Non-Employee Research Procedures

As of November 2018, an agreement between Northwestern University (NU) and Northwestern Memorial Healthcare Corporation (NMHC) was executed to outline the requirements for individuals who are not employed by NU to contribute to NU research conducted at NMHC clinical affiliates. As part of this Agreement, NU will provide a certificate of insurance coverage to NMHC for non-NU employees (interns/volunteers).

In order to receive this certificate of coverage and be eligible for access at NMHC, the following processes described below must be completed.

**There are two steps to this process:**
- First, there is a documentation process with NU.
- Second, the non-employee must go through the Access Program at NMHC.

*Both processes must be completed to gain access to NMHC resources.*

1. **NU Documentation/Background Check Step**
   To get started, first complete the intern and volunteer process with NU HR. Please see the process governing interns and volunteers at [https://www.northwestern.edu/hr/for-managers/hiring/hiring-interns-volunteers/index.html](https://www.northwestern.edu/hr/for-managers/hiring/hiring-interns-volunteers/index.html) for more information.

   Once the interns and volunteer process has been completed it must then be documented in REDCap using the following form: [https://redcap.nubic.northwestern.edu/redcap/surveys/?s=9F3TPEFFL3](https://redcap.nubic.northwestern.edu/redcap/surveys/?s=9F3TPEFFL3).

   Gather the following for documentation and upload into REDCap:
   1. Completed interns and volunteer forms*:
      - Volunteer and Visitors Lab Use Agreement Form
      - DCFS Mandatory Reporter Form
      - Unpaid Intern and Volunteer Acknowledgement Form
      *If you have a visiting scholar of any kind, pre-doc, post doc, etc. please upload the offer letter from Faculty Affairs. Intern/volunteer forms are not required.
   2. A background check for NU staff accessing NMHC. This can be initiated either by the volunteer process or by answering “no” to the question “Was a background check completed?” in the REDCap survey.
      - Those non-employees who have lived outside of the US in the last 7-years will need to list countries where they have lived during that time period.
   3. A signed letter from the non-employee’s PI describing the research activity that will take place and a plan for supervision of the non-employee. This is required for all non-employees. *An email or other documentation is not sufficient for this step.*

2. **NMHC Documentation Required**
   Once all items have been cleared and the REDCap form has been submitted, a Non-Employee Verification Certificate will be emailed to the requestor. This documentation must be submitted to the NMHC Office for Research with the Access Program application packet.

   In addition, non-employees must complete the NMHC Access Program application. A Corporate Health check will also be required as dictated by the NMHC Access Program policy. The Access Program process may start after completion of the NU process.
Access Program:
In order to participate in research and perform research activities at NMHC, NU employees must go through the NMHC Access Program. The Access Program process connects NU staff members with Corporate Health and other components of NMHC to meet minimum standards for access. The level of access requested dictates the checks required and are outlined in the NMHC Access Program Manual. As a component of this agreement, non-employees will also be required to go through this process. You can begin this process by emailing accesspr@nm.org.

Background Check Process:
During onboarding at NU, a staff member undergoes an HR-initiated background check and verification of certificate of insurance coverage. For those accessing NMHC, the following background check elements are required and are broader than the standard background check; SanctionsBase, County-Criminal, Federal-Criminal, National Criminal Database, OIG-SAM, TransUnion-Social, National Sex Offender Registry. An international check is required for those who have lived outside of the US in the last 7 years to augment the National Criminal check. As a component of this agreement, non-employees will also be required to have this level of background check.

Minors:
Please note, that while minors (a person under age 18) can be interns and volunteers at Northwestern University, they are not allowed to have access to NMHC for research purposes.

Is my applicant a non-employee?
Access to NMHC is governed by several established processes, such as through the NM Medical Staff Office. Use the chart below to decide if your non-employee’s role should use the NU Non-employee Process. The NU Non-employee Process is not to be used for staff/faculty who are credentialed through other processes.

### Established Process vs. Non-employee Process

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<thead>
<tr>
<th></th>
<th>Established Process</th>
<th>Non-employee Process</th>
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</thead>
<tbody>
<tr>
<td>Regular NU Staff</td>
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<td></td>
</tr>
<tr>
<td>Intern/Volunteer</td>
<td></td>
<td>X</td>
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<tr>
<td>Summer Student</td>
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<td>X</td>
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<tr>
<td>NU Medical Student</td>
<td>X</td>
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<tr>
<td>NU Visiting Scholar</td>
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<td>X</td>
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<tr>
<td>McGaw Resident/Fellow</td>
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<td>X</td>
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<tr>
<td>NU or non-NU Masters/PhD student</td>
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<td>X</td>
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