Agenda – Day Four

- Core Facilities
- NUCATS
- INV0
- OFR
- Corporate Engagement
- Data Security
- Arch – Research & Data Repository
- Research Misconduct & Compliance
- NUIT Administrative Systems

Core Facilities Administration

Sasha Mechetner
Administrative Assistant
Office for Research
aleksandra.mechetner@northwestern.edu

What does CFA do?

- Core Facilities Administration provides financial support, administrative oversight, professional development, assessment and communication of shared research resources to advance the research mission of Northwestern University.
  - Institutional Policies and Procedures
  - Federal Regulations and Compliance
  - Annual Report Review
  - Program Review
  - Inter-Institutional Activities (OAI, Cores at Argonne, SHyNE)
  - Marketing and Communications (business consulting, support services, website, brochure)

What are Core Facilities?

- Core Facilities are centralized research laboratories with state-of-the-art (expensive) equipment
- "Recharge Centers" operating under a fee-for-service model, with the mission of enabling research at Northwestern
  - Department Core Facilities serve researchers in a single department, earning revenue less than $30K/year
  - University Core Facilities serve researchers in multiple departments, earning revenue greater than $30K/year
  - Clinical Core Facilities serve the research needs of researchers/clinicians engaged in clinical research studies
- Cores provide centralized services to researchers:
  - Genomics/Proteomics/Animal Model services
  - Synthesis and characterization of biomolecules (small molecules, peptides, proteins)

How are Core Facilities Supported?

- Central Oversight of University Core Facilities
  - Administrative and Financial Services (NUcore)
  - Rigorous Evaluation of Annual Reports (Awards)
  - Policies and Regulations (Federal, University)
  - Professional Development Opportunities
- Annual Financial Support
  - OR (approx. $2M/yr)
  - Centers, Schools, Departments (approx. $2M/yr)
- Construction and Improvements of Space for Core Facilities
How are Core Facilities Supported? (cont’d)

- Office for Research Equipment Grants: two competitive rounds per year, support equipment purchases up to $100K, ReLODE loan program up to $500K (10 yr. to pay back)
- Office for Research Operating Support: requested via the Annual Report, supports expenses not allowable on recharge, facility growth, unexpected expenses
- FSM Dean’s Office Support: competitive, single round per year, provides subsidies for cores serving FSM researchers
- Voucher Program: when a PI donates new equipment to a core facility, they are eligible for a voucher to use the equipment

Additional Support of Core Facilities

- Schools and Departments provide operating subsidies or annual deficit coverage to core facilities
- Core-specific grants reduce the operating costs (NIH RHLCCC grant and other P30’s, NSF MRSEC grant)
- External users charged a higher rates - especially commercial users that can help a core facility balance its budget (some transactions may be taxable!)

How can I learn more about Core Facilities?

- Visit our website: http://facilities.research.northwestern.edu/
- Internal Opportunities
  - Core Facility Listserv Quarterly Brown Bags
  - Kellogg Course: Leadership and Management in Core Facilities
  - Quarterly NUCore Tech Talks
- External Opportunities
  - National: ABRF (Association of Biomolecular Resource Facilities)
  - Regional: MWACD (Midwest chapter of ABRF)

Contact us with questions!

Northwestern University Clinical and Translational Sciences Institute (NUCATS)

- A centralized hub of resources available to your research team
- We provide training, tools, and services to support investigators across the full spectrum of clinical and translational science research
- Our goal is to promote Northwestern’s culture of collaboration, innovation and translation through team-building, education, and training to empower the multidisciplinary translational research teams of tomorrow
Center for Education and Career Development
Training the entire spectrum of the translational research workforce

- Opportunities for research staff
  - Master of Science in Regulatory Compliance (MSRC)
  - Good Clinical Practice and Clinical Research Coordinator Training (Live & Online Education)
  - Introduction to Research Online Modules
  - Annual translational research conference
- Opportunities for investigators
  - Training grants and workshops for early career faculty
  - Team Science training modules
  - Mentor development

Over 900 clinical research professionals have participated in good clinical practice training.

Center for Clinical Research
Provides resources, services and guidance for study teams

- Study budget preparation, billing and reconciliation support
- Regulatory compliance support
- Research participant recruitment assistance
- Clinical research nurse and non-nurse coordinators for hire
  - Part-time or full-time
- Clinical Research Unit (CRU) at Lurie and NMH

Supported approximately 800 studies in 2016.

