The Office for Sponsored Research (OSR): An Overview

Office for Sponsored Research
OSR Mission

The Office for Sponsored Research assists investigators in proposing and managing sponsored programs in support of Northwestern University's mission of innovative research, excellent teaching, and public service.

- Northwestern’s central research administration office
- Institutional point of contact for external research sponsors
- Comprehensive pre-award and post-award services
- Assistance with the interpretation of regulatory requirements and policy
Summary of OSR Responsibilities

- **Facilitating all** Northwestern sponsored research activities
- **Advising** faculty and staff on proposal development and broader sponsored research issues (including cost accounting standards)
- **Interpreting** agency and Northwestern policy, guidelines, and terms and conditions
- **Endorsement** of Institutional proposals and resulting awards
- **Negotiation** and acceptance of awards
- Award establishment
- Subawards issuance
- **Reporting** on Northwestern sponsored research activity
- **Guidance** on award management issues
- **Represent** Northwestern nationally
- **Respond** to OIG audits and subpoenas
OSR - Chicago

**Administrative Assistant**

**Grants Teams**
- Senior Grants Officers (GO)
- Grants Officers (GO)
- Associate GO
- Assistant GO
- Grants Assistants (GA)
- Temp staff

**Government Contracts Team**
- Federal Team
  - Senior Grants Officer
  - Assistant GO

**Contracts Teams**
- Corporate Team
  - Senior Contract and Grants Officers
  - Research Analyst / Administrative Coordinators
- MTA/DUA Team
  - Senior Contract Officer
  - Research Analyst / Administrative Coordinator

**Info Team**
- Executive Director
OSR - Evanston

Director

Administrative Assistant

Contracts Team
- 2 Senior Contracts Officers
- 1 Senior Subcontracts Manager

Grants Officers
- 3 Assistant Grants Officers
- 2 Associate Grants Officers
- 2 Grants Officers

Grants Assistants
- 6 Grants Assistants

Research Administrators
- 3 Research Administrators

Info Team
OSR – Information Team

- Director of Electronic Research Administration
  - Project Administrator
  - Business Systems Analyst
  - Sr. Training Specialist
  - Information Management Specialist
  - Coordinator of Research Programs
  - Coordinator of Research Programs
# Roles & Responsibilities: Grants Team

<table>
<thead>
<tr>
<th>Grants Officers</th>
<th>Grants Assistants</th>
<th>Research Administrators (EV)</th>
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</thead>
<tbody>
<tr>
<td>• Pre-award services (e.g. Proposal review, institutional endorsement, and submission)</td>
<td>• Pre- and post-award support services to Grants Officers (e.g. Proposal review prep)</td>
<td>• Pre- and post-award administrative assistance</td>
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<td>• Award review and negotiation</td>
<td>• Award set-up</td>
<td>• Preparation and/or submission of routine research proposals, grants, and contracts</td>
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<td>• Post-award non-financial management</td>
<td>• Liaison with ASRSP, research administrators, and other departmental administrators</td>
<td>• Post-award monitoring and reconciling of financials (budgets/re-budgets)</td>
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<td>• Liaison with sponsors and funding agencies on behalf of faculty and administrators</td>
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### Roles & Responsibilities: Contracts Team

<table>
<thead>
<tr>
<th>Contracts Officers</th>
<th>Research Analyst / Coordinators of Administration and Grants</th>
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</table>
| • Draft, review, and negotiate:  
  • Contracts  
  • Non-financial sponsored programs agreements (i.e. CDAs, DUAs, MTAs, and Facility Use Agreements)  
  • Industry-sponsored basic research agreements  
  • Clinical trial agreements |
| • Ensure compliance with sponsor & University policies and processes |
| • Manage subcontracts between Northwestern and sponsors/funding partners |
| • Provide administrative support for industry-sponsored clinical trials (including reviewing and maintaining budgets) |
| • Process related Material Transfer Agreements (MTA), Data Use Agreements (DUA) and Confidentiality Disclosure Agreements (CDA) |
| • Review and maintain proposal and award data in InfoEd |
# Roles & Responsibilities: Info Team

<table>
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<tr>
<th>Information</th>
<th>Communications &amp; Education</th>
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<tbody>
<tr>
<td>• Provide <strong>functional assistance</strong> for InfoEd and ESPR</td>
<td>• Manage <strong>OSR website</strong> and <strong>OSR listservs</strong></td>
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<td>• Analyze and report research data to executive leadership</td>
<td>• Maintain centralized <strong>help resources</strong> for the research administration community</td>
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<td>• Ensure data integrity, namely quality assurance for proposal and award activity</td>
<td>• Create and deliver <strong>sponsored research training</strong> content</td>
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<td>• Maintain <strong>institutional ERA accounts</strong> and assist individuals with external ERA systems (e.g. eRA Commons, FastLane)</td>
<td>• Collaborate with OSR offices and university partners to develop resources and <strong>implement electronic projects</strong></td>
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Why research?

