

Research-Related Principal Investigator

ONBOARDING PROCEDURE CHECKLIST

Please Note:

- Before beginning this checklist, you should first have a [NetID](#).
- For research tools and resources, including [university policies](#), visit <https://research.northwestern.edu/researcher-resources/index.html>
- For an overview of the duties of key individuals who conduct or support research activities, visit [researchroles.northwestern.edu](#).

SPONSORED RESEARCH

sponsoredresearch.northwestern.edu

Are there awards transferring with you to Northwestern?

With incoming faculty, the Sponsored Research office at both the outgoing institution and here at Northwestern will typically work together to determine which sponsored projects will be transferred, including personnel, lab equipment, data, biological samples, research animals, etc. The transfer (shipping, handling, insurance, etc.) is typically paid by the new institution.

- Notify agency sponsors to begin transfer process. Request instructions for transferring your projects to Northwestern.
- Contact your Northwestern Research Administrator throughout process.
- Complete appropriate transfer materials/relinquishment forms depending on agency requirements and your home institution policies.
- For NIH Awards:** Complete the [PHS-3734](#). Change your [eRA Commons affiliation](#) to Northwestern.
- For NSF Awards:** [Initiate a PI Transfer Request](#) via [research.gov](#) if transferring any grant(s) to Northwestern.

CONTACT: Sponsored Research SponsoredResearch@northwestern.edu, 312-503-7955

Will materials be transferred?

Materials include tangible biological materials (cell lines, tissues, DNA, transgenic animals, plasmids, vectors, etc.) and other research materials (compounds, sensors and software, etc.). When a [Material Transfer Agreement \(MTA\)](#) is received by the PI from an outside party, the agreement should be provided to the Sponsored Research Contracts Team.

- If you are transferring material, you may need to establish an MTA between the provider and Northwestern. Verify with the provider whether an MTA with Northwestern is necessary.
- To begin the negotiation of a new MTA, work with your Northwestern Research Administrator to complete an MTA request for inbound materials. Contact mta@northwestern.edu with any questions about this process.

CONTACT: Sponsored Research, mta@northwestern.edu

PI ONBOARDING PROCEDURE CHECKLIST

SPONSORED RESEARCH (CONT.)

Will data be transferred?

Data Use Agreements (DUA) are classified into two categories:

- 1) Non-human subject data or completely de-identified human research participant data (as determined by Northwestern's IRB office).
- 2) Human research participant data, which includes Protected Health Information. This includes data which constitutes a Limited Data Set as defined by HIPAA. Transfers which fall into category 2 are subject to HIPAA regulations and may require IRB approval. Questions about IRB approval, guidelines and policies should be directed to irb@northwestern.edu.

- If you are transferring data, you may need to establish a DUA between the provider institution and Northwestern. Verify whether the provider institution requires a DUA with Northwestern.
- To begin the negotiation of a new DUA, work with your Northwestern Research Administrator to complete a DUA request for inbound data. Contact mta@northwestern.edu with any questions about this process.

CONTACT: Sponsored Research, mta@northwestern.edu

CONTROLLED SUBSTANCES

controlledsubstances.northwestern.edu

Please refer to our policy and procedures on the Controlled Substances website.

CONTACT: Controlled Substance Compliance Coordinator at 312-503-1827 or cs-compliance@northwestern.edu

INSTITUTIONAL REVIEW BOARD (IRB) OFFICE

irb.northwestern.edu

Does your work involve human research participants?

- Complete Northwestern Human Research Participant Protection Training.
See the [requirements and instructions for training](#).
- Once you have obtained your NetID & Password from your department, register in eIRB+.
See [instructions for registration](#).
- For any human research protocols transferring to Northwestern, complete a submission in eIRB+.
See [submissions instructions](#) and [templates](#).
- Familiarize yourself with the Northwestern Investigator Manual, which can be found on the [IRB website](#).

CONTACT: IRB Office, irb@northwestern.edu, 312-503-3259

PI ONBOARDING PROCEDURE CHECKLIST

INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC) OFFICE

iacuc.northwestern.edu

Does your work involve animal subjects?

- All principal investigators and research staff handling and caring for animals are required to take the basic and species-specific [IACUC online training and enroll in the Occupational Health Safety Program \(OHSP\)](#). You must first have a [NetID](#) from your school/department.
- [Contact the IACUC office](#) for guidance and assistance on protocol submission and review process.
- Submit an [Animal Study Protocol \(ASP\)](#). Submission and approval of a protocol must be completed prior to working with animals. You must have a [NetID](#) to start your ASP submission.
- Anyone seeking facility access (CCM) or having contact with animals must be listed on an approved protocol prior to beginning work.

