Agenda – Day Four

- Research Misconduct & Compliance
- Faculty Salary Planning
- Compensation: Personal Services & Effort Reporting
- Office of Research Development
- Office of Foundation Relations
- Corporate Engagement
- NUIT Administrative Systems
Research Misconduct & Compliance

Michelle Stalilonis
Senior Compliance Specialist
Office for Research Integrity
m-stalilonis@northwestern.edu
What is Research Misconduct?

- Fabrication
- Falsification
- Plagiarism

http://www.research.northwestern.edu/ori/misconduct/index.html
Research Misconduct

**Fabrication** is making up data or results and recording or reporting them.

**Falsification** is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

**Plagiarism** is the appropriation of another person’s ideas, processes, results, or words without giving appropriate credit.
Reporting Research Compliance Concerns

Do you have research administration or compliance concerns?

- Contact the Office for Research Integrity (ORI) at nu-ori@northwestern.edu or call (312) 503-0054 and we will assist you or direct you to the appropriate unit or individual for assistance, OR
- Contact your supervisor, department chair or dean, OR
- Report concerns online or call 866-294-3546 via Ethics Point, a third-party vendor, that will allow you to report concerns anonymously.

For Specific Areas of Research Compliance, Contact:

- Falsification of research effort
- Grant management
- Research misconduct
- Research with animal subjects
- Research with human participants

The Office for Research Integrity can also be contacted for any of the above listed issues.

Non-Retaliation

Northwestern policy prohibits the taking of retaliatory action against anyone for reporting or inquiring about potential breaches of University policy or for seeking guidance on how to handle suspected breaches. The identity of confidential sources will be protected to the extent consistent with the needs of an inquiry or investigation. Those individuals who provide information in good faith about questionable conduct will be protected against reprisals.

Northwestern also has specific whistleblower protections to comply with American Recovery and Reinvestment Act of 2009 (ARRA) awards.

Office for Research - 633 Clark Street, Evanston, IL 60208-1108
The Office for Research promotes, facilitates, and enhances research at Northwestern University.
© 2016 Northwestern University

http://www.research.northwestern.edu/ori/reporting-concerns/index/html
Research Data: Ownership, Retention and Access


- Defines “research data”
- Defines University and PI responsibilities
- Transfer to data when researcher leaves institution

- Data retained for minimum of 3 years after the last financial report for the project has been submitted unless longer periods are required
Penalties for Non-compliance

Institutional:
- Fines and penalties
- Exceptional status
- Funding reduction

Personal:
- Termination
- Disciplinary action
- Criminal/civil sanctions
- Suspension and debarment
- Professional integrity compromised
## Recent Examples of the Impact of Noncompliance

<table>
<thead>
<tr>
<th>Institution</th>
<th>Settlement Time Frame</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Northwestern University</td>
<td>February 2003</td>
<td>$5.5 million penalty for overstating effort reporting on federal sponsored projects</td>
</tr>
<tr>
<td>University of Connecticut</td>
<td>January 2006</td>
<td>$2.5 million penalty for overstating anticipated expenses, overcharging the government, and billing for items not covered by grants, Cost sharing issues</td>
</tr>
<tr>
<td>Cornell University’s Weill Medical College</td>
<td>Fall 2007</td>
<td>$2.6 million settlement for a PI failing to disclose on grant applications to the NIH the full extent of various active research projects</td>
</tr>
<tr>
<td>Yale University</td>
<td>December 2008</td>
<td>$7.6 million settlement for inadequate documentation of cost transfers and summer salary charges wrongly charged to federal grants</td>
</tr>
<tr>
<td>Dartmouth College</td>
<td>October 2010</td>
<td>$275,000 settlement and $604,000 in contract funds returned to the government for contract pricing and cost recovery issues, lack of compliance with Federal Acquisition Regulation (FAR), and Conflict of Interest issues.</td>
</tr>
</tbody>
</table>
Welcome

We want to keep Northwestern University a safe and productive environment for working and learning. This website provides the Northwestern community with resources and contact information to submit questions and voice concerns relating to ethical and compliance issues.

Here to help

If you have a question or concern relating to the topics listed on this site, please contact the designated university representative. They are trained and ready to help, and no question is too small. Don't hesitate to contact them if the safety or integrity of our university is at risk.

You can also ask a question or submit a report through EthicsPoint, a third-party service that provides an easy and confidential way to report ethics and compliance concerns.

www.northwestern.edu/ethics
EthicsPoint: A Compliance Hotline

- Report potential misconduct or violations of policy:
  - (866)294-3545
  - www.northwestern.edu/ethics

- Any suspected problems will be reviewed according to University procedures

- Policy prohibits retaliatory action against those reporting

- Anonymous
To ask a question, receive guidance, or report a violation, contact a representative from the list below. All are trained and ready to help.

**Falsification of Research Effort**
**Controller’s Office**
Mike Daniels, Director  
Call: 847-491-4710  Email: m-daniels2@northwestern.edu

---

**Grant Management**
**Office of Sponsored Research**
Kelly Morrison, Director, Evanston Campus  
Call: (847) 467-3283  Email: kellym@northwestern.edu  
Rex Chisholm, Associate Vice President for Research, Chicago Campus  
Call: 312-503-1780  Email: OSR-Chicago@northwestern.edu
**Controller’s Office**
Mike Daniels, Director  
Call: 847-491-4710  Email: m-daniels2@northwestern.edu

---

**Research Misconduct**
**Office for Research Integrity**
Lauran Qualkenbush, Director  
Call: 312-503-0054  Email: nu-ori@northwestern.edu

---

**Research on Animals**
**Institutional Animal Care and Use Committee**
Mandy Kozlowski, Director of IACUC  
Call: 312-503-0109  Email: m-kozlowski@northwestern.edu

---

**Research on Human Subjects**
**Institutional Review Board**
Eileen Yates, MS, CIP, Assistant Director  
Call: (312) 503-6011  Email: eyates@northwestern.edu
How can you ensure compliance?

- We are all responsible
- Understand complex regulations
- Identify resources
- Know when and where to ask for help
- When in doubt, ask
Questions?

wow... does this happen often?
Faculty Salary Planning

Deb Cundiff
Business Administrator
McCormick School of Engineering

Marsha McClellan
Director of Financial Management
Feinberg School of Medicine
What is Faculty Salary Planning?

a.k.a. Direct charging

Begins at the proposal stage

Faculty must estimate how much time they will spend on the project (effort)

Administrator uses effort to calculate the salary request from the sponsor

PI provides the scientific leadership supporting the research
What is Salary Planning?

- Salary charging must adhere to the 4 basic cost principles per Uniform Guidance:
  - Reasonableness
  - Allowability
  - Allocability
  - Consistency
Salary and wage amounts charged to grant-supported projects for personal services must be based on an adequate payroll distribution system that documents such distribution in accordance with applicable Federal Cost Principles and consistently applied institutional policy and practices.
Principles & Policies

- The NSF Proposal and Award Policies and Procedures Guide:

  NSF limits salary compensation for senior project personnel to no more than two months of their regular salary in any one year. This limit includes salary compensation received from all NSF-funded grants. This effort must be documented in accordance with the applicable cost principles.
Key Principles

- Effort commitments should drive salary planning
- Cost sharing (including over the cap salary) must come from a non-sponsored source
- Identify cost sharing sources early
- Not all faculty activities come from extramural funding:
  - Instruction
  - Administration
  - Grant writing (usually…)
- PIs should generally not be 100% funded from sponsored projects, unless there is a sponsor exception
How is Salary Paid on the Evanston Campus?

- Tenure/tenure track faculty have 9 month academic year appointments
- May also have another appointment with a different contract period (i.e. 12 month)
- May receive up to 2.5 months of summer salary from sponsored projects
- Academic year: 9/16-6/15
- Summer period: 6/16-9/15
- Partial months of September & June will affect direct charge calculation
- Salary cap consideration
How is Salary Paid on the Evanston Campus?

- Salary is paid over 12 months regardless of appointment length

- On effort report, salary distribution must be restated to appropriately show earned amounts according to appointment

- Calculating the monthly earned rate is complicated
  - Northwestern has developed tools to help
# Evanston: What is Academic Base Salary?

## 9-Month Academic & Summer Salary Considerations for Faculty with 9-Month Appointments

* Enter data in the fields highlighted in Yellow

** Employee Name:** Professor X  
** Employee Id:** 1234767  
** Entered by:** G Talbot  
** Date:** 6/26/2012

Instruction: Update the entries in the yellow fields (maximum 3 appointments). Annual salary is entered per appointment. Monthly rate, summer months, and 9-month base salary will be automatically updated by the worksheet.

<table>
<thead>
<tr>
<th>RCD</th>
<th>Annual Salary</th>
<th>Appt</th>
<th>Monthly Earned Rate</th>
<th>% Distribution</th>
<th>Summer Monthly Rate per Appointment</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>100,000.00</td>
<td>9</td>
<td>11,111.11</td>
<td>92.31%</td>
<td>11,111.11</td>
<td>Eligible for requesting summer salary</td>
</tr>
<tr>
<td>1</td>
<td>11,111.11</td>
<td>12</td>
<td>925.93</td>
<td>7.69%</td>
<td>0.00</td>
<td>Not eligible for requesting summer salary</td>
</tr>
<tr>
<td>2</td>
<td>0.00</td>
<td>12</td>
<td>0.00</td>
<td>0.00%</td>
<td>0.00</td>
<td>Not eligible for requesting summer salary</td>
</tr>
<tr>
<td><strong>TL</strong></td>
<td><strong>111,777.11</strong></td>
<td></td>
<td><strong>12,037.04</strong></td>
<td><strong>100.00%</strong></td>
<td><strong>11,111.11</strong></td>
<td></td>
</tr>
</tbody>
</table>

- **Monthly Salary:** 12,037.04  
- **9 month Academic Salary used for Proposal Submission & Effort Reporting:** 108,333.33

*Academic base salary used for SDA if the awarded agency is not NIH or the salary is not over the cap

- **Annual Salary in HRIS:** 111,111.11

- **Annual NIH Salary Cap:** 179,700.00  
- **9-month NIH Salary Cap:** 134,775.00

## Notes:

* For NU administrative appointments such as dean, chair, or division chief, the salary typically cannot be charged to sponsored projects.

** This worksheet is for 9 and 12 months appointments only. 10 and 11 month appointments require additional considerations. Please contact Jennifer Wei if you need assistance for 10 or 11 months appointments.

*** Summer salary charges must be in compliance with NU’s Summer/Research Quarter Salary and Effort Reporting policies. A pre-cert form is required if charging more than 2.5 summer months salary to sponsored projects.

## Base Salary displayed on NU Effort Reports:

### Evanston Qtrs

<table>
<thead>
<tr>
<th>Q1 (09/16 - 11/30)</th>
<th>Q2 (12/01 - 02/28)</th>
<th>Q3 (03/01 - 06/15)</th>
<th>Q4 (06/16 - 09/15)</th>
</tr>
</thead>
<tbody>
<tr>
<td># of Months</td>
<td>2.5</td>
<td>3</td>
<td>3.5</td>
</tr>
<tr>
<td>Base Salary</td>
<td>30,032.59</td>
<td>36,111.11</td>
<td>42,129.63</td>
</tr>
</tbody>
</table>

### Chicago Qtrs

<table>
<thead>
<tr>
<th>Q1 (09/01 - 11/30)</th>
<th>Q2 (12/01 - 02/28)</th>
<th>Q3 (03/01 - 05/31)</th>
<th>Q4 (06/01 - 08/31) / Research Qtr</th>
</tr>
</thead>
<tbody>
<tr>
<td># of Months</td>
<td>3</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>Base Salary</td>
<td>36,111.11</td>
<td>36,111.11</td>
<td>36,111.11</td>
</tr>
</tbody>
</table>
How is Salary Paid on the Chicago Campus?

- Clinical faculty (MDs) have 12 month appointments

- Most Ph.D./investigator track/tenure eligible faculty have 12 month appointments except for a few that elected to remain with 9 month appointments or have joint appointments with an Evanston school

- Institutional base salary (& effort) includes both Northwestern & NMG

- 12 month academic year: 9/1-8/31

- 9 month Academic year: 9/1-5/31
  - Summer Quarter: 6/1-8/31

- Salary cap
Cost Sharing

- Cost sharing occurs when a cost specifically benefits a sponsored project but is not charged to that project.

- Can be mandatory (salary or non-salary), over the cap cost sharing or voluntary committed cost sharing (salary and non-salary). Most common type of cost sharing on the Chicago campus is the NIH statutory cap and the salary limitation on NIH career (K) awards.
Cost Sharing Model Changes

- As of 9/1/13, cost sharing changed to a model that illustrates mandatory vs. voluntary committed cost sharing with addition of 193 fund. Allows departments to more effectively manage the cash commitments associated with voluntary committed cost. These funds function as follows:
  - **191**: Used exclusively for mandatory cost sharing (salary and non-salary). A budget is established on an annual basis.
  - **192**: Used exclusively for over-the-cap cost sharing. No budget established.
  - **193**: Used exclusively for voluntary committed cost sharing (salary and non-salary). A budget is established on an annual basis.
## Cost Sharing Model Changes-Cont.

<table>
<thead>
<tr>
<th>Previous Model</th>
<th>New Model as of 9/1/2013</th>
</tr>
</thead>
</table>
| 191  
Mandatory (Salary & Non-Salary) Voluntary Committed (Non-Salary) | Mandatory (Salary & Non-Salary)          |
| 192  
Voluntary Committed (Salary) Over-the-Cap          | Over-the-Cap                             |
| 193  
N/A                                                 | Voluntary Committed (Salary & Non-Salary)|
NIH Salary Cap

- Some sponsors put a limit on the amount of salary that can be charged to federal awards
  - e.g. NIH salary cap as of 1/10/2016 is $185,100 or $15,425 per month for 12 month appointments
  - For 9 month appointments, the cap is $138,825
Research/Summer Quarter (Summer Salary)

- Research/Summer quarter payments are made using the Summer/Research Quarter Salary Request Form (not through deployment in FASIS)

www.northwestern.edu/hr/payroll/administratorpayments.html
Why is Direct Charging Important?

- Aligns salary expenses to effort commitments on sponsored projects
- Helps achieve compliance
- Utilizes available outside funding sources to cover salary expenses
- Supports all funds budgeting
- Reduces paperwork
- Increases accounting transparency
- Voluntary cost sharing occurs when committed salaries are not charged to awards; the effect is reducing the indirect cost rate
- Requires prospective planning of expense posting based on commitments
Why Faculty Might Not Direct Charge in Evanston Schools

- The base academic salary is guaranteed by the faculty members’ Dean’s Office
  - Faculty might prefer to utilize the awarded research dollars for other charges to grants

- Some sponsors have salary caps

- Some limit salary charges to a specific number of months

- Some discourage academic year salary/benefit charges to grant budgets entirely

- It is critical to have an understanding of what each sponsor permits

- In contrast, on the Chicago campus, all faculty direct charge their salaries
Why Faculty Might Direct Charge in Evanston

- Academic year salary portion is supported by an appropriated budget at the school/center level in most Evanston schools
When Do We Direct Charge?

- The administrator and faculty member must work together to develop an annual plan at the beginning of the FY.
- Make monthly adjustments as needed to reflect unanticipated activities.
- Reduce compliance risks and save yourself transactional work if you complete direct charging before the 90 day period expires.
- Retroactive salary adjustments more than 1 year after date of the initial charge will not be processed.
Evanston Salary Planning Worksheet

**Note:** This sheet should only be used for faculty with commitments no more than 75%. If the faculty member's commitment is more than 75%, SDA should be used instead.

###.directivecharging.template

1. Enter data in the fields highlighted in Yellow; all other fields are calculated by the worksheet.

#### Table: Salary & Appointment

<table>
<thead>
<tr>
<th>Faculty Name</th>
<th>9-Month Salary**</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Faculty Appointment</td>
</tr>
<tr>
<td></td>
<td>Home Dept.</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Appointment #1</th>
<th># of Months Contract Employment Period</th>
<th>Executive Level I Cap ($191,790)</th>
<th>Executive Level II Cap</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>9</td>
<td>$191,790</td>
<td>$191,790</td>
</tr>
</tbody>
</table>

| Academic Base Salary (JF+J7+J8) | $0 | Academic Base Salary (JF+J7+J8) | $0 | Regulatory Salary Cap for 9 months: | $149,775 | Regulatory Salary Cap for 9 months: | $134,775 |
|----------------------------------|----|----------------------------------|----|Calculations:                     |         | Calculations:                     |         |
| NII Salary Cap (12 months)       | $109,700 | Monthly salary (earned rate) | $0.00 | Monthly salary (earned rate) | $0.00 | Monthly salary based on appointment 1 only: | $0.00 |
| Regulatory Salary Cap for 9 months: | $149,775 | Monthly "earned" amounts applied to NIH: | $0.00 | Monthly "earned" amounts applied to NIH: | $0.00 | Regulatory Cap Cost-Sharing Monthly Expense: | $0.00 |
| Over the Cap Cost Per Month | $0.00 | Monthly Pay Rate (12 months) Appt. 1 only | $0.00 | Monthly Amount Paid over 12 Months: | $0.00 |

#### Table: Effort Distribution

<table>
<thead>
<tr>
<th>Percent Effort and Accounts Charged by Month:</th>
<th>Sept 16 - 30</th>
<th>October</th>
<th>November</th>
<th>December</th>
<th>January</th>
<th>February</th>
<th>March</th>
<th>April</th>
<th>May</th>
<th>June 1 - 15</th>
</tr>
</thead>
<tbody>
<tr>
<td>Y</td>
<td>193780</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td>193780</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>N</td>
<td>159780</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Note:** Once on the above website, look under "References and Templates" and click "here" to log in with your NetID and password to access this worksheet.
**Chicago 12 Month Salary Template**

**Employee Name:** Doe, Jane

**Annual Base Salary (NU+NMFF):** 275,000.00

**Monthly Base Salary (NU + NMFF):** 22,916.67

**Worksheet Date:** 1/12/2016

<table>
<thead>
<tr>
<th>% APPT</th>
<th>$ SALARY</th>
</tr>
</thead>
<tbody>
<tr>
<td>NU</td>
<td>82.00%</td>
</tr>
<tr>
<td>NMFF</td>
<td>18.00%</td>
</tr>
</tbody>
</table>

**Salary Planning**

| NU Grant Chart Strings | CHART STRING | Salary Cap (Y/N) | Applicable Cap | SEPTEMBER | OCTOBER | NOV | Q1 Effort Report |
|------------------------|--------------|-----------------|---------------|-----------|---------|-----|----------------|---|
|                         |              | Salary | % base | % MI | % effort | Salary | % base | % MI | % effort | Salary | % base | % MI | % effort | Salary | % base | % MI | % effort | Salary | % base | % MI | % effort |
| NIH Project            | 818-1234567-0001200 | Y      | 185,100.00 | 3,239.25 | 14.13% | 17.28% | 21.00% | 3,239.25 | 14.13% | 17.28% | 21.00% | 21% |
| NIH Flowthrough Project| 838-1234567-0001200 | Y      | 185,100.00 | 4,627.50 | 20.19% | 24.68% | 30.00% | 4,627.50 | 20.19% | 24.68% | 30.00% | 30% |
| Projected NEW Project  | 816-1234567-0001200 | Y      | 185,100.00 | 1,542.50 | 6.73% | 8.23% | 10.00% | 1,542.50 | 6.73% | 8.23% | 10.00% | 10% |
| Non-Federal Project    | 856-1234567-0001200 | N      | 1,145.83 | 5.00% | 6.11% | 5.00% | 1,145.83 | 5.00% | 6.11% | 5.00% | 5% |