Center for Translational Innovation
Accelerates drug and device development through commercialization

- Partnership with INVO
- Support for new drug and device development
- Funding opportunities

Center for Data Science and Informatics

- Secure, web-based applications
  - REDCap (Research Electronic Data Capture): Data collection forms
  - Study Tracker: Clinical trial management system
  - NITRO Recruit: Research registry system
- Northwestern Medicine® Enterprise Data Warehouse (NMEDW) and i2b2:
  - NMEDW: Repository of clinical and research data
  - i2b2: a free tool to determine the feasibility of conducting a clinical trial
- Additional support
  - Advanced Bioinformatics and Bio-Computation (ABBC) Core: Big data and computation support
  - Biostatistics Collaboration Center (BCC): Support for biostatistical, epidemiological, programming, and data management needs

NMEDW contains data on more than 6 million people.

Galter Health Sciences Library
Fully integrated information and knowledge management hub

- Research Services
  - Training and workshops
    - EndNote
    - PubMed
    - Computational Skills for informatics
    - Enhancing the impact of your research
    - Google for biomedical research
  - Scholarly Services
    - Impact and Evaluation
    - NIH Public Access Policy
    - NIH biosketch
    - DigitalHub

Access to:
- 8,600 e-journals
- 3,000 e-books
- 300 databases

Center for Community Health
Supports community and stakeholder engagement in research

- Develops community, clinical, public health and policy sectors partnerships
- Workshops, seminars and programs on community and stakeholder engagement
- Seed grants for community-academic research teams
- Community-engaged research proposal review and support
- Consultations for design and implementation of community engaged/based projects

Close partnerships with 55 community-based organizations and 140 community healthcare practice sites in Chicago and northern Illinois.
Stanley Manne Children’s Research Institute of Ann & Robert H. Lurie Children’s Hospital of Chicago

- Resources and services for Lurie Children’s researchers
- Research Scientist Navigator
- Lurie Clinical Research Units
- Coordinator and Research Staff Services Pool
- Pilot funding
- IRB Authorization Agreement for joint review panel for studies that involve both adults and children

Additional services

- **NUCATS Studio Consultations:**
  - For investigators in the planning stages of a new program or center grant at Northwestern University and affiliate organizations
  - Brings together NUCATS leadership to identify resources to support and enhance grant submissions
  - Opportunity to leverage in-kind or heavily subsidized existing NUCATS resources and services

- Chicago Clinical and Translational Science Award (CTSA) Shared Resources:
  - Investigators and research staff at Northwestern University, University of Chicago, and University of Illinois at Chicago CTSA’s have access to select resources at the other institutions

- **Trial Innovation Network (TIN):**
  - A network of 64 other CTSA's that helps execute multi-center clinical trial or study better, faster, and more cost-efficiently through leveraging the skills and expertise at other networks

Become a NUCATS member

- **NUCATS Membership allows you to:**
  - Request NUCATS services
  - Request a consultation
  - Apply for funding
  - Get the latest news about NUCATS

To join visit: [https://nucats.northwestern.edu/user/login](https://nucats.northwestern.edu/user/login)

Cite and Acknowledge the CTSA

NUCATS Institute is funded in part by a CTSA grant from the NIH. Publications are the key metric that Congress, the NIH, and Northwestern use to demonstrate effective use of grant funding.

If NUCATS assists you with research please remember to cite the grant.

To learn more visit: nucats.northwestern.edu/about/ctsa-resources.html

Contact Information

Clare McFadden, NUCATS Marketing and Communications
- Rubloff, 11th Floor
- 312-503-1967
- clare.mcfadden@northwestern.edu

Andrea Minogue, Administrative Director
- Rubloff, 11th Floor
- 312-908-1721
- a-minogue@northwestern.edu

http://www.nucats.northwestern.edu
Innovations & New Ventures at Northwestern

TODAY’S GOALS
1. Who are we & what do we do at Northwestern?
2. What does the invention disclosure process look like?
3. What should research administrators know about INVO?
4. How can you learn more about what we do at INVO?

Our Mission
To catalyze the translation of Northwestern innovations to benefit the public
- Become a source of impactful innovations and products that improve lives
- Become a magnet for entrepreneurial talent

Our Activities
IP Support (Consultation, Filing, Office Actions, etc.)
Technology Evaluations
Marketing Efforts
The Garage
Faculty Hub
University Memberships (mHub, 1871 & MATTER)
N.XT Fund ($10M)
NuSeeds Fund ($4M)
Workshops
Seminars
Mentoring
Internships
Coordination with Classes, etc.

