Faculty/Principal Investigator

# **Research Onboarding Checklist**

1. Obtain your **U-M network ID** (uniqname and UMICH password)
2. Complete this checklist

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| Before you propose to conduct research (pre-award): |

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| Office of Research & Sponsored Projects (ORSP):  To transfer **awards** to U-M or submit proposals to an external sponsor: | | | | |
|  | Identify your unit’s Research Administrator(s) (RA). | <http://orsp.umich.edu/find-research-administrator-blue-pages> | |
|  | Identify the ORSP Project Representative assigned to your unit.  <http://orsp.umich.edu/orsp-staff> | ORSP assigns each school/college/institute/department a project representative for both government-sponsored and private-sponsored research. | |
|  | Complete the following *responsible conduct of research* courses in the PEERRS/My LINC system:   * Responsible Conduct of Research & Scholarship (RCRS) * Research Administration | The PEERRS catalog in the U-M My LINC (training) system provides regulatory compliance courses.  <http://my.research.umich.edu/peerrs/>  Note: additional training may be required depending on the nature of the funded project (e.g., human subjects, animal research). | |
|  | Review U-M’s proposal submission deadline policy.  Verify your School/College submission deadline with your RA. | <https://orsp.umich.edu/route-submit-proposal/proposal-submission-deadline-policy> | |
|  | Create and route a Proposal Approval Form (PAF) in the eResearch Proposal Management (eRPM) system with the assistance of your local unit’s Research Administrator.  Be sure to provide the name and contact information of the responsible sponsored research administrator at the institution currently holding the award. | <https://erpm.umich.edu/>  Log in with you U-M uniqname and UMICH password. | |
| **Contact**: ORSP | | [orsp-info@umich.edu](mailto:orsp-info@umich.edu) | 734-764-5000 |

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| Clinical Trial Support Office (CTSO) - Michigan Medicine Units:  Before you submit a proposal to an external sponsor that includes a **clinical trial**: | | |
|  | Contact your Clinical Trial Support Unit (CTSU) representative | <https://research.medicine.umich.edu/our-units/clinical-trials-support-office/clinical-trials-support-units> |
|  | Complete the CTSU Intake Form | <https://redcapproduction.umms.med.umich.edu/surveys/?s=MWFAXXDMRA> |
|  | Request access and log in to OnCore, Michigan Medicine’s clinical trial management system. | <https://research.medicine.umich.edu/our-units/clinical-trials-support-office/oncore-accounts-support> |
| **Contact**: CTSO | | [CTSOgroup@umich.edu](mailto:CTSOgroup@umich.edu) |

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| Research Development:  To **locate funding** sources for your research: | | | |
|  | Use the U-M Library’s *Find Funding Portal* to:   * Locate external funding opportunities * Search funding databases * Set up customized funding alerts | <http://guides.lib.umich.edu/researchfunding/>  Funding databases include: COS/Pivot, Grants.gov, Foundation Directory Online, and SPIN | |
|  | Review the available internal funding opportunities  <http://guides.lib.umich.edu/c.php?g=283405&p=1888656> | Internal funding opportunities include: limited submissions, faculty & staff funding awards, and pilot & feasibility funding. | |
|  | Sign up for internal email lists and groups to stay informed | <http://guides.lib.umich.edu/c.php?g=283405&p=1888660#s-lg-box-wrapper-6792005> | |
| **Contact**: University of Michigan Library | | [contact-mlibrary@umich.edu](mailto:contact-mlibrary@umich.edu) | 734-764-0400 |

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| Regulatory Actions Prior to Beginning Research (as applicable) |

