

Name of Faculty Member Departing CWRU:

Department:

Date of Departure:

Appendix A: Grants, Contracts and Agreements

SOM Office of Grants and Contracts (SOM OG&C)

Responsible Person: Robin Bissell, Assistant Dean

medres@case.edu and/or 216-368-4432

*It is the SOM Change of Institution Policy that the below requested information is required and that the, **Faculty Departure Cover Page, the Checklist, Appendix A and applicable Appendixes (B, F, and J) are completed and signed by the Responsible Person(s), and returned to the Office of Grants and Contracts** prior to the SOM Office of Grants and Contracts taking any action on any grant, agreement, subcontract and/or contract including relinquishing/transferring the program.*

Appendix A Process

1. *Department Administrators and the departing faculty member will complete and compile:*
 - *Faculty Departure Cover Page and Checklist*
 - *Appendix A and applicable Appendixes (B, F and J)*
 - *Questions about Appendixes should be directed to the Responsible Person denoted for each Appendix.*
 - *Resignation letter*
2. *The Department Administrator will scan all the above documents as a pdf and send via email to SOM Office of Grants and Contracts at medres@case.edu and somfacultydeparture@case.edu*
3. *Upon receipt of the above information the Office of Grants and Contracts will work with the Department Administrator to take action on the faculty member's grants, agreements, subcontracts and contracts.*
4. *The Office of Grants and Contracts will also work with the SOM Office of Finance and Planning for sign off and review of the faculty member's finances and funding portfolio.*

The following table is to be completed by the Faculty/PI/designated department administrator.

- List current, pending and recently ended funding including vision, endowment and OSA accounts and the department action for each research grant/agreement/contract/subcontract: transfer, keep at CWRU/change of PI, or relinquish/end early and return unused funds. Please add rows to the table as needed.

Appendix A Grants and Contracts
CWRU Faculty Departure Checklist
(Confidential and Proprietary)
Effective Date: 5/ 1/ 15

Name of Faculty Member Departing CWRU:

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Grant Status	CWRU Speedtype(s)	CWRU CON Number	Sponsor	Requested Action to be taken (i.e. transfer, change of PI)	Comments

The following information must be provided/completed by the Department for all Research Programs (RES/TRN/SPC/OSA) noted above.

Review the faculty member research portfolio, including their mentoring responsibilities and involvement as Key Personnel on other individual’s research programs.

- ___ All reporting requirements (financial reports, final invention statements, final/interim progress reports) must be complete and filed, in accordance with the funding organization’s guidelines/policies.
- ___ All RES/TRN/SPC/OSA deficits must be cleared.
- ___ All encumbrances must be resolved and cleared.
- ___ All final invoice(s) from subcontractors must be received and accepted/paid (CWRU is the prime awardee).
- ___ All final invoicing to subcontractors sponsors must be processed, sent and paid (CWRU is a subrecipient).
- ___ All outstanding receivables need to be collected.
- ___ Notification sent to PIs / mentees where faculty member is designated as a Key Personnel/Mentor, so that they can notify their sponsors.
- ___ Adherence to the Sponsors Terms/Conditions regarding transferring the program, changing the PI, ending the program early, returning of funds, etc.

For NIH Grants, in accordance with the NIH Grants Policy Statement, NIH requires 90 days notification prior to the transfer of a research program/departure of the PI.

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- Final Invention Statement and Official Statement Relinquishing Interests documents must be completed and signed. The forms can be located on the NIH website:
<http://grants.nih.gov/grants/forms.htm>
 - Final Invention Statement (FIS) is completed by the PI/designated department representative . Once completed the form is sent to SOM OG&C (medres@case.edu)
 - The Official Statement Relinquishing Interests is completed by the PI/designated department representative. Once completed, the form is sent to SOM OG&C (medres@case.edu) for their review along with the most current Income and Expense Statement. If the amount to be relinquished differs from the Income and Expense Statement, department should also include an analysis supporting the funds (direct and indirect) to be relinquished. SOM OG&C is the first level of approval, and Central ORA is the second. Both signatures are required. It is best to submit the Official Statement Relinquishing Interests as soon as possible.

- The Official Statement Relinquishing Interests and the Final Invention Statement will be sent from the SOM OG&C to NIH via eRA Commons.

Please note the requested action (denoted in the table above) will not be taken on any research program, until the Office of Grants and Contracts receives a completed & signed packet including: the Faculty Departure Title page and checklist, Appendix A and applicable Appendixes (B, F and J).

Faculty Member Signature:

Date:

Department Administrator Name:

Date:

Department Administrator Signature:

Department Chair Name:

Date:

Department Chair Signature:

Please note: Upon completion by Office of Grant and Contracts Appendix A will be returned to the Department Administrator so that it may be include in the final submission of the entire faculty departure package.

***Appendix A Grants and Contracts
CWRU Faculty Departure Checklist
(Confidential and Proprietary)
Effective Date: 5/ 1/ 15***

Name of Faculty Member Departing CWRU:

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Date of Departure:

For internal purposes only:

Date Received by Office of Grants and Contracts:

Office of Grants and Contracts:

Date:

Office of Finance and Planning:

Date: