The Office for Sponsored Research (OSR): An Overview

Kelly Morrison
Director
Office for Sponsored Research
Evanston 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 and will assist with the interpretation of regulatory requirements and policy.
OSR Evanston

Director

Associate Director

Grants Officers

3 Assistant Grants Officers
1 Associate Grants Officer
2 Grants Officers

Grants Assistants

5 Grants Assistants

Contracts Team

1 Senior Contracts Manager
1 Senior Subcontracts Manager
1 Contracts Officer

Research Administrators

2 Research Administrators

Info Team

Administrative Assistant

5 Grants Assistants

1 Senior Contracts Manager
1 Senior Subcontracts Manager
1 Contracts Officer

2 Research Administrators
OSR Chicago

Executive Director

Department Assistant

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

Info Team
## OSR Roles & Responsibilities

<table>
<thead>
<tr>
<th>Grants Officers</th>
<th>Grants Assistants</th>
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<tbody>
<tr>
<td>• All pre- and post-award services to University research community</td>
<td>• Pre- and post-award support services to Grants Officers and</td>
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<tr>
<td>• Liaison with sponsors and funding agencies on behalf of faculty and</td>
<td>research administration community</td>
</tr>
<tr>
<td>administrators</td>
<td>• Proposal review</td>
</tr>
<tr>
<td>• Proposal review, institutional endorsement, and submission</td>
<td>• Award set-up</td>
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<tr>
<td>• Award review and negotiation</td>
<td>• Post-award non-financial management</td>
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<tr>
<td>• Post-award non-financial management</td>
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# OSR Roles & Responsibilities

<table>
<thead>
<tr>
<th>Senior Contracts Manager &amp; Officer</th>
<th>Subcontracts Manager</th>
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<tr>
<td>• Prepare, draft, review and negotiate contracts and sponsored programs agreements, Non-Disclosure Agreements (NDAs) and Data Use Agreements (DUAs)</td>
<td>• Prepare, draft, review and negotiate all outgoing subcontract agreements</td>
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<tr>
<td>• Industry-sponsored basic research agreements</td>
<td>• Process amendments associated with outgoing subcontract activity</td>
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<tr>
<td>• Focused on most complex sponsored agreements</td>
<td>• Outgoing subcontract risk assessments</td>
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<tr>
<td>• Ensure compliance with sponsor and University policies and processes</td>
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OSR Roles & Responsibilities

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<thead>
<tr>
<th>Research Administrators</th>
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<tr>
<td>• Provides departmental-level pre- and post-award administrative assistance and routine problem solving in support of unit's research programs and mission</td>
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<td>• Preparation &amp;/or submission of routine research proposals, grants &amp;/or contracts according to standard practice &amp;/or general instruction.</td>
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<tr>
<td>• Handle and advise on post-award matters, serving as departmental subject-matter sponsored expert</td>
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## Summary of OSR Responsibilities

<table>
<thead>
<tr>
<th>Facilitating all Northwestern sponsored research activities</th>
<th>Endorsement of Institutional proposals and resulting awards</th>
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<tbody>
<tr>
<td>Advising faculty and staff on proposal development and broader sponsored research issues (including cost accounting standards)</td>
<td>Negotiation and acceptance of awards</td>
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<tr>
<td>Interpreting agency and NU policy, guidelines, and terms and conditions</td>
<td>Establishment of awards in enterprise systems</td>
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<td></td>
<td>Issuance of outgoing subcontracts</td>
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<td></td>
<td>Reporting on NU sponsored research activity</td>
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<td></td>
<td>Guidance on award management issues</td>
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<td></td>
<td>Represent NU nationally</td>
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<td></td>
<td>Respond to OIG audits and subpoenas</td>
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Information Team Responsibilities

• **Maintain InfoEd**, which is NU’s sponsored projects proposal and award database

• **Provide** Data Integrity, Quality Assurance for proposal and award activity

• **Reporting** research levels and trends to executive leadership

• **Proposal Development functional support**
  • Interface with NUFinancials

• **Manage OSR Listserv**

• **Maintain OSR website**

• **Manage ESPR**, which is NU’s Proposal Modification Request electronic submission & routing system

• Maintain institutional logins for all ERA systems

• **Design, create and deliver** a sponsored research training program *(coming soon)*
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.”

President Barack Obama
State of the Union Address
January 20, 2015
Washington, DC
Why research?

“How Does a Long Time in Space Affect Human Health?”

