Roles & Responsibilities

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Research Administration Roles

Central

Unit

Principal Investigator
PI Responsibilities

- Develop research project
- Reflect accurate costs in proposal budgets
- Ensure costs are compliant with regulations
- Provide sufficient time to process proposals
- Disclose and manage conflicts of interest/commitment
- Comply with grant terms and conditions
Unit Responsibilities

• Support PIs by:
  – Completing appropriate forms
  – Developing budgets
  – Conducting quality assurance on proposals and subcontracts
  – Submitting proposal to sponsor, when appropriate

• Knowledge of rules and regulations

• Monitor financial and compliance controls for external funding
Department Chair Responsibilities

- Provide departmental resources to administer a project
- Monitor appropriate use of students
- Allocate space and other resources to meet project needs
- Ensure project goals and the objectives of the Department, School, and Northwestern are consistent
- Manage and absorb overdrafts for PI’s
AVPs for Research Responsibilities

- Oversight of CCM, IACUC Office, IRB Office, NUCOI Office, OECC, ORI, and OSR
- Oversight of Research Centers and Core Facilities
- Strategic planning for University research
- Liaison to basic science and clinical research communities
- Liaison to Northwestern University Clinical and Translational Science Institute (NUCATS)
- OR representative on University committees
INVO Responsibilities

• Provides support for NU’s expanding innovative culture

• Entrance point for moving NU’s inventions to the public

• INVO consists of:
  1. Intellectual Property and Licensing group
  2. The New Ventures group
  3. The Community Outreach group
ORD Responsibilities

- Identifies appropriate funding opportunities
- Research administration support for large and/or complex grants
- Grant proposal development
- Provides Grantsmanship training
- Assistance obtaining institutional commitments and cost-sharing for proposals
- Assistance establishing external partnerships and affiliated subcontracts
ORS Responsibilities

• Chemical, biological, radiation, and general laboratory safety

• Compliance oversight (all of the above) — interactions with multiple state and federal agencies

• Hazardous waste disposal

• Emergency response

• Security oversight (materials of national security interest)

• Various safety committees administration
Science in Society Responsibilities

- Science outreach events
- Science in Society magazine
- Scientific Images contest
- One-on-one training in effective written and oral science communication with faculty, staff and graduate students
- Partners with Chicago-area schools and community groups
ORPAF, ORIS, and ORC Responsibilities

• Strategic planning and financial analyses to define alternatives for the optimal use of resources

• Develops human resources practices and operational processes that lead to enhanced effectiveness

• Provides administrative support for the University research centers

• Identification and implementation of research technical solutions and infrastructure

• Champions the application of IS solutions and technologies to the Northwestern research enterprise

• Manages communications and publications to foster the flow of information between OR and its constituents.
CCM Responsibilities

• Supports faculty using animals

• Oversees the humane care and use of animals

• Houses research animals, maintains support space and services for the use of animals

• Provides training in the care and use of animals
Core Facilities Responsibilities

- Provides centralized services and/or state of the art equipment that a single researcher cannot support on their own

- Recharge centers that recover most of its expenses by charging its user base a “fee for service”

- Concentrated within OR, FSM and WCAS
OSR Responsibilities

• Proposal validation and submission

• Negotiates, executes, and accepts contract and grant awards

• Award notification

• Account establishment

• Issues sub-awards

• Award terms and conditions interpretation
ORI Responsibilities

- Partners with the research community to minimize and manage research risks
- Coordinates training, education and communication
- Proactively identifies and manages research risks
- Manages research misconduct investigations
- Monitors and corrects other non-compliance
IRB Office Responsibilities

- Supports the Institutional Review Board ("IRB")
- Assists PIs and research community in minimizing risk to human subjects
- Ensures compliance with federal law and NU policy regarding human subject research
- Responds to allegations of human subject research non-compliance
- Conducts quality assurance and training
OECC Responsibilities

- Establishes and oversees a centralized resource ensuring university compliance with the various export control regulations

- Provides education and outreach

- Partners with offices across both campuses to ensure a unified approach and message regarding compliance

- Maintains records demonstrating steps taken to comply with the regulations

- Conducts restricted party screenings
IACUC Office Responsibilities

• Supports the Institutional Animal Care and Use Committee (“IACUC”)

• Works with CCM to protect welfare of animal subjects

• Ensures compliance with federal law and NU policy regarding animal subject research

• Inspects animal facilities and laboratories

• Responds to allegations of animal subject research non-compliance

• Conducts post-approval monitoring and training
NUCOI Responsibilities

• Oversees and implements the University faculty and staff conflict of interest policies and procedures

• Ensures University compliance with applicable conflict of interest regulatory requirements

• Provides guidance and support to the University community regarding conflict of interest policies, systems, standards, and procedures

• Administers and supports the activities of University Conflict of Interest Committees
Other Related NU Offices

NU President

- NU Provost
  - VP for Research
- Sr VP for Business & Finance
  - Assoc VP of Financial Ops
    - Sr Assoc Controller – Financial Ops
      - ASRSP
      - Effort Reporting Project
      - Cost Studies

Roles & Responsibilities
ASRSP Responsibilities

- Financial status reports, sponsor reimbursements, and award close out
- Approve transactions over 90 days
- Coordinate audits
- Inventory government-titled equipment
- Administer effort certification process
- Process subcontract invoices
- Promote compliance with policies
Effort Reporting Responsibilities

• Work with Effort Coordinators to enable quarterly effort certification

• Maintain Effort Reporting System/Committed Effort Management (ERS/CEM)

• Provide training on effort reporting policies and ERS/CEM

• Work with OSR/departments to resolve issues/answer questions

• Coordinate communications to sponsors regarding changes in effort, personnel status, and significant salary changes

• Assist in cases with high commitments of effort
Cost Studies Responsibilities

• Development and negotiation of the university F&A Rate

• Analysis of F&A cost allocation, fringe benefit costs, etc.

• Oversight and analysis of recharge activities

• Monitor compliance with A-21 cost accounting practices

• Distribution of the *Monthly Indirect* Cost Report

• Determination of cost transfer policies and review of cost transfers

• Review of selected sponsored project expenditures
Research Centers

NU President → NU Provost

Office for Research
Respective School Dean
University Research Centers
School Based Research Centers

http://www.research.northwestern.edu/centers

Roles & Responsibilities
Questions?