

URIC

Administrative Meeting

August 14, 2019

Agenda

TIME	TOPIC	PRESENTER
9:00 – 9:10	Introduction & Updates	Joe Boes
9:10 – 9:30	ASRSP Audit and Staffing Updates	Jennifer Mitchell
9:30 – 10:00	INVO Overview	Andrea Minogue
10:00-10:10	URICA RA Proposal Intake	Frank Cutting
10:10-10:30	FY20 Budget Perspective	Joe Boes Alexandra Manetas

Updates

- Amy Merino joining as RA in URICA
- Sponsor Updates
 - NSF to adopt NIH formatted Biosketch
- Web Updates:
 - “URICs Lifecycle”
 - “Proposal: Institute/Center or Department”

FY19 Closing Activities

- [Office of the Controller link](#)

8/15	<ul style="list-style-type: none"> • Last day to return Hyperwallet and/or PNC Stored Value Cards for FY19 credit.
8/16	<ul style="list-style-type: none"> • Reimbursement of petty cash for FY19 to be completed by 3:00 pm. • Temporary/Special Pay paperwork due to Payroll by 5:00 pm for the 8/30/19 pay date.
8/21	<ul style="list-style-type: none"> • School/unit approval of Additional Pay (100% charged to FY19) deadline. If PAC approval is needed, school/unit approval by 8/12/19 is recommended.
8/23	<ul style="list-style-type: none"> • Last day to submit paperwork for new faculty hires for the 9/30/19 pay date. • Last day to submit Hyperwallet and/or PNC Stored Value Card orders / load requests to Depository Services if they are to be expensed in FY19.
8/28	<ul style="list-style-type: none"> • Grant payments received in ASRSP will be applied to grants in FY19, provided the grant is active.
8/29	<ul style="list-style-type: none"> • Enter and approve all payroll journal entries into myHR by 5:00 pm for processing to the FY19 General Ledger. • Note: The final GL for FY19 runs on 9/12/19. • Payroll Journal entries for myHR suspense cleanup should be completed in the system by 9/12/19 for FY19.
8/30 (cont. on page 2)	<p>NUFinancials Purchasing Modules unavailable from Friday, August 30 at 6:00 pm to Sunday, September 1 at 8:00 am.</p> <ul style="list-style-type: none"> • Last day for FY19 Requisitions to be approved and sourced into POs. Any Requisitions that have not been approved and sourced by 6:00 pm will be canceled and closed. (Use SC016) • Goods and services received by this date will be charged as an FY19 expense. • Last day to email accounts-payable@northwestern.edu to ensure Vouchers with no Receipts are not paid in FY19.

FY19 Closing Activities, Cont.

- 8/30 (cont.)
- Last day for cash to be credited to FY19 chart strings. Depository Services must receive bank deposit bags by 11:30 am with associated CRTs (cash and check only, no credit cards) also committed in NUFinancials by 12:00 pm.
 - Last day to create remote check deposit to FY19 chart strings. Checks must be scanned and deposited by 5:00 pm with associated CRTs also committed in NUFinancials by 5:00 pm.
 - Monthly Paydate.
 - Biweekly Paydate. Biweekly Regular and Temporary Payroll charges are 100% to FY19.
 - Last day to submit ChartField requests for FY19 (non-Grant accounts only).
 - Last day to complete FY19 budget journals through the NUPortal. All budget journals must be fully approved and valid by 5:00 pm or they will be deleted. Contact the Office of Budget & Planning for any FY19 budget adjustments needed after this date.