**NU Non-Grant Chart Strings**

| CHART STRING | Salary Cap (Y/N) | Applicable Cap | SEPTEMBER | OCTOBER | NOV | Q1 Effort Report |
|--------------|-----------------|---------------|-----------|---------|-----|----------------|---|
| Chart Appointment | 648-1234567 | N      | 1,145.83 | 5.00% | 6.11% | 5.00% | 1,145.83 | 5.00% | 6.11% | 5.00% | 5% |
| Operating Fund   | 715-1234567-0001200 | N      | 2,477.20 | 10.81% | 13.21% | 10.81% | 2,477.20 | 10.81% | 13.21% | 10.81% | 11% |

**Cost Share Chart Strings (grant % effort = % cost share + % base)**

| CHART STRING | Salary Cap (Y/N) | Applicable Cap | SEPTEMBER | OCTOBER | NOV | Q1 Effort Report |
|--------------|-----------------|---------------|-----------|---------|-----|----------------|---|
| Cost Share for NIH Project | 710-1234567-0001200 | N      | 1,574.38 | 6.87% | 8.40% | TRUE | 1,574.38 | 6.87% | 8.40% | TRUE | 6.87% | N/A |
| Cost Share for NIH Flowthrough Project | 710-1234567-0001200 | N      | 2,248.13 | 9.81% | 11.99% | TRUE | 2,248.13 | 9.81% | 11.99% | TRUE | 9.81% | N/A |
| Cost Share for Projected NEW Project | 710-1234567-0001200 | N      | 749.38 | 3.27% | 4.00% | TRUE | 749.38 | 3.27% | 4.00% | TRUE | 3.27% | N/A |

**NMFR Salary**

| CHART STRING | Salary Cap (Y/N) | Applicable Cap | SEPTEMBER | OCTOBER | NOV | Q1 Effort Report |
|--------------|-----------------|---------------|-----------|---------|-----|----------------|---|
| Chair Appointment | 714-1234567 | N      | 4,166.67 | 18.18% | N/A | 18.2% | 4,166.67 | 18.18% | N/A | 18.2% | 18% |
| Operating Fund   | 712-1234567 | N      | 22,916.67 | 100% | 100% | 100% | 22,916.67 | 100% | 100% | 100% | 100% |

**TOTAL CHARGE TO COST SHARE (100%)**

| CHART STRING | Salary Cap (Y/N) | Applicable Cap | SEPTEMBER | OCTOBER | NOV | Q1 Effort Report |
|--------------|-----------------|---------------|-----------|---------|-----|----------------|---|
| Cost Share for NIH Project | 710-1234567-0001200 | N      | 22,916.67 | 100% | 100% | 100% | 22,916.67 | 100% | 100% | 100% | 100% |

**BUDGET NOTE:** Cost sharing calculated as base salary not covered by grant + NMG

**TOTAL CHARGE TO ENDOWMENT**

| CHART STRING | Salary Cap (Y/N) | Applicable Cap | SEPTEMBER | OCTOBER | NOV | Q1 Effort Report |
|--------------|-----------------|---------------|-----------|---------|-----|----------------|---|
| Cost Share for NIH Project | 710-1234567-0001200 | N      | 4,571.89 | 20.0% | 24.38% | TRUE | 4,571.89 | 20.0% | 24.38% | TRUE | 24.38% | N/A |
| Cost Share for NIH Flowthrough Project | 710-1234567-0001200 | N      | 4,571.89 | 20.0% | 24.38% | TRUE | 4,571.89 | 20.0% | 24.38% | TRUE | 24.38% | N/A |
| Cost Share for Projected NEW Project | 710-1234567-0001200 | N      | 4,571.89 | 20.0% | 24.38% | TRUE | 4,571.89 | 20.0% | 24.38% | TRUE | 24.38% | N/A |

**TOTAL CHARGE TO NMFR (after transfer to cost share)**

| CHART STRING | Salary Cap (Y/N) | Applicable Cap | SEPTEMBER | OCTOBER | NOV | Q1 Effort Report |
|--------------|-----------------|---------------|-----------|---------|-----|----------------|---|
| Chair Appointment | 714-1234567 | N      | 5,717.72 | 30.0% | 36.49% | TRUE | 5,717.72 | 30.0% | 36.49% | TRUE | 36.49% | N/A |
### Chicago 12 Month Salary Template (cont.)

<table>
<thead>
<tr>
<th>AUG</th>
<th>Q4 EFFORT REPORT</th>
<th>TOTAL SALARY CHARGES</th>
<th>Months</th>
<th>Award</th>
<th>Award Period</th>
<th>Award Period</th>
<th>Award Period</th>
<th>Committed</th>
<th>Effort</th>
<th>Project Period/ Additional Comments</th>
<th>Net Dif</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>salary</td>
<td>% base</td>
<td>% NU</td>
<td>% effort</td>
<td>Charged</td>
<td>Months</td>
<td>% Base Salary</td>
<td>% NU Salary</td>
<td>% Effort</td>
<td>Effort</td>
<td></td>
</tr>
<tr>
<td>3,239.25</td>
<td>14.13%</td>
<td>17.28%</td>
<td>21%</td>
<td>21%</td>
<td>38,871.00</td>
<td>12.00</td>
<td>12.00</td>
<td>14.13%</td>
<td>17.28%</td>
<td>21.00%</td>
<td>21.0%</td>
</tr>
<tr>
<td>4,627.50</td>
<td>20.19%</td>
<td>24.68%</td>
<td>30.00%</td>
<td>30%</td>
<td>55,530.00</td>
<td>12.00</td>
<td>12.00</td>
<td>20.19%</td>
<td>24.68%</td>
<td>30.00%</td>
<td>30.0%</td>
</tr>
<tr>
<td>1,542.50</td>
<td>6.73%</td>
<td>8.23%</td>
<td>10.00%</td>
<td>10%</td>
<td>18,510.00</td>
<td>12.00</td>
<td>12.00</td>
<td>6.73%</td>
<td>8.23%</td>
<td>10.00%</td>
<td>10.0%</td>
</tr>
<tr>
<td>1,145.83</td>
<td>5.00%</td>
<td>6.11%</td>
<td>5.00%</td>
<td>5%</td>
<td>13,749.96</td>
<td>12.00</td>
<td>12.00</td>
<td>5.00%</td>
<td>6.11%</td>
<td>5.00%</td>
<td>5.0%</td>
</tr>
<tr>
<td>1,145.83</td>
<td>5.00%</td>
<td>6.11%</td>
<td>5.00%</td>
<td>5%</td>
<td>13,749.96</td>
<td>12.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2,477.20</td>
<td>10.81%</td>
<td>13.21%</td>
<td>10.81%</td>
<td>10%</td>
<td>29,726.40</td>
<td>12.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1,574.38</td>
<td>6.87%</td>
<td>8.40%</td>
<td>TRUE</td>
<td>N/A</td>
<td>18,892.56</td>
<td>12.00</td>
<td>12.00</td>
<td>6.87%</td>
<td>TRUE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2,248.13</td>
<td>9.81%</td>
<td>11.99%</td>
<td>TRUE</td>
<td>N/A</td>
<td>26,977.56</td>
<td>12.00</td>
<td>12.00</td>
<td>9.81%</td>
<td>TRUE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>749.38</td>
<td>3.27%</td>
<td>4.00%</td>
<td>TRUE</td>
<td>N/A</td>
<td>8,992.56</td>
<td>12.00</td>
<td>12.00</td>
<td>3.27%</td>
<td>TRUE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4,166.67</td>
<td>18.18%</td>
<td>N/A</td>
<td>18.2%</td>
<td>18%</td>
<td>50,000.04</td>
<td>12.00</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>22,916.67</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>99.0%</td>
<td>275,000.04</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TRUE</td>
<td>TRUE</td>
<td>TRUE</td>
<td>FALSE</td>
<td>TRUE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4,571.89</td>
<td>20.0%</td>
<td>24.38%</td>
<td>TRUE</td>
<td>N/A</td>
<td>54,862.68</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5,717.72</td>
<td>30.8%</td>
<td>30.49%</td>
<td>TRUE</td>
<td>N/A</td>
<td>68,612.64</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Facility Salary Charging Quiz #1

- Prof. Darwin has an academic base salary of $90,000 and a 9-month appointment
- His monthly earned rate is $10,000/month
- He is paid over 12 months
- What is his monthly pay rate (amount paid out in each paycheck)?

Answer: $7,500. Since the salary is paid over 12 months, only 75% of the earned rate is actually paid out in each paycheck.
Faculty Salary Charging Quiz #2

• Prof. Darwin has an academic base salary of $90,000 and a 9-month appointment
• Prof. Darwin wants to charge 1 month of academic effort to his NSF grant.
• What is the total dollar amount of salary that will be charged to the grant?

