stored

- ☐ Review governing agreements including Data Use Agreements, IRB records, Data Safety records, collaboration agreements and sponsored awards

- ☐ Determine whether data will be archived or retained at HMS, transferred to a new institution or destroyed. These determinations will be in accordance with any Data Use Agreements and the [General Records Schedule](#) and [Harvard Research Data Ownership Policy](#).

- ☐ Work with HMS IT and the relevant HMS Quad Department(s) to ensure that data remaining at HMS are well-documented and secured

- ☐ Assign a local data custodian where required

Faculty Signature: _____ Date: _____