CONTACT: IACUC Office, acuc@northwestern.edu, 312-503-9339

CENTER FOR COMPARATIVE MEDICINE (CCM)

ccm.northwestern.edu

Animal procurement, receiving, census, and transfer

- Complete the New Investigator Questionnaire.
It is critical that we know the number of cages/animals that the PI plans to work with and any other specialized care or equipment that they may require. Please contact [Ryan Brooks](#) for an electronic version of the Questionnaire.
- To transfer animals to Northwestern: Submit the transfer request(s) via CCM's [Animal Operations System \(AOPs\)](#). You must have a [NetID](#) and password to login AND an approved protocol. You must use VPN.
Your protocol must be approved and the appropriate funding linked PRIOR to transfer animals. Please refer to the [CCM website](#) for Animal Operations System (AOPs) documentation.
- To order animals once you arrive at Northwestern:
 - To order animals from approved commercial vendors, submit an order request(s) via CCM's [AOPs](#).
 - To order animals from non-commercial vendors, submit an import request(s) via CCM's [AOPs](#).For both request types, you must have a [NetID](#) and password to login AND an approved protocol.
Your protocol must be approved and the appropriate funding linked PRIOR to ordering animals. Please refer to the [CCM website](#) for Animal Operations System (AOPs) documentation.

CONTACT: Supervisor, Animal Procurement, Receiving and Census; 312-503-2703

Training required to access animals

- After researcher has completed the IACUC's requirements, please register for the required [CCM Facility Orientation](#) provided by CCM Quality Assurance and Training Operations.

Please Note: If you are a new researcher working with amphibians, fish, or non-human primates contact CCM Quality Assurance and Training Operations: ccmgeneralmail@northwestern.edu.
- In preparation for CCM Facilities access, refer to the CCM webpage, [Onboarding for New Research Personnel](#).

CONTACT: Quality Assurance and Training Operations, ccmgeneralmail@northwestern.edu

PI ONBOARDING PROCEDURE CHECKLIST

RESEARCH SAFETY

researchsafety.northwestern.edu

Is the PI involved in laboratory-based research?

Laboratory-based research involves the use of dedicated facilities for experimentation or measurement supplied with one or more utilities such as ventilation, storage, and plumbing.

- Send a request to researchsafety@northwestern.edu to be registered in Lumen, the research registration system. Once you register, you will receive an email notification of your access to the system.

The subject line of your email to register should read "Register a New Laboratory" and include your name, NetID, department, anticipated date of arrival, and contact phone number in the email message.

- In Lumen, register your lab workers and assign safety training. Register lab locations and work involving hazardous energies, lasers, x-ray, and hazardous materials within 30 days.
Hazardous materials include any biological, chemical, or radiological material that is potentially harmful to individuals, public health, or the environment if not managed properly.

CONTACT: Research Safety, researchsafety@northwestern.edu, 847-491-5581

CONFLICT OF INTEREST (COI) OFFICE

nucoi.northwestern.edu

Disclosure is required at least annually for all faculty. If you will be participating in research, disclosure is required before proposal submission or initiating a project and within 30 days of acquiring a new financial interest.

Resources available on our [website](#) include:

- *Instructions and FAQs for [completing a disclosure](#)*
- *One-page guide for research-related COI processes*

- Familiarize yourself with Northwestern's [Policy on Conflict of Interest and Conflict of Commitment](#) and [Policy on Conflict of Interest in Research](#).

- Complete and submit a disclosure in [eDisclosure](#). Note: You will need your [NetID](#) from your department to login to the eDisclosure system. If you receive a login error, your department may need to request a profile be created for you in eDisclosure.

CONTACT: Conflict of Interest Office (NUCOI), nucoi@northwestern.edu, 847-467-4515

PI ONBOARDING PROCEDURE CHECKLIST

EXPORT CONTROLS AND INTERNATIONAL COMPLIANCE

exports.northwestern.edu

Visit Northwestern's *Export Controls and International Compliance [website](#)* for more on responsibilities and additional regulation resources and links.

- Review and familiarize yourself with Northwestern's [Policy on Export Controls Compliance](#). Confirm that you are not engaged in any research projects subject to the export control regulations (e.g., the ITAR, EAR, or any projects that have restrictions upon publication or foreign national participation). Note: If you are uncertain or cannot confirm, please contact [Export Controls & International Compliance](#).
- Coordinate with Export Controls & International Compliance if you need to work with (even virtually) persons in a comprehensively sanctioned country. Doing so, may very likely require federal authorization (i.e., license or exemption).

CONTACT: Export Controls Compliance, amy.weber@northwestern.edu

CORE FACILITIES ADMINISTRATION

facilities.research.northwestern.edu

There is no form, but there is an internal vetting process for external instrumentation grant proposals. The Office for Research provides administrative assistance regarding placement of instruments, technical support, service contracts, and UPS requirements.