Answer: $10,000. The effort is based on the earned rate (1/9) not the paid rate (1/12).
Faculty Salary Charging Quiz #3

- Dr. Oz has an FSM and NMG faculty appointment with an annual base salary on FSM of $50K and an annual base salary on NMG of $235,991. His total annual base salary is $285,991. In order to calculate effort and salary distribution, would we just use the FSM annual base salary or use both FSM and NMG annual base salaries?
- He has two NIH grants, with effort at 20% on one and 10% on another. Would we have to cost share on these grants or not?

Answer: 1.) We would use the IBS, both FSM and NMG
2.) Yes, his IBS is greater than the NIH’s salary cap of $185,100
What are your next steps?

Once you have determined that you will be involved with direct charging faculty salary to sponsored projects, you will need to:

- Take the FASIS training classes that give you access to the system
- Download the salary planning worksheet and/or the SDA form
- Consult with your deans office or the Office for Research in the medical school for any further guidance, training, or resources
Forms: Where Do You Get Them?

- Summer Salary Forms
- SDA Forms
- Salary planning wkst & Academic Base Salary wkst

**Note:** Once on the above website, look under “References and Templates” and click “here” to log in with your NetID and password to access this worksheet
Questions?

Chicago:
Marsha McClellan
Director of Financial Management, Feinberg
m-mcclellan@northwestern.edu

Evanston:
Deb Cundiff
Business Administrator
McCormick School of Engineering
deb@northwestern.edu
Networking
Compensation: Personal Services and Effort Reporting
Compensation for Personal Services
– Cost Studies Personnel

• Operational Support (Effort Reporting System) and Compliance Monitoring
  ▪ Jennifer Mitchell (Oversees Effort Reporting, 7-2473)
  ▪ Tina Mete (Evanston Effort Coordinator, 1-6755)
  ▪ Erin Farlow (Chicago Effort Coordinator, 3-0323)

http://www.northwestern.edu/coststudies/effort.html
Why Effort Reporting?
Why Effort Reporting?

Effort

- Effort Reporting is the approach NU utilizes to fulfill the regulations in 2 CFR Part 200 (Uniform Guidance), Section 430: Compensation – Personal Services
  - Labor represents ~ 75% of direct research costs
2 CFR PART 200 – Uniform Guidance

• Effective in December, 2014
• Significant updates on Effort Reporting
  – 3 Examples removed (less prescriptive)
  – Internal Controls (200.303) emphasized
  – Written policies/procedures emphasized
  – Institutional Base Salary (IBS) emphasized
• Download
  http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl
Standards for Documentation

(i)(1)(i) to (i)(1)(viii)

• Charges to Federal awards for salaries and wages **must** be based on records that **accurately reflect the work performed**

• Be supported by a **system of internal control** which provides reasonable assurance that the **charges are accurate, allowable, and properly allocated**

• **Reasonably** reflect the total activity for which the employee is compensated by the non-Federal entity, not exceeding 100% of compensated activities
§ 200.303 Internal Controls

- **Must** maintain effective internal control over the federal award that provides reasonable assurance...
- **Should** be in compliance with *COSO and Standards for Internal Control in the Federal Government* (the “Green Book”).
- **Must** comply, evaluate and monitor compliance with federal statutes, regulations and the terms and conditions of the federal awards.
- **Must** take prompt action when non-compliance is identified.
- **Must** take reasonable measures to safeguard personally identifiable information and other information designated as sensitive.

Is our current Effort Reporting System sufficient for Internal Controls?
What does Effort Reporting Verify?

**Effort**
- Appropriate Base Salary Rate utilized according to appointment(s), which defines IBS
- Appropriate salary/wage charged to sponsored programs (paid effort)
- Cost Sharing performed as promised
  - Mandatory Cost Share (required by sponsor)
  - Voluntary Committed Cost Share (proposed on award budget)
- Salary over the cap cost funded by non-sponsored funds
  - *Appropriate NIH salary cap utilized*
- Research effort fulfilled for NIH career awards
Who Needs to Certify Effort?

Any person paid (or with a commitment) on a sponsored award must certify that the salary paid (or the commitment) is reasonable in relation to the effort (activity) devoted to the award.
## Risks of Non-compliance

<table>
<thead>
<tr>
<th>Institution</th>
<th>Date Settled/Agency</th>
<th>Issues</th>
<th>Settlement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Northwestern</td>
<td>2004/ NIH</td>
<td>Institutional base salary; K award; Certifier Assignment</td>
<td>$5.5 million</td>
</tr>
<tr>
<td>Johns Hopkins University</td>
<td>Feb 2004/ NIH</td>
<td>Faculty time &amp; effort overstated</td>
<td>$2.6 million</td>
</tr>
<tr>
<td>Harvard University</td>
<td>July 2004/ NIH</td>
<td>Government billed for salaries &amp; expenses unrelated to federal grants; self reported</td>
<td>$3.3 million</td>
</tr>
<tr>
<td>Florida International University</td>
<td>Feb 2005/ Dept of Energy</td>
<td>Effort reporting, cost transfers, payroll dist.</td>
<td>$11.5 million</td>
</tr>
<tr>
<td>University of Alabama at Birmingham</td>
<td>Apr 2005/ NIH</td>
<td>Research work overstated; Medicare billed for research</td>
<td>$3.9 million</td>
</tr>
<tr>
<td>The Mayo Clinic</td>
<td>May 2005/ NIH, others</td>
<td>Cost allocation, cost transfers, inadequate accounting system</td>
<td>$6.5 million</td>
</tr>
<tr>
<td>St. Louis University</td>
<td>July 2008/ NIH, CDC, HUD</td>
<td>Supplemental compensation, effort reporting</td>
<td>$1 million</td>
</tr>
<tr>
<td>Yale University</td>
<td>Dec 2008/ Multiple agencies</td>
<td>Cost transfers, summer salary charges, effort reporting</td>
<td>$7.6 million</td>
</tr>
<tr>
<td>Duke University</td>
<td>Jan 2009/ NIH</td>
<td>Direct charging of administrative and clerical costs</td>
<td>Final settlement &lt; recommended $ by the auditor</td>
</tr>
</tbody>
</table>
Effort Reporting Phases

**Appointing faculty & staff**
- Employment terms established: # months (contract period), % full time, base salary

**Preparing the proposal budget**
- Effort proposed; commitment made to the sponsor

**Charging salary**
- Salary charged/cost-shared, consistent with activity to grant budget or cost sharing account

**Certifying effort**
- Effort attested, after activity occurred

**Account close-out**
- Validation of certified effort against salary charges. ASRSP invoices final expenses & sends FSR

---

Pre-Award

Post-Award
Life Cycle of Effort Reporting – an ongoing process...

1. Appointing faculty/staff
2. Preparing Proposal Budget
3. Charging Salary
4. Certifying Effort
5. Award Close-out

- Appointing faculty/staff
- Preparing Proposal Budget
- Charging Salary
- Certifying Effort
- Award Close-out

Process:
- Appointing faculty/staff
- Preparing Proposal Budget (awarded after x months)
- Submitting more Proposals
- Charging Salary
- Certifying Effort (after x months)
- Award Close-out (near end of project)
Key Principles of Effort Reporting

- Effort must be certified based on the actual work performed.
- If the certified effort is less than the salary charged and cost shared to the grant for that quarter, the overcharged portion must be removed.
Effort Confirmation
- Per Reporting Period
Payroll Exceeds Effort
- Per Reporting Period

- Payroll exceeds Effort after the Certifier attested his/her Effort expended on the project for the reported period
Effort Exceeds Payroll - Per Reporting Period

- Effort exceeds Payroll after the Certifier attested his/her Effort expended on the project for the reported period
## Example of Effort Report

**Northwestern University**  
**Reporting Period:** 1Q2009 (03/01/2008 - 11/30/2008)

### Certified Effort Statement

<table>
<thead>
<tr>
<th>Accounts</th>
<th>Payroll %</th>
<th>Cost Sharing %</th>
<th>Total %</th>
<th>Certified Effort %</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sponsored Accounts</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>610-5249999-60012345 CHEMO RESEARCH</td>
<td>29%</td>
<td>1%</td>
<td>30%</td>
<td>33%</td>
</tr>
<tr>
<td>610-5991234-60099999 STEM CELL RESEARCH</td>
<td>29%</td>
<td>0%</td>
<td>29%</td>
<td>29%</td>
</tr>
<tr>
<td>650-5246000-60016972 SLEEP DRUG STUDY</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td><strong>Total Sponsored Accounts:</strong></td>
<td><strong>66%</strong></td>
<td><strong>1%</strong></td>
<td><strong>67%</strong></td>
<td><strong>70%</strong></td>
</tr>
<tr>
<td><strong>Non-Sponsored Accounts</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>160-1234567 DEPT.ACCST</td>
<td>11%</td>
<td>-1%</td>
<td>10%</td>
<td>7%</td>
</tr>
<tr>
<td>710-1234567-9991234 NU MED FACULTY</td>
<td>23%</td>
<td>0%</td>
<td>23%</td>
<td>23%</td>
</tr>
<tr>
<td><strong>Total Non-Sponsored Accounts:</strong></td>
<td><strong>34%</strong></td>
<td><strong>-1%</strong></td>
<td><strong>33%</strong></td>
<td><strong>30%</strong></td>
</tr>
<tr>
<td><strong>Grand Total:</strong></td>
<td><strong>100%</strong></td>
<td><strong>0%</strong></td>
<td><strong>100%</strong></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

### University Summary

- Instruction: 0%
- Departmental Research: 0%
- Administration: 0%
- Other Institutional Activity: 0%
- University-funded NMH/NMFF Activity: 0%
- University Medical Faculty Foundation Activity: 0%
- Industry-Sponsored Clinical Trials: 0%

**Pre Reviewer / Certifier - N/A**

I certify that allocation of activity for the individual shown above is a fair representation for the period noted.

