Research-Related PI

ONBOARDING PROCEDURE CHECKLIST

- Research-related policies can be found online.
- Overview of the duties of key individuals that conduct or support research activities:
  Research Roles and Responsibilities
- Before beginning this checklist, you should first have a NetID.

<table>
<thead>
<tr>
<th>SPONSORED RESEARCH</th>
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<tr>
<td>Are there awards transferring with you to Northwestern?</td>
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<tr>
<td>☐ Notify agency sponsors to begin transfer process. Request instructions for transferring your projects to Northwestern.</td>
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<tr>
<td>☐ Contact your Northwestern Research Administrator throughout process.</td>
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<td>☐ Complete appropriate transfer materials/relinquishment forms depending on agency requirements and your home institution policies.</td>
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<td>☐ For NIH Awards: Complete the PHS-3734. Create your eRA Commons affiliation to Northwestern.</td>
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<tr>
<td>☐ For NSF Awards: NSF requires relinquishment information be submitted online via FastLane. Create your FastLane/Research.gov affiliation to Northwestern.</td>
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| CONTACT Sponsored Research CHICAGO | osr-chicago@northwestern.edu | 312-503-7955 |
| CONTACT Sponsored Research EVANSTON | osr-evanston@northwestern.edu | 847-491-3003 |

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<th>Will materials be transferred?</th>
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<td>☐ 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.</td>
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<td>☐ To begin the negotiation of a new MTA, complete a MTA request for inbound materials through the Electronic Sponsored Projects Request (ESPR) system.</td>
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| CONTACT MTA officer | mta@northwestern.edu |

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<th>Will data be transferred?</th>
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| ☐ 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. | DUAs are classified into two different 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. |
| ☐ Complete a DUA request for inbound data through the Electronic Sponsored Projects Request (ESPR) system. | 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. |

| CONTACT MTA officer | mta@northwestern.edu |
### INSTITUTIONAL REVIEW BOARD (IRB) OFFICE

**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 with eIRB+. [See instructions for registration.](#)
- [ ] For any human subject 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

**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)

**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 Animal Operations System (AOPs).  
    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.
  - To order animals from non-commercial vendors, submit an import request(s) via CCM’s Animal Operations System (AOPs).
  - For both request types, you must have a NetID and password to login AND an approved protocol.

**CONTACT** Ryan Brooks  
Supervisor, Animal Procurement, Receiving and Census (PRC)  
ryan-brooks@northwestern.edu  
312-503-2703
### CENTER FOR COMPARATIVE MEDICINE (CCM) (CONTINUED)

#### Training to work with animals

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<td>Complete Facility Training before animals arrive at Northwestern.</td>
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<tr>
<td>Contact CCM Quality and Training department to schedule a Lurie Orientation with Euthanasia Training for access to your animals.</td>
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| 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 CCM Training Office. | New Researcher Checklists:  
- Rodent Checklist  
- Large Animal Checklist  
- Non-Human Primate Checklist |

**CONTACT** Andrew Feeney, CCM Training Office  
andrew.feeney@northwestern.edu  
312-503-2758

**CONTACT** Matthew Taylor, CCM Training Manager  
matthew.taylor1@northwestern.edu  
312-503-0638

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#### RESEARCH SAFETY

**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.

- 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.

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

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#### CONFLICT OF INTEREST (COI) OFFICE

**Familiarize yourself with Northwestern’s Policy on Conflict of Interest in Research and Policy on Conflict of Interest and Conflict of Commitment.**

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

**CONTACT** Conflict of Interest Office (NUCOI)  
nucoi@northwestern.edu  
847-467-4515
## EXPORT CONTROLS COMPLIANCE

- 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** Lane Campbell, Export Controls Compliance Director  
lcampbell@northwestern.edu  
847-467-4063

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

## CORE FACILITIES ADMINISTRATION

- If you seek to purchase equipment or a data acquisition system costing $300K or more, contact Philip Hockberger.

**CONTACT** Philip Hockberger, Associate Vice President  
p-hockberger@northwestern.edu  
847-467-1509

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

## INNOVATIONS AND NEW VENTURES OFFICE (INVO)

- If you have previously filed patents, have been involved in a start-up company, or intend to utilize pre-existing IP in your work, contact INVO.
- If your work might lead to a potentially patentable invention, please fill out an Invention Disclosure Form (available at the [INVO website](#)), and submit it to INVO BEFORE publication or another public disclosure (e.g., conference presentation or abstract) occurs.
- If you are interested in start-ups to advance innovative concepts, call INVO.
- If your work requires a proof-of-concept to validate a product concept, contact INVO.

**CONTACT** INVO Office  
847-467-2097

Please contact INVO to facilitate a conversation between your previous institution and Northwestern.

INVO works closely with faculty to shape invention disclosures and to secure intellectual property.

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.

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.

## NORTHWESTERN CLINICAL AND TRANSLATIONAL SCIENCES INSTITUTE (NUCATS)

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

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

The PI can meet with a NUCATS Navigator to learn about resources and services that are available.

## ACCOUNTING SERVICES FOR RESEARCH AND SPONSORED PROGRAMS (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).

**CONTACT** Karen Spina, Chicago kspina@northwestern.edu  
312-503-0871

**CONTACT** Howard Ventura, Evanston h-ventura@northwestern.edu  
847-467-1384

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.
### EFFORT REPORTING / COST STUDIES

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

See the [Introduction to Effort Reporting mini-course online](http://introduction.com).

**CONTACT** Jennifer Mitchell, Associate Executive Director for Research Financial Operations  
jmitchell@northwestern.edu | 847-467-2473

### RESEARCH DEVELOPMENT

**Subscribe** to Northwestern’s weekly funding opportunity announcements.

Contact Research Development to setup 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](http://researchdevelopment.com) to find limited submission funding opportunities.

**CONTACT** Nicole Moore, Director, Research Development  
nicole.moore@northwestern.edu | 847-467-0566