IN SEPTEMBER

- 9/1-6
- NUFinancials open for processing Payment Requests and Expense Reports in both FY19 and FY20. Fiscal year is determined by invoice date and dates of travel.
 - Invoices for transactions that should have been initiated via the REQ/PO process can be submitted for payment in FY19 using the Payment Request process.
 - Missing FY19 revenue you were expecting to arrive by Wire or ACH? Contact Cindy Regner at 7-6327 in Depository Services to receive a list of all unidentified wire/ACH revenue amounts.
- 9/1
- FY20 opens for the creation of Requisitions for goods and services to be received in the new fiscal year. Any Requisition created on or after this date will default to FY20.
 - Receipt requirement will be lifted for all FY19 Purchase Order Vouchers.
 - NUFinancials opens for creation of Budget Journals for FY20.
- 9/3
- SES tuition expense encumbrance released for FY19 and reinstated for FY20 (overnight.)
- 9/4
- Last day for FY19 recharge related journals scheduled to be interfaced to NUFinancials.
 - Last day for any FY19 electronic submissions (Expense Reports, Payment Requests) to reach the Accounts Payable Inbox by 5:00 pm to guarantee payment in FY19. All FY19 paper Invoices must reach Accounts Payable by 5:00 pm to guarantee payment in FY19.

FY19 Sponsored Activity

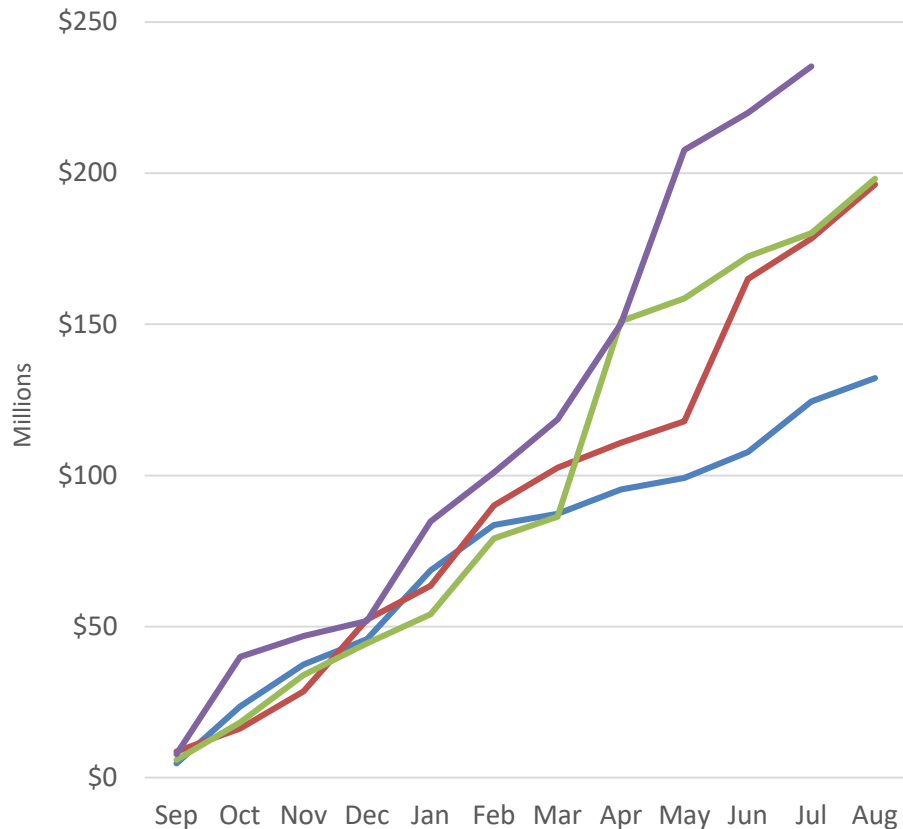
Awards: FY19 vs. FY20 (Sep-Jul)

- Univ. Research Institute & Centers:
 - Increase in Award # by 25%; 217 total
 - Increase in Award \$ by 36%; nearly \$60M
 - Increase compared to FY19 of \$15.8M
 - Largest \$ increase volume other than FSM
 - Largest % increase of the top 4 research units
- All Northwestern:
 - Increase in Award \$ by 15%; \$86M