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| Conflicts of Interest (COI):  To **disclose** **outside activity** for potential conflicts of interest management: | | | |
|  | Review U-M’s COI policies:   * [Policy for the Identification and Management of Conflicts of Interest in Research and Technology Transfer](https://research-compliance.umich.edu/files/coiresearchpolicyfy2022pdf). * [SPG 201.65-1: Conflicts of Interest and Conflicts of Commitment](http://www.spg.umich.edu/policy/201.65-1) | See <http://research-compliance.umich.edu/outside-interest-disclosure-process> for COI disclosure resources, details, and more.  Review your school/college COI policy: <http://www.provost.umich.edu/programs/COI_COC/units.html> | |
|  | Complete and submit a disclosure in  M-Inform: <https://minform.it.umich.edu> | M-Inform includes annual disclosure and COI training. | |
| **Contact**: UMOR COI  (Ann Arbor campus units, Flint, Dearborn) | | [coi.umor.office@umich.edu](mailto:coi.umor.office@umich.edu) | 734-764-3224 |
| **Contact**: MEDCOI (Michigan Medicine units) | | [coi.med.office@umich.edu](mailto:coi.med.office@umich.edu) | 734-615-9842 |

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| Institutional Review Board (IRB):  If your work involves **human research subjects**: | | |
|  | Review the HRPP website and the HRPP Operations Manual (policy and procedures) | The HRPP Operations Manual describes the policies and processes governing human subjects research at U-M.  <http://research-compliance.umich.edu/human-subjects> |
|  | Contact a U-M IRB to transition oversight of an existing study to a U-M IRB, or to negotiate ceding oversight to your previous institution. | <http://research-compliance.umich.edu/u-m-irb-contacts> |
|  | Complete U-M’s Human Subjects Research Protections (HSP) course in PEEERS/My LINC or submit a training waiver request for a qualifying equivalent course. | See <http://my.research.umich.edu/peerrs/> for details.  Log into PEERRS/My LINC training system with your  U-M Network ID. |

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|  | Log into the eResearch Regulatory Management (eRRM) system to establish your online. | You must first have your U-M network ID (uniqname and UMICH [Level1] password).  eRRM is the system used to submit IRB applications (HUMs) at U-M. You may begin work an eResearch IRB applications as soon as you have your U-M network credentials. | |
| **Contact**: IRB-HSBS  (Ann Arbor campus units, Flint and Dearborn) | | [irbhsbs@umich.edu](mailto:irbhsbs@umich.edu) | 734-936-0933 |
| **Contact**: IRBMED (Michigan Medicine units) | | [irbmed@umich.edu](mailto:irbmed@umich.edu) | 734-763-4768 |

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| Institutional Animal Care and Use Committee (IACUC):  If your work involves **animal subjects**: | | | |
|  | Contact the Animal Care & Use (ACU) Program for assistance in transferring an animal protocol from another institution to U-M | <http://animalcare.umich.edu/> | |
|  | Review the U-M policies related to the care and use of vertebrate animals, protocol/amendment review, and laboratory space. | ACU/IACUC policies are found at: <https://az.research.umich.edu/animalcare/policies> | |
|  | Download the Quick Reference Guide, which provides resources, contact information, and more. | <https://animalcare.umich.edu/sites/default/files/acu_quickreferenceguide_february2020.pdf> | |
|  | Complete IACUC-required onboarding and assigned animal care and use training. | See: <http://animalcare.umich.edu/training> | |
|  | Complete the *eRAM Principal Investigator Authorization Request Form* to obtain access to the eResearch Animal Management (eRAM) system | <https://umich.qualtrics.com/jfe/form/SV_eg5VQ7Oy4ZXfyyF>.  Access is typically processed within 2 -3 business days. | |
| **Contact**: U-M Animal Care & Use Office (ACUO) | | [acuoffice@umich.edu](mailto:acuoffice@umich.edu) | 734-763-8028 |