Form Certified By: King, Emily  
Form Certified On: 01/19/2009

This Effort Form has been successfully Certified.
Effort Reporting: Key Concepts

• 100% Effort ≠ 40 ≠ 60 ≠ 80 hours per week

• Institutional Base Salary (IBS):

  Annual compensation paid by an organization for an employee’s appointments, whether that individual’s time is spent on research, teaching, patient care, or other activities. Base salary excludes any income that an individual is permitted to earn outside of duties for the applicant/grantee organization.

• Salary increase NOT based on receiving new sponsored funding
  – Changes of responsibilities, merit increase, etc.
Faculty members and senior researchers must commit some effort to the sponsored project within the fiscal year unless specifically exempted by the sponsor.
Effort Reporting: Key Concepts

- Summer Effort (9 month faculty)
- Agency Prior Approvals:
  - 25% or more reduction in time devoted to the project per budget period
- Absence of 3+ months
- Change in key personnel
Effort Reporting: Key Concepts

• **Consistency of reporting effort:**
  – Progress reports
  – Current pending & support pages
  – Effort reports
  – Financial status reports

• **NIH Salary cap and career award cap**
  – Difference is funded by a non-sponsored source
Effort Reporting at NU

When to Report Effort:
- Effort reported quarterly
- Effort reports should be certified within 4 weeks after they are available for certification

Escalation Timeline:

<table>
<thead>
<tr>
<th>Estimated Timeline</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Day 0</td>
<td>Effort Reports generated by central administration (~2-4 weeks after end of quarter) – notification sent to Dept Administrators with the deadline communicated</td>
</tr>
<tr>
<td>Week 3</td>
<td>Deadline reminder sent to Dept Administrators</td>
</tr>
<tr>
<td>Week 4</td>
<td>Effort reports due (~30 days after generation)</td>
</tr>
<tr>
<td>Week 5</td>
<td>1st warning – completion results communicated to Department Administrators</td>
</tr>
<tr>
<td>Week 7</td>
<td>2nd warning – completion results sent to Department Chairs</td>
</tr>
<tr>
<td>Week 10</td>
<td>3rd warning – completion results and individual delinquency reports sent to Dean’s offices</td>
</tr>
<tr>
<td>Week 14</td>
<td>Delinquency reports sent to VP of Research and Provost Office to determine appropriate action</td>
</tr>
</tbody>
</table>
Effort Reporting System (ERS)

https://ers.northwestern.edu
Effort Reporting Training Sessions

- Effort 101 Hands-on (Quarterly)
- Effort & Payroll Open Lab (Monthly)
- Faculty Effort Reporting (by Request)
- Brown Bag Sessions
- One-on-One Assistance
Related Courses Recommended in the Following Order

- Research Administration Training Seminar offered by the Office for Research Integrity (contact ORI to register)
- Effort 101 (contact your Effort Coordinator to register)
- myHR
  - HRS 101: myHR Data Lookup
  - HRS 102: Deployed Funding
  - HRS 103: Temp Administration
- Finance Facilities and Research Administration (FFRA)
  - FMS505: Managing Sponsored Projects
- Sign up for myHR & FFRA courses via myHR Self Service
  - myHR Self Service → Learning → Request Training Enrollment → Search by Course Number

myHR: http://www.northwestern.edu/myhr/index.html
Questions?
APPENDICES

10 Effort Reporting Policies
Appendix I: 10 Effort Reporting

**Preparation of the Proposal Budget**

1. Basis for estimating effort percentages and calculating salary requests
2. Expectations regarding faculty effort in proposals
3. Institutional stance on voluntary cost sharing
4. Expectations regarding extramural funding of faculty academic year salary
5. Reduction of effort commitments

**Charging Salary**

6. Prospective establishment of salary on sponsored project (or cost sharing) accounts
7. Summer effort and salary for faculty with 9- and 11-month appointments
8. Retroactive salary adjustments

**Certifying Effort**

1. Basis for estimating effort percentages and calculating salary requests in proposals
2. Summer effort and salary for faculty with 9- and 11-month appointments
3. Faculty (personal) certification of effort reports
Policy Area #1: The basis for estimating effort percentages and calculating salary requests

Basis for 100% effort

Activities related to NU appointment

Consulting and outside, professional activities, are excluded from the basis for 100% effort
Policy Area #2: Expectation for Faculty Effort in Proposals

Faculty are expected to commit some level of effort (>0%) on proposals on which they are listed as principal investigator (PI) or key personnel, with exceptions for certain types of proposals.
Northwestern University does not typically cost share on a voluntary basis. Voluntary cost sharing commitments are to be made only where the competitive forces and perceived institutional benefit of receiving the award are deemed to be sufficiently strong to warrant it.
Policy Area #4: Expectations for Extramural Funding of Faculty Academic Year Salary

If faculty expect to expend effort on sponsored projects during the academic year, a proportionate amount of academic year faculty salary should be requested from sponsors (to the extent that this is consistent with agency practice).
Policy Area #5: Reduction of effort when award reduced from proposal

When an awarded budget reflects a reduction from the proposed budget, an evaluation by the PI must occur to determine the effect on the effort commitments.
Policy Area #6: Prospective Establishment of Salary on Sponsored Project/ Cost Sharing Accounts

Salary distribution should begin on sponsored projects and/or cost sharing accounts as soon as the project is awarded, and concurrently with actual project effort.
Policy Area #7: Summer Effort and Salary

Effort certification for the period beyond the appointment should only reflect the activity for which the faculty member is responsible and earning salary in that period. For most faculty, this represents effort and salary on sponsored projects only.
Policy Area #8: Retroactive Salary Adjustments

• Highly discouraged for periods for which effort has already been certified

• Charges to the sponsored accounts should not be higher than the certified Effort

• Journal applicable dates must correspond to the intended original transaction

• Retroactive adjustments >90 days past the date of the initial charge require a detailed explanation by the PI

• Retroactive salary adjustments seeking to place costs onto sponsored projects will not be processed if the requested adjustment is > 1 year after the date of the initial charge
Faculty are required to certify (sign) their own effort reports, and also are required to certify the effort reports of the research staff working on their sponsored projects (graduate students, post doctoral fellows, and other similar persons)
Policy Area #10: Training for faculty and administrators on effort reporting

All faculty and staff involved in effort reporting are expected to receive appropriate levels of effort reporting training
Office of Research Development

Nicole Moore
Director, Office of Research Development
nicole.moore@northwestern.edu
Office for Research

Office for Research Organization Chart, March 2016

Vice President for Research
Jay Walsh

OR Director of Development
Kelly Colpoyes

Asst. Dir. to the Vice President for Research
Sheryl Sloan

AVP Research
Ann Adams
AVP Research
Jian Cao
AVP Research
Phil Heckhanger
AVP Research
Rex Chisholm
AVP Innovation & New Ventures
Alicia Leffer
AVP Research
Mag McDonald
AVP Research
Lawis Smith
AVP Research
Franca Vahidy

Office of Research Development
Nicole Moore, Director

Conflict of Interest
Julia Campbell, Director
Office for Research Safety
Alicia Leffer, Executive Director
Office for Export
Lance Campbell, Director
Office for the Institutional
Use Committee
Mandy Kozlowski, Director
Administrative Services
Claire Landis, Associate Director
Financial Administration
Anne C. Martin, Director
Research IT Strategy
Steve Moyano, Sr. Director
Office for Research Integrity
Lauran Qualkenbush, Director
Office for the Institutional Review Board
Denise Roe, Executive Director

Office for Sponsored Research
Lisa Forman, Executive Director

Center for Comparative Medicine
Kelly Morrison, Director

Chicag
Pamela Hawkins and Sean Perry, Acting Associate Directors
Pamela Durin and Michael Ferguson, Team Leads
Evanston
Research Communications
Matt Golosinski, Director

Electronic Research Administration
Kimberly Griffin, Director
Mission

The Office of Research Development promotes, stimulates and advances the diverse research enterprise across Northwestern University through:

- Facilitating Interdisciplinary Research Programs
- Supporting the Pursuit of Funding Opportunities
- Promoting the Submission of Outstanding Proposals
- Guiding Early CareerInvestigators
Constituents and Stakeholders

- Deans, Faculty, Researchers, Research Administrators, Post-docs, Graduate and Undergraduate Students
- Federal Funding Agencies
- Office of Foundation Relations
- Office of Government Relations
- Office of Corporate Engagement
- Office for Sponsored Research
- Partners: Affiliates, Industry, Academic and Non-Academic Institutions
Facilitating Interdisciplinary Research Programs

Supporting the Pursuit of Funding Opportunities

Promoting the Submission of Outstanding Proposals

Guiding Early Career Investigators
Research Program Development

- Anticipate New Interdisciplinary Federal Agency Initiatives
- Support Investigator Initiated Ideas & Centers
- Identify, Connect, and Guide Formation of Collaborative Teams
- Coordinate Preliminary Workshops
- Assist in Development of a “white paper”
- Support Proposal Development Process
Facilitating Interdisciplinary Programs

**NU-Interdisciplinary Program 1-2-3**

- A new seed-funding platform to cultivate investigator-initiated visionary "Big Ideas"
- 3-tiers, non-sequential that address different needs in the continuum of developing visionary science at Northwestern, from the inception of an idea to securing external funding
- NU-Interdisciplinary Program 1-2-3 supports
  - **Ideas (I1)**
  - **Innovative Initiatives (I2)**
  - **Innovative Initiatives Incubator (I3)**
NU-Interdisciplinary Program 1-2-3

