Sponsored Research
An Overview
What is Sponsored Research?

- **Sponsored Research / 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.
Sponsors & Agreements

• Common sponsor types:
  – Federal government (largest source of funding)
  – State/local government
  – Industry
  – Foundations/nonprofits
  – International entities

<table>
<thead>
<tr>
<th>Funded agreements</th>
<th>Non-funded agreements</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Grants</td>
<td>• Data Use Agreements (DUA)</td>
</tr>
<tr>
<td>• Cooperative agreements</td>
<td>• Confidential Disclosure Agreements (CDA)</td>
</tr>
<tr>
<td>• Contracts</td>
<td>• Facility Use Agreements</td>
</tr>
<tr>
<td>• Subcontracts</td>
<td>• Material Transfer Agreements (MTA)</td>
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## Grants vs. Gifts

<table>
<thead>
<tr>
<th>Grants</th>
<th>Gifts</th>
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<tbody>
<tr>
<td>• Funding provided in response to an institutionally-endorsed proposal submitted to sponsor</td>
<td>• No specified statement of work, deliverables, budget, or period of performance</td>
</tr>
<tr>
<td>• Specified statement of work, deliverables, budget, and period of performance</td>
<td>• Minimal reporting requirements</td>
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<tr>
<td>• Technical and financial reporting requirements</td>
<td>• Irrevocable</td>
</tr>
<tr>
<td>• Subject to terms and conditions of sponsor</td>
<td>• Work with Development Office</td>
</tr>
<tr>
<td>• Must be routed through OSR</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)
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
Sponsored Research:
Who we are and what we do
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 non-financial post-award services
- Assistance with the interpretation of regulatory requirements and policy
- Development and distribution of sponsored research training and resources
Services

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

- **Endorsement** of Institutional proposals and resulting awards
- **Negotiation** and acceptance of awards
- **Award establishment**
- **Subcontracts 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
Transactional Volume FY 2019*

302 Proposals Submitted per month

256 Awards Received per month

366 Contracts Executed per month

*as of 07/31/19
Sponsored Research
Organization Chart
Roles & Responsibilities: Grants Team

**Grants Officers**
- Pre-award services
- Award review and negotiation
- Post-award non-financial management
- Liaison with sponsors and funding agencies on behalf of faculty and administrators

**Grants Assistants**
- Pre- and post-award support services to Grants Officers
- Award set-up
- Liaison with Accounting Services for Research and Sponsored Programs (ASRSP), research administrators, and other departmental administrators

Review budgets for accuracy and compliance with NU and sponsor requirements

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

Contracts Officers

- Draft, review, and negotiate agreements and contracts
- Ensure compliance with sponsor & University policies and processes

Research Analyst / Coordinators of Administration and Grants

- Provide administrative support for industry-sponsored clinical trial budgets
- Process support Contract Officers with related agreements
- Review and maintain proposal and award data in InfoEd

Ensure compliance with sponsor and University processes

Find out more: https://osr.northwestern.edu/agreements
## Roles & Responsibilities: Info Team

### Systems and Data
- Provide functional assistance for InfoEd
- Analyze and report research data
- Ensure data integrity for proposal and award activity
- Maintain institutional ERA accounts and assist individuals with external ERA systems *(e.g. eRA Commons, Fast Lane)*

### Communications & Training
- Manage sponsored research website and listservs
- Provide a centralized help resources
- Create and deliver sponsored research learning resources
- Collaborate with research offices and university partners to develop resources and implement electronic projects
## Our Collaborators

| Accounting Services for Research and Sponsored Programs (ASRSP) |
| Center for Clinical Research (CCR) |
| Conflict of Interest at Northwestern University (NUCOI) |
| Innovation and New Ventures Office (INVO) |
| Institutional Animal Care and Use Committee (IACUC) |
| Institutional Review Board (IRB) |
| Export Controls Compliance |
| Foundation Relations |
| Office of General Counsel (OGC) |
| Risk Management |

*not an exhaustive list, examples of common engagements*
Tips & Resources
Tips for engaging with us

• Know who your GO / GA / CO are and develop a good working relationship
  – Use the “Find my Grants/Contracts Officer” list on the “Contact” page of the OSR website

• Be proactive
  – Read documents (e.g. sponsor terms and conditions, award documents) ASAP
  – Stay current on issues (e.g. policy changes) that could affect projects you work on
  – Reach out in advance for help
Resources & Training

- **OSR Website:** [https://osr.northwestern.edu](https://osr.northwestern.edu)
  - Job aids
  - Contact info
  - Presentation archive
- **Sponsored Project Online Training (SPOT)**
  - Mini courses
  - Micro-learning modules
- **In-person offerings**
  - In-person courses
  - OSR monthly meetings
  - Ad hoc brown bag sessions
- **OSR Listserv**
## Contact Us

### Visit our website:
http://osr.northwestern.edu

### Subscribe to our Listserv:
https://osr.northwestern.edu/contact/listserv

<table>
<thead>
<tr>
<th>SPONSORED RESEARCH EVANSTON OFFICE</th>
<th>SPONSORED RESEARCH CHICAGO OFFICE</th>
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</thead>
<tbody>
<tr>
<td>1801 Maple Street</td>
<td>750 N. Lake Shore Dr., 7th Floor</td>
</tr>
<tr>
<td>2nd Floor, Suite 2410</td>
<td>Rubloff Building</td>
</tr>
<tr>
<td>Evanston, IL 60201-3149</td>
<td>Chicago, IL 60611-4579</td>
</tr>
<tr>
<td>Phone: (847) 491-3003</td>
<td>Phone: (312) 503-7955</td>
</tr>
<tr>
<td>Fax: (847) 491-4800</td>
<td>Fax: (312) 503-2234</td>
</tr>
<tr>
<td>Email: <a href="mailto:OSR-Evanston@northwestern.edu">OSR-Evanston@northwestern.edu</a></td>
<td>Email: <a href="mailto:OSR-Chicago@northwestern.edu">OSR-Chicago@northwestern.edu</a></td>
</tr>
<tr>
<td>Hours: 8:30am - 5:00pm</td>
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Find Sponsored Research Evanston Staff

Find Sponsored Research Chicago Staff
Questions