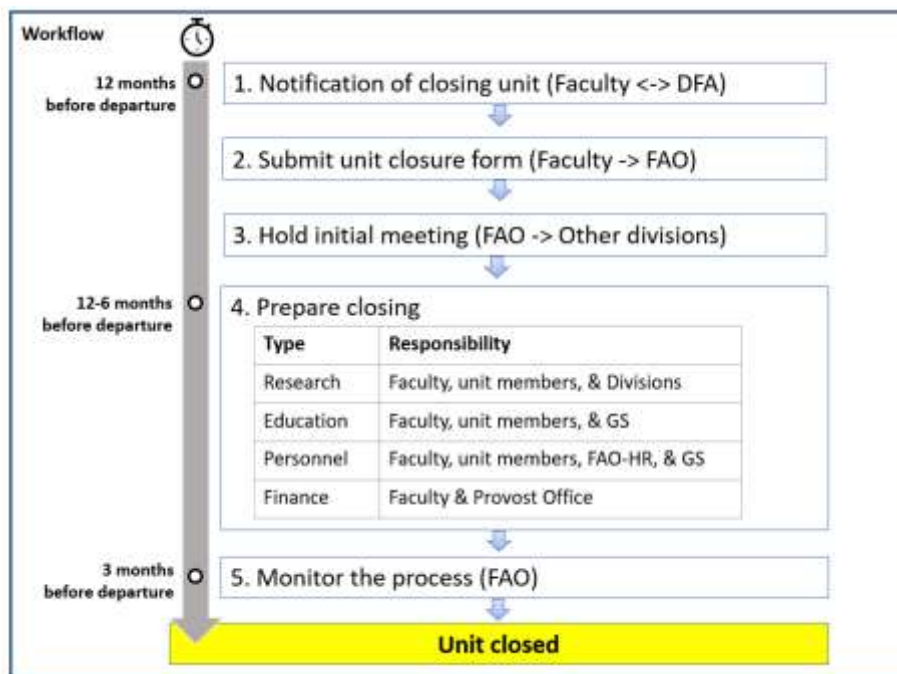


This document describes the necessary steps to smoothly close a research unit. Unit closure involves safe handover of lab space, smooth transition of unit personnel and students, and proper handling of funding and legal documents. It also defines responsibilities to be taken by Faculty Members, unit members, students, and administrative division/office. This document will also be used for the closure of lab space run by STG members.

Workflow: The basic workflow for a closing unit is as below:



Contact

Name	Abbreviation	Division name	Email	Notes
Unit Closing Supervisor (DFA or Vice-DFA: to be confirmed)		Faculty Affairs Office (FAO)	xxx@oist.jp	Oversee the progress of unit closure
FAO-HR Team	FAO-HR	Faculty Affairs Office (FAO)	FAO-HR@oist.jp	Handle unit personnel matters, including contract fulfillment and transfer within OIST
Data Archiving Coordinator		Faculty Affairs Office (FAO)	data_archive@oist.jp	Assist archival of research data
Lab Closing Coordinator		Office of the Provost/RSD	mizuki.shimanuki@oist.jp	Oversee lab closure, including research equipment and material
Research Finance Team	RFT	Office of the Provost	research-budget@oist.jp	Unit budget
Research Resources Team	RRT	Office of the Provost	dor-rrt@oist.jp	Manage research resources
Basic Lab Support Team	BLS	Office of the Provost	bls@oist.jp	Re-purpose research items
Academic Agreement Team	AAT	Office of the Provost	academic-agreement-help@oist.jp	Joint Research Agreement, Material Transfer Agreement
Health Center		Office of the Provost	health@oist.jp	Human subjects research
Occupational Health and Safety Section	OHS (RSD)	Research Support Division (RSD)	research_safety@oist.jp	Research specimens, chemicals, and safety license
Animal Resources Section	ARS (RSD)	Research Support Division (RSD)	aucu@oist.jp	Animal experiments