Areas of Innovation
- computer science
- life sciences
- physical sciences
- therapeutics
- engineering
- manufacturing
- research tools
- advanced materials
- nanotechnology
- biotechnology
- computer science
- medical devices
- chemistry
- electronics

Technology Transfer
Technology transfer activities focus on moving technology from the University to the public domain
BAYH-DOLE ACT of 1980
Change in IP Ownership

BAYH-DOLE ACT

NEW PRODUCTS

Impact of Bayh-Dole on IP*

PRE-BAYH-DOLE

POST-BAYH-DOLE

<250 issued patents/year
30k university patents
5% led to new products

5-6k issued patents/year (10-14)
80k university patents (14-14)
10-15% new products (10-14)

5000 startup companies
>$500B GDP increase
5000 startups

Significant Economic Impact of Bayh-Dole Act

Impact of Bayh-Dole on IP

INVENTION MANAGEMENT TEAM

INVENTION DISCLOSURE

is Northwestern's record of an invention, the inventors involved, sponsorships, & other public disclosures and publications.

Inventors should plan to submit their invention disclosure 3-4 weeks prior to a public disclosure

• Posters/abstracts/proceedings
• Journal articles, book chapters
• Conference presentations
• Some departmental seminars & thesis defenses
• Some grant proposals

DISCLOSING AN INVENTION TO INVO

DECEASED PROFESSIONAL INVENTION

A PATENT APPLICATION MUST BE SUBMITTED TO THE USPTO

NEW VENTURES TEAM

Reasons to Disclose to INVO

1. PROTECT COMMERCIAL POTENTIAL
INVO can provide feedback on how to proceed in the commercialization process

2. PROTECT INTELLECTUAL PROPERTY
If IP protection is appropriate, INVO can maximize IP protection if invention is disclosed in advance of public disclosure.

3. FULFILL NU’S RESPONSIBILITY TO REPORT TO RESEARCH SPONSORS
INVO must report all inventions to respective public and private research sponsors

4. IMPROVE MARKETING WITH INDUSTRY PARTNERS
INVO can help provide industry with insight into available technologies and the research that is taking place at the university.
Describe the invention in a less technical manner.
What is the relevance to the public?

Describe the invention in a more technical manner.
This helps our team and outside counsel to understand how this invention is distinct from other inventions.

Note work that is similar and differentiate. Better to disclose information upfront.

Provide COMPLETE contact information.*
Name should be a LEGAL name—what's on a passport and legal documents.
For patent filing, we need to include the country of citizenship.
Please inform us of any address changes for future correspondences & royalty checks.
Electronic signature is acceptable.

Life of a Patented Technology
Send relevant updates to IM, such as future public disclosures or technology development.

Complete the disclosure as thoroughly as possible. Be available to meet with IM to discuss your technology.

Respond to IM as quickly as possible as they may have time-sensitive questions. Send relevant updates to IM, such as future public disclosures or technology development.

**Important Take-Homes**

1. Explore Additional Sponsored Research Opportunities
   - INVO coordinates with other offices to review IP stipulations.
   - Ideally, several weeks are needed to review these agreements.

2. License Technology to Existing Company
   - INVO helps identify and negotiate license agreements.
   - If there's interest, IMs contact faculty to discuss.

3. Create University Startup
   - INVO has Startup Guide online.

**Commercializing Technologies**

- Explore Additional Sponsored Research Opportunities
- License Technology to Existing Company
- Create University Startup

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**Northwestern Licensees (Past & Present)**

- Artificial Intelligence
- Tangible Haptics
- Plastic Recycling
- Machine Learning
- Advanced Materials
- Thin Film Transistors
- Nanomaterials
- Gas Storage
- High Performance Alloys
- 3D Imaging
- 3D Vision
- Robotics
- Microfluidics
- Artificial Intelligence
- Advanced Materials
- Wearables
- Nanofabrication
- Cancer Diagnostics
- Plastic Recycling

**Northwestern Startups**

- NuCryp
- BOLD
- TERa
- Orange County
- Transplant Genomics
- NanoIntegris
- Mako
- 3D Vision
- APTIX

**Our Startup Playground**

- Diagnostic Fingerprinting
- Big Data
- Gas Storage
- Software Encryption
- Nanomaterials
- Robotics
- Medical Devices
- Microfluidics
- Personalized Medicine
- High Performance Alloys
- Point of Care Diagnostics
- Thin Film Transistors
- Artificial Intelligence
- Advanced Materials
- Wearables
- Therapeutics
- Biotechnology
- Medical Devices
- Nanotechnology
- Cancer Diagnostics

**NU Startup Funding & Acquisitions**

- SBIR/STTR Funded Active Startups (2006-2016)
- VC-Backed Startups
- Acquired Startups

- $56M+
- $306M+
- $2.72B+
Pre-Award

- Commercialization Plan or IP Provisions – Reach out to INVO/Invention Manager early

Disclosures – Key Items

- Employee ID to identify personnel @ NU – our system is linked to myHR
- Funding accuracy
- Corrections result in costly fees to NU – each one can be hundreds of $.
- When possible, include grant Project Award Summary as an attachment to disclosure

Agency Requests

- If you are ever asked from an agency about reporting, please reach out to INVO early.
- iEdison Reporting – INVO takes care of this. Please reach out to INVO/Invention Manager if asked by agency.
- Foundation/Private funding compliance – INVO takes care of this. Please reach out to INVO if asked by agency.