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| Unit for Animal Laboratory Medicine (ULAM):  For **animal procurement, handling, and veterinary care**: | | |
|  | To transfer vertebrate animals to U-M from your previous institution, complete the *Shipping Form (Import)* in eRAM | See: <http://animalcare.umich.edu/animal-use/transporting-animals>  Animal procurement at U-M is completed via the eRAM system.  You must first have your U-M network ID (uniqname and UMICH password) to access eRAM. |
|  | If you will handle vertebrate animals:   * Obtain animal housing access (includes required training and facility tour) * Enroll in the EHS Animal Handler Medical Surveillance Program | The animal handling section of the IACUC protocol identifies personnel who will handle the animals.  For details see:   * <http://animalcare.umich.edu/facilities-systems-access/animal-housing-access>, and * <https://ehs.umich.edu/research-clinical/animals/medical-surveillance/> |

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|  | Review the ACU procedures and guidelines for details about specific animal handling requirements | See:   * <https://az.research.umich.edu/animalcare/sops> * <https://az.research.umich.edu/animalcare/guidelines> | |
| **Contact**: Unit for Laboratory Animal Medicine (ULAM) | | [ulam-questions@umich.edu](mailto:ulam-questions@umich.edu) | 734-764-0277 |

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| Institutional Biosafety Committee (IBC):  If your work involves **recombinant DNA/SNA (including use of transgenic animals), infectious agents, biological toxins, human-derived and/or certain animal-derived substances, and administration of any of the above to vertebrate animals**: | | | |
|  | Complete an IBC application in the eResearch Regulatory Management (eRRM) system | All work noted above (including exempt and BSL1 rDNA/SNA work) must be approved by the IBC prior to the start of the research.  <http://research-compliance.umich.edu/institutional-biosafety-committee-ibc> | |
|  | Schedule a laboratory inspection with EHS | Work requiring BSL2 containment must pass a laboratory inspection of the facility and utilities (ventilation, storage, plumbing) by U-M’s Environment, Health & Safety (EHS) department prior to IBC approval. IBC will hold approval until all corrective actions for the are resolved for the facility.  <https://ehs.umich.edu/wp-content/uploads/2016/04/BL2checklist.pdf>  **Biosafety** – Email [Janet Follo](mailto:EHSBiosafety@umich.edu) ([follo@umich.edu](mailto:follo@umich.edu)) or call (734) 647-1142. | |
|  | Register for and complete appropriate training:   * BLS101 Biosafety and Bloodborne Pathogen * BLS008 Working Safely with Viral Vectors * BLS025w (Online) General Laboratory Safety | See the EHS catalog in My LINC for additional safety courses.  To log into My LINC you must have your U-M uniqname and UMICH (Level 1) password. | |
| **Contact**: IBC Office | | [IBCstaff@umich.edu](mailto:IBCstaff@umich.edu) | 734-615-9637 |

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| If your work involves a **human gene transfer clinical trial**: | | | |
|  | Contact the Institutional Biosafety Committee (IBC) early for guidance. | <http://research-compliance.umich.edu/human-gene-transfer-proposals> | |
|  | Initiate an Institutional Review Board (IRB) application, marking “yes” for human gene transfer where appropriate. | See the Institutional Review Board (URB) section of this document for guidance. | |
| **Contact**: IBC Office | | [IBCstaff@umich.edu](mailto:IBCstaff@umich.edu) | 734-615-9637 |

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| Environment, Health, and Safety (EHS):  If you work in a **laboratory** or your work involves **hazardous materials, radiation, lasers, or scientific diving:** | | | |
|  | Complete the EHS Laboratory Pre-commissioning consultation form. | <https://ehs.umich.edu/forms/research-and-clinical/pre-commissioning-consultation-form/> | |
|  | Review the U-M Chemical Hygiene Plan | <http://ehs.umich.edu/research-clinical/chemical/> | |
|  | Complete General Laboratory Safety Training (BLS 025w) | <https://docs.google.com/document/d/1nNsgRbc6mDobA63Lwlo5r_CzN2TzzFDg0PttLRkIPWg/edit> | |
|  | Complete the MI Safety Portal Login Request | <http://ehs.umich.edu/research-clinical/mi-safety-portal/> | |
| **Contact**: EHS | | [ehsanswers@umich.edu](mailto:ehsanswers@umich.edu) | 734-647-1143 |

