OSR Monthly Meeting

October 23, 2018 (Evanston)
October 25, 2018 (Chicago)
AGENDA

• Restricted Foundations
• ESPR Replacement Update
  • Non-Funded Agreements
• Administrative Proposal Review
OSR Announcements

- NURAP CRA study groups: January 2019
- Staffing update
- Contracts & Grants Officers (CGO) constituency updates
Restricted Foundations
Foundation Relations

• The Office of Foundation Relations (OFR) focuses on identifying and securing private foundation support and connecting faculty with private foundations

• Valuable resource to faculty and staff and can assist in many ways when working with foundations, including:
  • Identifying sponsors and funding opportunities
  • Proposal development/writing
  • Advising on communication with foundations

• Office of Foundation Relations website:
  • https://www.northwestern.edu/foundationrelations/
Restricted Foundations

• What are Restricted Foundations?
  • Specific foundations for which Foundation Relations requires notification before the foundations may be contacted
  • The foundations may have limits on the number of applications they will accept, particular donor preferences, or other special circumstances
  • Restricted Foundation List: https://www.northwestern.edu/foundationrelations/grant-writing-guide/restricted-foundations/

• Engaging with a restricted foundation
  • Always contact Foundation Relations prior to initiating any communication with a foundation on the restricted foundation list
  • In order to effectively manage the University’s relationships with restricted foundations, Foundation Relations must be made aware of possible outreach to these organizations
ESPR Replacement Update: Non-Funded Agreements
Non-Funded Agreements

• Also known as unfunded agreements
• No funding involved in these three (3) main agreement types
  – Confidential Disclosure Agreement (CDA) / Non-Disclosure Agreement (NDA)
  – Material Transfer Agreement (MTA)
  – Data Use Agreement (DUA)
Request Process

Current Situation

• Multiple intake methods (e.g. ESPR, email)
• OSR re-enters data in InfoEd Proposal Tracking

New Process

• Single intake method (InfoEd)
• Data entered once (by department in InfoEd)
• OSR will still track agreement negotiations
Request Creation & Workflow

• Record is created in Proposal Development
  – Same as for funded agreements
  – Only one tab: Agreement intake form
  – InfoEd security is the same for all kinds of PD records (so we cannot set up access only for non-funded agreements)

• Request routes directly to OSR
  – Make sure form is complete before routing!

• Workflow:
  Received by OSR → Negotiation in Process → Non-Funded Negotiations Complete
Confidentiality Disclosure Agreement

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REQUEST INFORMATION

Demographic Information
Institution # SP004899

Is this related to a specific proposal or award? If so please identify it here:

PI/PIE: Sara L.
Title: CDH with AbbVie for Proposed Study
Originating Sponsor: AbbVie Inc.

* Award Department: OSIR Administration
Request Creator:

Company Business Contact

* Company Business Contact Name:
* Company Business Contact Title:
* Company Business Contact Email:
* Company Business Contact Phone:

Party Involvement

* Who will be disclosing confidential information:

Updated By: Sara L. Knecht @ 17 Sep 2019 01:10:17 AM

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Reporting / Monitoring

• Once in process negotiation updates are entered in InfoEd
• Department view access to Proposal Tracking agreement pages
• Agreement information available on GM055 (as of day before)
• Real-time report of agreements in process will also be available in InfoEd
• Historical reports on activity will be developed in phase 2
Timing

• October 26
  • Non-funded agreements in InfoEd roll out

• The next set of ESPR replacements will take place after Thanksgiving (estimate)
  • Request for subcontracts
  • Non-financial post-award requests
Administrative Proposal Review

• Reason for the change to proposal review
  – In the current climate we need to implement strategies and tools that will best serve the faculty when reviewing and submitting proposals.

• Highlights:
  – Streamlined routing
  – No more distinction between standard and comprehensive review
  – Admin shell no longer exists
  – Workflow bypass is for after the fact proposals only
  – OSR review will focus on areas of risk/compliance
  – New format for comments

Note: Administrative proposal review criteria specifically exclude corporate / pharmaceutical funding and RPPR submissions
Tips

• 5 day / 2 day guidance for review and submission
• Complicated proposal? Reach out to your GO early—we can help!
• OSR website updated and job aides available
Routing & Workflow: Send to OSR

Once the proposal is in Pre-Route Complete and you are ready for OSR to complete the administrative review:

- Update the action item to the **Under OSR Admin Review** status and click “I am done”. It will be sent to your GO / GA automatically.
- For industry clinical trials select **Under OSR Clinical Trial Admin Review**
Routing & Workflow: Admin Review

- After OSR completes its administrative review, the GO will update the status to **OSR Admin Review Complete** and the action item will be sent to the RA.
- When the PI has finalized the science and is ready for the proposal to be submitted, the RA sends it back to OSR by updating the status in the action item to **Ready for OSR Final Review**.
Routing & Workflow: Final Review

- Only if there are significant changes needed prior to submission, the GO will send back to the RA using **OSR Requests Final Revisions**
- Otherwise the GO will submit (for S2S) and change the status to **Ready for Closeout**
- The **Workflow Bypass** status will only be used for after-the-fact proposals
The Happy Path

- Goal is for vast majority of proposals to travel the “happy path”
- Send-backs during final review should be rare
- To see which proposals are with
  - OSR: Click on the numbers in green boxes
  - Department: Click on the numbers in blue boxes
Proposal Comments

• Standard use of action items for comments
  • OSR proposal review comments will be submitted via the action item
  • If more extensive comments are needed, a Word document will be attached to the action item
  • Comments will follow a general template
  • When returning the proposal to OSR for final review, number the responses to comments so they match up for easy reference

• Benefits
  • Improves back-up coverage
  • Facilitates accessing and reviewing comments in a central, shared location
### Proposal Comments: Examples

**Comments from GO to RA with optional Word doc attached:**

<table>
<thead>
<tr>
<th>Assigned Date</th>
<th>Assigned To</th>
<th>Duration</th>
<th>Instructions</th>
<th>Completed Date</th>
<th>Completed By</th>
</tr>
</thead>
</table>

**Comments**
- some comments 1) item 2) item 3) item

**Attachments**
- PROPOSAL REVIEW COMMENTS.docx

**Comments back to GO from RA with no attachment:**

<table>
<thead>
<tr>
<th>Assigned Date</th>
<th>Assigned To</th>
<th>Duration</th>
<th>Instructions</th>
<th>Completed Date</th>
<th>Completed By</th>
</tr>
</thead>
<tbody>
<tr>
<td>02-Oct-2018 3:45:40 PM</td>
<td>Sara Krentz L</td>
<td>0 days</td>
<td>OSR Admin Review Complete</td>
<td>02-Oct-2018 3:48:19 PM</td>
<td>Sara Krentz L</td>
</tr>
</tbody>
</table>

**Comments**
- all issues resolved, note 3) pi blah blah

**Attachments**
- No documents have been attached.
Accessing Proposal Comments

- To see the comments and workflow history, navigate to the “Status History” tab in PT.
- Individual action items include
  - Assignment history
  - Comments and attachments
  - Link to open the record in PT
Thank you for joining us!

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