Recent Issues for Discussion

Ways to Learn More about INVO

WEBSITE: Visit www.invo.northwestern.edu
INVO NEWSLETTER: Sign up on our home page
SOCIAL MEDIA: Follow us on Twitter (@INVOatNU)
STUDENT OPPORTUNITIES: INVO Practicum Interns and N.XT Associates

Office of Foundation Relations

The Office of Foundation Relations (OFR) is Northwestern University’s central office supporting faculty and staff who seek funding from private professional foundations. OFR manages relationships with foundations to advance University goals and priorities.

THANK YOU

Sonia Kim, PhD
sonia.kim@northwestern.edu
Andrea Minogue
a-minogue@northwestern.edu

Susan Dauber
Senior Associate Director
OFR

Morton Schapiro
PRESIDENT

Joseph F. Rafferty
VP FOR RESEARCH

Susan Marquis
VP FOR ALUMNI RELATIONS AND DEVELOPMENT

OFFICE OF FOUNDATION RELATIONS

Organization Chart for Foundation Relations

OFR

Office of Foundation Relations

Thank you for your time.

Office of Foundation Relations
Private Foundations & Why They Give

- Private foundations are mission-driven grant-making organizations that support exceptional projects and new initiatives that address specific societal problems and benefit the larger community.
- These national, professionally staffed foundations typically do not provide funding for core University needs.
- At Northwestern, foundation grants average $200,000.
  - "An institution is the lengthened shadow of one man." — R.W. Emerson
  - "You've seen one foundation, you've seen one foundation."

FY2017 Private Foundation Funding

- $59.6M in foundation commitments to Northwestern.
- 311 proposals requesting a total of $193.9M.
- 148 proposals awarded.
- Top grant: $5M.
- Assistance to every Northwestern School.

OFR Services

- Coordinate strategic approaches to foundations.
- Research foundations to identify potential funders.
- Review proposals to craft persuasive arguments.
- Provide materials for submission (IRS documents, financial statements, etc.).
- Partner with campus leaders and research administrators.
- Track proposal submissions in development database.
- Facilitate grant reporting.
- Offer workshops on foundation grantseeking.

Finding Private Foundation Funding

- RFP Listing on OFR Website: http://www.northwestern.edu/foundationrelations/finding-funders/request-for-proposals.html
- Databases:
  - Foundation Directory Online
  - Pivot (Community of Science)
  - SciVal
  - Restricted Foundations
    - http://www.northwestern.edu/foundationrelations/finding-funders/restricted-foundations.html

Contact OFR

Please contact our office with any questions you may have about private foundations or whenever a faculty member you are working with is interested in seeking foundation funding.

foundationrelations@northwestern.edu
(847) 491-4590
Feinberg School of Medicine Foundation Relations

Michelle Melin-Rogovin, Senior Associate Director
Foundation Relations
Feinberg School of Medicine
312-503-7072
m-melin-rogovin@northwestern.edu

FSM Foundation Relations: Chicago-Based Expertise for Faculty & Staff
- Assistance for faculty who need customized searches for non-federal funding opportunities.
  - Philanthropic and corporate foundations, associations, other non-profit entities that provide grant funding for research and education
- Hold individual faculty meetings, and follow up by identifying funding announcements that are the best fit for each faculty member’s research.
- Review draft applications and provide technical and analytical edits; help faculty evaluate the responsiveness of their proposal to the foundation’s RFP prior to submission.
- Provide expert guidance to faculty and staff prior to the proposal submission process regarding non-federal funding opportunities.
- Liaise with OFR and other school and university offices to identify resources to help faculty and staff submit quality applications.

Corporate Engagement

Kara Moore – Associate Director

Corporate Engagement | What We Do
- Find & Meet Industry Contacts
  - Help faculty and staff find and meet industry contacts in R&D, tech scouting, corporate foundations, university relations and more
- Background Information
  - Provide background information on current relationships between companies and the entire university
- Proposals
  - Review proposals and supporting correspondence to formal and informal corporate grant-makers
- Campus Visits
  - Administer scheduling, space and provisions for campus visits by corporations

Corporate Engagement | Campus Coordination

Northwestern
Corporate Engagement | Who We Are

- Independent from:
  - McCormick Corporate Relations
  - Feinberg Corporate Relations
  - Kellogg Corporate Partnerships
  - Pritzker External Partnerships

