OSR Info Team

OSR-Evanston Quarterly Network
Friday, June 20, 2014

Kim Griffin, Director
Electronic Research Administration
OSR – Info Team

The Info Team’s responsibilities fall into four broad areas:

• InfoEd Help Desk
• Data stewards – pre-award data
• ERA system coordination
• OSR Communications and Website (http://www.research.northwestern.edu/osr/)
InfoEd Help Desk

- **Lead:** Sara Krentz, Business Analyst Associate
  - Support: Ann Jaworski, Coordinator of Research Programs

- **Ongoing Activities:**
  - Provide functional subject matter expertise to InfoEd proposal development (PD) users
  - Approve and assign security roles in InfoEd
  - Work closely with NUIT FFRA grants team to support, enhance and resolve issues with the InfoEd system
  - Work closely with ASRSP (Accounting Services for Research and Sponsored Programs) to bridge pre- and post-award system processes
InfoEd Help Desk

• **Current initiatives:**
  – InfoEd enhancements
    • New proposal status to track supplement/continuation submission
    • New award status to improve processing of anticipated out years
    • Enhanced tracking of contracts and MTAs
  – Compliance systems integration
    • Initially PI’s will have the ability in PD to link a proposal with a protocol, if one already exists, via a new linking page
    • Once a proposal is submitted, COI and CCM staff will enter linkages at JIT
    • In the future (timeline TBD), eIRB and eIACUC systems will leverage the linked data
InfoEd Help Desk

• **Upcoming initiatives:**
  – Possible upgrade to next InfoEd version (under review)
  – Determine future of final route
  – Design and implement document upload integration with OnBase (pending funding approval)
  – Request redesign of InfoEd stars for Cognos
  – Research Admin IT Advisory group
    • Forum for strategic discussion and recommended prioritization of research system initiatives
      – Cuts across financial and compliance systems
    • Mechanism for tactical prioritization of enhancements is being developed
Research Administration
IT Advisory Committee Members

Co-Chairs
Ellen Feldman, Kim Griffin

School/Center Reps
Eric Betzold
Jennifer Felten
Jeanne Hughes
Jane Rankin
Beth Seaton
Jeffrey Weiss
Reid Wellensiek

Ex Officio
FFRA team in NUIT
Dan Volocyk, ORIS

Central Administrative Offices
Michael Blayney
Julia Campbell
Melody Delfosse
Lisa Forman
Heather Gipson
Sue Kallay
David Lynch
Janet Maher
Kelly Morrison
Michelle Stalinoni
Jane Roy-Singh
Jennifer Wei
Data Stewards – Pre-Award Data

• Lead: Sara Krentz, Business Systems Analyst
  – Support: Ann Jaworski, Coordinator of Research Programs; Michael Green, Information Management Specialist

• Ongoing Activities:
  – Ensure the quality and integrity of data in the university’s pre-award system of record, InfoEd
  – Aggregate and analyze proposal and award data, and share results with OSR leadership and the research community
Data Stewards – Pre-Award Data

– Provide technical assistance to OSR leadership in development of standard operating procedures, particularly those related to system data

– Serve as the gatekeeper of the award process
  • logging awards in InfoEd
  • distributing notices to cognizant staff
  • conducting QA of award data entry
  • interfacing award data to NUFinancials

– Distribute monthly and annual reports to OSR leadership, central administration and the research community

– Participate in Faculty Information Systems Committee and ORCID working group
Data Stewards – Pre-Award Data

• Current Initiatives:
  – Developing exception reports to monitor data quality and identify training and process alignment needs (along with correcting data anomalies identified)
  – Re-engineering existing reporting mechanisms
    • Acquired Tableau for improved visualization and interactivity
    • Developed internal dashboard of contract execution metrics
  – Provide routine reports internally and externally
Data Stewards – Pre-Award Data

• Upcoming activities:
  – Streamline reporting to move away from Excel macros and Access databases and leverage Cognos and Tableau
  – Update format and distribution list for monthly reporting
    • Gather input from schools and others in research community
  – Explore forming a group of InfoEd ad hoc users to foster increased self-service ad hoc reporting expertise
  – Explore avenues for joining in NUIT’s Service-Oriented Architecture initiative
ERA system coordination

