The Office for Sponsored Research (OSR): An Overview

David E Lynch
Executive Director
Office for Sponsored Research
Chicago Campus
Mission

The Office for Sponsored Research serves as Northwestern University’s central research administration office and the institutional point of contact for external research sponsors.

OSR provides comprehensive pre-award and post-award services including proposal review, submission, award negotiation, nonfinancial post-award administration and reporting, amendments, closeout and training services.

OSR will assist with the interpretation of regulatory requirements and provides oversight of compliance systems and related policies.
OSR Chicago

Executive Director

Department Assistant

Grants Team
2 Senior Grants Officers
5 Grants Officers
1 Associate GO
1 Assistant GO
4 Grants Assistants
1 temp staff

Corporate Team
5 Senior Contract and Grants Officers
3 Coordinators of Administration and Grants
OSR Grants Team Responsibilities

**Grants Officers** provide a full range of pre- and post-award services to the University research community, including proposal review, contract negotiation, subcontracting, reviewing requests for budget changes, no-cost extensions, prespending authorizations, issue outgoing subawards and oversee subrecipient monitoring and secure endorsement of requests and authorizations on behalf of Northwestern University. They serve as liaisons between NU faculty/staff, subrecipient organizations and governmental and nonprofit sponsors/funding agencies.

**Grants Assistants** provide pre- and post-award review of all extramural funding activities. They review budgets for accuracy and insure that both University policy and funding agency/sponsor guidelines have been met on all proposal submissions. Grants Assistants also support Grants Officers in creating University accounts for sponsored programs; they serve as liaisons between departments, OSR, and Accounting Services for Research and Sponsored Programs (ASRSP) in establishing such accounts.
OSR Corporate Team Responsibilities

Contract and Grant Officers are responsible for preparation, review, redlining, and negotiation of contracts and other sponsored programs agreements. These typically industry sponsored basic and clinical trial agreements and associated agreements such as confidentiality disclosure, data use and material transfer agreements.

Coordinators of Administration and Grants are responsible for coordination and administration of industry sponsored clinical trial and basic research proposals and accounts, and non-funded material transfer agreements, data use agreements and confidentiality agreements.
Executive Director

Associate Director

**Grants Team**
- 2 Grants Officers
- 2 Associate Grants Officers
- 2 Assistant Grants Officers
- 2 Associate Research Administrators
- 5 Grants Assistants

**Contracts Team**
- 1 Senior Contracts Manager
- 1 Senior Subcontracts Manager
- 1 Contract Officer

OSR Evanston
Info Team

- Director, Electronic Research Administration
  - Project Administrator
  - Information Management Specialist
  - Business Systems Analyst
  - Coordinator of Research Programs
Information Team Responsibilities

• The OSR Info Team is the functional unit responsible for oversight of systems supporting sponsored project research administration at Northwestern University, including InfoEd, ESPR and others

• The team is also charged with ensuring data integrity within those systems, and providing regular reports to the university community regarding proposal and award activity

• Members of the team provide functional support to Proposal Development users in InfoEd, serve as the central clearinghouse for logins to ERA systems, provide quality assurance for award data entry and manage the interface of awards to NUFinancials, and manage the OSR listserv and website
Additional OSR Responsibilities

• Advising faculty and staff on sponsored research issues
• Signing and submitting official actions
• Negotiating terms, accepting awards, issuing subawards
• Establishing primary and related accounts
• Reporting on NU sponsored research activity
• Interpreting agency requirements and NU policy
• Partnering with ASRSP on questions of allowability, allocability, reasonableness and consistent treatment of research costs
• Guidance on award management issues
• Represent NU via NCURA, SRA, COGR, FDP
Why is research important?
21st century businesses will rely on American science, technology, research and development. I want the country that eliminated polio and mapped the human genome to lead a new era of medicine—one that delivers the right treatment at the right time.

In some patients with cystic fibrosis, this approach has reversed a disease once thought unstoppable. Tonight, I’m launching a new Precision Medicine Initiative to bring us closer to curing diseases like cancer and diabetes—and to give all of us access to the personalized information we need to keep ourselves and our families healthier.