Corporate Engagement | Pre-Award

- Identify Industry Funding Opportunities
  - If Research Funding – we work with ORD
  - If Program Funding – we send to all relevant parties
  - Ensure limited submissions coordination
- Help with Proposal Development
  - Help with common (and uncommon) deliverables
  - Indirect costs
  - Collaborate with OSR and ORD

Corporate Engagement | Post-Award

- Appropriate accounting for grants, awards, gifts
  - Checks, Wire Transfers, In-kind
  - Gift vs Grant
  - Coordination with OSR, OGC, ASRSP
- Relationship Management
  - Share appropriate information
  - Find new corporate connections for PIs and Administrators

Corporate Engagement | Dashboards

Dashboard Highlights:
- Metrics
- Philanthropy
- R&D Snapshot
- Key Leaders & Alumni
- Recruiting
- Recent Involvement
- Company Profile

What We Do: Examples of Highlighting NU Strengths & Faculty Research
Corporate Engagement | Relationship Management & Cultivation

Alignment: Let’s Go Places Together

Northwestern Strengths
- Multidimensional & Adaptive
- Powerful Collaborations
- Pioneering Innovation
- Meaningful Impact

Toyota Smart Mobility
- Interactive Intelligence
- Vehicle Enhancement
- Vehicle Connected Intelligence

Northwestern | Multidimensional and Adaptive

- Advancing global sustainability and energy solutions through transformational research, interdisciplinary education and public engagement
- Dozens of affiliated faculty from 5 different schools across the University
- Partnerships with several companies, active participation on executive council

Research areas:
- Creating sustainable cities and managing the risks of climate change
- Solar energy and fuels
- Catalysis and sustainable materials
- Nanotechnology for environmental remediation

Source: Toyota Pitch Deck

Partnering with You

Corporate Engagement | Next Steps

- Reach out to us to brainstorm companies or gather intel on corporate campus information
- Update NU Scholars with PI information
- Sign up for the Foundation Relations & Corporate Engagement RFP newsletter

Thank You & Questions

Networking/Break
IT Security Policy Review
Feinberg School of Medicine
31 January 2018

Phishing
- Attempts to get you to do something or tell the hacker something private which may also compromise you or your computer in some way.
- The trick is to make you click on a link or provide info to get you to open an attachment or enter sensitive info.

- Avoid clicking sensitive information in email.
- Do not open attachments unless you explicitly requested it.
- Avoid propagating suspicious email by random forwarding.
- Check with IT Support if unsure.
- Do not be sucked!

Information Security & Access Policy
- September 22, 2016
- NLM/MTCHS as the minimum standard for data handling.
- User identification must comply with the NLM Privacy rule.
- Encryption is required (portable media, laptops, endpoints, everything)
- Equipment, media, paper, backups must be protected appropriately.
- Access to data must be maintained consistent with job role & approval (MNW minimal
- Only users with a need-to-know
- Ensure security features are never to be disabled
- Do not store data on approved storage only (no flash, no cloud)
- Use of commercial email systems are not permitted
- Data security plans are required
- Commercial solutions used to manage data require a signed off approval
- No removable media on personal devices
- Policy: http://www.northwestern.edu/about/strategic-affairs/security-policies.html
- Questions & support, FSMIT-policy@northwestern.edu

Data Security Plan Policy
- Effective May 9, 2015, updated April 21, 2017
- Required for research involving principal investigators with FSMT appointments.
- Plans are required for all types of research:
- Biomedical research and non-biomedical samples (e.g., clinical samples and non-clinical)
- Policies including research on human subjects, clinical trials, and other types of biomedical research.
- Plans submitted to review (IRB as of 11/11/15), and any IRB (including as of 11/11/15)
- Budgets for appropriate and efficient management
- Improved safeguarding of personal privacy data
- Policy, template and examples:
- Questions & support, FSMIT-policy@northwestern.edu

Threats to FSMT Research Data
- Disclosed research & delayed patient benefits
- Data breaches to adversaries data breaches, investigations & audits
- & recommendations to stakeholders (no research violations).
- Public/Private information, regulatory reporting, for law
- Fines, penalties, financial losses & losses (future/renewed grants)
- Incidents (property theft)
- Masking activities (e.g., ransomware)
- Loss of security training/awareness

http://www.feinberg.northwestern.edu/it/policies/information-security/index.html

- Information Security & Access
- Data Security Plan
- Security Training
- Email Security
- File Sharing
- Clinical Security

FSMIT

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- Questions & support, FSMIT-policy@northwestern.edu

- Information Security & Access
- Data Security Plan
- Security Training
- Email Security
- File Sharing
- Clinical Security

