The Office for Sponsored Research (OSR): An Overview

Office for Sponsored Research
Why research?

“Skin Gel Stops Breast Cancer Growth”

“Reducing the Achievement Gap”

“New HIV Test will Help Developing World”

“Printing Human Organs”

“Why Do Families Keep Secrets?”

“Touch Screens That Touch You Back”
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.
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**
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>
</tr>
</thead>
<tbody>
<tr>
<td>Typically issued by:</td>
<td>Financial assistance</td>
<td>Financial assistance</td>
<td>Procurement</td>
<td>Varied</td>
</tr>
</tbody>
</table>

*Varied indicates a wide range of possibilities depending on the specific context.
# Grants vs. Gifts

<table>
<thead>
<tr>
<th>Grants</th>
<th>Gifts</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Funding provided in response to an institutionally-endorsed proposal submitted to sponsor</td>
<td>• No specified statement of work, deliverables, budget, or period of performance</td>
</tr>
<tr>
<td>• Specified statement of work, deliverables, budget, and period of performance</td>
<td>• Minimal reporting requirements</td>
</tr>
<tr>
<td>• Technical and financial reporting requirements</td>
<td>• Irrevocable</td>
</tr>
<tr>
<td>• Subject to terms and conditions of sponsor</td>
<td>• Work with Development Office</td>
</tr>
<tr>
<td>• Must be routed through OSR</td>
<td>• Subject to University policy</td>
</tr>
</tbody>
</table>

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)/Confidentiality Disclosure Agreements (CDA)
- Facility Use Agreements
- Material Transfer Agreements (MTA)

For Additional Information:
Types of Agreements: https://osr.northwestern.edu/agreements/types
Northwestern By The Numbers

• For FY 2017, we had:
  – 291 proposals submitted a month (3,502 proposals submitted)
  – 277 awards set-up per month (3,328 awards total)
  – 359 contracts executed per month (4,308 contracts)
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
The Sponsored Project Life Cycle

- Identify Funding Opportunities
- Proposal Development & Submission
- Award Negotiation & Acceptance
- Award Set-Up
- Award Management
- Award Closeout
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 Organization Chart

Admin Assistant

Executive Director

Director, Electronic Research Administration

Admin Asst

Info Team

Asst Dir Systems/Data

Info Coordinator 1

Info Coordinator 2

Asst Dir Comms/External Training

Info Mgmt Specialist

Sr Training Specialist

Grants Pod 1

Grants Officer 1

Grants Officer 2

Grants Officer 3

Grants Officer 4

Contract Officer 1

Contract Officer 2

Contract Officer 3

Contract Officer 4

Coord Contracts 1

Coord Contracts 2

Coord Contracts 3

Grants Pod 2

Grants Officer 5

Grants Officer 6

Grants Officer 7

Grants Officer 8

Grants Pod 3

Grants Officer 9

Grants Officer 10

Grants Officer 11

Grants Officer 12

Coord Contracts 1

Coord Contracts 2

Coord Contracts 3

Grants Pod 4

Grants Officer 13

Grants Officer 14

Grants Officer 15

Grants Officer 16

Assoc Dir Awards/Internal Training

Assoc Dir Subawards

Assoc Director - Contracts

Assoc Director - Grants

Grants Assistant 1

Grants Assistant 2

Grants Assistant 3

Grants Assistant 4

Grants Assistant 5

Grants Assistant 6

Grants Assistant 7

Grants Assistant 8

Grants Assistant 9

Grants Assistant 10

Grants Assistant 11
# Roles & Responsibilities: Grants Team

<table>
<thead>
<tr>
<th>Grants Officers</th>
<th>Grants Assistants</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>
</tr>
<tr>
<td>• Award review and negotiation</td>
<td>• Award set-up</td>
</tr>
<tr>
<td>• Post-award non-financial management</td>
<td>• Liaison with ASRSP, research administrators, and other departmental administrators</td>
</tr>
<tr>
<td>• Ensure compliance with sponsor &amp; University policies and processes</td>
<td></td>
</tr>
<tr>
<td>• Liaison with sponsors and funding agencies on behalf of faculty and administrators</td>
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</tbody>
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### Roles & Responsibilities: Contracts Team