Academic Affairs Section	AAS (GS)	Graduate School (GS)	academic-programs@oist.jp	Thesis Supervisor, Mentor, Lab Rotations, and Internship Program, etc.
Curriculum and Program Section	CPS (GS)	Graduate School (GS)	gs-cp@oist.jp	Curriculum management
R&D Cluster Programs Section	R&D Cluster	Office of Technology Development and Innovation (Office of TDI)	rdcluster@oist.jp	Proof of Concept Program, Technology Pioneer Fellow,
Technology Licensing Section	TL	Office of TDI	Tls@oist.jp	Patent and other IP issues
Business Development Section	BD	Office of TDI	bd@oist.jp	Industry Partnership and Incubator/Accelerator programs
Fixed Assets Team	Fixed Assets	Financial Management Division	accounting-fa@oist.jp	Manage data of fixed assets of the unit and record the locations of the fixed asset
Grants and Research Collaborations Section	GRC	Dean of Research	grant@oist.jp	External grants (JSPS, KAKENHI, etc.) and research collaborations
Facilities Operation and Use Section	FOU	Buildings and Facilities Management Division (BFM)	fou@oist.jp	Unit dry desks, wet benches, cabinets, and any other furniture
Service and Support Section	IT	IT Division	it-help@oist.jp	Transfer or disposal of IT fixed assets
General Counsel Office	GCO	General Counsel Office	https://groups.oist.jp/gco	Memorandum of Understanding (MoU)

1. Faculty Member Responsibilities

Timeline before departure	Faculty Members	Contact	Done	N/A
12 months or asap (typically a minimum of 3 months is required)	1. After receiving a letter from Dean of Faculty Affairs (DFA) regarding the closure of your research unit, inform your unit members about unit closure date and necessary procedures. Read this Unit Closure Checklist and Procedures and take actions required by Faculty Member [LINK].	FAO		
12 months	2. Submit Form for Unit Closure [LINK] on FAO website.	FAO		
12 months	3. Unit Personnel: Discuss with unit members about contract fulfillment or help them find new opportunities at OIST or elsewhere.	FAO		
12 months	4. Unit Personnel: Submit Talent Mobility Form (TMF) to initiate personnel transfer as appropriate.	FAO		
12 months	5. Students and Education: Develop a succession plan for students in your care. Discuss with your student(s) and the Graduate School regarding the succession plan.	AAS (GS)		
12 months	6. Students and Education: Faculty Member contacts the Graduate School to remove or replace the course teaching normally undertaken by Faculty Member from the curriculum list.	CPS (GS)		
12 months	7. Students and Education: Faculty Member requests the Committee Chair/Secretary in the Graduate School to replace committee members for any thesis committees on which Faculty Member sits.	Vice-Dean (GS)		
12 months	8. Research resources and lab space: Discuss with Faculty	RRT		

Timeline before departure	Faculty Members	Contact	Done	N/A
	Member and the Research Resources Team in the Office of the Provost for reallocation of research resources.			
12 months	9. Proof of Concept (POC) and Start-up: Discuss with the R&D Cluster Program Section (Office of TDI) for the necessary paperwork.	R&D Cluster		
12 months	10. Technology Pioneer Fellows (TPF): Discuss with the R&D Cluster Program Section (Office of TDI) for the necessary paperwork.	R&D Cluster		
6 months	11. Material Transfer Agreement (MTA): Discuss with Academic Agreement Team in the Office of the Provost for transferring the research materials to other institution(s).	AAT		
6 months	12. Joint Research Agreement (JRA): Discuss with the Academic Agreement Team in the Office of the Provost for terminating the agreement.	AAT		
6 months	13. Patent: Discuss with Technology Licensing Section (Office of TDI) for the necessary paperwork.	TL		
6 months	14. Business Development & Industry Partnership: Discuss with Business Development Section (Office of TDI) for the necessary paperwork.	BD		
6 months	15. Memorandum of Understanding (MoU): Discuss with Office of the Dean of Research, Graduate School, General Counsel Office, or Faculty Affairs Office for the necessary paperwork.	DoR, GS GCO, FAO		
6 months	16. External grant: Discuss with Grant and Research Collaboration Section or Business Development Section in the Office of TDI, depending on the type of the grant, for transferring funding/personnel to another institution or for termination.	GRC/ BD		
3-6 months	17. Visiting Researchers: Inform visiting researchers about unit closure and termination of their contract upon the unit's closing date. Discuss with the Academic Agreement Team in the Office of the Provost for the termination procedure. Make sure any access privileges are terminated and university property is returned by the unit's closing date.	AAT		
3-6 months	18. Biological research specimen: Discuss with Occupational Health and Safety Section (OHS) and the Faculty Affairs Office for exporting to other countries or for leaving them at OIST.	OHS (RSD)/ FAO		
3-6 months	19. Animal: Discuss with the Animal Resources Section about closing animal experiments.	ARS (RSD)		
3-6 months	20. Chemical: Consult with the Occupational Health and Safety Section (OHS) regarding disposal or transfer of all the chemicals in the lab and records in the chemical management system.	OHS (RSD)		
3-6 months	21. Research data & Lab notebook: Discuss with the Data Archiving Coordinator in the Faculty Affairs Office.	Data Archiving Coordinator (FAO)		
3-6 months	22. Research equipment: Make an inventory list and provide this list with the actual items to the Research Resources Team (RRT) in the Office of the Provost. Continuous use of any items by any remaining member should be discussed case by case. Work with the Basic Lab Support Team for the items to be repurposed to other units.	RRT/ BLS		
3-6 months	23. IT asset: Identify all IT assets, PCs, laptops, tablets, mobile drives, or any device capable of storing electronic data and inform IT Asset Coordinator in Service and Support Section.	IT Asset Coordinator		
3 months	24. Finance: Complete purchases and consult with the Research Finance Team in the Office of the Provost regarding unspent	RFT		

