

**On Boarding Faculty Checklist
Addressing
Sponsored Research Concerns**

Version Date: November 1, 2011

This Checklist is an informational tool for faculty and business administrators. Its purpose is to provide contact information and possible areas to address when a faculty member is joining Yale and s/he is a Principal Investigator on an award(s) or if a trainee already at Yale is transitioning to a faculty position. This Checklist may not be all-inclusive regarding the particular concerns of the faculty member but is an attempt to highlight the more common issues/concerns.

Initial Steps			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	<p>Review New Employee Checklist</p> <p>Policy 1605: <i>Faculty Access to University Services and Facilities Prior to Appointment Date</i></p>	Business Office	<ul style="list-style-type: none"> • http://www.yale.edu/ppdev/forms/hr/NewEmp_Checklist.pdf • http://www.yale.edu/ppdev/policy/1605/1605.pdf
	Arrange for a NetID	Business Office	
	<p>Prior to coming to Yale, faculty may need to access Yale's Network. If so, the use of Yale's VPN may be necessary.</p> <p>Yale VPN (Virtual Private Network) provides a method for using a public network (usually the Internet) to securely access a private network. Yale VPN allows clients connecting from a non-Yale Internet Service Provider (ISP) access to campus resources as if they are directly connected to the campus network.</p>	Business Office	<ul style="list-style-type: none"> • http://www.yale.edu/its/network/vpn.html
	Provide copies and/or links to the Faculty Handbook and Policies on PPDEV	Business Office	<ul style="list-style-type: none"> • https://business.yale.edu/ppdev/
	Discuss the transfer of awards; get contact information of	Business Office/ GCA:	<ul style="list-style-type: none"> • http://www.yale.edu/grants/

	current institution; contact Yale's Office of Grant and Contract Administration (GCA) to discuss steps to transfer existing awards. (For additional information go to the Sponsored Projects section below.)	(203) 785-4689	
	Provide URL for the completion of the External Interests Disclosure form (NetID Required)	Business Office Conflict of Interest Office (203) 785-4255	<ul style="list-style-type: none"> • https://ires.yale.edu/WebPortal/Main.asp?Mode=COIUserSearch • http://www.yale.edu/coi/
	Provide URL for the completion of Sponsored Projects Administration Training for Faculty form (NetID Required)	Business Office	<ul style="list-style-type: none"> • https://secure.its.yale.edu/cas/servlet/login?refresh=true&service=http://learn.yale.edu/ra/auth121.asp
	Provide URL for the completion of the Patent Policy Acknowledgement and Agreement requirement form (NetID Required)	Business Office	<ul style="list-style-type: none"> • http://yale.edu/training/ <ul style="list-style-type: none"> ○ Scroll down to Office of Cooperative Research ○ Click on "Courses"
	Complete TMS Requirements Assessment (NetID Required)		<ul style="list-style-type: none"> • http://yale.edu/training/ On left side of page click on "Take Your Assessment"
Hiring Process/Human Resources/Payroll			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Conduct background, debarment and suspension, and ORI misconduct in science checks	HR/Provost's Office/Business Office	Access Excluded Parties List System <ul style="list-style-type: none"> • https://www.epls.gov/
	Ensure receipt of signed/dated appointment letters.	HR/Provost's Office/Business Office	
	Determine if personnel are transferring/joining the faculty member.	Business Office	

