

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](#).

SPONSORED RESEARCH			
Are there awards transferring with you to Northwestern?			
<input type="checkbox"/>	Notify agency sponsors to begin transfer process. Request instructions for transferring your projects to Northwestern.	<p>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.</p> <p>The transfer (shipping, handling, insurance, etc.) is typically paid by the new institution.</p>	
<input type="checkbox"/>	Contact your Northwestern Research Administrator throughout process.		
<input type="checkbox"/>	Complete appropriate transfer materials/relinquishment forms depending on agency requirements and your home institution policies.		
<input type="checkbox"/>	For NIH Awards: Complete the PHS-3734 . Create your eRA Commons affiliation to Northwestern.		
<input type="checkbox"/>	For NSF Awards: NSF requires relinquishment information be submitted online via FastLane. Create your FastLane/Research.gov affiliation to Northwestern.		
CONTACT Sponsored Research CHICAGO		osr-chicago@northwestern.edu	312-503-7955
CONTACT Sponsored Research EVANSTON		osr-evanston@northwestern.edu	847-491-3003
Will materials be transferred?			
<input type="checkbox"/>	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.	<p>Materials include tangible biological materials (cell lines, tissues, sera, DNA, transgenic animals, plasmids, vectors, etc.) and other research materials (compounds, sensors and software, etc.).</p> <p>When an MTA is received by the PI from an outside party in lieu of materials exchange or transfer, the agreement should be provided via an ESPR request.</p>	
<input type="checkbox"/>	To begin the negotiation of a new MTA, complete a MTA request for inbound materials through the Electronic Sponsored Projects Request (ESPR) system.		
CONTACT MTA officer		mta@northwestern.edu	
Will data be transferred?			
<input type="checkbox"/>	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.	<p>DUAs are classified into two different categories:</p> <p>1) Non-human subject data or completely de-identified human research participant data (as determined by Northwestern's IRB office)</p> <p>2) Human research participant data which includes Protected Health Information. This includes data which constitutes a Limited Data Set as defined by HIPAA.</p> <p>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.</p>	
<input type="checkbox"/>	Complete a DUA request for inbound data through the Electronic Sponsored Projects Request (ESPR) system.		
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 \(AOPs\)](#).
 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.
 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 (PRC)

ryan-brooks@northwestern.edu

312-503-2703

CENTER FOR COMPARATIVE MEDICINE (CCM) (CONTINUED)

Training to work with animals

<input type="checkbox"/>	Complete Facility Training before animals arrive at Northwestern.		
<input type="checkbox"/>	Contact CCM Quality and Training department to schedule a Lurie Orientation with Euthanasia Training for access to your animals.		
<input type="checkbox"/>	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: <ul style="list-style-type: none"> • 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

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.

<input type="checkbox"/>	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.	
<input type="checkbox"/>	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

<input type="checkbox"/>	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.	
<input type="checkbox"/>	Complete and submit a disclosure in eDisclosure . Note: You will need your NetID from your department to login to the eDisclosure system.	Resources available on our website include: <ul style="list-style-type: none"> • 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

<input type="checkbox"/>	Review and familiarize yourself with Northwestern's Policy on Export Controls Compliance .	For more on Northwestern's Export Controls Compliance responsibilities and additional regulation resources and links, visit the website .
<input type="checkbox"/>	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

CORE FACILITIES ADMINISTRATION

<input type="checkbox"/>	If you seek to purchase equipment or a data acquisition system costing \$300K or more, contact Philip Hockberger.	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.
CONTACT Philip Hockberger, Associate Vice President		p-hockberger@northwestern.edu 847-467-1509

INNOVATIONS AND NEW VENTURES OFFICE (INVO)

<input type="checkbox"/>	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.	Please contact INVO to facilitate a conversation between your previous institution and Northwestern.
<input type="checkbox"/>	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.	INVO works closely with faculty to shape invention disclosures and to secure intellectual property.
<input type="checkbox"/>	If you are interested in start-ups to advance innovative concepts, call INVO.	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.
<input type="checkbox"/>	If your work requires a proof-of-concept to validate a product concept, 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.
CONTACT INVO Office		847-467-2097

NORTHWESTERN CLINICAL AND TRANSLATIONAL SCIENCES INSTITUTE (NUCATS)

<input type="checkbox"/>	Meet to discuss clinical research resources and services available to PIs and their research teams.	The PI can meet with a NUCATS Navigator to learn about resources and services that are available.
CONTACT NUCATS Office		nucats@northwestern.edu 312-503-1709

ACCOUNTING SERVICES FOR RESEARCH AND SPONSORED PROGRAMS (ASRSP)

<input type="checkbox"/>	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 Karen Spina, Chicago		kspina@northwestern.edu 312-503-0871
CONTACT Howard Ventura, Evanston		h-ventura@northwestern.edu 847-467-1384

EFFORT REPORTING / COST STUDIES

<input type="checkbox"/>	For policies and procedures regarding effort certification as well as guidance on charging sponsored projects, visit the Cost Studies website .	See the Introduction to Effort Reporting mini-course online .	
CONTACT Jennifer Mitchell, Associate Executive Director for Research Financial Operations		jmitchell@northwestern.edu	847-467-2473

RESEARCH DEVELOPMENT

<input type="checkbox"/>	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.	
<input type="checkbox"/>	Meet to discuss the federal funding research landscape and learn about Research Development services available to PIs.		Visit our website to find limited submission funding opportunities.
CONTACT Nicole Moore, Director, Research Development		nicole.moore@northwestern.edu	847-467-0566

CORPORATE ENGAGEMENT AND FOUNDATION RELATIONS

	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.		
CONTACT Jim Bray, Director, Corporate Engagement		j-bray@northwestern.edu	847-491-3371
	Foundation Relations: Contact foundationrelations@northwestern.edu to learn about foundations that might fund your project and connect with a foundation proposal consultant.		
CONTACT Sarah J. Fodor, Executive Director, Foundation Relations and Corporate Engagement		s-fodor@northwestern.edu	847-491-4590