“Telomere Changes Predict Cancer”

“Solving the Last Mile of Freight Delivery”

“Skin Gel Stops Breast Cancer Growth”

“Electric Current to Brain Boosts Memory”

“New Theory for Cells That Gave Rise to Vertebrates”

“Imperfect Graphene Opens Door to Better Fuel Cells”

“Mental Disorders Don’t Predict Future Violence”

“First Blood Test to Diagnose Depression in Adults”

“Gasoline Choice Effects Urban Air Pollution”

“New Theory for Cells That Gave Rise to Vertebrates”

“Printing Human Organs”

“Categorizing Heart Failure to Tailor Therapies”

“SNAs Set Stage for New Drug Development”

“Use Light to Convert Nitrogen to Ammonia”

“Team Develops Faster, Higher Quality 3-D Camera”

“Science Communication Key to Future Energy Policy”

“Tiny Worm Holds Healing Secrets”

“New Theory for Cells that Gave Rise to Vertebrates”

“Connecting Caves to Coral Reefs”

“Touch Screens That Touch You Back”

“Reducing the Achievement Gap”

“Cultural Forces Shape How Children Catalog the World”

“Why Do Families Keep Secrets?”
NU Fiscal Year 2014 Proposal & Award Data

• We submitted 3,313 proposals in FY 2014 for a grand total of $2.34 billion

• We received 2,849 awards in FY 2014 for a grand total of $593.9 million

For Additional Information: http://osr.northwestern.edu/reports-metrics
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.
What Governs Sponsored Projects?

Northwestern Policy
- e.g. Travel
- e.g. Consulting

Federal Grants & Contracts
- e.g. OMB A-21/A-110
- e.g. OMG Uniform Guidance

Corporate Grants & Contracts
- Terms & conditions
- Corporate sponsor’s mission
NU Sponsored Research Lifecycle

- Proposal Development
- Proposal Review & Submission
- Award Set-Up
- Award Management
- Award Closeout

Pre-award Administration

Post-award Administration
NU Flow of Information During Proposal Submission

Proposal Creation - InfoEd Proposal Development (PD)

Notify your GO of the InfoEd # via email

Complete administrative shell and the Proposal Routing Form in InfoEd PD

Confirm PI has up-to-date COI disclosures*

Submit the proposal for pre-routing

OSR will submit proposal electronically or sign paper proposals

Let OSR know Admin Shell is complete

OSR reviews Admin Shell

Once proposal docs final and OSR comments addressed, confirm ready for submission

For Additional Information:
* = if applicable, per sponsor regulations
http://osr.northwestern.edu/proposals/proposal-preparation
http://osr.northwestern.edu/proposals/budget
http://osr.northwestern.edu/resources
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 negotiates and institutionally endorses agreement, as appropriate

OSR establishes award in InfoEd and NUFinancials and creates a Project Account Summary and distributes to the PI and Department RA

For Additional Information:
http://osr.northwestern.edu/awards/awards
Types of Sponsors

- Federal
- State and local government
- Foundations/nonprofits
- International
- Industry

- *Different missions and priorities*
Award Mechanisms

- Grants
- Cooperative Agreements
- Contracts
- Subawards
- Amendments
- NDAs, MTAs, DUAs
- Master Agreements

- Unilateral vs. Bi-lateral vs. Multi-lateral
- Fixed Price vs. Cost Reimbursable
## 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)
Material Transfer Agreements (MTA) and Data Use Agreements (DUA)

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

- **Common MTAs**  [http://osr.northwestern.edu/agreements/mta](http://osr.northwestern.edu/agreements/mta)
  - Transfer between academic or research institution
  - Transfer from academia to industry
  - Transfer from industry to academia

- **Common Data Use Agreements (DUA)**  [http://osr.northwestern.edu/agreements/dua](http://osr.northwestern.edu/agreements/dua)
  - Governs the transfer of research data between organizations
  - Academic institutions, government agencies, and/or corporate entities
Non-Disclosure Agreements (NDAs)  
Confidentiality Disclosure Agreements (CDAs)

- Sponsor may require prior to engaging in discussions with the University
- Establishes terms under which proprietary information will be shared
- Always reviewed, negotiated, and endorsed by OSR

PI must NEVER sign on behalf of Northwestern
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 <em>(ASRSP)</em></td>
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<tr>
<td>Office of General Counsel <em>(OGC)</em></td>
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<td>Office of Foundation Relations <em>(OFR)</em></td>
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<td>Risk Management</td>
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<td>Office of Clinical Research <em>(OCR)</em></td>
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<tr>
<td>Conflict of Interest at Northwestern University <em>(NUCOI)</em></td>
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<tr>
<td>Office of Research <em>(OR)</em> Offices</td>
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<tr>
<td>Export Controls Compliance Office</td>
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<tr>
<td>International Office</td>
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Best Practices

• Consistent and respectful communication is a must:
  PI ↔ RA ↔ GA/GO

• **START EARLY** and establish a timeline to minimize last minute rushes, internet issues, and other complications

• Review proposal guidelines, instructions and award documents carefully and thoroughly

• All sponsored proposals (and awards!) **must** go through OSR for administrative review and signature

• Adhere to all internal deadlines (see links below for more information)

For Additional Information:
http://osr.northwestern.edu/proposals/deadlines
http://osr.northwestern.edu/sites/default/files/nih_admin_shell_checklist.pdf
http://osr.northwestern.edu/sites/default/files/admin_shell_checklist.pdf
Questions?

For Additional Information:
http://osr.northwestern.edu/