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| Export Controls:  If your work involves **anything that is military in nature, defense articles, dual-use or nuclear technologies, space technologies, weapons, explosives, select agents, restrictions on use of foreign persons, or collaboration with colleagues or institutions in embargoed countries**: | | | |
|  | Review policies, procedures, and more on the Export Control Program website | <http://research-compliance.umich.edu/export-controls> | |
|  | Complete the PEERRS Export Controls training course. | <https://maislinc.umich.edu/core/pillarRedirect?relyingParty=LM&url=app%2fmanagement%2fLMS_ActDetails.aspx%3fActivityId%3d47711%26UserMode%3d0>  Log into PEERRS/My LINC training system with your  U-M Network ID. | |
|  | Check “yes” for export controls on your Proposal Approval Form (PAF) for any sponsored research projects | The PAF is the U-M routing form that supports the submission of proposals to research sponsors.  <http://orsp.umich.edu/route-submit-proposal/proposal-approval-form-paf> | |
|  | Work with ECP to implement a Technology Control Plan (TCP) to manage export controlled research | <http://research-compliance.umich.edu/export-controls/technology-control-plans-licenses> | |
| **Contact**: Export Controls Program | | [exportcontrols@umich.edu](mailto:exportcontrols@umich.edu) | 734-615-0672 |

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| Controlled Substances:  If your work involves research utilizing **controlled substances**: | | |
|  | Apply for (or transfer) the required regulatory licenses:   * [State of Michigan (SOM) Research License](https://www.michigan.gov/documents/lara/CS_Individual_Final_660972_7.pdf) * [DEA Researcher Registration](http://research-compliance.umich.edu/dea-registration-application-renewal#DEA-Application) | Obtaining SOM and DEA qualifications to utilize and store controlled substances for research may take months.  Use of a practitioner license for non-clinical research is not advised. |

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|  | Record your license/registration in the eResearch Animal Management (eRAM) system. | You must first have your U-M network ID (uniqname and UMICH password).  eRRM is the system used to track your U-M Controlled Substance Registration (CSR). | |
|  | Schedule a training session with a U-M Controlled Substance Monitor | <http://research-compliance.umich.edu/controlled-substances-research> | |
| **Contact**: U-M Controlled Substance Monitor,  Kelly Christman | | [cs-monitor@med.umich.edu](mailto:cs-monitor@med.umich.edu) | 734-764-2003 |

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| Human Pluripotent Stem Cell Research Oversight (HPSCRO):  If your work involves **human embryonic or induced pluripotent stem cells**: | | | |
|  | Review the policies and guidelines governing human pluripotent stem cell research:   * State of Michigan policy * NIH guidelines * U-M policy | <http://research-compliance.umich.edu/human-pluripotent-stem-cells/hpscro-policies-procedures>  HPSCRO provides guidelines for human embryonic stem cell (hESC) and human induced pluripotent stem cell (iPSC) research at U-M. | |
|  | Submit an application to conduct human pluripotent stem cell research at U-M | <http://research-compliance.umich.edu/files/hpscroappv4docx> | |
| **Contact**: HPSCRO | | [HPSCROquestions@umich.edu](mailto:HPSCROquestions@umich.edu) | 734-763-8028 |

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| Autonomous Systems:  If your work involves **unmanned aircraft systems (UAS** or “**drones”) or driverless ground vehicles**: | | | | |
|  | Review the U-M and FAA policies, including the [Regents’ Ordinance Article XVI](https://regents.umich.edu/files/meetings/01-01/Regents_Ordinance_July_2020.pdf) | <http://research.umich.edu/unmanned-aircraft-systems> | | |
|  | If proposing UAS work, complete an *Application for Use of Unmanned Aircraft Systems (UAS) On or Off-Campus*. | Contact the U-M Institutional Autonomous Systems Committee (IASC) for guidance. | | |
|  | If proposing driverless ground vehicle work, contact IASC to initiate the review process. |  | | |
| **Contact**: Institutional Autonomous Systems Committee (IASC) | | | [IASC.Review@umich.edu](mailto:IASC.Review@umich.edu) | 734-936-3934 |