Timeline before departure	Faculty Members	Contact	Done	N/A
	budget, pending purchase request, etc.			
3 months	25. Lab space (dry desks, wet benches, and experimental space): Confirm facility assets with BFM, including lab benches/desks and office furniture. Return room keys to BFM. Leave keys for any drawers, cabinets, benches, etc., in each item.	BFM		
3 months	26. Research protocols and licenses: Discuss with Occupational Health and Safety Section (OHS) and Health Center regarding the termination of all protocols and licenses.	OHS (RSD)/ Health Center		

2. Unit Members Responsibilities (Researchers and Students)

Timeline before departure	Unit Members (researchers and students)	Contact	Done	N/A
12 months or asap (typically a minimum of 3 months is required)	1. Meet with Faculty Member and be informed about unit closure date and necessary procedures. Read this Unit Closure Checklist and Procedures and take actions required by unit members [LINK] .	FAO		
12 months	2. Submit Form for Unit Closure [LINK] on FAO website if you are a grant holder.	FAO		
12 months	3. Unit Personnel: Ask your supervisor to submit Talent Mobility Form (TMF) through the HEART system.	FAO		
12 months	4. Unit Personnel: Fill out My Info Update through the HEART system once TMF has been submitted by your supervisor.	FAO		
12 months	5. Unit Personnel: Discuss with Faculty Member about contract fulfillment or new opportunities at OIST or elsewhere. After being transferred to another unit, the researcher should complete any research activities from the previous unit by the unit's closing date. If access to research equipment and other resources is needed after the unit's closing date, the member should consult with the new unit head.	FAO		
12 months	6. Students and Education: Discuss with your Faculty Member and Graduate School regarding your new supervisor/mentor(s).	AAS (GS)		
12 months	7. Research resources and lab space: Discuss with Faculty Member and the Research Resources Team in the Office of the Provost for reallocation of research resources.	RRT		
12 months	8. Proof of Concept (POC) and Start-up: Discuss with the R&D Cluster Program Section (Office of TDI) for the necessary paperwork.	R&D Cluster		
12 months	9. Technology Pioneer Fellows (TPF): Discuss with the R&D Cluster Program Section (Office of TDI) for the necessary paperwork.	R&D Cluster		
6 months	10. Material Transfer Agreement (MTA): Discuss with Academic Agreement Team in the Office of the Provost for transferring the research materials to other institution(s).	AAT		
6 months	11. Joint Research Agreement (JRA): Discuss with the Academic Agreement Team in the Office of the Provost for terminating the agreement.	AAT		
6 months	12. Patent: Discuss with Technology Licensing Section (Office of TDI) for the necessary paperwork.	TL		
6 months	13. Business Development & Industry Partnership: Discuss with Business Development Section (Office of TDI) for the necessary paperwork.	BD		