“Skin Gel Stops Breast Cancer Growth”

“Why Do Families Keep Secrets?”

“Printing Human Organs”

“Reducing the Achievement Gap”

“New HIV Test will Help Developing World”

“Touch Screens That Touch You Back”
Why research?

• For FY 2016, we had:
  – 290 proposals submitted a month (3,482 proposals submitted)
  – 256 awards set-up per month (3,072 awards total)
  – 310 contracts executed per month (3,731 contracts)
Common Sponsor Types

• Federal government
  For example:
  – National Institutes of Health (NIH)
  – National Science Foundation (NSF)
  – Department of Defense (DOD)
  – Department of Energy (DOE)

• State and local governments
• Foundations/nonprofits
• Industry
• International entities
The University – Sponsor Relationship

• Why universities engage in research
  – Generate and disseminate knowledge
  – Maintain high-quality educational environment
    (sponsored research helps maximize available resources)

• Why sponsors provide research support
  – Common ideology
  – Large, established university infrastructure
  – Top faculty and student talent
What is a Sponsored Project?

Specific research, training, service, or similar activity for which funding, data and/or material support is provided by an external sponsor under an agreement with the University.
Funding Mechanisms

- Formal means through which a sponsor contracts with a recipient institution to provide funding

Common Types of Funding Mechanisms

<table>
<thead>
<tr>
<th>Mechanism type:</th>
<th>Grants</th>
<th>Cooperative Agreements</th>
<th>Contracts</th>
<th>Subcontracts*</th>
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<td>Typically issued by:</td>
<td>Financial assistance</td>
<td>Financial assistance</td>
<td>Procurement</td>
<td>Varied</td>
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# Grants vs. Gifts

<table>
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<tr>
<th>Grants</th>
<th>Gifts</th>
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<tr>
<td>• Strings attached</td>
<td>• No strings attached</td>
</tr>
<tr>
<td>• Specified statement of work &amp; deliverables</td>
<td>• No specified statement of work and/or deliverables</td>
</tr>
<tr>
<td>• Reporting requirements</td>
<td>• Minimal reporting requirements</td>
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<tr>
<td>• Performance period</td>
<td>• Irrevocable</td>
</tr>
<tr>
<td>• Must be routed through OSR</td>
<td>• Work with Development Office</td>
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<tr>
<td>• Subject to University policy</td>
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For Additional Information: [http://osr.northwestern.edu/policies/sponsored-projects-versus-gifts](http://osr.northwestern.edu/policies/sponsored-projects-versus-gifts)
Non-Financial Research Agreements

- Data Use Agreements (DUA)
- Non-Disclosure Agreements (NDA)
- Facility Use Agreements
- Material Transfer Agreements (MTA)
### With Whom Does OSR Collaborate?

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<th>Organizations and their Acronyms</th>
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<tr>
<td>Accounting Services for Research and Sponsored Programs (ASRSP)</td>
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<tr>
<td>Office of General Counsel (OGC)</td>
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<td>Office of Foundation Relations (OFR)</td>
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<td>Risk Management</td>
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<td>Center for Clinical Research (CCR)</td>
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<td>Conflict of Interest at Northwestern University (NUCOI)</td>
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<td>Office for Research (OR) Offices</td>
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<td>Office for Export Controls Compliance (OECC)</td>
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<td>International Office</td>
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The Sponsored Project Life Cycle

1. Pre-Award Administration
   - Identifying Funding Opportunities
   - Proposal Development and Submission
   - Award Negotiation and Acceptance

2. Award Management
   - Award Set-Up

3. Post-Award Administration
   - Award Closeout
Sponsored Project Online Training (SPOT)

Northwestern’s first cross-campus sponsored research training program

Serves as an introductory stepping stone for additional content down the road (e.g. more advanced topics, in-person course development and professional development opportunities for seasoned veterans)

Covering a range of topics in sponsored research administration including:

- Introduction to Sponsored Research
- Beginner’s Guide to Sponsored Project Solicitations
- Anatomy of the Administrative Shell
- Budget Management Basics: Projections and Reconciliations
- Proposal Budgets 101
- Proposal Budgets 102

Find out more here: [http://osr.northwestern.edu/training/spot](http://osr.northwestern.edu/training/spot)
OSR In-Person Training

« Complements the online training offerings (offered on a quarterly basis, alternating campuses)

« Serves as an introductory stepping stone for additional content down the road (e.g. more advanced topics, in-person course development and professional development opportunities for seasoned veterans)

Covering a range of topics in sponsored research administration including:
- Reading and Evaluating a Sponsored Project Solicitation
- Proposal Budgets 101

Coming back to Evanston in the Fall!
Questions?

For more information, visit the OSR website: http://osr.northwestern.edu