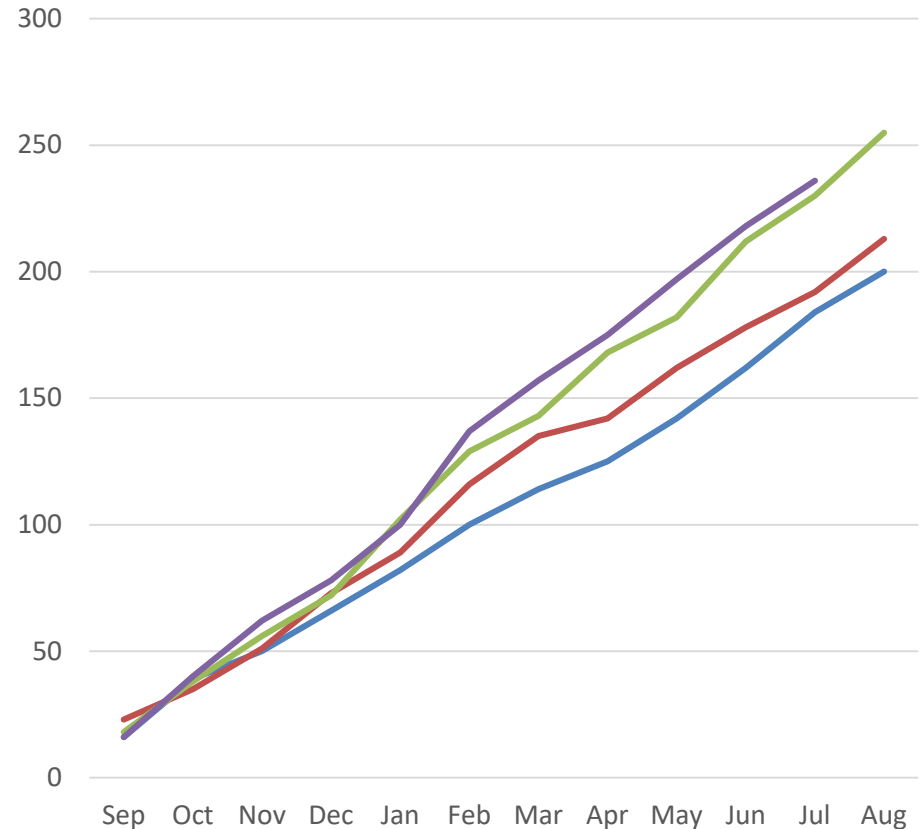
FY19 Sponsored Activity

Proposals: FY16 to FY19 YTD

In Dollars:



In Number:



**Excludes pre-proposals*

— 2016 — 2017 — 2018 — 2019

ASRSP and Cost Studies Update For URIC

**Office of Financial Operations
Jennifer Mitchell**

ASRSP Staffing Update

Research Financial Operations Organization Chart

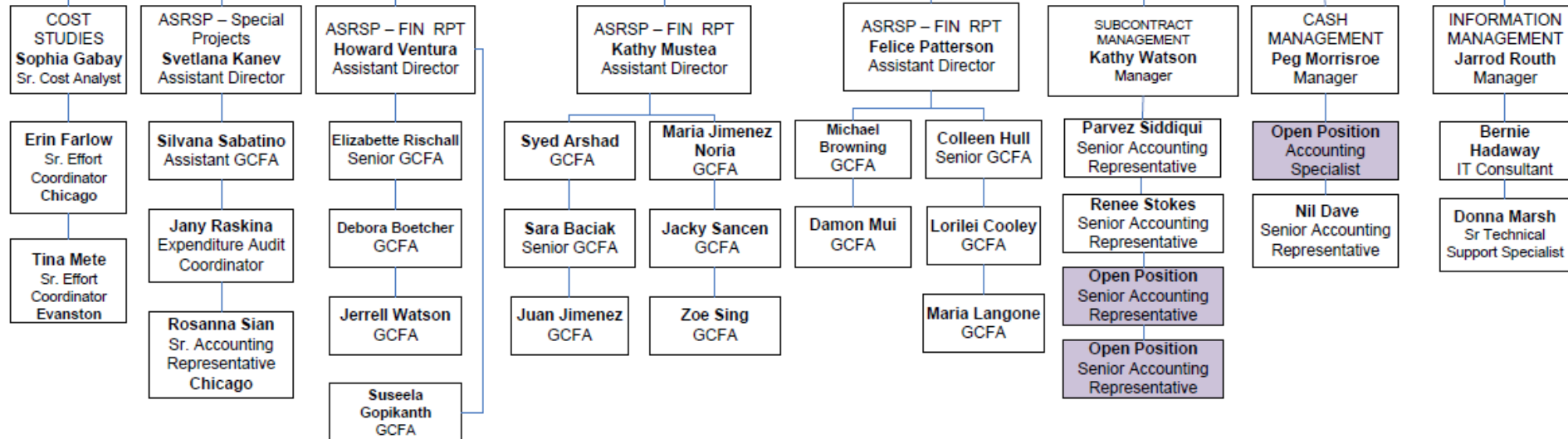
Michael Daniels
Executive Director for Research Financial
Operations