Timeline before departure	Unit Members (researchers and students)	Contact	Done	N/A
6 months	14. External grant: Discuss with Grant and Research Collaboration Section or Business Development Section in the Office of TDI, depending on the type of the grant, for transferring funding/personnel to another institution or for termination.	GRC/ BD		
3-6 months	15. Biological research specimen: Discuss with Occupational Health and Safety Section (OHS) and the Faculty Affairs Office for exporting to other countries or for leaving them at OIST.	OHS (RSD)/ FAO		
3-6 months	16. Animal: Discuss with the Animal Resources Section about closing animal experiments.	ARS (RSD)		
3-6 months	17. Chemical: Consult with OHS regarding disposal or transfer of all the chemicals in the lab and records in the chemical management system.	OHS (RSD)		
3-6 months	18. Research data & Lab notebook: Discuss with the Data Archiving Coordinator in the Faculty Affairs Office.	Data Archiving Coordinator (FAO)		
3-6 months	19. Research equipment: Make an inventory list and provide this list with the actual items to the Research Resources Team (RRT) in the Office of the Provost. Continuous use of any items by any remaining member should be discussed case by case. Work with the Basic Lab Support Team for the items to be repurposed to other units.	RRT/ BLS		
3-6 months	20. IT asset: Identify all IT assets, PCs, laptops, tablets, mobile drives, or any device capable of storing electronic data and inform IT Asset Coordinator in IT Service and Support Section.	IT Asset Coordinator		
3 months	21. Finance: Complete purchases and consult with Faculty Member regarding unspent budget, pending purchase request, etc.	RFT		
3 months	22. Lab space (dry desks, wet benches, and experimental space): Confirm facility assets with BFM, including lab benches/desks and office furniture. Return room keys to BFM. Leave keys for any drawers, cabinets, benches, etc., in each item.	BFM		
3 months	23. Research protocols and license: Proceed with their termination and return procedures with OHS and Health Center.	OHS/ Health Center		

3. Faculty Affairs Office Responsibilities

Timeline before departure	Faculty Affairs Office	Contact	Done	N/A
12 months or asap (typically a minimum of 3 months is required)	1. [Notification] DFA will inform Faculty Member once it is clear that a decision has been taken to close a research unit. (This will require endorsement by the President). DFA also sends a Letter to Faculty Member, explaining the procedure for closure.	FAO		
12 months	2. DFAs will inform unit members, including the RUA, within one week from the notification to Faculty Member and ask their cooperation to close the unit.	FAO		
12 months	3. DFA will also request unit members to think about their next destination (12-9 months before the departure)	FAO		
12 months	4. The Faculty Affairs Office requests Faculty Member to submit the Form for Unit Closure [LINK] .	FAO		

Timeline before departure	Faculty Affairs Office	Contact	Done	N/A
12 months	5. The Faculty Affairs Office will convene an initial meeting for unit closure with the relevant administrative office/divisions, including the Office of the Provost, Lab Closing Coordinator, HR, Graduate School, Office of TDI, and Finance.	FAO		
12 months	6. Initiation: Unit Closing Supervisor will oversee the progress and completion of unit closure in all the areas (Personnel, Students and Education, Research, and Finance).	Unit Closing Supervisor		
12 months	7. Unit Personnel: FAO-HR requests Faculty Member to submit Talent Mobility Form (TMF) through the HEART system.	FAO		
12 months	8. Unit Personnel: FAO-HR requests unit members to fill out My Info Update through the HEART system once TMF has been submitted by your supervisor.	FAO		
12 months	9. Monitoring: The Faculty Affairs Office will provide HR service to unit members, including contract fulfillment, personnel transfer to a new unit, or a new position at OIST.	FAO		
Every month for the last 3 months	10. Monitoring: Unit Closing Supervisor will monitor the progress every month for the last 3 months before the closing date.	Unit Closing Supervisor		
3 months	11. Dean of Faculty Affairs assigns a budget holder (=ERP approver) for the research unit. The delegated approver will approve ERP requests using unit budget on behalf of Faculty Member.	FAO		
3 months	12. Dean of Faculty Affairs confirms there are no plans for business travel for Faculty Member or any members under his/her supervision after the contract end date or the actual day of the closure of the unit.	FAO		
1 month	13. FAO-HR will provide the list of unit members with their contract end date to the Facility Management Section in the Building & Facilities Management Division. Access to the facility will be terminated/changed accordingly.	FAO		
Last day Faculty Member is at OIST	14. Unit Closing Supervisor and Lab Closing Coordinator Conduct a final walkthrough with Faculty Member of vacated space(s) and signs the “Unit Closure Checklist.”	Unit Closing Supervisor Lab Closing Coordinator		