Feinberg School of Medicine
Northwestern University
CTI Program: види и информация за безопасност на информацията (SAE)
- Електронна училищна обучителна платформа (SAE program, www.saeprogram.org)
- CTI Training can be accessed by everyone with a Northwestern NetID.
- Your NetID and password are valid.
- Basis of course: Health Information Technology for Engineering & Medicine.
- Basis of Information Security: Part I - Required
- More information available on the course at www.saeprogram.org.
- Target Audience: Northwestern University, Action Web (Research), More details.
- Effective April 15, 2018.
- All users: FSMIT managed & personal devices
- All users: 256-bit AES encryption on all devices
- All users: Email messages and attachments are encrypted and quarantined through any SMTP.
- Additional:
  - Access to email is required
  - Configuration of email
  - More information available on the course at www.saeprogram.org
- Questions & support, FSMIT policy@northwestern.edu

Email Encryption Policy
- Effective October 1, 2018.
- Email messages and attachments are required to be sent encrypted when containing PHI or PII.
- Automatic Encryption: Messages containing sensitive data and from user @northwestern.edu, email address, or from anyone with or Northwestern affiliated domains are automatically encrypted and do not require additional effort. Northwestern affiliated domains sending sensitive encryption to Northwestern only.
- Manual Encryption: Messages containing PHI or PII must be encrypted and quarantined when the encryption is not used and PHI or PII is required.
- Full details: Log In to My Institution (CITI) www.citiprogram.org
- Questions & support, FSMIT policy@northwestern.edu

Device Policy
- Effective April 15, 2018.
- All devices: FSMIT managed & personal devices
- All devices: 256-bit AES encryption on all devices
- All devices: Email messages and attachments are encrypted and quarantined through any SMTP.
- Additional:
  - Access to email is required
  - Configuration of email
  - More information available on the course at www.saeprogram.org
- Questions & support, FSMIT policy@northwestern.edu

Information Security Policy Reference
- Infection Prevention and Detection in Research
- NIST SP 800-127 Information Security Management of Biologic, Biochemical, and Microbiological Research Facilities
- NIST SP 800-143 Incident Response Management and Information Security Program
- NIST SP 800-185 Information Security Management of Biologic, Biochemical, and Microbiological Research Facilities
- NIST SP 800-201 Information Security Management of Biologic, Biochemical, and Microbiological Research Facilities
- NIST SP 800-207 Information Security Management of Biologic, Biochemical, and Microbiological Research Facilities
- NIST SP 800-214 Information Security Management of Biologic, Biochemical, and Microbiological Research Facilities
- NIST SP 800-222 Information Security Management of Biologic, Biochemical, and Microbiological Research Facilities
Support & Resources (FSM) - Central FSM IT Organization
Carl Christensen, CIO
Andrew Winter, Deputy CIO, Senior Director of Information Technology
Carl Cammarata, Senior Director, Chief Information Security Officer
Curtis Hanawalt, Director of Information Technology - Customer Support
Frank Schleicher, Director of Integrated Media Services
FSM IT Steering Committee
Central Support & Resources
847-491-4357 or 1-HELP (from on campus)
FSMHELP@northwestern.edu
http://www.feinberg.northwestern.edu/it/index.html

Information Security Support & Resources - FSM
Carl Cammarata, Senior Director, Chief Information Security Officer, 312-503-2822
David Gundrum, Senior Information Security Analyst, 312-503-3869
Marvina Roebuck, Senior Information Security Analyst, 312-503-5735
Leon Tran, Information Security Analyst, 312-503-6140
University (Information & Systems Security/Compliance)
847-491-4357 or 1-HELP (from on campus)
security@northwestern.edu
Thomas Murphy, Senior Director, CISO, 847-467-6422

Help Guide - Resources for...
- Data Management Plans
- Funding Agency Policies
- Data repositories
- Data Citation
- Metadata
Contact Cunera Buys for assistance: c-buys@northwestern.edu
libguides.northwestern.edu/datamanagement

Data Management & Data Sharing
Makes your data easily accessible by you and others
Can save you time and perhaps money
Data sharing increases recognition of your work
Helps with reproducibility of your published results
Helps further new discoveries and research
Preserves data for long-term access and prevents loss of data
Federal and other funding agencies require data management plans and data sharing
Journals require deposit of data underlying the articles in public repositories

DMP Tool
Login with NetID
Generates Data Management Plans
Templates from federal agencies and private foundations
Saves your plans for reuse and adaption
Export as PDF, DOCX
dmptool.org
Research & Data Repository Services

Northwestern’s research and data repositories are built for sharing and preserving research and scholarly outputs.

Compliant with public access requirements from funding agencies and publishers.

All works receive a Digital Object Identifier (DOI) for citation and persistent linking.

Copyright is retained by the author. The author grants Northwestern University a non-exclusive license to preserve and provide online access to the content.

