OSR Monthly Meeting

September 18, 2018 (Evanston)
September 20, 2018 (Chicago)
AGENDA

• Fixed Price Deferred Revenue Contracts
• ESPR Replacement Initiative
• OSR Announcements
New Fixed-Price Contract Type: Fixed Price Deferred Revenue
New 9/1/18: Fixed Price Deferred Revenue

- Previously just one Fixed Price type in NUFinancials
- Now, in addition to the “old” Fixed Price type, there is a new Fixed Price Deferred Revenue type
- Both Fixed Price types are distinct from Cost Reimbursable award types
  - Cost Reimbursable: Reimbursement for expenses
  - Fixed Price: Payment for deliverables
- The new second Fixed Price type allows for greater distinction to be made in university accounting of revenue
- Implementation is responsive to updated guidelines from the Financial Accounting Standards Board (FASB)
Effect on university business processes

- Almost entirely in central accounting offices
- Little effect for departments managing sponsored research projects
- A new entry type on Cognos reports such as the GM045
- Product type “FIXED_PRICE_DEF”, Contract type “FIXED_DEF”
- “DEF” refers to “Deferred Revenue”
Cognos reports displaying Product and Contract types

- GM045 – Sponsored Project Budget Statement
- GM086 – Project Balances Report
- GM023 – Multi-Project Summary Report
- FIXED_PRICE_DEF joins existing possible Product types
- FIXED_DEF joins existing possible Contract Types

<table>
<thead>
<tr>
<th>GM086: Projects Balances Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>For Fiscal Year 2019</td>
</tr>
<tr>
<td>As of Accounting Period 1 - September 2018 (Open)</td>
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</table>

<table>
<thead>
<tr>
<th>PAIN</th>
<th>Award Title</th>
<th>CFDA #</th>
<th>CEQA Attribute</th>
<th>Activity Processing Status</th>
<th>Project Status</th>
<th>Contract Status</th>
<th>Contract Type</th>
<th>Budget (A)</th>
<th>Expense (E)</th>
<th>Encumbrance/Requisition (C)</th>
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<tbody>
<tr>
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<td>FIXED_DEF</td>
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<td>37.061</td>
<td>A</td>
<td>Open</td>
<td>ACTIVE</td>
<td>FP</td>
<td>$12,554.00</td>
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<td>3X Available</td>
<td>Development of a Real-Time Dec</td>
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OK… but why?
• In accounting “revenue” basically means “earning” rather than “cash”

• For Cost Reimbursable awards revenue is driven by expenses
  – Includes Invoiced (INV), Letter of Credit (LOC), and Scheduled payment (SCH)

• For the “old” Fixed Price type billing drives revenue
  – Product type “FIXED_PRICE” and Contract type “FP”

• All pre-9/1/18 Fixed Price awards continue to function that way

• Starting 9/1/18 only new “capitation” awards (“per head” clinical trials) will be set-up with the “old” type Fixed Price product where billing drives revenue
• Fixed Price Deferred Revenue allows for a separate schedule for billing and revenue

• **An example:**
  – A one-year $100,000 Fixed Price Deferred Revenue award paid “up front” can have $100,000 in billing on day one and apply the payment.
  – The revenue can be scheduled out to match the expected completion date of milestones, or for rateable recognition over the project period: 25% after 3 months, 6 months, 9 months, and 12.

• **This provides Account Services (and the Board of Trustees) a more accurate picture of what the university has “earned” via research projects within a fiscal period.**
Thank you!

Questions?

Jarrod Routh
ASRSP Info Team
j-routh@northwestern.edu
(847) 491-3706
ESPR Replacement Initiative
Overview

• Replace ESPR (with InfoEd)
• Update/modernize forms
• 2 approaches: non-funded agreements vs everything else
• Timeline
Non-Funded Agreements

• Also known as unfunded agreements: no funding involved in these

• 3 main agreement types
  – Confidential Disclosure Agreement (CDA)/Non-Disclosure Agreement (NDA)
  – Material Transfer Agreement (MTA)
  – Data Use Agreement (DUA)

• Current situation:
  – Multiple intake methods
  – OSR re-enters data in InfoEd Proposal Tracking
Non-Funded Agreements

• New process:
  – Single intake method
  – Data entered once (by department, in InfoEd)
  – OSR will still track agreement negotiations

• Record will be created in Proposal Development
  – Same as for funded agreements
  – Only 1 tab: agreement intake form
  – Routing will go directly to OSR
Non-Funded Agreements

- Setup Questions page:
Non-Funded Agreements

• Routing and Workflow
  – Direct to OSR – make sure form is complete before routing!
Non-Funded Agreements

• Reporting/Monitoring
  – Once in process, negotiation updates entered in InfoEd
  – Department view access to Proposal Tracking agreement pages
  – Agreement information available on GM055
What is a “change request”? 

- All pre-award and post-award modifications that are NOT non-funded agreements, namely budget, personnel, and subcontract-related changes
Change Requests

Northwestern

PRESPENDING REQUEST

Project Information

Tracking #: CR-00287

* Linked Proposal

* Sponsor Award #: 

* Award Department: 

* Request Creator: Krentz, Sara L
Change Requests

• Business Process Review
  – What do we need?
  – What’s confusing?
  – What’s duplicative?
Change Requests

• Reformatted forms!
Change Requests

• New forms!
  – F&A Waiver
  – PI Eligibility
  – Cost Sharing (coming soon….)
Change Requests

• Routing
  – Most request types will be PI only
  – More risky requests will go to departments/schools
    • Ex: prespending
  – Ability to set separate approvers for CR vs regular proposals
  – Form must be complete before routing
Change Requests

• Workflow
Change Requests

• Workflow: subcontracts
Change Requests

• Reporting/Tracking
  – Ability to generate reports!
    • Items submitted
    • Items in progress
    • Exact details TBD
Training Offerings

• Resources for both Non-Funded Agreements and Change Requests
• Webinars (dates TBD)
• System Job Aids
• Business Process Job Aids
Timeline and Transition

• User Acceptance Testing
• Rollout
• ESPRs in progress
Questions?

Sara Krentz
Assistant Director,
Sponsored Research Systems & Data
s-krentz@northwestern.edu
OSR Announcements
Staff/Office Updates

• Current office structure
  – Associate Directors for each team will continue in their roles
  – No significant changes in daily operations
  – All business process initiatives will continue

• Staff changes
  – Andrea Zakrzewski should be used for Authorized Official until further notice
  – NIH Loan Repayment Program (LRP) contacts are Pam Hawkins and Andrea Zakrzewski
    • Northwestern LRP Process: https://osr.northwestern.edu/policies/LRP
Staffing and Contacts

• Staff shortages
  – Currently down five (5) Grants Officers, four (4) Grants Assistants, and one (1) Contracts Officer
  – Please have patience while we provide coverage for and work to fill open positions

• Contacts
  – Use the “Find My Grants/Contracts Officer” list on the [OSR website Contact page](#) to locate the GO/CO for your unit (List is regularly updated to match InfoEd settings)
Thank you for joining us!

Find monthly meeting presentations on the OSR website at: https://osr.northwestern.edu/training/presentations