• Lead: TBD, Project Administrator
  – Support: Michael Green, Information Management Specialist

• Ongoing Activities:
  – Set up new sponsors and subcontractors in InfoEd, and new user accounts in various ERA systems
  – Work with FFRA to maintain and enhance the sponsor request portlet
  – Work with ORIS developers to maintain ESPR post-award document routing system
ERA system coordination

- Maintain institutional login IDs, passwords and system roles for ERA systems, most significantly Commons and Fastlane

• Current initiatives:
  - ESPR 2.0
    • Reviewing enhancement requests to ESPR
    • Later this summer will form working groups with school participation to finalize requirements
    • Targeting rollout before end of calendar 2014
ERA system coordination

• Upcoming initiatives:
  – Attend Big 10 ERA meeting in Chicago and participate actively in the group
  – Attend quarterly FDP meetings beginning September 2014 and become active in ERA community nationally
OSR Communications and Website

• Lead: TBD, Project Administrator
  – Support: Michael Green, Information Management Specialist

• Ongoing activities:
  – Publish routine updates to the OSR website
  – Distribute announcements to the research community via the list serve at request of OSR leadership
  – Maintain membership in list serves
OSR Communications and Website

- Upcoming initiatives:
  - Re-launch OSR website redesign project
  - Compile inventory of all list serves and purpose/audience for each
  - Develop a communications plan for OSR
    - Investigate additional communications channels with research community (standing meetings, social media, etc)
Looking forward to working with you!

• Extremely interested in input/feedback across all of the Info Team’s areas:
  – InfoEd
  – ESPR
  – Sponsored projects data and Cognos/Info Ed ad hoc
  – OSR Communications and Website

• You can reach me at...
  – 7-1145
  – kimberly.griffin@northwestern.edu

Thank you!
ESPR
For Pre-spending and Subcontracts

OSR-Evanston Quarterly Network
Friday, June 20th

Kim Griffin, Director
Electronic Research Administration

NORTHWESTERN UNIVERSITY
Beginning July 1, the following request types will need to be submitted online via the ESPR system:

- Pre-spending requests
- New outgoing subcontract requests
- Outgoing subcontract amendment requests
ESPR

• Expecting an influx of pre-spending requests related to the NIH Payment Management System transition
• In anticipation of guidance in the Omni Circular related to subrecipient monitoring
• Need to measure workload to identify resource gaps and improve processes – can’t measure email!
ESPR

https://www.espr.northwestern.edu/

Electronic Sponsored Projects Request (ESPR)

Office for Sponsored Research
Web system for Proposal Modification Request electronic submission & routing

Welcome to Electronic Sponsored Projects Request (ESPR) System
The ESPR application is designed to make completion of post-submission and post-award requests easier, and also to allow electronic routing of the request throughout the University.

ESPR System User Guide

Login
University NetID: [input field]
NU-NetID-Based Password: [input field]
Login

Off campus? Connect to VPN first:
http://www.it.northwestern.edu/oncampus/vpn/
ESPR

The home screen...
ESPR – Create Request

• Click Create Request on the top menu bar to initiate a new request
ESPR – Create Request

For pre-spending, in the sub type select either Original Award or Continuation Year
ESPR – Create Request

For Subcontract, select the relevant subtype (new, change, continuation)
ESPR – Create Request

Type in the InfoEd Proposal #, click the button, and text auto-populates; then click ‘Create Request’
# Request: Prespending Modification: Original Award