• Focus on:
  o Interdisciplinary team (at least 2 schools and 3 departments)
  o Innovation
  o Societal impact

• In addition to funds, the program provides project management, assistance in identifying funding opportunities, proposal development and Team-Science guidance
NU-Interdisciplinary Program 1-2-3

- **I1**: $1,000 for a workshop; rolling submission
- **I2**: $15,000 for expenses pertinent to the submission of a large proposal; rolling submission
- **I3**: $120,000/year for up to 2 years for promoting effective team assembly, developing track record of collaboration, generating preliminary data and submitting a large/center proposal to an external sponsor (June 10, 2016)
- [http://www.research.northwestern.edu/interdisciplinary123/](http://www.research.northwestern.edu/interdisciplinary123/)
- FSM Seed Funding to initiate new Multi-Investigator Program: [http://www.feinberg.northwestern.edu/research/services/for-researchers/seed-grants.html](http://www.feinberg.northwestern.edu/research/services/for-researchers/seed-grants.html)
Large Interdisciplinary Proposal Development

Programmatic Support

• Develop “Writer Outline”
• Guide the conceptual development and writing of: vision, administrative core, management plan, broader impact, education, outreach, postdoc mentoring plan, data management plan, data sharing plan, etc
• Advise on budget development
• Letters of support
• Sponsor’s summary statements
• Resubmission
Large Interdisciplinary Proposal Development

**Project Management Support**

- Generate time-line/roles and responsibilities framework
- Coordinate video/audio conference meetings (PIs, administrators)
- Prepare meeting agenda
- Provide meeting minutes
- Liaise with local RA, OSR, external partners, internal resources, local and external grant writers,
- Manage internal and/or external review
- Coordinate site visits
Facilitating Interdisciplinary Research Programs

Supporting the Pursuit of Funding Opportunities

Promoting the Submission of Outstanding Proposals

Guiding Early Career Investigators
Weekly Funding Announcements

- Anticipate, monitor, identify and disseminate funding opportunities and related information to targeted investigators
  - Large biomedical and physical sciences federal grants
  - Social Sciences and Humanities grants
  - “Limited Submission” funding opportunities
  - Disseminate Foundation and Corporate funding opportunities
  - Cleared Concepts - NIH
  - Notice of Intent to Publish a FOA – NIH
  - Dear Colleague Letters – NSF
  - Information of new federal funding initiatives in collaboration with OGR
The Congressionally Directed Medical Research Program (CDMRP) is soliciting proposals for the Clinical Consortium Research Site Award mechanism to support the inclusion of Clinical Research Sites to the existing Prostate Cancer Clinical Trials Consortium (PCCTC).

The Clinical Consortium Research Site Award provides the support to develop and enhance collaborations and resources necessary for a network of organizations to rapidly execute Phase II or Phase II-linked Phase I (Phase I/II) prostate cancer clinical trials. These trials will include investigations of high-impact, novel therapeutic agents or approaches for the management or treatment of prostate cancer, especially as pertaining to the FY16 PCRP overarching challenges. In accordance with PCRP goals, the conduct of Phase I/II trials that incorporate investigations of biomarkers for risk assessment, early detection, prediction of aggressiveness, and/or progression of prostate cancer is particularly encouraged.

All applications are expected to address at least one of the following FY16 PCRP focus areas:

- **Biomarker Development**: Validation and qualification of biomarkers for early detection of clinically relevant disease or for prognosis or prediction and assessment of response to therapies
- **Genetics**: Understanding host or tumor genetics and epigenetics responsible for susceptibility, disease progression, and treatment outcomes for clinically relevant prostate cancer
- **Imaging**: Development of new anatomic, functional, and molecular imaging approaches for the detection and management of clinically relevant prostate cancer
- **Mechanisms of Resistance and Response**: Understanding primary and acquired resistance as well as exceptional response to therapy
- **Survivorship and Palliative Care**: Improving the quality of life and well-being of prostate cancer patients and their families
- **Therapy**: Identification of targets and pathways, and optimization (including sequencing and combination therapies) of therapeutic modalities for prostate cancer, including metastatic prostate cancer
- **Tumor and Microenvironment Biology**: Understanding the intrinsic and extrinsic mechanisms contributing to tumor development and the progression of prostate cancer
Funding Opportunity Search Engines

- Provides free access and guidance on using funding opportunities data bases:
  - SciVal Funding
    - www.funding.scival.com
  - COS Pivot
    - pivot.cos.com/funding_main

- Federal agencies websites search and set up alerts:
  - www.grants.gov
  - grants.nih.gov/grants/guide/index.html
  - nsf.gov/funding
  - DoE, DoD, USDA, NASA, NOAA, NEH…
I. Facilitating Interdisciplinary Research Programs

II. Supporting the Pursuit of Funding Opportunities

III. Promoting the Submission of Outstanding Proposals

IV. Guiding Early Career Investigators
Promote the Submission of Outstanding Proposals

- Personalized service to faculty from all disciplines (smaller scale proposals, single investigator, etc)
  - Clarify and confirm sponsor’s expectations and guidelines
  - Enhance faculty communications with program officers
  - Advise on strategic approaches to developing a proposal
- Outreach
  - “ORD Presents” workshops (NSF MRI, Limited Submissions, NIH P30..)
  - Organize federal agencies grant writing workshops
  - Bring program officers to Northwestern
  - Provide institutional subscription to research development and grant writing resources
  - “Science of Team Science”
- Manage the Institutional Limited Submissions Process
Limited Submission

• Funding opportunities that the number of applications submitted from any given institution is limited by the sponsor

• ORD manages the institutional process for selecting Northwestern nominees for Federal, Foundations and Corporations funding opportunities

• Northwestern has established a transparent, efficient and effective process for selecting successful nominees

http://www.research.northwestern.edu/ord/funding/limited-submissions/
Northwestern’s Limited Submission (LS) Process

- Identification of LS funding opportunities
- Dissemination of LS funding opportunities
- Collect Internal Letters of Intent
- Collect Internal Proposals
- Notification
- Internal Review
- Nomination
- Sponsor Proposal Due
Limited Submission: Dissemination of Announcements

• Targeted and inclusive dissemination
• Subject: LIMITED FUNDING OPPORTUNITY: ..... 
• Summary of opportunity and eligibility criteria
• Link to the sponsor’s website
• Key dates: LOI, internal proposal submission, notification, sponsor deadline
• Instructions: LOI form, internal proposal components, upload information
• All announcements and their status are posted on ORD’s website
• You can opt-in to receive all announcements
Limited Submission: LOIs

- Submission of the LOI by the deadline is **required**, but no binding
- Based on institutional interest:
  - First come, first served
  - Applicants are authorized by ORD to submit a proposal to sponsor
  - A competition is required, all applicants are invited to submit internal proposals
Limited Submission: Review Process

- The Limited Submission Advisory Committee is charged with selecting the most nationally competitive applicants.
- Senior faculty from FSM, WCAS, McC, SESP and SoC are involved.
- Humanities ad hoc panel is invited as necessary.
- Ex officio and ad hoc reviewers are invited as appropriate.
- Panel review (video-conference between campuses).
- Selection is requires approval by the VPR.
Limited Submission: Notification

• All candidates are notified by email by the stated deadline

• Feedback is provided to all applicants

• Nominees are invited to work with the Office of Foundation Relations on Foundation proposals

• OSR GO is notified
Limited Submission: Outcomes

- Packard Science and Engineering Fellows
  National awardee each year 2007-11, 2013
  (of an annual total of 16 fellows from 50 Universities)

- Pew Biomedical Scholars
  (of an annual total of 21 scholars nationally)
Facilitating Interdisciplinary Research Programs
Supporting the Pursuit of Funding Opportunities
Promoting the Submission of Outstanding Proposals
Guiding Early Career Investigators
Guiding Early Career Investigators

- Reach out to new faculty, present at new faculty orientations
- Consult and perform customized funding opportunities search, recommend collaborators
- Develop a strategy of applying to prestigious fellowships
- Grant Writer’s Groups for NIH “R” and “K” awards
  - Rick McGee, Associate Dean for Faculty Recruitment and Professional Development, FSM
- R01 and K awards peer review in FSM
  - [http://www.feinberg.northwestern.edu/fao/faculty/development-resources/grant-proposal-review.html](http://www.feinberg.northwestern.edu/fao/faculty/development-resources/grant-proposal-review.html)
- NSF CAREER consultations
- Coming up: resources for early career investigators on ORD’s website
New ORD Website

https://ord.northwestern.edu/
ORD Locations

633 Clark Street
North Tower, Room 2-543, Evanston
(847) 491-1074

750 N. Lake Shore Drive
Rubloff, Room 711, Chicago
(312) 503-4134
ORD Contacts

Fruma Yehiely, PhD
Associate Vice President for Research
yehiely@northwestern.edu

Karen Lapidos Cielo, PhD
Associate Director
k-cielo@northwestern.edu

Rebecca McNaughton, PhD
Assistant Director
rebeccam@northwestern.edu

Tanikka Mitchell
Research Development Coordinator
tanikka@northwestern.edu

Nicole Moore, DSc
Director
nicole.moore@northwestern.edu

@NU_ResearchDev
Follow Us on Social Media
Questions?
Networking/Break
Office of Foundation Relations

Susan Fisher Miller
Senior Associate Director
susanfmiller@northwestern.edu
Office of Foundation Relations

The Office of Foundation Relations (OFR) is Northwestern University’s central office supporting faculty and staff who seek funding from private professional foundations. OFR manages relationships with foundations to advance University goals and priorities.