Updated 08/05/2019

Jennifer Mitchell
Associate Executive Director
for Research Financial Operations

ASRSP
Karen Spina
Associate Director – Financial Reporting

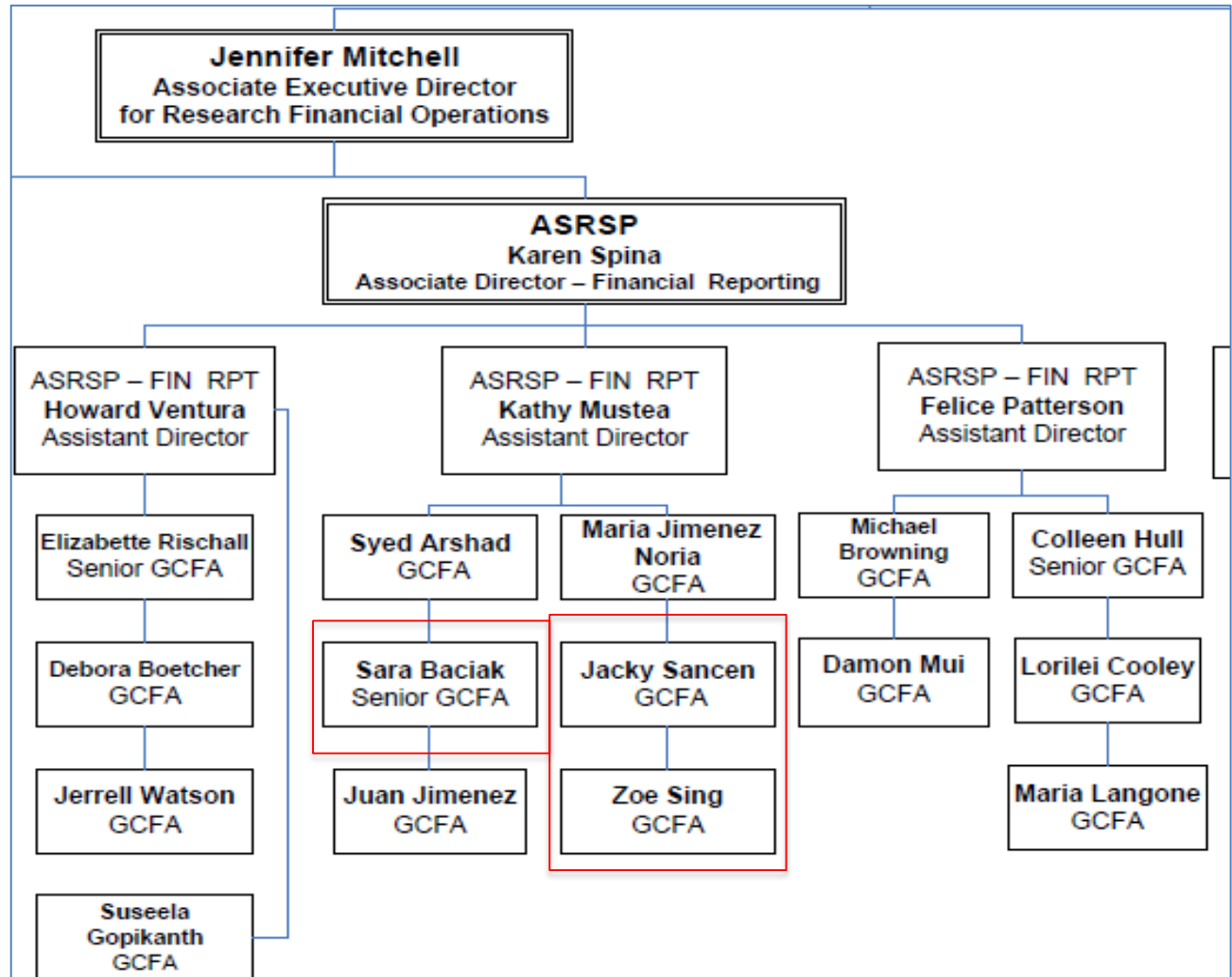
ASRSP
Janet Flake Maher
Associate Director of Operations



