OSR Monthly Meeting

December 4, 2018 (Evanston) & December 6, 2018 (Chicago)
AGENDA

• Announcements
• Cost Share
• Requesting New Sponsors and Subcontractors
• ESPR Replacement Initiative: Change Requests
OSR Announcements

Friday, December 14
12:00pm – 5:00pm
OSR Closed (Staff Holiday Party)

Thursday, December 20
2:00pm – 4:00pm
OSR & COI Open House
(Evanston Office)
Cost Share
Cost Sharing

• Reminder: 3 Types of Cost Sharing
• Cost Share Overview
• Budget Journals
• Cost Share Guidance Updates
3 Types of Cost Sharing

- Mandatory Cost Share (MCS)
- Voluntary Committed Cost Share (VCCS)
- Voluntary Uncommitted Cost Share (VUCS)
### Required Cost Share Fund Codes

<table>
<thead>
<tr>
<th>Type</th>
<th>Fund</th>
<th>Cost Share Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mandatory Cost Share</td>
<td>191</td>
<td>Required by sponsors as a matter of statute, regulation or policy, or is indicated in individual solicitations</td>
</tr>
<tr>
<td>Over the Cap Commitment</td>
<td>192</td>
<td>Difference between actual salary and sponsor imposed salary cap (e.g. NIH)</td>
</tr>
<tr>
<td>Voluntary Committed Cost Share</td>
<td>193</td>
<td>Not required by the sponsor as a condition of award but provided at the proposal stage at the discretion of the institution.</td>
</tr>
</tbody>
</table>

*Reminder: cost sharing must be tracked when provided for in the approved budget when required by the Federal awarding agency.*
**Cost Share Overview**

- Department sends draft OSR-EZ
- OSR-EZ is reviewed, finalized and requests are processed
- Proposal is submitted with cost share commitments
- Award is made, and cost share commitments setup, adjusted as necessary (if applicable)
- Budget journals run
- Cost share complete
Budget Journals

- Tracking cost-share internally on our calendars
- Avoiding last-minute situations and burdening units with multiple years of cost share at once
- Running budget journals within 5 business days of award setup
Budget Journals

• How to make the process quicker:
  – Include department IDs at proposal stage (e.g. in the cost share commitments package, Proposal Routing Form)
  – Double check your Project Account Summaries:
    • Is a 191/193 missing?
    • Was the correct chartstring opened?
    • Was the cost share funded as expected?
Cost Share Updates

• Voluntary Cost Share Requests:
  – Reduce the threshold from $10M → $5M for voluntary eligibility
  – If the request doesn’t meet the $5M threshold, a letter of approval from the Dean must be included
  – No cash cost share except for mandatory proposals
  – Reduce the threshold from a 15% → 10% limit of the budget coming and remaining at NU
  – The 10% threshold includes graduate student quarters

• Fellowships: graduate student fellowships come from school allotments

• InfoEd: Ongoing work to streamline the proposal process via InfoEd

• Reminder: NSF MRI proposals due 1/22/18
Questions?
Requesting New Sponsors and Subcontractors
To request or not to request…

• Select the exact entity – and only that entity – or “ZZZ” for sponsors (if order to get an SP# for a proposal)
  – Do NOT choose a different entity to serve as a temporary placeholder
  – Do NOT select something that is close but not an exact match because they could be different legal entities (e.g. U. of State – Smith Campus; U. of State – Jones Campus)

• Submit a request for a new entity
  – if you do not find an exact match
  – when in doubt
Request a New Entity

• Use the sponsor/subcontractor request form on the OSR website to request a sponsor or subcontractor not listed in InfoEd

• Access the form:
  – From the OSR website homepage: under “Proposal Development” > click on “Request a New Sponsor/Subcontractor”
  – Go to the form directly

• Complete the required fields as applicable and submit
  – Form sent to the Info Team central inbox
Request Processing

• **Processing Time**: Plan ahead & be patient – especially for subcontractors!
  – Requests are processed in the order they are received
  – Processing sponsor and subcontractor requests usually takes 2 - 10 business days, depending on how involved the screening and verification process is

• While you wait…
  – For a new **sponsor**, you should select the "ZZZ" sponsor as a placeholder. A proposal CAN be developed and submitted while the sponsor is still “ZZZ” in InfoEd
  
BUT…
  – For a new **subcontractor**, you must wait for the subcontractor profile to be set up before you can add the subcontractor and subcontract budget information to InfoEd
  – Need an SP# to request subcontractors, but even if you are not ready to enter the rest of the proposal, request new subs ASAP
Why?