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| Research Data:  To transfer **data** to U-M: | | | |
|  | Complete a *data use agreement* (DUA) in the eResearch Proposal Management (eRPM) system with the assistance of your local unit’s Research Administrator. | To transfer data to U-M that is restricted in terms of how the data may be used or who may have access to the data, you may need to establish a DUA between the provider institution and the University of Michigan.  The DUA is a type of unfunded agreement (UFA) in eRPM.  <http://orsp.umich.edu/policies-procedures/data-sharing-and-use-agreements> | |
| **Contact**: ORSP | | [orsp-info@umich.edu](mailto:orsp-info@umich.edu) | 734-764-5000 |

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| If your work involves **sensitive data**: | | | | | |
|  | Review U-M information security policies and standards, including:   * Regulatory guidance for specific data types * Investigator responsibilities to protect research data | See:   * [Comply with Laws, Policies, and Regulations](https://www.safecomputing.umich.edu/protect-the-u/safely-use-sensitive-data/policies-regulations?nav) * [Protect Your Unit’s IT](https://www.safecomputing.umich.edu/protect-the-u/protect-your-unit) | | |
|  | Use U-M’s *Sensitive Data Guide* to make informed decisions about where to safely store and share sensitive university data. | <https://www.safecomputing.umich.edu/dataguide/> | | |
| **Contact**: Information Assurance (IA) | | | [4help@umich.edu](mailto:4help@umich.edu) | 734-764-4357 | |

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| If your work involves **Controlled Unclassified Information (CUI)**: | | | |
|  | Contact the Research Information Security Oversight Program to determine the appropriate system/technology solution to secure and store the data. | Federal contracts/awards requiring CUI information controls must utilize secure technology systems.  <http://research-compliance.umich.edu/research-information-security/controlled-unclassified-information-cui> | |
|  | Develop an *information security plan* for your research project(s). | This plan outlines how you will secure and store the data, including who will have access to that data. | |
| **Contact**: Research Information Security Oversight | | [Research.Information.Security@umich.edu](mailto:Research.Information.Security@umich.edu) | 734-936-2681 |

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| After you receive an award (post-award): |

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| Sponsored Programs:  To request accounting services for research: | | | |
|  | Identify your department’s *Sponsored Programs Coordinator:*  <http://www.finance.umich.edu/programs/coordinator-by-department> | The Sponsored Programs Coordinator works with your unit’s Research Administrator to:   * Establish and modify sponsored project/grants * Coordinate all financial activities related to sponsored project management | |
| **Contact**: Sponsored Programs | | [sponsoredprograms@umich.edu](mailto:sponsoredprograms@umich.edu) | 734-764-8204 |

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| To request a **subaward** to another institution/organization: | | | | | |
|  | Review the subaward/hybrid PO procedures:  <http://www.finance.umich.edu/programs/roles-responsibilities/office-contract-administration> | The Office of Contract Administration (OCA) Prepare, sign, and execute subawards and hybrid POs related to sponsored projects ensuring proper flow down of sponsor requirements. | | |
|  | For new subcontracts, work with your unit Research Administrator to have the subrecipient complete and submit the *Letter of Commitment to Establish a Subrecipient Agreement* to OCA. | <https://orsp.umich.edu/sites/default/files/resource-download/subrecipient_statement_of_collaborative_intent.pdf> | | |
| **Contact**: Office of Contract Administration (OCA) | | | [pgeard@umich.edu](mailto:pgeard@umich.edu) | 734-763-3194 | |