- If you seek to purchase equipment or a data acquisition system costing \$300K or more, contact [Fruma Yehiely](#).

CONTACT: Fruma Yehiely, Associate Vice President, yehiely@northwestern.edu, 847- 491-1074

ACCOUNTING SERVICES FOR RESEARCH AND SPONSORED PROGRAMS (ASRSP)

www.northwestern.edu/asrsp

- If an award with your previous institution is being transferred to NU, a Final Financial Report (FFR) should be sent from your previous institution to your new Research Administrator at Northwestern. Contact your [ASRSP Grant and Contract Financial Administrator \(GCFA\)](#) for assistance. The appropriate GCFA may be easily identified on a current budget statement for the award (Cognos GM045 report).
*This will allow ASRSP to track the transfer of carry-over from your previous institution.
Visit the [ASRSP website](#) to assist with the monitoring of sponsored funds.*

CONTACT: Elizabette Rischall, ASRSP, erischall@northwestern.edu, 847-467-7130

PI ONBOARDING PROCEDURE CHECKLIST

EFFORT REPORTING / COST STUDIES

www.northwestern.edu/coststudies

See the *Basics of Effort Reporting and Certification Screen by Screen Certifier Job Aids* on the *Cost Studies website*.

- For policies and procedures regarding effort certification as well as guidance on charging sponsored projects, visit the [Cost Studies website](http://www.northwestern.edu/coststudies).

CONTACT: Tina Mete, c-mete@northwestern.edu, 847.491.6755

RESEARCH DEVELOPMENT

ord.northwestern.edu

Visit the [Research Development website](#) to set up a meeting to learn about limited submissions, federal funding opportunities, proposal development support, and discuss how to grow and diversify your federal funding portfolio.

- [Subscribe](#) to Northwestern's weekly funding opportunity announcements.
- Meet to discuss the federal funding research landscape and learn about Research Development services available to PIs.

CONTACT: Emily Updegraff, Associate Director, e-updegraff@northwestern.edu, 847-491-1074

CORPORATE ENGAGEMENT AND FOUNDATION RELATIONS

corporate.northwestern.edu

www.northwestern.edu/foundationrelations/

- [Sign up](#) for the Funding Opportunities E-Newsletter (Companies and Foundations).
- Corporate Engagement:** Reach out to corporate@northwestern.edu to learn about support available for corporate connections and advice on how to collaborate with companies.
- Foundation Relations:** Contact foundationrelations@northwestern.edu to learn about foundations that might fund your project and connect with a foundation proposal consultant. If you are transferring a private foundation award to Northwestern, please notify Sarah Fodor at s-fodor@northwestern.edu.

CONTACT: Jim Bray; Sr. Director, Corporate Engagement; j-bray@northwestern.edu, 847-491-3371
and Sarah Fodor; Sr. Executive Director, Foundation Relations & Corporate Engagement; s-fodor@northwestern.edu,
847-491-4590

PI ONBOARDING PROCEDURE CHECKLIST

INNOVATIONS AND NEW VENTURES OFFICE (INVO)

invo.northwestern.edu

- If you have previously filed patents, have been involved in a start-up company, or intend to utilize pre-existing intellectual property in your work, contact INVO. INVO can facilitate a conversation between your previous institution and Northwestern.
- INVO works closely with faculty to shape invention disclosures and to secure intellectual property rights. If your work might lead to a potentially patentable invention, or if you have copyrightable materials or software that you have developed, please log and submit a [Disclosure Form](#) to INVO **BEFORE** publication or another public disclosure (e.g., conference presentation or abstract) occurs.
- INVO is at the center of a network of resources to introduce faculty and students to the world of start-up companies and to facilitate their participation. If you are interested in start-ups to advance innovative concepts, contact INVO.
- A number of approaches are evolving at Northwestern to help define product opportunities and fund proof-of-concept studies in the physical and life sciences. If your work requires a proof-of-concept to validate a product concept, contact INVO.

CONTACT: INVO Office, 847-467-2097

NORTHWESTERN CLINICAL AND TRANSLATIONAL SCIENCES INSTITUTE (NUCATS)

nucats.northwestern.edu

The PI can meet with a NUCATS Navigator to learn about resources and services that are available. The NUCATS mission is to provide scientists with consultative resources and expertise in order to accelerate how quickly transformative scientific discoveries make their way to patients and the community. It is the Institute's goal to continually increase the quality, safety, efficiency and speed of innovative clinical and translational research.

- Meet to discuss clinical research resources and services available to PIs and their research teams.

CONTACT: NUCATS Office, nucats@northwestern.edu, 312-503-1709