

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 research.northwestern.edu/research-tools.
- For an overview of the duties of key individuals who conduct or support research activities, visit researchroles.northwestern.edu.

SPONSORED RESEARCH

osr.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, sera, DNA, transgenic animals, plasmids, vectors, etc.) and other research materials (compounds, sensors and software, etc.). When an MTA is received by the PI from an outside party, the agreement should be provided to the OSR Corporate Contracts Team.

- If you are transferring material, you may need to establish a Material Transfer Agreement (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, complete a MTA request for inbound materials through InfoEd. Reach out to 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?

DUAs 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 Data Use Agreement (DUA) between the provider institution and Northwestern. Verify whether the provider institution requires a DUA with Northwestern.
- Complete a DUA request for inbound data through InfoEd. Reach out to mta@northwestern.edu with any questions about this process.

CONTACT: Sponsored Research, mta@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

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

PI ONBOARDING PROCEDURE CHECKLIST

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.
*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: Ryan Brooks; Supervisor, Animal Procurement, Receiving and Census; ryan-brooks@northwestern.edu, 312-503-2703

Training to work with animals

Please refer to the [CCM website](#) for Onboarding and Training information.

- Complete Facility Training before animals arrive at Northwestern.
- Contact CCM Quality and Training department, ccmgeneralmail@northwestern.edu, to schedule a CCM New Researcher Orientation for access to your animals.
- Review campus and species-specific checklists as a guide through training, the process of being added to an ASP, and being granted access to CCM. If you are a new researcher working with amphibians or fish, contact the CCM Training Office.
New Researcher Checklists:
 - [Rodent Checklist](#)
 - [Large Animal Checklist](#)
 - [Non-Human Primate Checklist](#)

CONTACT:

Tim O'Doyle, CCM Training Office, t-doyle@northwestern.edu, 312-503-2758

Michael Ostrowskyj, CCM Training Manager, m-ostrowskyj@northwestern.edu, 312-503-0679

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

EXPORT CONTROLS AND INTERNATIONAL COMPLIANCE

exports.northwestern.edu

For more on Northwestern's Export Controls Compliance responsibilities and additional regulation resources and links, visit the [website](#).

- Review and familiarize yourself with Northwestern's [Policy on Export Controls Compliance](#).
- Confirm that you are not engaged in any research projects that are specifically subject to the export control regulations, e.g. the ITAR, EAR, or any projects that have restrictions upon publication or foreign national participation.

CONTACT: Export Controls Compliance, exportcontrols@northwestern.edu

PI ONBOARDING PROCEDURE CHECKLIST

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

- 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:

Jennifer Mitchell, ASRSP, jmitchell@northwestern.edu, 847-467-2473
Elizabeth Rischall, ASRSP (Evanston), erischall@northwestern.edu, 847-467-7130

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](#).

CONTACT: Jennifer Mitchell, Senior Director, Research Financial Operations, jmitchell@northwestern.edu, 847-467-2473

RESEARCH DEVELOPMENT

ord.northwestern.edu

Contact Research Development 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. Visit our [website](#) to find limited submission funding opportunities.

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

PI ONBOARDING PROCEDURE CHECKLIST

CORPORATE ENGAGEMENT AND FOUNDATION RELATIONS

corporate.northwestern.edu

- 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; Director, Corporate Engagement; j-bray@northwestern.edu, 847-491-3371
Sarah J. Fodor; Executive Director, Foundation Relations and Corporate Engagement; s-fodor@northwestern.edu, 847-491-4590

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