• **Why can processing take up to 10 days?**
  – Adding a new entity is not just data entry; it’s a **compliance procedure**
  – Screening and verification of a new entity involves multiple offices: OSR and the Office for Export Controls

• **What can make processing take longer?**
  Most commonly though not an exclusively:
  – Foreign entity
  – Not much official / publicly available info on entity [Complete transparency is rare for non-university entities]
  – Entity is unresponsive/slow to respond

• **Why can I go forward with a proposal that has a “ZZZ” sponsor but I have to wait for a subcontractor profile to be set up? Why can’t I use a “ZZZ” subcontractor?**
  – Northwestern is accountable to the prime sponsor for its subcontractors
  – Before including an entity as a subcontractor on a proposal, must verify that the entity is a legitimate organization (“they are who they say they are”) and in good standing (e.g. NOT debarred/suspended)
Resources

• Sponsor/Subcontractor Request Form: [https://osr.northwestern.edu/content/sponsorsubform](https://osr.northwestern.edu/content/sponsorsubform)

• About New Sponsor/Subcontractor Requests: [https://osr.northwestern.edu/new-sponsorsub-requests](https://osr.northwestern.edu/new-sponsorsub-requests)

• Material Transfer Agreements (MTA) [https://osr.northwestern.edu/agreements/mta](https://osr.northwestern.edu/agreements/mta)

• Export Controls Guidance for Researchers [http://exports.northwestern.edu/guidance-for-researchers/](http://exports.northwestern.edu/guidance-for-researchers/)

• Subcontracts [https://osr.northwestern.edu/agreements/subcontracts](https://osr.northwestern.edu/agreements/subcontracts)
ESPR Replacement Initiative: Change Requests
Overview

• ESPR Replacement Phases
  – Phase 1: Non-Funded Negotiations LIVE!
  – Phase 2: Change requests, coming as early as 12/14! (or later)

• What is a change request?
• Walk-through sample requests
  – Revised budget for award
  – New subaward

• Additional training/communications
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.

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Change Requests
Create New

- Award Relinquishment / Transfer
- BGT - Revised Budget for an Award
- Fabricated Equipment
- Personnel - Effort Change for PI or Key
- Subcontract - Request to Issue New Subaward
- BGT - Carry-Forward of Unobligated Balance
- Change in Scope/SOW
- Industry Clinical Amendment - Other
- Personnel - Extended Absence of PI
- Subcontract - Subcontract Amendment
- BGT - Open New Budget Categories
- Change of Department
- No-Cost Extension
- Personnel - PI or Co-I Change
- BGT - Revised Budget for Submitted Proposal
- F&A Waiver
- PI Eligibility
- Prespending
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

- Awards and change requests all in one system
  - See all CR’s related to an award via ‘Linkages’
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

## Routing summary:

<table>
<thead>
<tr>
<th>Request Type</th>
<th>Routing approvals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>PI</td>
</tr>
<tr>
<td>New SubAward</td>
<td>x</td>
</tr>
<tr>
<td>SubAward Amendment</td>
<td>x</td>
</tr>
<tr>
<td>Award Relinquishment/Transfer</td>
<td>x</td>
</tr>
<tr>
<td>No Cost Extension</td>
<td>x</td>
</tr>
<tr>
<td>Personnel - Effort Change</td>
<td>x</td>
</tr>
<tr>
<td>Personnel - Extended Absence</td>
<td>x</td>
</tr>
<tr>
<td>Personnel - PI Change*</td>
<td>x</td>
</tr>
<tr>
<td>Personnel - Change Department</td>
<td>x</td>
</tr>
<tr>
<td>Budget Carry Forward</td>
<td>x</td>
</tr>
<tr>
<td>Budget Open New Categories</td>
<td>x</td>
</tr>
<tr>
<td>Budget Revised Award Budget</td>
<td>x</td>
</tr>
<tr>
<td>Budget Revised Submitted Proposal Budget</td>
<td>x</td>
</tr>
<tr>
<td>Fabricated Equipment</td>
<td>x</td>
</tr>
<tr>
<td>Prespending</td>
<td>x</td>
</tr>
<tr>
<td>Revised Statement of Work</td>
<td>x</td>
</tr>
<tr>
<td>F&amp;A Waiver</td>
<td>x</td>
</tr>
<tr>
<td>PI Eligibility</td>
<td>x</td>
</tr>
<tr>
<td>Industry Clinical Amendment</td>
<td>x</td>
</tr>
</tbody>
</table>

*If applicable, new PI, department, school

**not all units have both - SESP only has school, FSM only has departments
Change Requests

• Workflow
  – Same functionality as workflow in PD
  – Action item will appear in OSR queues
  – If additional information needed from department, OSR assigns action item to RA
  – Use workflow maps/record statuses to track
Change Requests

- Workflow

Workflow Chart(s)

- Change Requests Workflow
- Subaward Requests Workflow
- OSR Award Setup
- Non-Funded Negotiations
- Department Proposal Route
- Clinical Trial Admin Review
- OSR Proposal Review Workflow
- OSR Pre-Spend Setup

Change Requests Workflow

- Needs Dept Updates (0)
- Ready for OSR Review (22)
- Updates In Process (4)
- Pending Spons Approv (0)
- Processing Complete

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Change Requests

- Workflow: subcontracts
Change Requests

• Reporting/Tracking
  – Ability to generate reports for RA leadership
  – Some real-time reports in InfoEd
    • Items submitted
    • Items in progress
  – Turnaround time reports will be incorporated into Tableau
  – Cognos will not have change requests data at this time
Training Offerings

• Change request webinar (to be recorded and available on-demand as well)
• System Job Aids
• Business Process Job Aids
• Brown bags with deeper dives
  – Subawards
  – Others with frequent questions TBD
Timeline and Transition

• User Acceptance Testing concluded 12/3
• Rollout scheduled for as early as 12/14
• ESPR Status
  – Ability to complete in-progress requests in ESPR remains
  – Ability to create new requests in ESPR turns off when Change Requests go live in InfoEd
  – View-only ESPR will be available for a time