4. Administrative Division/Office Responsibilities

Timeline before departure	Administrative Office	Parties in charge	Done	N/A
12 months	1. Read this Unit Closure Checklist and Procedures and take actions required by each Administrative Division/Office [LINK] .	All		
12 months	2. Attend an initial meeting for unit closure initiated by the Faculty Affairs Office.	All		
12 months	3. Work with Faculty members, unit members, and Lab Closing Coordinator to ensure smooth lab closure and proper transfer of research materials and equipment.	RSD, RRT, and BLS		
12 months	4. Work with Faculty Member to implement a succession plan for students in their care.	GS		
6-12 months	5. Discuss with Faculty Member regarding POC, TPF, patent-	R&D		

Timeline before departure	Administrative Office	Parties in charge	Done	N/A
	related matters, external grants, and industry partnerships and complete paperwork required before unit closure.	Cluster, TL, and BD		
3-6 months	6. Inform relevant managers of Research Support Division (RSD) about the closure of the laboratory.	Lab Closing Coordinator		
3-6 months	7. Work with OHS, Health Center, and Basic Lab Support to conduct a tour in lab to identify any safety or environmental issues. The OHS and Health Center will provide detailed instructions and guidance to the Research Unit to prepare for the closure. Basic Lab Support and Faculty Member jointly plan to inventory all items in the lab such as equipment, goods, consumables (including biological, chemical, and/or radiological materials and samples).	Unit Closing Supervisor and Lab Closing Coordinator		
3-6 months	8. Develops a plan to transfer or dispose of animal colonies according to animal protocols, if applicable.	ARS (RSD)		
3-6 months	9. Work with Faculty Member, RSD, GRC, BFM, FAO, IT Service and Support Section to proceed with the proper management, transfer, or disposition of the items identified below:	Lab Closing Coordinator		
3-6 months	10. <u>a. Equipment Assets, Furniture, and Non-Consumable Goods:</u> Faculty Member and Lab Closing Coordinator will identify any equipment that can be: <ul style="list-style-type: none"> • transferred to other units or section at OIST, • donated to other institutions, or • deemed no longer useful and can be disposed of. 	Lab Closing Coordinator, RRT, and BFM		
3-6 months	11. <u>b. Biological, Chemical, and/or Radiological Materials:</u> Faculty Member and OHS will identify any <ol style="list-style-type: none"> 1) hazardous materials, 2) chemicals, biological materials and samples, radioactive materials, or 3) animal colonies that are planned for transfer to another unit or section or for disposal. <ul style="list-style-type: none"> • Locate any areas or surfaces that may need to be decontaminated. • Locate all remaining hazardous waste. • Locate any unknown or unidentified materials present in the lab. 	OHS (RSD), ARS (RSD), and BLS		
3-6 months	12. <u>c. Electronic research data, laboratory notebooks, etc.:</u> Faculty Member and Data Archiving Coordinator will <ul style="list-style-type: none"> • Identify all data to be erased or disposed of, including electronic research data, laboratory notebooks, etc. • Identify all data to be transferred to other research units or sections. 	Data Archiving Coordinator (FAO)		
3-6 months	13. <u>d. IT Assets:</u> Faculty Member and IT Service and Support Section will identify all IT assets, PCs, laptops, tablets, mobile drives, or any device capable of storing electronic data.	IT Asset Coordinator		
3 months	14. Research Finance Team requests the Budget Section to transfer the remaining funds to Research Unit when all the bills are settled.	RFT		
3 months	15. Confirms the last working day of Faculty Member and changes the HEART approver to FAO until the PI's last working day.	FAO-HR		
3 months	16. Budget Section prepares budget transfers as needed, including external grants.	Budget Section		



Unit Closure Checklist and Procedures

Timeline before departure	Administrative Office	Parties in charge	Done	N/A
3 months	17. Budget Section prepares budget transfers as needed, including external grants.	Budget Section		
3 months	18. Accounting Section generates data of fixed assets of Research Unit and records the locations of the fixed asset. LCC, IT, and BFM take necessary steps when some assets are transferred or disposed of.	Accounting Section		
3 months	19. Accounting Section makes arrangements for the termination of the research unit's P-Card (if applicable).	Accounting Section		
3 months	20. Research protocols and licenses: OHS and Health Center will make sure that all protocols and licenses are terminated or returned.	OHS (RSD) and Health Center		

Sign-off Sheet for Unit Closure

Faculty Member Name Signature Date

Dean of Graduate School Signature Date

Lab Closing Coordinator Signature Date

Unit Closing Supervisor
(Vice DFA: To be confirmed) Signature Date

Dean of Faculty Affairs Signature Date