	If the faculty member has a 9 month appointment, discuss if s/he will be participating in the “9 Over 9” program.	Business Office/Provost Office (Bob Burger) (203) 432-4448	<ul style="list-style-type: none"> • http://provost.yale.edu/salary-grant-funds
Human Subjects			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Assistance with the submission/review/approval of protocols transferring from previous institution.	Human Research Protections Program (203) 785-4688	hrpp@yale.edu <ul style="list-style-type: none"> • http://www.yale.edu/hrpp/
HIPAA and Patient Information			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Arrange for appropriate transfer of PHI and secure systems	HIPAA Privacy Office (203) 432-5919	hipaa@yale.edu
Animal Subjects			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Assistance with the submission/review/approval of animal protocols.	IACUC Office (203) 785-5992	<ul style="list-style-type: none"> • http://iacuc.yale.edu/forms/index.html
	Arrange for transfer of animals.	YARC/IACUC (203) 785-2526/ (203) 785-5992	
Intellectual Property			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Determine if existing licensing agreements need to be renegotiated.	OCR (203) 436-8096	
Equipment			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	If equipment is transferring to Yale determine if:	GCFA (Bob Marchitto)	<ul style="list-style-type: none"> • http://www.yale.edu/ppdev/policy/4209/4209.pdf

	<ul style="list-style-type: none"> • There is an agreement in place between Yale and the previous institution as to what items are approved for transfer. If Yale is purchasing equipment, is Yale purchasing at a reasonable price? What is the source of funds? Fair market value must be determined. • The cost of shipping is taken into consideration. • There is space for the equipment. • Renovations of space are necessary to house the equipment. • Equipment is used to store chemicals, biological agents, or radioactive materials. 	<p>(203) 785-3082</p> <p>EHS (203) 785-3550</p>	<ul style="list-style-type: none"> • http://www.yale.edu/ppdev/forms/purchase/MEIChangeInStatusForm.pdf • http://www.yale.edu/ehs/
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Sponsored Projects

√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Determine if there are awards transferring to Yale <ul style="list-style-type: none"> • If so, notify sponsors to begin the transfer process <ul style="list-style-type: none"> ○ If NIH awards, obtain a copy of the Relinquishing Statement; and ○ Connect with previous institution. 	Business Office GCA (203) 785-4689	
	MTA Concerns (e.g., if materials can be transferred and begin negotiation of a new MTA)	GCA (203) 785-4689	
	Transferred awards where the research involves a foreign country, provide a copy of the OFAC license.	Director, Corporate Contracts and Export Controls Licensing	Donald.deyo@yale.edu

		GCA (203) 785-3817	
Gifts			
	Any non-sponsored dollars transferring	Office of Corporate and Foundation Relations (203) 436-8518	
Environmental Health and Safety			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Any transfer and transportation of research materials such as: <ul style="list-style-type: none"> • Chemicals • Radioactive materials • Biological materials • Human pathogens • Controlled substances 	EHS/ Safety Officer (203) 785-3550	<ul style="list-style-type: none"> • http://www.yale.edu/ehs/hazmatship.htm • http://www.yale.edu/ehs/Documents/lab/researchmaterialschecklist.pdf
Data/Record Retention			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Ensure research records/data are transferred and protected for ongoing sponsored awards.	ITS	<ul style="list-style-type: none"> • http://www.yale.edu/its/policy/
Personal/Administrative Concerns			
√	Item	Institutional Notification	Relevant Websites/Forms/Email Addresses
	Arrange for: <ul style="list-style-type: none"> • Keys • Purchasing Card • Telephone Card • Email account • Cellphone • Computer 	Business Office	
	Are parking arrangements necessary?	Business Office	
	Arrange for access to systems such as Kronos, SciQuest, EMS	Business Office	<ul style="list-style-type: none"> • http://business.yale.edu/ppdev/transform.jsp?xml=xml/ppdev.xml&xsl=related.xsl&arg1=Security%20and%20Access&arg2=&arg3=

Acronyms:

EHS: Office of Environmental Health and Safety
GCA: Office of Grant and Contract Administration
GCFA: Office of Grant and Contract Financial Administration
HIPAA: Health Insurance Portability and Accountability Act
HRPP: Human Research Protections Program
IACUC: Institutional Animal Care and Use Committee
ITS: Information Technology Services
MTA: Material Transfer Agreement
PHI: Protected Health Information
YARC: Yale Animal Resources Center

Yale