President Barack Obama
State of the Union Address
January 20, 2015
Washington, DC
Cancer may preventable in some cases, but two-thirds of people who get cancer may just be victims of bad luck, instead of lifestyle choices or genetics. Director of the Robert H. Lurie Comprehensive Cancer Center of Northwestern University Dr. Leon Platanias joined WGN’s Dina Bair to discuss this research further.

http://wgntv.com/2015/01/05/northwestern-doc-discusses-groundbreaking-cancer-research/#ooid=tqaWptcjqLrp_UzR65ggox9pJD63sfM
What's cooking in Illinois research labs?

Jonathan Leis, a professor of microbiology and immunology at Northwestern's Feinberg School of Medicine, who is working on a drug to block replication of viral infections such as Ebola, herpes and HIV;

William Klein, a Northwestern researcher and professor in neurobiology and neurology, who is developing new imaging technology to detect Alzheimer's at an earlier stage;

January 13, 2015
FY 13 Proposal & Award Data

• FSM submitted 59% of NU’s 3,313 proposals
  – Accounted for 64% of NU’s $2.3B in proposed funding

• FSM received 58% of NU’s 2,849 awards
  – Accounted for 66% of NU’s $594M in award dollars

• McCormick submitted 17% of NU’s 3,313 proposals
  – Accounting for 14% of NU’s 2.4B in proposal dollars

• McCormick received 17% of NU's 2,849 awards
  – Accounting for 12% of NU's 549M in award dollars
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Business and Finance</td>
<td>$0</td>
<td>0</td>
<td>$3,075,000</td>
<td>2</td>
</tr>
<tr>
<td>Ctrl Rsrc The Graduate School</td>
<td>$341,912</td>
<td>4</td>
<td>$23,112,000</td>
<td>3</td>
</tr>
<tr>
<td>Feinberg School of Medicine</td>
<td>$1,485,170,772</td>
<td>1,942</td>
<td>$1,290,826,042</td>
<td>1,814</td>
</tr>
<tr>
<td>Kellogg School of Management</td>
<td>$3,940,526</td>
<td>13</td>
<td>$6,968,740</td>
<td>14</td>
</tr>
<tr>
<td>McCormick Sch Engg &amp; App Sci</td>
<td>$329,129,400</td>
<td>581</td>
<td>$268,035,926</td>
<td>531</td>
</tr>
<tr>
<td>Medill School of Journalism</td>
<td>$575,248</td>
<td>6</td>
<td>$929,192</td>
<td>6</td>
</tr>
<tr>
<td>Northwestern School of Law</td>
<td>$1,636,455</td>
<td>11</td>
<td>$4,970,446</td>
<td>17</td>
</tr>
<tr>
<td>Northwestern Univ in Qatar</td>
<td>$3,781,779</td>
<td>10</td>
<td>$3,367,205</td>
<td>8</td>
</tr>
<tr>
<td>Office Information Technology</td>
<td>$10,662,640</td>
<td>5</td>
<td>$888,619</td>
<td>5</td>
</tr>
<tr>
<td>Office of the President</td>
<td>$0</td>
<td>0</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>Office of the Provost</td>
<td>$3,012,011</td>
<td>10</td>
<td>$2,382,356</td>
<td>7</td>
</tr>
<tr>
<td>Research Centers &amp; Institutes</td>
<td>$177,259,087</td>
<td>162</td>
<td>$150,980,564</td>
<td>166</td>
</tr>
<tr>
<td>Research Operations</td>
<td>$0</td>
<td>0</td>
<td>$554,637</td>
<td>3</td>
</tr>
<tr>
<td>School of Communication</td>
<td>$37,991,322</td>
<td>64</td>
<td>$43,139,226</td>
<td>86</td>
</tr>
<tr>
<td>School of Continuing Studies</td>
<td>$142,916</td>
<td>1</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>School of Educ &amp; Social Policy</td>
<td>$29,725,487</td>
<td>55</td>
<td>$19,023,121</td>
<td>45</td>
</tr>
<tr>
<td>School of Music</td>
<td>$43,899</td>
<td>1</td>
<td>$42,949</td>
<td>1</td>
</tr>
<tr>
<td>Student Affairs</td>
<td>$299,997</td>
<td>1</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>Technology Transfer Program</td>
<td>$47,499</td>
<td>1</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>The Graduate School (TGS)</td>
<td>$1,987,036</td>
<td>3</td>
<td>$3,301,528</td>
<td>5</td>
</tr>
<tr>
<td>University Library</td>
<td>$143,580</td>
<td>3</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>University Press</td>
<td>$0</td>
<td>0</td>
<td>$13,960</td>
<td>1</td>
</tr>
<tr>
<td>Weinberg CollegeArts&amp;Sciences</td>
<td>$252,112,666</td>
<td>440</td>
<td>$273,525,146</td>
<td>465</td>
</tr>
<tr>
<td>Totals</td>
<td>$2,338,004,230</td>
<td>3,313</td>
<td>$2,095,136,656</td>
<td>3,179</td>
</tr>
</tbody>
</table>
## FY2013 Awards