Sarah Fodor
Executive Director, Foundation Relations & Corporate Engagement

Susan Fisher Miller
Senior Associate Director

Meredith Dorneker
Researcher

Susan Dauber
Senior Associate Director

Garth Huskey
Program Assistant
Organization Chart for Foundation Relations

Morton Schapiro
PRESIDENT

Daniel Linzer
PROVOST

Eric Neilson, MD
VP MEDICAL
AFFAIRS, Dean,
FSM

Jay Walsh
VP FOR RESEARCH

Robert McQuinn
VP FOR ALUMNI
RELATIONS AND
DEVELOPMENT

Feinberg School of Medicine Department of Development and Alumni Relations

OFFICE OF FOUNDATION RELATIONS

FSM Foundation Relations
Private Foundations & Why They Give

- Private foundations are mission-driven grant-making organizations that support exceptional projects and new initiatives that address specific societal problems and benefit the larger community.

- These national, professionally staffed foundations typically do not provide funding for core University needs.

- At Northwestern, foundation grants average $200,000.
  - “An institution is the lengthened shadow of one man.” – R.W. Emerson
  - “You’ve seen one foundation, you’ve seen one foundation.”
FY2015 Private Foundation Funding

• $70.2M in foundation commitments to Northwestern

• 337 proposals requesting a total of $162.3M

• Northwestern foundation proposal success rate is approx. 50%

• Top grant: $8.9M

• Assistance to every Northwestern School
OFR Services

http://www.northwestern.edu/foundationrelations/

- Coordinate strategic approaches to foundations
- Research foundations to identify potential funders
- Review proposals to craft persuasive arguments
- Provide materials for submission (IRS documents, financial statements, etc.)
- Partner with campus leaders and research administrators
- Track proposal submissions in development database
- Facilitate grant reporting
- Offer workshops on foundation grantseeking
Finding Private Foundation Funding

• RFP Listing on OFR Website:
  http://www.northwestern.edu/foundationrelations/finding-funders/request-for-proposals.html

• Databases:
  – Foundation Directory Online
  – Pivot (Community of Science)
  – SciVal
    http://www.northwestern.edu/foundationrelations/finding-funders/index.html

• Before contacting organizations listed in these databases, please contact OFR for advice and clearance
  – Restricted Foundations
    http://www.northwestern.edu/foundationrelations/finding-funders/restricted-foundations.html
Contact OFR

Please contact our office with any questions you may have about private foundations or whenever a faculty member you are working with is interested in seeking foundation funding.

foundationrelations@northwestern.edu
(847) 491-4590
Feinberg School of Medicine
Foundation Relations

Michelle Melin-Rogovin, Senior Associate Director
Foundation Relations
Feinberg School of Medicine

312-503-7072
m-melin-rogovin@northwestern.edu
<table>
<thead>
<tr>
<th>FSM Foundation Relations Office</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Funding Opportunity Analysis</strong></td>
</tr>
<tr>
<td>Analyze RFP blasts &amp; ID candidates</td>
</tr>
<tr>
<td>Meet with investigator to search for funding opportunities</td>
</tr>
<tr>
<td>Coord. w/offices on campus &amp; funders to receive notices</td>
</tr>
<tr>
<td><strong>Research &amp; Guidance</strong></td>
</tr>
<tr>
<td>Research foundation/s to provide best input on fit for funding idea</td>
</tr>
<tr>
<td>Provide guidance to investigator on application strategy</td>
</tr>
<tr>
<td><strong>Communication &amp; Outreach</strong></td>
</tr>
<tr>
<td>Liaise with RA, department, school offices to ensure smooth coordination</td>
</tr>
<tr>
<td>Can assist PI with communication with potential funder to answer questions during application process</td>
</tr>
<tr>
<td><strong>Editing &amp; Proofreading</strong></td>
</tr>
<tr>
<td>Analyze RFP requirements &amp; deadlines with RA and PI</td>
</tr>
<tr>
<td>Will read &amp; provide technical edits and comments for PI</td>
</tr>
<tr>
<td><strong>Progress Reports &amp; Visits</strong></td>
</tr>
<tr>
<td>Assists with writing and review of progress report</td>
</tr>
<tr>
<td>Participates in site visits</td>
</tr>
<tr>
<td>Proactively interacts with foundations and associations</td>
</tr>
</tbody>
</table>
FSM Foundation Relations: Chicago-Based Expertise for Faculty & Staff

- Assistance for faculty who need customized searches for non-federal funding opportunities.
  - Philanthropic and corporate foundations, associations, other non-profit entities that provide grant funding for research and education
- Hold individual faculty meetings, and follow up by identifying funding announcements that are the best fit for each faculty member’s research.
- Review draft applications and provide technical and analytical edits; help faculty evaluate the responsiveness of their proposal to the foundation’s RFP prior to submission.
- Provide expert guidance to faculty and staff prior to the proposal submission process regarding non-federal funding opportunities.
- Liaise with OFR and other school and university offices to identify resources to help faculty and staff submit quality applications.
Corporate Engagement

Kara Moore Associate Director
Emma Walsh – Program Assistant II
# Corporate Engagement | What We Do

## Find & Meet Industry Contacts
- Help faculty and staff find and meet industry contacts in R&D, tech scouting, corporate foundations, university relations and more

## Background Information
- Provide background information on current relationships between companies and the entire university

## Proposals
- Review proposals and supporting correspondence to formal and informal corporate grant-makers

## Campus Visits
- Administer scheduling, space and provisions for campus visits by corporations
Corporate Engagement | Campus Coordination

- Executive Education
- Economic Development
- Career Services
- INVO
- Sponsored Programs
- Schools
- Student Groups

Corporate Engagement
Corporate Engagement  

Who We Are

- **Jim Bray**, Director
- **Tim Angell**, Senior Associate Director
- **Kate Rice**, Senior Associate Director
- **Sheila Kessler**, Associate Director
- **Kara Moore**, Associate Director
- **Emma Walsh**, Program Assistant II
Corporate Engagement | Pre-Award

• Identify Industry Funding Opportunities
  • If Research Funding – we work with ORD
  • If Program Funding – we send to all relevant parties
  • Ensure limited submissions coordination

• Help with Proposal Development
  • Help with common (and uncommon) deliverables
  • Indirect costs
  • Collaborate with OSR and ORD
Corporate Engagement | Post-Award

- Appropriate accounting for grants, awards, gifts
  - Checks, Wire Transfers, In-kind
  - Gift vs Grant
  - Coordination with OSR, OGC, ASRSP

- Relationship Management
  - Share appropriate information
  - Find new corporate connections for PIs and Administrators
Corporate Engagement | Dashboards

Dashboard Highlights:

- Metrics
- Philanthropy
- R&D Snapshot
- Key Leaders & Alumni
- Recruiting
- Recent Involvement
- Company Profile

Source: Corporate Engagement Dashboards (Kara Moore)
What We Do: Examples of Highlighting NU Strengths & Faculty Research
Corporate Engagement | Relationship Management & Cultivation

Alignment: Let’s Go Places Together

Northwestern Strengths
- Multidimensional & Adaptive
- Powerful Collaborations
- Pioneering Innovation
- Meaningful Impact

Toyota Smart Mobility
- Interactive Intelligence
- Vehicle Enhancement
- Vehicle Connected Intelligence

Source: Toyota Pitch Deck
Advancing global sustainability and energy solutions through transformational research, interdisciplinary education and public engagement

- Dozens of affiliated faculty from 5 different schools across the University
- Partnerships with several companies, active participation on executive council

**Research areas:**

- Creating sustainable cities and managing the risks of climate change
- Solar energy and fuels
- Catalysis and sustainable materials
- Nanotechnology for environmental remediation
Partnering with You
Corporate Engagement

Next Steps

- Reach out to us to brainstorm companies or gather intel on corporate campus information

- Update NU Scholars with PI information

- Sign up for the Foundation Relations & Corporate Engagement RFP newsletter

Corporate Funding Opportunities

Current funding opportunities sorted by deadline. Refer to Student and Small Project Funding Opportunities.

**Baxter: Fluid Systems Evidence Council**
- **Award**: up to $200K
- **Deadline**: 9/21/16
- The objective of the Clinical Evidence Council in regards to Fluid Systems is to stimulate and support investigator-initiated research projects associated with the use of either Infusion Pumps or Electromedics.

**Pfizer: Patient Perceptions in the Management of Psoriatic Arthritis**
- **Award**: up to $50K
- **Deadline**: 9/23/16
- Support projects that focus on the healthcare providers understanding of the patient’s perception of psoriatic arthritis and its treatment. Projects should be focused on targeting the care team, specifically including both rheumatologists and dermatologists who currently care for patients with PsA.

**Google Faculty Research Awards**
- **Award**: median award amount is around $20,000 to $60,000 USD
- **Deadline**: 9/30/16
- Supports academic research in computer science, engineering, and related fields. Awards are structured as unrestricted gifts to universities and are designed to support roughly one year of work.

**Sony Faculty Innovation Award**
- **Award**: up to $150K
- **Deadline**: 9/30/16
- Research projects that fall within Sony's current general research interests, spanning a wide number of emerging technology categories including: Artificial Intelligence, Internet of Things, Virtual Reality, Autonomous Driving and Robotics. This award will help Sony catalyze and expand the creation of new concepts, by building on existing research through university partnerships.

**Sony Focused Research Award**
- **Award**: up to $150K
- **Deadline**: 9/30/16
- Through close collaboration with Sony’s own in-house research team, academic faculties can explore and develop research across a number of themes including: Sensor Fusion for Automotive Application, Image-based Photo-realistc Rendering, High-accuracy Inertial Navigation System and Evolving Reinforcement Learning.
Thank You & Questions
Develop Proposals and Manage Sponsored Projects with InfoEd, NUFinancials and Cognos

Virginia Robbins
Senior Training Specialist-Team Lead
Northwestern IT
v-robbins@northwestern.edu

http://www.it.northwestern.edu/admin-systems/
What are IT Administrative Systems?

