Research Roles and Responsibilities

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Overview of the duties of key individuals that conduct or support research activities

Research Roles and Responsibilities

Why
All members of the Northwestern University research community are responsible for upholding the highest standards of ethical and professional conduct as defined in our University policies, procedures and guidelines and sponsoring agency policies and regulations.

Goal
The goal of these documents is to provide an overview of the duties of key individuals that conduct or support research activities at Northwestern University.

Roles

http://www.researchroles.northwestern.edu
Research Administration Roles

All 3 levels work together to support research, the research process, and research administration
Principal Investigator (PI)

Directs and oversees all research activities

Fosters a culture of research integrity
- Conducts research in an objective and unbiased manner, in compliance with policies and regulations

Responsible for fiscal and administrative management of research

Manages research staff (co-investigators, postdoctoral trainees, fellows, students, technicians, lab managers)
- Assures that all key research personnel have met training requirements

Roles & Responsibilities
Unit Administrator

**Roles & Responsibilities**

- Provides support for PI’s research pursuits, while ensuring adherence to regulations and policies
- Supports PI with fiscal and administrative management of research
- Communicates proposal deadlines, pre-award processes, and policies to PI
- Completes post-award administration of research grants and/or contracts
- Communicates with PI to complete effort commitment profile and to track and monitor effort commitments
Acts as liaison to other University units

Ensures research objectives of the department, school, and University are consistent

Confirms commitment to policies and regulations, and takes appropriate actions to ensure compliance

Oversees the faculty in relation to their research activities, including collaborative, large-scale research initiatives

Ensures infrastructure, personnel, and other resources are sufficient to meet departmental research needs and strategic vision

Communicates research-related training requirements to faculty and staff
Office for Research
VP for Research

- Oversees Office for Research and University research operations
- Delegates regulatory responsibility to appropriate University units
- Fosters new research initiatives
- Oversees partnerships with industry, government, and partner institutions
- Acts as the University representative at national committees and labs
- Official institution nominator for limited submission candidates
AVPs for Research

- Oversee all OR compliance and operational units
- Oversee Research Centers and Core Facilities
- Strategic planning for University research and OR
- Liaison to basic science and clinical research communities, liaison to Northwestern University Clinical and Translational Sciences Institute (NUCATS)
- Manage communications flow between OR and its constituents
- Represent OR on University committees
Office for Sponsored Research

- Identifies funding sources
- Assists in proposal development
- Reviews and endorses proposals
- Negotiates, executes, and accepts contract and grant awards
  - Interprets award terms and conditions
- Accepts and appropriates awards
  - Account establishment
  - Issues sub-awards
- Promotes compliance with agency and University policies
Office of Research Development

- Identifies appropriate funding opportunities
- Provides research administration support for large and/or complex grants
- Assists with grant proposal development
- Provides grantsmanship training
- Provides assistance in obtaining institutional commitments and cost-sharing for proposals
- Provides assistance in establishing external partnerships and affiliated subcontracts
Institutional Review Board (IRB) Office

- Supports the Institutional Review Board
- Assists PIs and the research community in minimizing risk to human subjects
- Ensures compliance with federal laws and Northwestern policy regarding human subject research
- Responds to allegations of human subject research noncompliance
- Conducts quality assurance and training
Institutional Animal Care and Use Committee (IACUC) Office

• Supports the Institutional Animal Care and Use Committee (IACUC)
• Works with Center for Comparative Medicine to protect welfare of animal subjects
• Ensures compliance with federal laws and Northwestern policy regarding animal subject research
• Inspects animal facilities and laboratories
• Responds to allegations of animal subject research noncompliance
• Conducts post-approval monitoring and training
Center for Comparative Medicine (CCM)

- 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
Office for Research Integrity (ORI)

- Promotes research integrity and the responsible conduct of research
- Helps researchers navigate the complex research compliance and administrative arenas
- Serves as a confidential source for reporting research-related concerns
- Facilitates review of alleged research misconduct
- Coordinates quarterly research administration training seminars
- Tracks compliance with NSF RCR training requirements
Office for Research Safety

- Oversees chemical, biological, radiation, and lab safety training
- Oversees compliance (all of the above) — interactions with multiple state and federal agencies
- Manages the collection and proper disposal of chemical, radioactive, and biological waste generated by the research, teaching, and clinical operations at Northwestern
- Provides emergency response resources and information
- Provides security oversight for materials of national security interest
- Oversees administration of various safety committees
Conflict of Interest Office (NUCOI)

• 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
Office for Export Controls Compliance (OECC)

- 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
Innovation and New Ventures Office (INVO)

• Provides support for Northwestern’s expanding innovative culture
• Entrance point for moving Northwestern’s inventions to the public
• INVO handles:
  ▪ Invention Management – commercialization of scientific inventions
  ▪ Patent, Licensing and Legal Issues
  ▪ New Business Ventures, Venture Fund Programs, Technology Marketing
  ▪ Startup Resources and Work Spaces
  ▪ Mentorship and Training Programs
Core Facilities Administration (CFA)

- **Core facilities** are recharge centers, operating under a fee-for-service model, with the mission of enabling research at Northwestern.

- CFA provides financial support, administrative oversight, professional development, assessment, and communication of shared research resources:
  - Electron and confocal microscopes
  - Functional MRI facilities
Northwestern Scholars

• Searchable database of research expertise across all disciplines at Northwestern

• Explore the profiles and research output (publications, patents, visual works, performances, etc.) of thousands of faculty, and learn about core research facilities at Northwestern
  ▪ 4,450 Northwestern faculty members
  ▪ 200,000 publications (updated weekly)
  ▪ 12,000 grants from InfoEd, Lurie Children's Hospital, and Shirley Ryan AbilityLab

• View collaboration networks among researchers within Northwestern and with external scholars

https://www.scholars.northwestern.edu

Roles & Responsibilities
Other Research-Related Offices
Office of Accounting Services for Research and Sponsored Programs (ASRSP)

- Assists in financial status reporting, sponsor reimbursements, and award close-out
- Approves transactions over 90 days
- Coordinates financial audits
- Inventories government-titled equipment
- Administers the effort certification process
- Processes subcontract invoices
- Promotes compliance with policies
Office of Cost Studies

- Manages development and negotiation of the University’s F&A Rate
- Oversees and analyzes recharge activities
- Reviews selected sponsored project expenditures
- Works with effort coordinators to enable quarterly effort certification
- Maintains Effort Reporting System/Committed Effort Management (ERS/CEM)
- Provides training on effort reporting policies and ERS/CEM
- Provides determination of cost transfer policies and review of cost transfers
- Monitors compliance with Uniform Guidance cost accounting practices
Research Centers

- Northwestern President
- Northwestern Provost
- Office for Research
- Respective School Dean
- University Research Centers
- School-based Research Centers

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