Research Roles and Responsibilities

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Office for Research Integrity
Research Administration Roles

Everyone works together to support research, the research process, and research administration.

Departmental and school-level administrators, co-investigators, students, postdoctoral researchers, and technical research personnel

School / Department / Lab

Principal Investigator

Central Offices

For example:
- Financial Operations
- Office for Research Integrity

Roles & Responsibilities
Research Administration Roles

**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

**Department Chair / Center Director**
- 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
- Ensures resources are sufficient to meet departmental research needs and strategic vision
- Communicates research-related training requirements to faculty and staff

**Unit Administrators**
- 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
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.
Choose one of the roles for more information.

Roles
- Administrative Research Personnel
- Chair
- Dean
- Home
- Principal Investigator (PI)
- Technical Research Personnel
- Vice President for Research

http://www.researchroles.northwestern.edu
University Policies and Procedures

Example:
Northwestern’s Effort Reporting Policies and Procedures

https://www.northwestern.edu/coststudies/links.html

Grant or Contract Terms
Northwestern determines how to meet these guidelines via its Effort Reporting policies

Sponsor-Specific Policies
NIH and NSF further define expectations

Federal Policies
Uniform Guidance sets requirements for effort reporting

Roles & Responsibilities
Office for Research
https://research.northwestern.edu/research-offices
Vice President for Research

• Oversees Office for Research and University research operations
• 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

Associate Vice Presidents for Research

• Work with the VP for Research to guide the strategic direction of research and improve the Office for Research’s customer service orientation
• Oversee OR compliance and operational units, Research Centers, and Core Facilities
• Represent OR on University committees
# Office for Research

## Sponsored Research
- Identifies funding sources
- Assists in proposal development
- Reviews and endorses proposals
- Accepts and appropriates awards
- Promotes compliance with agency and University policies

## Office of Research Development
- Identifies funding opportunities
- Provides research administration support for large and/or complex grants
- Assists with grant proposal development
- Provides grantsmanship training
- Provides assistance with institutional commitments and cost-sharing for proposals
- Assists in establishing external partnerships

## Office for Research Integrity
- 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

Institutional Review Board (IRB) Office
- Supports the IRB
- Assists PIs and research community in minimizing risk to human subjects
- Ensures compliance with laws and policies 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 IACUC
- Works with CCM to protect welfare of animal subjects
- Ensures compliance laws and policies 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 Safety
- Oversees training and compliance programs for chemical, biological, radiation, and lab safety
- Manages collection and proper disposal of chemical, radioactive, and biological waste generated by the research, teaching, and clinical operations
- Provides emergency response resources and information
- Provides security oversight for materials of national security interest

### Conflict of Interest Office (NUCOI)
- Oversees and implements the faculty and staff conflict of interest policies and procedures
- Ensures compliance with applicable conflict of interest regulatory requirements
- Provides guidance and support regarding conflict of interest policies, systems, standards, and procedures
- Administers and supports the activities of conflict of interest committees

### Export Controls Compliance
- Establishes and oversees a centralized resource ensuring compliance with export control regulations
- Provides education and outreach
- Maintains records demonstrating steps taken to comply with the regulations
- Conducts restricted party screenings
Office for Research

**Innovation and New Ventures Office (INVO)**
- 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**
- Core facilities are recharge centers, operating under a fee-for-service model
- CFA provides financial support, administrative oversight, professional development, assessment, and communication of shared research resources such as:
  - Electron and confocal microscopes
  - Mass spectroscopy facilities
  - Functional MRI facilities

**Northwestern Scholars**
- Searchable database of research expertise across all disciplines
- Explore the profiles and research output of 4,450+ faculty, and learn about 50+ core research facilities
- 200,000+ publications (updated weekly)
- View collaboration networks among researchers within Northwestern and with external scholars [https://www.scholars.northwestern.edu](https://www.scholars.northwestern.edu)
Other Research-Related Offices
ASRSP and Office of Cost Studies

- President
  - Provost
    - Vice President for Research
      - Office for Research
  - Executive Vice President
    - Vice President of Financial Operations & Treasurer
      - Executive Director for Research Financial Operations
        - Accounting Services for Research and Sponsored Projects (ASRSP)
        - Office of Cost Studies
Roles & Responsibilities

**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**

- Oversees conformance with Northwestern’s policies and procedures related to cost accounting and effort reporting for sponsored programs
- Manages development and negotiation of Northwestern’s F&A Rate
- Maintains Effort Reporting System/Committed Effort Management (ERS/CEM)
- Provides determination of cost transfer policies and review of cost transfers
Research Centers

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

- 52 university research centers
- University Research Institutes and Centers Administration (URICA) office facilitates the planning and deployment of strategic resources coordination

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