Before beginning this checklist you should first have a NetID.

### OFFICE FOR SPONSORED RESEARCH

<table>
<thead>
<tr>
<th>Are there awards transferring with you to Northwestern?</th>
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<tbody>
<tr>
<td>☐ Notify sponsors to begin transfer process.</td>
</tr>
<tr>
<td>☐ Contact your Northwestern Research Administrator throughout process.</td>
</tr>
<tr>
<td>☐ Complete appropriate relinquishment form depending on award and transferring institution, which will handle this step.</td>
</tr>
<tr>
<td>☐ <strong>For NIH Awards:</strong> PHS-3734. If an NIH Commons login already exists, contact the OSR-Information Team to switch your affiliation to Northwestern.</td>
</tr>
<tr>
<td>☐ <strong>For NSF Awards:</strong> National Science Foundation (NSF) requires relinquishment information be submitted online via FastLane.</td>
</tr>
</tbody>
</table>

| CONTACT Office for Sponsored Research CHICAGO | osr-chicago@northwestern.edu | 312-503-7955 |
| CONTACT Office for Sponsored Research EVANSTON | osr-evanston@northwestern.edu | 847-491-3003 |

### Will material be transferred?  

|☐ If you are transferring material, begin the negotiation of a new Material Transfer Agreement (MTA). |
|☐ Complete a Material Transfer Agreement request for inbound materials through the Electronic Sponsored Projects Request (ESPR) system. |

| CONTACT Material Transfer Agreement (MTA) officer | mta@northwestern.edu |

### Will data be transferred?  

|☐ If you are transferring data, you must establish a data use agreement (DUA) between the provider institution and Northwestern. |
|☐ Complete a Data Use Agreement request for inbound data through the Electronic Sponsored Projects Request (ESPR) system. |

| CONTACT Material Transfer Agreement (MTA) officer | mta@northwestern.edu |
| CONTACT Office for Sponsored Research EVANSTON | michael.rynties@northwestern.edu |

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.

DUA's are classified into two different categories:

1) Non-human subject data or completely de-identified human research participant data (as determined by NU'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.
### INSTITUTIONAL REVIEW BOARD (IRB)

**Does your work involve human research participants?**

- Complete Northwestern Human Research Participant Protection Training. [See the requirements and instructions for training.](#)
- Provide list of All Human Research Participant Protocols that will be transferred to Northwestern.
- Provide contact information for the IRB Office that holds the current IRB approvals.
- List any required/requested special needs regarding IRB processes or trainings.
- Register with eIRB. You must first have your NetID/Password from your department.

**CONTACT**

| IRB Education Specialist | irb@northwestern.edu | 312-503-3259 |

### INSTITUTIONAL ANIMAL CARE AND USE COMMITTEE (IACUC)

**Does your work involve animal subjects?**

- Submit an Animal Study Protocol (ASP). Submission and approval of a protocol must be completed prior to working with animals.*
- Complete IACUC training and enroll in the Occupational Health Safety Program (OHSP) online. Contact the IACUC office for assistance.
- Contact the IACUC office for guidance and assistance on protocol submission and review process.

*You must have a NetID/password from your school/department to start your ASP submission into the system. IACUC staff will provide training to you. Submission and approval of a protocol must be completed prior to working with animals.

All project investigators and research staff handling and caring for animals are required to take the basic IACUC on-line training and be enrolled in the Occupational Health and Safety Program (OHSP). In addition, anyone seeking facility access (CCM) or having contact with animals must be listed on an approved protocol.

**CONTACT**

| the IACUC office | acuc@northwestern.edu | 312-503-9339 |

### CENTER FOR COMPARATIVE MEDICINE (CCM)

**Animal procurement, receiving, census and transfer**

- Complete the New Investigator Questionnaire.
- **Will you transfer animals to Northwestern?**
  - If YES: Complete the CCM Online Animal Shipment Form. You must have a NetID and password to login.
  - Complete the Colony Move Spreadsheet. All sections must be filled out completely.
- **Will you need to order animals once you arrive at Northwestern?**
  - If YES, login to the CCM website:
    - To order animals from approved commercial vendors, select the Animal Procurement Form.
    - To order animals from non-commercial vendors, go to the Animal Import Website.