<table>
<thead>
<tr>
<th>Contracts Officers</th>
<th>Research Analyst / Coordinators of Administration and Grants</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Draft, review, and negotiate:</td>
<td>• Provide administrative support for industry-sponsored clinical trials</td>
</tr>
<tr>
<td>• Clinical trial agreements</td>
<td>• Process related MTAs, DUAs, NDAs/CDAs</td>
</tr>
<tr>
<td>• Industry-sponsored basic research agreements</td>
<td>• Review and maintain proposal and award data in InfoEd</td>
</tr>
<tr>
<td>• Non-financial sponsored programs agreements (<em>i.e.</em> Material Transfer Agreements (MTA), Data Use Agreements (DUA) and Non-Disclosure Agreements (NDA) / Confidentiality Disclosure Agreements (CDA))</td>
<td></td>
</tr>
<tr>
<td>• Other related contracts</td>
<td></td>
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<tr>
<td>• Ensure compliance with sponsor &amp; University policies and processes</td>
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## Roles & Responsibilities: Info Team

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

<table>
<thead>
<tr>
<th>Organizations and their Acronyms</th>
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<tbody>
<tr>
<td>Accounting Services for Research and Sponsored Programs (ASRSP)</td>
</tr>
<tr>
<td>Center for Clinical Research (CCR)</td>
</tr>
<tr>
<td>Conflict of Interest at Northwestern University (NUCOI)</td>
</tr>
<tr>
<td>Innovation and New Ventures Office (INVO)</td>
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<tr>
<td>Institutional Animal Care and Use Committee (IACUC)</td>
</tr>
<tr>
<td>Institutional Review Board (IRB)</td>
</tr>
<tr>
<td>Office for Export Controls Compliance (OECC)</td>
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<tr>
<td>Office of Foundation Relations (OFR)</td>
</tr>
<tr>
<td>Office of General Counsel (OGC)</td>
</tr>
<tr>
<td>Risk Management</td>
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*not an exhaustive list, examples of common engagements*
Sponsored Project Online Training (SPOT)

- Web-based training resulting from a partnership between OSR and Training Advisory Committee
- Two training formats:
  - Mini-courses: Short (20-to-30 minute) interactive videos that cover a range of topics in sponsored research administration.
    - Current offerings target those who are new to research administration and cover introductory topics
    - Courses are presented via Northwestern's digital learning platform, MyHRLearn
  - Microlearning modules: 5-minute functionally-oriented videos with each video addressing a discrete task or topic; dynamic “how-to guides” meant to supplement system user guides and other job aides

Find out more here: http://osr.northwestern.edu/training/spot
SPOT: Available Mini-courses

• Introduction to Sponsored Research
• A Beginner's Guide to Sponsored Project Solicitations
• Anatomy of an Administrative Shell
• Budget Management Basics: Projections and Reconciliations
• Proposal Budgets 101
• Proposal Budgets 102
• How to Read an Award Document
• Setting up an Award
OSR In-Person Training

- Hands-on, instructor-led courses that complement the online SPOT offerings
- Current offerings cover introductory topics in sponsored research administration
- Case study-based
- Offered on a quarterly basis, alternating between campuses
- Register for classes online at MyHRLearn
In-Person Courses: Winter 2018

<table>
<thead>
<tr>
<th>DATE</th>
<th>TOPIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tuesday, Feb. 20th</td>
<td>Reading &amp; Evaluating a Solicitation</td>
</tr>
<tr>
<td>Thursday, Feb. 22nd</td>
<td>Proposal Budgets 101</td>
</tr>
<tr>
<td>Tuesday, Feb. 27th</td>
<td>Proposal Budgets 102</td>
</tr>
<tr>
<td>Thursday Mar. 1st</td>
<td>Award Documents &amp; Award Set-up</td>
</tr>
</tbody>
</table>

- Evanston Campus (Tech Institute – MG51)
- 2-hour hands-on, case study-based sessions
- Must complete related SPOT courses before enrolling in corresponding in-person course
Questions?

Visit the OSR website: http://osr.northwestern.edu