Visibility options include Public Access, Northwestern University (end-users need to login with NetID), or Embargo (i.e. set a future release date).

Deposited content becomes part of the library’s digital preservation program.

DigitalHub

Northwestern Medicine only

- Research papers
- Technical reports
- Documentation
- Presentations
- Case studies
- Datasets
- Posters

Managed by the Galter Library

digitalhub.northwestern.edu

Arch

All Northwestern University

- Research papers
- Technical reports
- Documentation
- Presentations
- Case studies
- Datasets
- Posters

Managed by the Main Library

arch.library.northwestern.edu

Self-deposit Process

- Go to arch.library.northwestern.edu
- Log in with your NetID
- Describe your work
- Upload files
- Select visibility setting
- Agree to Deposit Agreement
- Save to the repository

Example: Dataset

Faculty member in Chemical and Biological Engineering wants to provide access to the underlying data in support of his publication:

- Digital Object Identifier (DOI)
- Cited in journal article
- Publicly available

Contact Chris Diaz for assistance with any deposit: chris-diaz@northwestern.edu

Data Management & Repository Services

University Libraries, Digital Scholarship Services

Cunera Buys
Data Management Librarian
c-buyes@northwestern.edu

Chris Diaz
Digital Publishing Librarian
chris-diaz@northwestern.edu
What is Research Misconduct?

- Fabrication
- Falsification
- Plagiarism

http://www.research.northwestern.edu/ori/misconduct/index.html

Research Misconduct

Fabrication is making up data or results and recording or reporting them.

Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

Plagiarism is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit.

To ask a question, receive guidance, or report a violation, contact a representative from the list below. All are trained and ready to help.

Falsification of Research Effort
Controller’s Office
Mike Daniels, Director
Call: 847-491-4710 Email: m-daniels2@northwestern.edu

Grant Management
Office of Sponsored Research
Lynda Wolter, Executive Director
Call: 312-503-7955 Email: lynda.wolter@northwestern.edu

Research Misconduct
Office for Research Integrity
Lauran Qualkenbush, Director
Call: 312-503-0054 Email: nu-ori@northwestern.edu

Research on Animals
Institutional Animal Care and Use Committee
Mandy Kozlowski, Director of IACUC
Call: 312-503-0109 Email: m-kozlowski@northwestern.edu

Research on Human Subjects
Institutional Review Board
Nathalia Henry, MS, CIP, CHRC
Call: (312) 503-9338 Email: nhenry@northwestern.edu
Compliance, Audit & Advisory Services

Compliance

The Compliance Office, a resource of the Office of the General Counsel and the Office of the Vice President for Research, is responsible for overseeing and monitoring the compliance of all activities throughout the University and ensuring the University meets all relevant University, state, and federal laws, regulations, and guidelines. The Compliance Office monitors and manages the University’s compliance programs and ensures that they are responsive to increasing regulatory environments. The Compliance Office also manages the University’s University Ethics Hotline and coordinates the University by developing and reviewing policies.

www.northwestern.edu/ethics

EthicsPoint: A Compliance Hotline

• Report potential misconduct or violations of policy:
  – (866)294-3545
  – www.northwestern.edu/ethics

• Any suspected problems will be reviewed according to University procedures

• Policy prohibits retaliatory action against those reporting

• Anonymous

Penalties for Non-compliance

Institutional:
• Fines and penalties
• Exceptional status
• Funding reduction

Personal:
• Termination
• Disciplinary action
• Criminal/civil sanctions
• Suspension and debarment
• Professional integrity compromised

Institutional Settlement

<table>
<thead>
<tr>
<th>Institution</th>
<th>Time Frame</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Northwestern University</td>
<td>February 2003</td>
<td>$5.5 million penalty for overstating effort reporting on federal-sponsored projects</td>
</tr>
<tr>
<td>University of Connecticut</td>
<td>January 2005</td>
<td>$2.7 million penalty for overstating anticipated expenses, overcharging the government, and billing for items not covered by grants, Cost sharing issues</td>
</tr>
<tr>
<td>Cornell University’s Weill Medical College</td>
<td>Fall 2007</td>
<td>$2.6 million settlement for a PI failing to disclose on grant applications to the NIH the full extent of various active research projects</td>
</tr>
<tr>
<td>Yale University</td>
<td>December 2008</td>
<td>$7.6 million settlement for inadequate documentation of cost transfers and summer salary charges wrongly charged to federal grants</td>
</tr>
<tr>
<td>Dartmouth College</td>
<td>October 2010</td>
<td>$275,000 settlement and $604,000 in contract funds returned to the government for contract pricing and cost recovery issues, lack of compliance with Federal Acquisition Regulation (FAR), and Conflict of Interest issues.</td>
</tr>
</tbody>
</table>

Recent Examples of the Impact of Noncompliance

Research Data: Ownership, Retention and Access

• University Policy:
  http://research.northwestern.edu/sites/research/files/policies/Research_Data.pdf

• Defines "research data”
• Defines University and PI responsibilities
• Transfer to data when researcher leaves institution
• Data retained for minimum of 3 years after the last financial report for the project has been submitted unless longer periods are required
How can you ensure compliance?

