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

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

- Director of Electronic Research Administration
  - Project Administrator
  - Business Systems Analyst
  - Sr. Training Specialist
  - Information Management Specialist
  - 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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<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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<tr>
<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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<tr>
<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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<tr>
<td>• Liaison with sponsors and funding agencies on behalf of faculty and administrators</td>
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Roles & Responsibilities: Contracts Team

Contracts Officers

• 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

Research Analyst / Coordinators of Administration and Grants

• 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

Information

• Provide **functional assistance** for InfoEd and ESPR

• **Analyze and report research data** to executive leadership

• **Ensure data integrity**, namely quality assurance for proposal and award activity

• Maintain **institutional ERA accounts** and assist individuals with external ERA systems (e.g. eRA Commons, FastLane)

Communications & Education

• Manage **OSR website** and **OSR listservs**

• Maintain centralized **help resources** for the research administration community

• Create and deliver **sponsored research training** content

• Collaborate with OSR offices and university partners to develop resources and **implement electronic projects**
Why research?

“Skin Gel Stops Breast Cancer Growth”

“Reducing the Achievement Gap”

“Why Do Families Keep Secrets?”

“Printing Human Organs”

“New HIV Test will Help Developing World”

“Touch Screens That Touch You Back”
Why research?

• For FY 2016, we have 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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<tbody>
<tr>
<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>
<thead>
<tr>
<th>Grants</th>
<th>Gifts</th>
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<tbody>
<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>
</tr>
<tr>
<td>• Performance period</td>
<td>• Irrevocable</td>
</tr>
<tr>
<td>• Must be routed through OSR</td>
<td>• Work with Development Office</td>
</tr>
<tr>
<td>• Subject to University policy</td>
<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?

<table>
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<tr>
<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>
</tr>
<tr>
<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

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

- **Award Set-Up**

- **Award Management**

- **Award Closeout**

- **Post-Award Administration**
What is 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

Find out more here: [http://osr.northwestern.edu/training/spot](http://osr.northwestern.edu/training/spot)
Questions?

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