Office for Research: An Overview

Michelle Stalilonis
Senior Compliance Specialist
Office for Research Integrity
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
Research Administration Roles

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

- Principal Investigator
- School / Department / Lab
- Central Offices
- Departmental and school-level administrators, co-investigators, students, postdoctoral researchers, and technical research personnel
- For example:
  - Financial Operations
  - Office for Research Integrity
Roles of PI, Chair, Unit Administrator

**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, 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 Administrator**
- 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 contracts
- Communicates with PI to complete effort commitment profile and monitor effort commitments
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

University Policies and Procedures

Sponsor-Specific Policies
NIH and NSF further define expectations

Federal Policies
Uniform Guidance sets requirements for effort reporting
Office for Research Overview
Vice President for Research

- Oversees Office for Research and University research operations
- Fosters new research initiatives
- Oversees partnerships with industry, government, and other institutions
- Represents University at national committees and labs
- Nominates limited submission candidates (funding opportunities where the number of applications Northwestern can submit is limited by the sponsor)

Associate Vice President for Research (8 AVPs)

- Works with VP for Research to guide research strategy and OR’s customer service
- Oversees OR compliance and operational units, Research Centers, and Core Facilities
- Represents OR on University committees
OR Offices

Office for Research Integrity

• Promotes research integrity and the responsible conduct of research
• Serves as a confidential source for reporting research-related concerns
• Facilitates review of alleged research misconduct
• Helps researchers navigate complex research compliance and administrative arenas
• Creates and facilitates training seminars
• Monitors compliance with NSF RCR training requirements
OR Offices

Office for Sponsored Research

- Identifies funding sources
- Assists in proposal development
- Reviews and endorses proposals
- Accepts and appropriates awards
- Promotes compliance with agency and University policies
- Provides training for sponsored research administration

Office of Research Development

- Identifies funding opportunities
- Supports research administration for large or complex grants
- Assists with grant proposal development
- Provides grantsmanship training
- Assists with institutional commitments and cost-sharing for proposals
- Assists in establishing external partnerships
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 the welfare of animal subjects
- Ensures compliance with 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 in research
- Oversees the humane care and use of animals
- Houses research animals, maintains support space and services
- Provides training in the care and use of animals

The IRB Office, IACUC Office, and CCM support human and animal subject research.
OR Offices

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

Core Facilities Administration

- Core facilities are recharge centers, operating under a fee-for-service model
- Provides financial support, administrative oversight, professional development, assessment, and communication of resources such as:
  - Electron and confocal microscopes
  - Mass spectroscopy facilities
  - Functional MRI facilities
OR Offices

Conflict of Interest Office

• Oversees and implements faculty and staff conflict of interest policies
• Ensures compliance with 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

Office for Export Controls Compliance

• Oversees a centralized resource ensuring compliance with export control regulations
• Maintains records demonstrating steps taken to comply with the regulations
• Conducts restricted party screenings
• Provides education and outreach
Innovation and New Ventures Office (INVO)

- Entry 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 workspaces
  - Mentorship and training programs

Northwestern Scholars

- Searchable database of research expertise across all disciplines: scholars.northwestern.edu
- Explore profiles and research output of 4,450+ faculty, and learn about 50+ core research facilities
- 200,000+ publications (updated weekly)
- Includes grants from InfoEd, Lurie Children's Hospital, and the Shirley Ryan AbilityLab
- View collaboration networks among researchers
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
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
- Office for Research
- School-based Research Centers
- University Research Centers

- 52 university research centers
- The University Research Institute and Center Administration (URICA) office facilitates the planning and deployment of strategic resources coordination.

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