- 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.
- If you do not have an approved protocol at the time of submission, leave the protocol number section blank but do provide a Northwestern departmental chartstring for billing until your protocol has been approved.
- Please let us know ASAP if any cages that you are shipping contain a pregnant mouse or pups.
- Your protocol must be approved and the appropriate funding linked PRIOR to ordering animals.

**CONTACT**

| La Tisha Jude |
| Supervisor, Animal Procurement, Receiving and Census (PRC) | l-jude@northwestern.edu | 312-503-1596 |
## Training to work with animals

- Complete Facility Training before animals arrive at Northwestern.
- Contact CCM Quality and Training department to schedule a Lurie Orientation with Euthanasia Training 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 CCM Training Office.

<table>
<thead>
<tr>
<th>Research Checklists:</th>
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<tbody>
<tr>
<td>- Rodent Checklist</td>
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<tr>
<td>- Large Animal Checklist</td>
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<tr>
<td>- Non-Human Primate Checklist</td>
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</tbody>
</table>

### CONTACT Andrew Feeney, CCM Training Office

- [andrew.feeney@northwestern.edu](mailto:andrew.feeney@northwestern.edu)
- 312-503-2758

### CONTACT Matthew Taylor, CCM Training Manager

- [matthew.taylor1@northwestern.edu](mailto:matthew.taylor1@northwestern.edu)
- 312-503-0638

## Office for Research Safety (ORS)

### 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.

- Register for Northwestern Integrated Safety Information System (NISIS) Orientation at ors-operations@northwestern.edu. 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 for an Orientation Session” and include your name, department, anticipated date of arrival, contact phone number and/or email address in the email message.

- In NSIS, 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 Michael Blaney, Executive Director

- [michael.blaney@northwestern.edu](mailto:michael.blaney@northwestern.edu)
- 847-491-5581

## Northwestern Conflict of Interest (NUCOI)

- Familiarize yourself with Northwestern’s Policy on Conflict of Interest in Research and Policy on Conflict of Interest and Conflict of Commitment.
  
  - One page guide for research-related COI process
  
  - Quick tips for COI training and disclosure requirements

- Undergo conflict of interest training online in eDisclosure.

- Complete and submit a disclosure in eDisclosure.

### CONTACT Julia Campbell, COI Director

- [juliacampbell@northwestern.edu](mailto:juliacampbell@northwestern.edu)
- 847-467-4515
## OFFICE FOR EXPORT CONTROLS (OECC)

- 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, Director  
lcampbell@northwestern.edu  847-467-4063

For more on Northwestern’s Export Controls Compliance responsibilities and additional regulation resources and links, visit the OECC website.

## CORE FACILITIES

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

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

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

## INNOVATIONS AND NEW VENTURES OFFICE (INVO)

- If your work requires a proof-of-concept to validate a product concept, 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 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.

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

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.

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.

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

## NORTHWESTERN CLINICAL AND TRANSLATIONAL SCIENCES INSTITUTE (NUCATS)

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

**CONTACT** NUCATS Office  
312-503-1709

The PI can meet with the Clinical Research Navigator in NUCATS 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 for assistance.

**CONTACT**  
kspina@northwestern.edu  312-503-0871  
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

<table>
<thead>
<tr>
<th>For policies and procedures regarding effort certification as well as guidance on charging sponsored projects, visit the <a href="#">Cost Studies website</a>.</th>
<th>See the Introduction to <a href="#">Effort Reporting mini-course online</a>.</th>
</tr>
</thead>
</table>
| **CONTACT** Jennifer Mitchell  
Associate Executive Director for Research Financial Operations | jennifer-mitchell@northwestern.edu  
847-467-2473 |

### OFFICE OF RESEARCH DEVELOPMENT

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<tr>
<th>Meet to discuss the federal funding research landscape and learn about ORD services available to PIs</th>
<th>Contact ORD 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.</th>
</tr>
</thead>
</table>
| **CONTACT** Nicole Moore, Director | nicole.moore@northwestern.edu  
847-467-0566 |