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.
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
The Sponsored Project Life Cycle

- Identify Funding Opportunities
- Proposal Development & Submission
- Award Negotiation & Acceptance
- Award Set-Up
- Award Management
- Award Closeout
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
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>
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</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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</table>
Sponsored Research
Transactional Volume FY 2019*

303 Proposals submitted per month
($3.5 billion)

274 Awards received per month
($798.3 million)

372 Contracts executed per month

*as of 08/31/19
Sponsored Research Organization Chart
# Roles & Responsibilities: Grants Team

<table>
<thead>
<tr>
<th>Grants Officers</th>
<th>Grants Assistants</th>
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<tbody>
<tr>
<td>• Pre-award services</td>
<td>• Pre- and post-award support services to Grants Officers</td>
</tr>
<tr>
<td>• Award review and negotiation</td>
<td>• Award set-up</td>
</tr>
<tr>
<td>• Post-award non-financial management</td>
<td>• Liaison with Accounting Services for Research and Sponsored Programs (ASRSP), research administrators, and other departmental administrators</td>
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<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/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](https://osr.northwestern.edu/agreements)
### 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

<table>
<thead>
<tr>
<th>Accounting Services for Research and Sponsored Programs (ASRSP)</th>
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<tbody>
<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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<tr>
<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>
</tr>
</tbody>
</table>

*not an exhaustive list, examples of common engagements*
Tips & Resources
## Grants vs. Gifts

<table>
<thead>
<tr>
<th>Grants</th>
<th>Gifts</th>
</tr>
</thead>
<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>
</tr>
<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>
</tr>
<tr>
<td>• Subject to University policy</td>
<td></td>
</tr>
</tbody>
</table>
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](http://osr.northwestern.edu)

**Subscribe to our Listserv:**  
[https://osr.northwestern.edu/contact/listserv](https://osr.northwestern.edu/contact/listserv)

## SPONSORED RESEARCH EVANSTON OFFICE

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  Evanston, IL 60201-3149
- **Phone:** (847) 491-3003  
  **Fax:** (847) 491-4800
- **Email:** OSR-Evanston@northwestern.edu  
  **Hours:** 8:30am - 5:00pm

**Find Sponsored Research Evanston Staff**

## SPONSORED RESEARCH CHICAGO OFFICE

- **Address:** 750 N. Lake Shore Dr., 7th Floor  
  Rubloff Building  
  Chicago, IL 60611-4579
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  **Fax:** (312) 503-2234
- **Email:** OSR-Chicago@northwestern.edu  
  **Hours:** 8:30am - 5:00pm

**Find Sponsored Research Chicago Staff**
Questions