Grant and Contract Financial Administrators

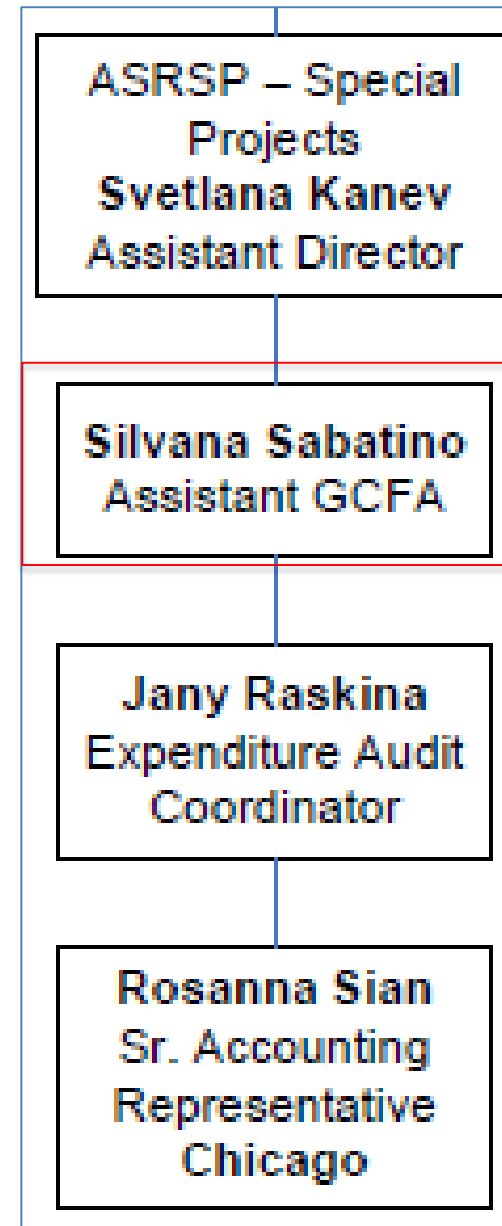
Sr. GCFA:
Sara Baciak

New GCFA's:
Jacky Sancen
Zoe Sing



Transaction Review and Special Projects

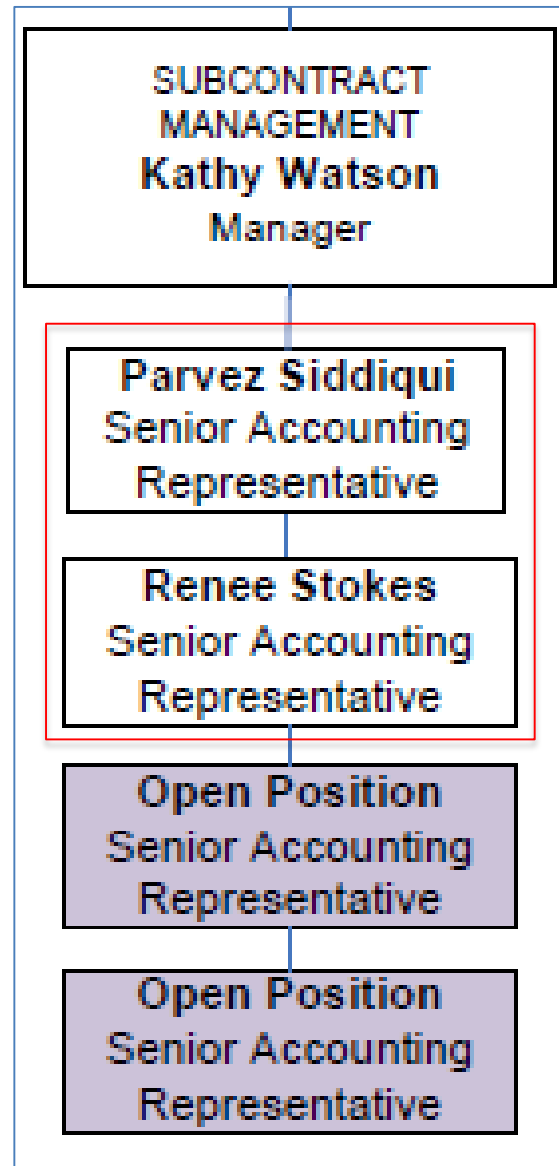
Assistant GCFA:
Silvana Sabatino



Subcontract Management

Senior Accounting Representative:

Parvez Siddiqui
Renee Stokes



FY19 KPMG Single Audit

- Kick-off meeting: July 2019
- Targeted completion: April 2020
- Audit Focus:
 - 2018 audit summary shows significant deficiencies due to the following. Corrective actions implemented.
 1. Inadequate process for updating property management records. Equipment disposal was not properly recorded in NUFInancials
 2. Untimely completion of subrecipient single audit desk reviews
 - Procurement samples (estimated 40)
 - Subrecipient monitoring samples (estimated 40)
 - Salaries, commitment, and Effort samples (estimated 40)
 - Principal Investigator interviews (40)
 - Listing will be available latest October 2019

Effort Reporting System Update – What are the Changes?

- VPN is required if accessing ERS from an off-campus location (similar to logging onto NUFinancials off-campus)
- University Summary removed starting 3Q2019