• We are all responsible
• Understand complex regulations
• Identify resources
• Know when and where to ask for help
• When in doubt, ask

Questions?

Research Portal

Susan Held, FFRA
(Finance, Facilities and Research Administration)

Agenda

• Why do we have a Research Portal?
• What is it?
• Where does the information come from?
• Who can see what?
• Tips and favorite features
• What are the future plans for the project?

Background

• Information stored in many systems with different login and security procedures
• High level of training and effort required to answer simple questions such as “what is my balance?”
• No “faculty-friendly” options

Solution

researchportal.northwestern.edu

• Modern web application using Amazon Web Services
• Developed with significant faculty and staff

Proposal Information
• Basic demographics from InfoEd available
• For full details, run the GM085

Award Information
• Data comes from NUFinancials
• Default view is high-level summary

Award Information
• Drillable transaction detail
• Non-Sponsored contains similar info

Protocol Information
• Approved animal (IACUC) and human subjects (IRB) protocol numbers and demographic information
• Open security – any user can see any protocol information
Administrator Security: Sponsored Funding

- Anyone with Cognos research report access can see any proposal or sponsored project in the Portal
- Helpful for managing faculty with projects in multiple departments
- Salary detail is restricted to those with InfoEd access

Administrator Security: Non-Sponsored Funding

- Research Portal security is based on Cognos/NUFinancials Row Level Security
- Salary detail is limited to those with Cognos salary detail access

Security: Faculty

- Investigators (faculty) can see:
  - All sponsored projects where they are an investigator (any role)
  - All non-sponsored projects where they are the project manager and have NUFinancials security access
  - Salary detail on sponsored projects where they are PI or Subproject PI
  - Salary detail on non-sponsored projects they can see in the portal if they have the Cognos salary access role

General Cool Features

- Searching

- Sorting

- Transaction download

- Feedback button
Future Development

• More non-financial information
• More transparency into sponsored life cycle
• Ability to identify and process pending action items
• Continuing opportunity for staff to serve on focus groups

For More Information

www.it.northwestern.edu/supportcenter/

Questions?

CHECK YOUR KNOWLEDGE

Who does the review, approval, submission and processing of your funding proposals?

a. ASRSP
b. Research Safety
c. OSR
d. Vice President for Research
e. All of the above

OSR

What system do you use to develop your proposals?

a. Cognos
b. InfoEd/Proposal Development
c. eNotis
d. Kronos

InfoEd/Proposal Development
True or False:
A research administrator/coordinator must certify effort for their PI every quarter.

False

Certifiers (PI’s, Faculty, etc.) must certify to reflect:
  a. Budget
  b. Payroll
  c. Actual work performed
  d. Anticipated time worked

Actual work performed

Which office is responsible for the housing, welfare and veterinary care of laboratory animals?
  a. Institutional Review Board office
  b. Institutional Animal Care and Use Committee Office
  c. Center for Comparative Medicine
  d. Research Safety

Center for Comparative Medicine

A PI’s effort that is not required by sponsors but is offered by the PI in a proposal is:
  a. Voluntary Uncommitted Cost Sharing
  b. Mandatory Cost Sharing
  c. Optional Cost Sharing
  d. Voluntary Committed Cost Sharing

Voluntary Committed Cost Sharing

When time devoted to external activities potentially has an adverse effect on capacity to meet University responsibilities this is an example of:
  a. Misconduct
  b. Conflict of Commitment
  c. A lack of integrity
  d. Conflict of Interest

Conflict of Commitment

What does not need to be done by the PI during the award close-out process?
  a. File technical report
  b. File effort report
  c. Obtain a chart string
  d. Review and certify final project budget statement

Obtain a chart string
Essential project equipment is considered which of the following:

a. Indirect cost
b. F&A
c. Direct cost
d. A nice bonus

Direct Cost

What are the four guiding principles that help determine whether direct and indirect costs can be charged to a sponsored agreement:

Reasonable
Allowable
Allocable
Consistent

The Seminar is Complete!

Thank you for completing the Research Administration Training Seminar!

I will be emailing a brief survey regarding day 4 of this training. Please take a few minutes to fill it out as we are always looking for suggestions for improvement!

If you have any questions or concerns, please do not hesitate to contact me.