<table>
<thead>
<tr>
<th></th>
<th>Amount Awarded 2014</th>
<th>Number Awarded 2014</th>
<th>Amount Awarded 2013</th>
<th>Number Awarded 2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business and Finance</td>
<td>$0</td>
<td>0</td>
<td>$3,000,000</td>
<td>1</td>
</tr>
<tr>
<td>Ctrl Rsr The Graduate School</td>
<td>$5,016,733</td>
<td>9</td>
<td>$5,234,488</td>
<td>12</td>
</tr>
<tr>
<td>Ctrl Rsr Undergrad General</td>
<td>$500,000</td>
<td>1</td>
<td>$0</td>
<td>0</td>
</tr>
<tr>
<td>Feinberg School of Medicine</td>
<td>$389,786,860</td>
<td>1,649</td>
<td>$347,552,525</td>
<td>1,666</td>
</tr>
<tr>
<td>Kellogg School of Management</td>
<td>$2,948,050</td>
<td>19</td>
<td>$2,808,739</td>
<td>26</td>
</tr>
<tr>
<td>McCormick Sch Engg &amp; App Sci</td>
<td>$68,328,813</td>
<td>489</td>
<td>$56,901,586</td>
<td>465</td>
</tr>
<tr>
<td>Medill School of Journalism</td>
<td>$2,503,700</td>
<td>11</td>
<td>$1,586,020</td>
<td>8</td>
</tr>
<tr>
<td>Northwestern School of Law</td>
<td>$1,921,652</td>
<td>21</td>
<td>$5,699,361</td>
<td>23</td>
</tr>
<tr>
<td>Northwestern Univ in Qatar</td>
<td>$205,000</td>
<td>4</td>
<td>$50,000</td>
<td>2</td>
</tr>
<tr>
<td>Office Information Technology</td>
<td>$1,648,883</td>
<td>8</td>
<td>$193,448</td>
<td>2</td>
</tr>
<tr>
<td>Office of the President</td>
<td>$95,500</td>
<td>1</td>
<td>$242,400</td>
<td>3</td>
</tr>
<tr>
<td>Office of the Provost</td>
<td>$5,286,011</td>
<td>7</td>
<td>$5,151,919</td>
<td>7</td>
</tr>
<tr>
<td>Research Centers &amp; Institutes</td>
<td>$35,486,176</td>
<td>124</td>
<td>$42,034,931</td>
<td>139</td>
</tr>
<tr>
<td>Research Operations</td>
<td>$0</td>
<td>0</td>
<td>$11,064</td>
<td>1</td>
</tr>
<tr>
<td>School of Communication</td>
<td>$11,862,833</td>
<td>59</td>
<td>$10,764,371</td>
<td>69</td>
</tr>
<tr>
<td>School of Continuing Studies</td>
<td>$142,916</td>
<td>1</td>
<td>$188,994</td>
<td>2</td>
</tr>
<tr>
<td>School of Educ &amp; Social Policy</td>
<td>$8,087,398</td>
<td>43</td>
<td>$6,523,628</td>
<td>41</td>
</tr>
<tr>
<td>School of Music</td>
<td>$44,000</td>
<td>1</td>
<td>$43,000</td>
<td>1</td>
</tr>
<tr>
<td>Student Affairs</td>
<td>$0</td>
<td>0</td>
<td>$94,006</td>
<td>1</td>
</tr>
<tr>
<td>The Graduate School (TGS)</td>
<td>$77,500</td>
<td>2</td>
<td>$77,500</td>
<td>2</td>
</tr>
<tr>
<td>University Library</td>
<td>$5,000</td>
<td>1</td>
<td>$40,878</td>
<td>1</td>
</tr>
<tr>
<td>University Press</td>
<td>$10,200</td>
<td>1</td>
<td>$72,000</td>
<td>2</td>
</tr>
<tr>
<td>Weinberg CollegeArts&amp;Sciences</td>
<td>$59,990,966</td>
<td>398</td>
<td>$61,265,007</td>
<td>401</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$593,948,192</strong></td>
<td><strong>2,849</strong></td>
<td><strong>$549,535,865</strong></td>
<td><strong>2,875</strong></td>
</tr>
</tbody>
</table>
What is a Sponsored Project?