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| Effort Certification Reporting:  To report your **effort as a Principal Investigator**: | | | |
|  | Review the U-M Standard Practice Guide (SPG) 501.10: Policy on Effort Certification | <https://spg.umich.edu/policy/501.10> | |
|  | Complete the annual certification report in Wolverine Access > Employee Business | For detail see: <http://www.finance.umich.edu/finops/payroll/faculty/effort> | |
| **Contact**: U-M Financial Operations | | Effort.reporting.payroll@umich.edu |  |

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| Office of Technology Transfer (Tech Transfer):  To transfer **materials** to U-M: | | | |
|  | Complete a *materials transfer agreement* (MTA) in the eResearch Proposal Management (eRPM) system. | To transfer materials (e.g., biospecimens, technology, etc.), you must establish an MTA between the provider institution and the University of Michigan. The MTA is a type of unfunded agreement (UFA) in eRPM.  <https://techtransfer.umich.edu/for-inventors/mta/> | |
| **Contact**: John Corthell, Tech Transfer | | [corthell@umich.edu](mailto:corthell@umich.edu) | 734-763-1019 |

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| To commercialize your **inventions** while at U-M: | | | | | |
|  | Contact Tech Transfer to discuss previously filed patents, current involvement in start-up companies, or if you intend to utilize pre-existing intellectual property in your work at U-M. | Tech Transfer facilitates the conversation between your previous institution and the University of Michigan regarding intellectual property. | | |
|  | Submit an Invention Disclosure Form to Tech Transfer online or manually.  Online: <http://umich.wellspringsoftware.net/>  Manual reports (e.g., invention, research tools): <https://techtransfer.umich.edu/for-inventors/submit-your-innovation/> | Tech Transfer works with faculty to report inventions for licensing and commercialization in order to secure intellectual property rights.  <https://techtransfer.umich.edu/for-inventors/>  Research Tool disclosure: <https://orsp.umich.edu/set-project/research-tools-and-biomaterial-sharing-policies> | | |
|  | Contact Tech Transfer’s *Venture Center* to develop a start-up company based on your U-M intellectual property. | The Venture Center provides resources to help launch and sustain venture-ready startups.  <https://techtransfer.umich.edu/for-startups/> | | |
| **Contact**: Office of Technology Transfer | | | [techtransfer@umich.edu](mailto:techtransfer@umich.edu) | 734-763-0614 | |

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| Procurement Services:  To **purchase** items for your research or submit **travel and expense reports**: | | | |
|  | Review the U-M procurement processes and policies.  Work with your unit’s Research Administrator (RA) to purchase items for your research. | <http://procurement.umich.edu/buying/process-policies>  Purchases over $10,000 require competitive bidding by Procurement Services.  Restricted products/services require special, prior approval by university officials or require a particular purchasing process. See the *Restricted Commodities* list:  <http://procurement.umich.edu/sites/default/files/302.04-01_restricted_commodities_and_special_approvals_rev.10.20.pdf> | |
|  | Review the U-M travel, expense and business hosting policies and guidelines:  [http://spg.umich.edu/policy/507.10-1](https://spg.umich.edu/policy/507.10-1) | <http://procurement.umich.edu/travel-expense>  Before traveling on U-M business, review the guidelines on airfare, car rental, hotel reservation, receipt requirements, etc.  Submit expense reports in the Concur system within 45 days of the end of travel, event date, or transaction date. | |
|  | If applicable, work with your unit’s RA to request a PCard (Purchasing Card).   * Complete the required PCard training * Submit a PCard application * Complete the PCard Cardholder Agreement | <http://procurement.umich.edu/card-programs/purchasing-card-pcard/pcard-guidelines>  For details see: <http://procurement.umich.edu/card-programs/purchasing-card-pcard/application-training>  Your unit must approve your PCard application. | |
| **Contact**: Procurement Services | | [procurement.services@umich.edu](mailto:procurement.services@umich.edu) | 734-764-8212, prompt 2 |