Sponsored Research:
An Overview
Why research?

“Skin Gel Stops Breast Cancer Growth”

“Why Do Families Keep Secrets?”

“Printing Human Organs”

“Reducing the Achievement Gap”

“New HIV Test will Help Developing World”

“Touch Screens That Touch You Back”
The University – Sponsor Relationship

Why universities engage in research

– Generate and disseminate knowledge
– Maintain high-quality educational environment (sponsored research helps maximize available resources)

Why sponsors provide research support

– Common ideology
– Large, established university infrastructure
– Top faculty and student talent
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.
Common Sponsor Types

Federal government
- National Institutes of Health (NIH)
- National Science Foundation (NSF)
- Department of Defense (DOD)
- Department of Energy (DOE)

State and local governments

Foundations/nonprofits

Industry

International entities
Funding Mechanisms

Formal means through which a sponsor contracts with a recipient institution to provide funding

Common Types of Funding Mechanisms
Grants
Cooperative Agreements
Contracts
Subcontracts

For more: SPOT – Introduction to Sponsored Research
### Grants

- Funding from sponsors
- Specified statement of work, deliverables, budget, and period of performance
- Technical and financial reporting requirements
- Subject to terms and conditions of sponsor
- Must be routed through sponsored research
- Subject to University policy

### Gifts

- No specified statement of work, deliverables, budget, or period of performance
- Minimal reporting requirements
- Irrevocable
- Work with Research Development
- Subject to University policy

For Additional Information: [http://osr.northwestern.edu/policies/sponsored-projects-versus-gifts](http://osr.northwestern.edu/policies/sponsored-projects-versus-gifts)
Non-Financial Research Agreements

• Data Use Agreements (DUA)
• Non-Disclosure Agreements (NDA)/Confidentiality Disclosure Agreements (CDA)
• Facility Use Agreements
• Material Transfer Agreements (MTA)

Find out more:  SPOT – Introduction to Sponsored Research and https://osr.northwestern.edu/agreements
Northwestern By The Numbers

For FY 2017, we had:

- 291 proposals submitted a month (3,502 proposals submitted)

- 277 awards set-up per month (3,328 awards total)

- 359 contracts executed per month (4,308 contracts)
Sponsored Research Mission

Sponsored Research assists investigators in proposing and managing sponsored programs in support of Northwestern University's mission of innovative research, excellent teaching, and public service.

- Northwestern’s central research administration office
- Institutional point of contact for external research sponsors
- Comprehensive pre-award and post-award services
- Assistance with the interpretation of regulatory requirements and policy
The Sponsored Project Life Cycle

1. Identify Funding Opportunities
2. Proposal Development & Submission
3. Award Negotiation & Acceptance
4. Award Set-Up
5. Award Management
6. Award Closeout
Summary of Sponsored Research Responsibilities

- **Facilitating** all Northwestern sponsored research activities
- **Advising** faculty and staff on proposal development and broader sponsored research issues (including cost accounting standards)
- **Interpreting** agency and Northwestern policy, guidelines, and terms and conditions

- **Endorsement** of Institutional proposals and resulting awards
- **Negotiation** and acceptance of awards
- **Award establishment**
- **Subawards issuance**
- **Reporting** on Northwestern sponsored research activity

- **Guidance** on award management issues
- **Represent** Northwestern nationally
- **Respond** to audits and subpoenas
- **Train** and **provide** educational materials for the sponsored research community
Sponsored Research Organization Chart
## Roles & Responsibilities: Grants Team

<table>
<thead>
<tr>
<th>Grants Officers</th>
<th>Grants Assistants</th>
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</thead>
<tbody>
<tr>
<td>• Pre-award services</td>
<td>• Pre- and post-award support services to Grants Officers</td>
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<tr>
<td>• Award review and negotiation</td>
<td>• Award set-up</td>
</tr>
<tr>
<td>• Post-award non-financial management</td>
<td>• Liaison with ASRSP, research administrators, and other departmental administrators</td>
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<tr>
<td>• Liaison with sponsors and funding agencies on behalf of faculty and administrators</td>
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Review budgets for accuracy and compliance with NU and sponsor requirements

Find out more: [https://osr.northwestern.edu/agreements](https://osr.northwestern.edu/agreements)
## Roles & Responsibilities: Contracts Team

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<tr>
<th>Contracts Officers</th>
<th>Research Analyst / Coordinators of Administration and Grants</th>
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<tbody>
<tr>
<td>• Draft, review, and negotiate agreements and contracts</td>
<td>• Provide administrative support for industry-sponsored clinical trial budgets</td>
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<tr>
<td>• Ensure compliance with sponsor &amp; University policies and processes</td>
<td>• Process support Contract Officers with related agreements</td>
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<td></td>
<td>• Review and maintain proposal and award data in InfoEd</td>
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*Ensure compliance with sponsor and University processes*
## Roles & Responsibilities: Info Team

<table>
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<tr>
<th>Systems and Data</th>
<th>Communications &amp; Education</th>
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<tr>
<td>• Provide functional assistance for InfoEd and ESPR</td>
<td>• Manage sponsored research website and listservs</td>
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<td>• Analyze and report research data</td>
<td>• Provide a centralized help resources</td>
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<tr>
<td>• Ensure data integrity for proposal and award activity</td>
<td>• Create and deliver sponsored research learning resources</td>
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<tr>
<td>• Maintain institutional ERA accounts and assist individuals with external ERA systems (e.g. eRA Commons, Fast Lane)</td>
<td>• Collaborate with research offices and university partners to develop resources and implement electronic projects</td>
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With Whom Does Sponsored Research Collaborate?

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<th>Organizations and their Acronyms</th>
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<tr>
<td>Accounting Services for Research and Sponsored Programs (ASRSP)</td>
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<tr>
<td>Center for Clinical Research (CCR)</td>
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<tr>
<td>Conflict of Interest at Northwestern University (NUCOI)</td>
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<td>Innovation and New Ventures Office (INVO)</td>
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<tr>
<td>Institutional Animal Care and Use Committee (IACUC)</td>
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<tr>
<td>Institutional Review Board (IRB)</td>
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<tr>
<td>Export Controls Compliance</td>
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<tr>
<td>Foundation Relations</td>
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<tr>
<td>Office of General Counsel (OGC)</td>
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<tr>
<td>Risk Management</td>
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*not an exhaustive list, examples of common engagements*
Sponsored Project Online Training (SPOT)

Web-based training resulting from a partnership between Sponsored Research and Training Advisory Committee

**Mini-courses:** 20-to-30 minute interactive videos which cover introductory topics

**Microlearning modules:** 5-minute functionally-oriented videos addressing a discrete task or topic

Resources are available via Northwestern's digital learning platform, myHRLearn

Find out more: [http://osr.northwestern.edu/training/spot](http://osr.northwestern.edu/training/spot)
Sponsored Research In-Person Training

- Complement the online SPOT offerings
- Current offerings cover introductory topics in sponsored research administration
- Register for classes online at myHRLearn

Case Studies
Hands-on
Instructor-led
Quarterly schedule
Alternating campuses
Questions?

Visit the Sponsored Research website: http://osr.northwestern.edu