<table>
<thead>
<tr>
<th>Tracking #</th>
<th>39</th>
</tr>
</thead>
<tbody>
<tr>
<td>Institution #</td>
<td>KIM-001</td>
</tr>
<tr>
<td>Principal investigator:</td>
<td>Kimberly Griffin</td>
</tr>
<tr>
<td>Proposal title:</td>
<td>tnt346 - EPA-OITA-2011-005</td>
</tr>
<tr>
<td>Request type:</td>
<td>Prespending: Original Award</td>
</tr>
<tr>
<td>Request Created by:</td>
<td>Kimberly Griffin</td>
</tr>
<tr>
<td>Has an award been received?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Are human or animal subjects involved?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Project dates:</td>
<td>_____ to _____ (MM/DD/YYYY)</td>
</tr>
<tr>
<td>Prespend dates:</td>
<td>_____ to _____ (MM/DD/YYYY)</td>
</tr>
<tr>
<td>Guarantee chartstring:</td>
<td>_____ (Fund-Dept-Project)</td>
</tr>
<tr>
<td>Dollar limit:</td>
<td>_____</td>
</tr>
<tr>
<td>Will there be multiple projects (chartstrings)?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Budget categories (e.g. 60011, 76765...)</td>
<td>_____</td>
</tr>
<tr>
<td>Is this project sponsored by NIH?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Are the FCOI disclosures up to date?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Additional info for OSR (optional):</td>
<td>_____</td>
</tr>
<tr>
<td>Upload additional info for OSR (optional):</td>
<td>1000 characters remaining out of the max limit of 1000 characters</td>
</tr>
</tbody>
</table>

Save Details  Save & Submit for Routing  Cancel & Back to Menu
## ESPR – Pre-spending - Continuation

### Request: Pre-spending Modification: Continuation Year

<table>
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<tr>
<th>Tracking #</th>
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</tr>
</thead>
<tbody>
<tr>
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</tr>
<tr>
<td>Proposal title:</td>
<td>tht346 - EPA-OITA-2011-005</td>
</tr>
<tr>
<td>Request type:</td>
<td>Pre-spending: Continuation Year</td>
</tr>
<tr>
<td>Request Created by:</td>
<td>Kimberly Griffin</td>
</tr>
</tbody>
</table>

#### Project chartstring:

- [ ] Yes
- [ ] No

#### Project dates:

| ___________ | ___________ | (MM/DD/YYYY) |

#### Pre-spend dates:

| ___________ | ___________ | (MM/DD/YYYY) |

#### Guarantee chartstring:

- [ ] Yes
- [ ] No

#### Upload budget statement:

- [ ] Upload Budget Statement

#### Are the FCOI disclosures up to date?

- [ ] Yes
- [ ] No

#### Additional info for OSR (optional):

1000 characters remaining out of the max limit of 1000 characters.

#### Upload additional info for OSR (optional):

- [ ] Upload additional info for OSR
## ESPR – New Subcontract

### Request: Subcontract Modification: Request to Issue New Subaward

<table>
<thead>
<tr>
<th>Tracking #</th>
<th>35</th>
</tr>
</thead>
<tbody>
<tr>
<td>Institution</td>
<td>KIM-001</td>
</tr>
<tr>
<td>Principal investigator</td>
<td>Kimberly Griffin</td>
</tr>
<tr>
<td>Proposal title</td>
<td>Thr346 - EPA/OIA-2011-006</td>
</tr>
<tr>
<td>Request type</td>
<td>Subcontract: Request to Issue New Subaward</td>
</tr>
<tr>
<td>Request Created by</td>
<td>Kimberly Griffin</td>
</tr>
<tr>
<td>Subaward organization name</td>
<td></td>
</tr>
<tr>
<td>Subaward PI name</td>
<td></td>
</tr>
<tr>
<td>Contact person name</td>
<td></td>
</tr>
<tr>
<td>Contact person e-mail</td>
<td></td>
</tr>
<tr>
<td>Contact person phone number</td>
<td>(000-000-0000)</td>
</tr>
<tr>
<td>Was this subaward approved by the sponsor?</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Anticipated subaward project period</td>
<td>11/16 - 11/18 (MM/DD/YYYY)</td>
</tr>
<tr>
<td>Anticipated subaward budget period</td>
<td>11/18 - 11/20 (MM/DD/YYYY)</td>
</tr>
<tr>
<td>Chartering</td>
<td>Fund-Dept-Project</td>
</tr>
<tr>
<td>Amount of subcontract</td>
<td></td>
</tr>
<tr>
<td>Are special reporting requirements desired?</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Upload statement of work</td>
<td>Upload Statement of Work</td>
</tr>
</tbody>
</table>

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### Additional Information

- **Has the budget changed from proposed by more than 19%?**
  - Yes/No

- **Subaward cost share amount:**
  - [Input Field]

- **Can the subawardee automatically carry forward the budget?**
  - Yes/No

- **Are there any rebudgeting restrictions?**
  - Yes/No

- **Upload budget justification:**
  - [Upload Button]

- **Upload approved budget:**
  - [Upload Button]

- **Human subjects involved?**
  - Yes/No

- **Animal subjects involved?**
  - Yes/No

- **Does the subawardee have a PHS compliant FCOI policy?**
  - Yes/No

- **Please list any specific terms or conditions you would like included in the subcontract.**
  - [Text Box] 2000 characters remaining out of the max limit of 2000 characters.