Specific research, training, service, or similar activity for which funding is provided by an external sponsor under an agreement with the University
What Governs Sponsored Projects?

Northwestern Policy
e.g. travel, consulting

Federal Grants and Contracts
Agency Grants Policy
OMB Uniform Guidance for Federal Financial Assistance

Non-federal Grants and Contracts
Terms and Conditions
Corporate Sponsor’s Mission
Grant Administration Life Cycle

- Proposal and budget development
- Proposal review, approval, and submission
- Negotiation, award acceptance, and account creation
- Scientific and financial project management
- Progress reporting, award close-out
- Post-award Administration
- Pre-award Administration

- Scientific and financial project management
- Negotiation, award acceptance and account creation
- Proposal review, approval, and submission
- Progress reporting, award close-out
- Post-award Administration
- Pre-award Administration

- Proposal and budget development
- Proposal review, approval, and submission
- Negotiation, award acceptance, and account creation
- Scientific and financial project management
- Progress reporting, award close-out
- Post-award Administration
- Pre-award Administration
Award Acceptance

- OSR receives notification of pending award
- OSR reviews supplemental documentation required by sponsor, e.g., Just in Time (JIT)
- OSR receives notice of award and sets up award in InfoEd and NUFinancials
- OSR creates a Project Account Summary and distributes to the PI and Department RA
Award Types

• Grants/Cooperative Agreements

• Contracts

• Subagreements

• Industry sponsored Clinical Trial Agreements (and basic science agreements)

• Other related agreements:
  – Non-Disclosure Agreements (Confidentiality Agreements)
  – Material Transfer Agreements
  – Data Use Agreements
Grants vs. Gifts

**Grants**
- Strings attached
- Specified statement of work & deliverables
- Reporting requirements
- Performance period
- Must be routed through OSR
- Subject to University policy

**Gifts**
- No strings attached
- No specified statement of work and/or deliverables
- Minimal reporting requirements
- Irrevocable
- Work with Development Office
- Subject to University policy

[http://osr.northwestern.edu/policies/sponsored-projects-versus-gifts](http://osr.northwestern.edu/policies/sponsored-projects-versus-gifts)
Material Transfer Agreements
Data Use Agreements

Contracts that govern the transfer of research materials and/or data between two organizations when the recipient intends to use it for their own research purpose

Material Transfer Agreements
http://osr.northwestern.edu/agreements/mta

Data Use Agreements http://osr.northwestern.edu/agreements/dua
Confidentiality Disclosure Agreements

• Sponsor may require prior to discussing conducting a clinical study at NU

• Establishes terms under which proprietary information will be shared

• Always reviewed and endorsed by OSR

• *PI must never sign on behalf of Northwestern!!!*

http://osr.northwestern.edu/agreements/nda
With Whom Does OSR Collaborate?

- NUCOI
- ASRSP
- OGC
- Audit
- Risk Management

OSR
Rules of Thumb

• Good communication is a must: PI/RA and GO

• START EARLY to minimize last minute rushes, internet issues, and other complications

• Reminder: all sponsored projects activities must go through OSR for administrative review and signature

• Adhere to all internal deadlines

• Nurture all professional relationships
Questions?

http://osr.northwestern.edu/