- NUFinancials, InfoEd, Cognos, MyHR, iBuyNU, NUPlans, and FAMIS
  - Customized to interface with each other.
  - Customized to Northwestern’s business processes.
  - Supported by IT teams.
InfoEd

- InfoEd Proposal Tracking and Proposal Development
  - View Pre and Post Award information
  - Personnel, Budget, and Effort

## Example Budget Summary

<table>
<thead>
<tr>
<th>Year/Period</th>
<th>Increment</th>
<th>Start</th>
<th>End</th>
<th>Type</th>
<th>Status</th>
<th>Total</th>
<th>Total</th>
<th>Directs</th>
<th>F&amp;A</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1</td>
<td>01-Aug-2016</td>
<td>31-Jul-2017</td>
<td>Budget</td>
<td>Requested</td>
<td>48,625.00</td>
<td>-</td>
<td>36,000.00</td>
<td>13,625.00</td>
<td>48,625.00</td>
</tr>
<tr>
<td>2</td>
<td>2</td>
<td>01-Aug-2017</td>
<td>31-Jul-2018</td>
<td>Budget</td>
<td>Requested</td>
<td>38,625.00</td>
<td>-</td>
<td>25,000.00</td>
<td>13,625.00</td>
<td>38,625.00</td>
</tr>
</tbody>
</table>

**Total**: 87,250.00

### Personnel

<table>
<thead>
<tr>
<th>Name</th>
<th>Period 1</th>
<th>Period 2</th>
<th>Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cafe 30 Project PDPI</td>
<td>25,000.00</td>
<td>25,000.00</td>
<td>50,000.00</td>
</tr>
</tbody>
</table>

**Subtotal Personnel**: 25,000.00

### Non-Personnel

<table>
<thead>
<tr>
<th>Category</th>
<th>Period 1</th>
<th>Period 2</th>
<th>Direct Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment</td>
<td>10,000.00</td>
<td>0.00</td>
<td>10,000.00</td>
</tr>
</tbody>
</table>

**Subtotal Non-Personnel**: 10,000.00
InfoEd Proposal Development!

What *is* InfoEd PD?

- A shared-access system for preparing, approving and submitting all proposals.

- System-to-system: data entered in the local system is submitted directly to another system, for Grants.gov proposals.

- Became mandatory on April 1, 2012.
NUFinancials

- View Post Award information
- Enter transactions & view real-time budget info
- Real time data
Cognos

- Reports on InfoEd and NUFinancials data

![Sponsored Project Budget Statement](image)

<table>
<thead>
<tr>
<th>Account &amp; Description</th>
<th>Fund</th>
<th>Dept</th>
<th>Activity ID</th>
<th>(A) Incorp-TD Budget</th>
<th>(B) Current Period Exp</th>
<th>(C) FY-TD Exp</th>
<th>(D) Incorp-TD Exp</th>
<th>(E) Open Req Enc</th>
<th>(F) Budget Check Amount</th>
<th>(A-D-E) Bal Remaining</th>
<th>(A-D-E-F) % Available</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sponsor</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>60010 Academic Personnel</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>60100 Non-Academic Personnel</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>60100 fringe benefits</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>60100 non-academic temp. work study</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>73000 Supplies</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$119,537.62</td>
<td>$19.95</td>
<td>$19.95</td>
<td>$4,168.97</td>
<td>$0.00</td>
<td>$30,844.85</td>
<td>$94,513.80</td>
<td>79.07%</td>
</tr>
<tr>
<td>73200 Chemicals</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>73405 lab supplies and hardware</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>73405 lab supplies and hardware</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>73500 services</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$63,000.00</td>
<td>$200.46</td>
<td>$1,684.75</td>
<td>$1,729.13</td>
<td>$0.00</td>
<td>$30,374.70</td>
<td>$30,895.93</td>
<td>80.79%</td>
</tr>
<tr>
<td>75130 external printing services</td>
<td>50</td>
<td>40110000</td>
<td>01</td>
<td>$1,684.75</td>
<td>$1,684.75</td>
<td>$1,684.75</td>
<td>$0.00</td>
<td>$10,180.50</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>75030 equipment service contracts</td>
<td>50</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$286.80</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>75011 Consulting Services</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$2,712.06</td>
<td>$7,444.91</td>
<td>$0.00</td>
<td>$51,298.16</td>
<td>($58,743.37)</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>75010 professional &amp; consulting services</td>
<td>50</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$1,900.00</td>
<td>$4,825.00</td>
<td>$0.00</td>
<td>$31,400.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>75011 professional &amp; consulting services</td>
<td>50</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$1,600.00</td>
<td>$1,600.00</td>
<td>$0.00</td>
<td>$2,000.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>75015 professional &amp; consulting services</td>
<td>50</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$67.06</td>
<td>$2,769.91</td>
<td>$0.00</td>
<td>$17,708.46</td>
<td>$0.00</td>
<td>$0.00</td>
<td>0.00%</td>
</tr>
<tr>
<td>75002 services, restricted</td>
<td>610</td>
<td>40110000</td>
<td>01</td>
<td>$0.00</td>
<td>$139.50</td>
<td>$139.50</td>
<td>$0.00</td>
<td>$421.50</td>
<td>$0.00</td>
<td>$769.50</td>
<td>0.00%</td>
</tr>
</tbody>
</table>

Note: The table above is a sample of the Sponsored Project Budget Statement for Northwestern University.
Sponsored Research Stages!

Proposal Submission:
Create and submit the proposal

PreAward:
Update proposal as requested from sponsor

Award Start-up:
Manage the set-up of the actual budget

Post Award Management:
Spend/monitor expenses on award budget

Award Closeout:
Finalize, correct, submit
What classes should I take?  
Grant-related

- FMS502 InfoEd Proposal Development
- FMS503 InfoEd Approvals (online)
- FMS504 Reports in Sponsored Research (online)
- FMS505 Managing Sponsored Projects
- FMS507 Clinical Trials Proposals in InfoEd

http://ffra.northwestern.edu/secure/training/fms505-grants-training-plan.html

Recommended Grants Training Plan!

You can register for classes in MyHR!
What other classes should I take?

Introductory
• FMS807 Expense Reports
• FMS832 Online Voucher & Payments
• FMS112 Running and Scheduling Reports
• FMS803 Requesters Basic Topics
• FMS801 Shopping in iBuyNU

Intermediate
• FMS711 Correction, Transfer and Internal Sales journals
• FMS722 NUFinancials Budget Searches

Advanced
• FMS723 Reconciling your Budgets
• FMS815 Requesters Advanced Topics
Anymore? I love classes!

Online:
- FMS804 Approvals and Workflow
- FMS720 NUFinancials Budget Adjustments
- FMS816 Receipts
- FMS900 FAMIS Service Requests

NUPlans
- Budgeting and Forecasting classes

myHR
- HRS101 myHR Lookup
- HRS102 myHR Deployment Funding
- HRS401 Position Data/Appointment Forms

Effort Reporting
Your Education Action Plan!
(learning comes in many forms)

1. Take some classes!
2. Join NURAP!
3. Join listservs for OSR, ASRSP, NURAP, Financial Operations!
4. Network!

http://www.it.northwestern.edu/admin-systems/training/financial/getting-started.html
http://www.it.northwestern.edu/admin-systems/training/financial/sequence.html

Come see us soon!
CHECK YOUR KNOWLEDGE
Who does the review, approval, submission and processing of your funding proposals?

a. ASRSP  
b. Research Safety  
c. OSR  
d. Vice President for Research  
e. All of the above

OSR
What system do you use to develop your proposals?

a. Cognos
b. InfoEd/Proposal Development
c. eNotis
d. Kronos

InfoEd/Proposal Development
True or False:
A research administrator/coordinator must certify effort for their PI every quarter.

False
Certifiers (PI’s, Faculty, etc.) must certify to reflect:

- Budget
- Payroll
- Actual work performed
- Anticipated time worked

Actual work performed
Which office is responsible for the housing, welfare and veterinary care of laboratory animals?

a. Institutional Review Board office  
b. Institutional Animal Care and Use Committee Office  
c. Center for Comparative Medicine  
d. Research Safety

Center for Comparative Medicine
A PI’s effort that is not required by sponsors but is offered by the PI in a proposal is:

a. Voluntary Uncommitted Cost Sharing
b. Mandatory Cost Sharing
c. Optional Cost Sharing
d. Voluntary Committed Cost Sharing

Voluntary Committed Cost Sharing
When time devoted to external activities potentially has an adverse effect on capacity to meet University responsibilities this is an example of:

a. Misconduct  
b. Conflict of Commitment  
c. A lack of integrity  
d. Conflict of Interest

Conflict of Commitment
What does **not** need to be done by the PI during the award close-out process?

a. File technical report  
b. File effort report  
c. Obtain a chart string  
d. Review and certify final project budget statement

**Obtain a chart string**
Essential project equipment is considered which of the following:

a. indirect cost  
b. F&A  
c. Direct cost  
d. A nice bonus

Direct Cost
What are the four guiding principles that help determine whether direct and indirect costs can be charged to a sponsored agreement:

Reasonable
Allowable
Allocable
Consistent
The Seminar is Complete!

Thank you for completing the Research Administration Training Seminar!

I will be emailing a brief survey regarding day 4 of this training. Please take a few minutes to fill it out as we are always looking for suggestions for improvement!

If you have any questions or concerns, please do not hesitate to contact me.