- **Additional info for OSR (optional):**
  - [Text Box] 1000 characters remaining out of the max limit of 1000 characters.

- **Upload additional info for OSR (optional):**
  - [Upload Button]

---

**Save Details**  **Save & Submit for Routing**  **Cancel & Back to Menu**
**ESPR – Change Subcontract**

<table>
<thead>
<tr>
<th><strong>Request: Subcontract Modification: Change Existing Subaward</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tracking #</strong></td>
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<tr>
<td><strong>Request type:</strong></td>
</tr>
<tr>
<td><strong>Request Created by:</strong></td>
</tr>
<tr>
<td><strong>Subaward organization name:</strong></td>
</tr>
<tr>
<td><strong>Change subaward PI?</strong></td>
</tr>
<tr>
<td><strong>Carry forward approval?</strong></td>
</tr>
<tr>
<td><strong>No-cost extension?</strong></td>
</tr>
<tr>
<td><strong>Increase or reduce subcontract funding?</strong></td>
</tr>
<tr>
<td><strong>Other changes?</strong></td>
</tr>
<tr>
<td><strong>Additional info for OSR (optional):</strong></td>
</tr>
<tr>
<td><strong>Upload additional info for OSR (optional):</strong></td>
</tr>
</tbody>
</table>
### Request: Subcontract Modification: Continuation Subaward

<table>
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<th>Details</th>
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</tr>
<tr>
<td>Request type</td>
<td>Subcontract: Continuation Subaward</td>
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<tr>
<td>Request Created by</td>
<td>Kimberly Griffin</td>
</tr>
<tr>
<td>Subaward organization name</td>
<td></td>
</tr>
<tr>
<td>Modify period of performance?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Add funding?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Modify statement of work?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Modify budget justification?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Human subjects involved?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Animal subjects involved?</td>
<td>Yes  No</td>
</tr>
<tr>
<td>Are there any other terms or conditions which you would like added to the subaward amendment?</td>
<td>2000 characters remaining out of the max limit of 2000 characters.</td>
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<tr>
<td>Additional info for OSR (optional):</td>
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</tr>
<tr>
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<td>Upload additional info for OSR</td>
</tr>
</tbody>
</table>
ESPR – Save/Submit

- Press **Save Details** to access this proposal from the My Requests screen at a later time in order to edit or route it.
- Press **Save & Submit for Routing** to route the request to the PI and approvers.
- (**Cancel & Back to Menu** doesn’t save, and takes you...back to the main menu)
Review the request, and select the appropriate approval (either Yes approved or Send back to the PI with comments)
ESPR - View

• The view option displays a three-part screen:
  • The route map
  • Approvals received so far
  • An email log
## ESPR - Status

### Requests Requiring My Approval

<table>
<thead>
<tr>
<th>Sign</th>
<th>View</th>
<th>Status</th>
<th>Tracking#</th>
<th>Institution#</th>
<th>Request Type</th>
<th>Principal Investigator</th>
<th>Award Department</th>
<th>Approver/ Division/ Department/ School</th>
<th>Routing Started On</th>
</tr>
</thead>
<tbody>
<tr>
<td>419</td>
<td></td>
<td>Needs PI Signature</td>
<td>BRENDA-001</td>
<td>Prespending: Original Award</td>
<td>Bryant, Brenda L</td>
<td>English</td>
<td>Office for Sponsored Research (GCO &amp; DA)</td>
<td>03/20/2013 2:30 PM</td>
<td></td>
</tr>
</tbody>
</table>

- **Needs PI Signature**
- **Has PI signature; needs other approvals**
- **Has all required approvals**
ESPR – Questions?

• For additional technical assistance using ESPR, email the OSR Info Team:
  • Kim Griffin, kimberly.griffin@northwestern.edu
  • Sara Krentz, s-krentz@northwestern.edu