Roles & Responsibilities

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Overview of the duties of key individuals that conduct or support research activities

Research Roles and Responsibilities

Why
All members of the Northwestern University research community are responsible for upholding the highest standards of ethical and professional conduct as defined in our University policies, procedures and guidelines and sponsoring agency policies and regulations.

Goal
The goal of these documents is to provide an overview of the duties of key individuals that conduct or support research activities at Northwestern University.
Choose one of the roles for more information.

Roles
Administrative Research Personnel
Chair
Dean
Home
Principal Investigator (PI)
Technical Research Personnel
Vice President for Research

http://researchroles.northwestern.edu
Research Administration Roles

All 3 levels work together to support research and the research administration process.
PI Responsibilities

• Direct and oversee all research activities
• Foster a culture of research integrity
• Responsible for fiscal and administrative management of research
• Conduct research in an objective and unbiased manner in compliance with policies and regulations
• Manage all research staff, including co-investigators, post-doctoral trainees, fellows, students, technicians and lab managers
• Assure that all key research personnel have met training requirements
• Ensure appropriate resources for research conduct
Unit Responsibilities

- Provide support for PI’s research pursuits while ensuring adherence to all applicable regulations and policies
- Support PI with fiscal and administrative management of research
- Communicate proposal deadlines, pre-award processes and policies to the PI
- Complete post-award administration of research grants and/or contracts
- Communicate with PI to complete effort commitment profile and to track and monitor effort commitments
- Assist PI to prepare IRB or IACUC protocol submissions, when applicable
Department Chair Responsibilities

• Act as liaison to other University units
• Ensure research objectives of the department, school, and University are consistent
• Confirm commitment to policies and regulations and take appropriate actions to ensure the Universities commitment to compliance
• Oversee the faculty in relation to their research activities, including collaborative, large-scale research initiatives
• Ensure infrastructure, personnel and other resources are sufficient to meet departmental research needs and strategic vision
• Communicate all research-related training requirements to faculty and staff
AVPs for Research Responsibilities

- Oversee all Office for Research (OR) compliance and operational units
- Oversee Research Centers and Core Facilities
- Strategic planning for University research
- Liaison to basic science and clinical research communities, liaison to Northwestern University Clinical and Translational Science Institute (NUCATS)
- Manages communications to foster the flow of information between OR and it’s constituents
- OR representative on University committees
- Oversight of OR strategic planning
INVO Responsibilities

• Provide support for Northwestern’s expanding innovative culture

• Entrance point for moving Northwestern’s inventions to the public

• INVO consists of:
  – Intellectual Property and Licensing group
  – The New Ventures group
  – The Community Outreach group
Northwestern Scholars

• Searchable database of research expertise across all disciplines at Northwestern University

• Ability to explore the profiles and research output (publications, patents, visual works, performances, etc.) of thousands of scholars, and learn about core research facilities at Northwestern

• View collaboration networks among researchers within Northwestern and with external scholars.

https://www.scholars.northwestern.edu/
ORS Responsibilities

• Chemical, biological, radiation, and general laboratory safety training and oversight

• Compliance oversight (all of the above) — interactions with multiple state and federal agencies

• Hazardous waste disposal

• Emergency response

• Security oversight for materials of national security interest

• Administration of various safety committees
Core Facilities Responsibilities

• Provide centralized services and/or state of the art equipment that a single researcher cannot support on their own
  – Electron and confocal microscopes
  – Functional MRI facilities

• Recharge centers that recover most of its expenses by charging its user base a “fee for service”

• Concentrated within OR, FSM and WCAS
ORD Responsibilities

• Identify appropriate funding opportunities
• Provide research administration support for large and/or complex grants
• Assist with grant proposal development
• Provide grantsmanship training
• Provide assistance obtaining institutional commitments and cost-sharing for proposals
• Provide assistance establishing external partnerships and affiliated subcontracts
OSR Responsibilities

- Proposal validation and submission
- Negotiate, execute, and accept contract and grant awards
- Award notification
- Account establishment
- Issue sub-awards
- Interpret award terms and conditions
ORI Responsibilities

• Promote research integrity

• Help researchers navigate the complex research compliance and administrative arenas

• Raise awareness of research integrity issues and policies

• Serve as a confidential source for reporting research related concerns

• Manage investigations of alleged research misconduct

• Coordinate quarterly research administration training seminars

• Track compliance with NSF RCR training requirements
IRB Office Responsibilities

- Support the Institutional Review Board ("IRB")
- Assist PIs and the research community in minimizing risk to human subjects
- Ensure compliance with federal laws and Northwestern policy regarding human subject research
- Respond to allegations of human subject research non-compliance
- Conduct quality assurance and training
OECC Responsibilities

- Establish and oversee a centralized resource ensuring University compliance with the various export control regulations
- Provide education and outreach
- Partner with offices across both campuses to ensure a unified approach and message regarding compliance
- Maintain records demonstrating steps taken to comply with the regulations
- Conduct restricted party screenings
Research IT Strategy & Operations

• Identify and implement research technical solutions and infrastructure

• Support the application of information systems solutions and technologies to the Northwestern research enterprise
CCM Responsibilities

• Support faculty using animals

• Oversee the humane care and use of animals

• House research animals, maintain support space and services for the use of animals

• Provide training in the care and use of animals
IACUC Office Responsibilities

• Support the Institutional Animal Care and Use Committee (“IACUC”)

• Work with CCM to protect welfare of animal subjects

• Ensure compliance with federal laws and Northwestern policy regarding animal subject research

• Inspect animal facilities and laboratories

• Respond to allegations of animal subject research non-compliance

• Conduct post-approval monitoring and training
NUCOI Responsibilities

- Oversee and implement the University faculty and staff conflict of interest policies and procedures
- Ensure University compliance with applicable conflict of interest regulatory requirements
- Provide guidance and support to the University community regarding conflict of interest policies, systems, standards, and procedures
- Administer and support the activities of University Conflict of Interest Committees
Other Related Northwestern Offices

- President
  - Provost
    - Vice President for Research
  - Executive Vice President
    - Vice President of Financial Operations & Treasurer
      - Executive Director for Research Financial Operations
        - Accounting Services for Research and Sponsored Projects (ASRSP)
        - Cost Studies
ASRSP Responsibilities

- Financial status reports, sponsor reimbursements, and award close out
- Approve transactions over 90 days
- Coordinate financial audits
- Inventory government-titled equipment
- Administer effort certification process
- Process subcontract invoices
- Promote compliance with policies
Cost Studies Responsibilities

- Development and negotiation of the University’s F&A Rate
- Oversee and analyze recharge activities
- Review of selected sponsored project expenditures
- Work with effort coordinators to enable quarterly effort certification
- Maintain Effort Reporting System/Committed Effort Management (ERS/CEM)
- Provide training on effort reporting policies and ERS/CEM
- Provide determination of cost transfer policies and review of cost transfers
- Monitor compliance with Uniform Guidance (2 CFR 200) cost accounting practices
Research Centers

http://www.research.northwestern.edu/centers

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Questions?