Effort Reporting System Update – What are the Changes?

- Estimated Effort % pre-populated from Pre-review for the Certifier to **confirm or update** in Certification before certifying the effort report

Certify

Name: Johnson, Jack ⓘ

Employee ID: 8884401





Title: Asst Professor

Sub Dept: 884400 - DEMO SUBDEPT44






Division: DEMODIV - DEMODIVISION


Title Code: 100021

Changes Saved



Reporting Period: 202019 (12-01-2018 through 02-28-2019)

Commitment ⓘ	Accounts	Description	Payroll %	Cost Sharing %	Total %	Certified Effort %
Sponsored Accounts						
33%	610-5249999-60012345	CHEMO RESEARCH	33%	0%	33%	 33 %
	610-5249999-60054321	Vitamin Effects Stud	0%	15%	15%	 15 %
10%	610-5299999-60054321	Sleep Pattern Study	0%	10%	10%	 15 %
17%	610-5991234-60099999	STEM CELL RESEARCH	17%	0%	17%	 17 %
Sponsored Subtotal			50%	25%	75%	80%
Non-Sponsored Accounts						
	110-1234567	Dept Unrestricted	50%	-25%	25%	 20 %
Non-Sponsored Subtotal			50%	-25%	25%	20%
Grand Total			100%	0%	100%	100%

 Add Account

Notes

OF 20% total on 110, 5% is for effort fulfilled on SF0012345, pending chart string set up.

90 of 800 characters used.

Exit

Reset

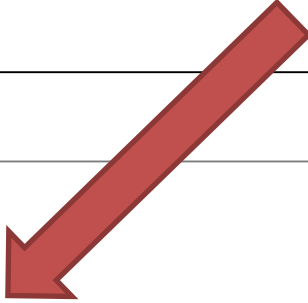
Notify

Save

Proceed

Effort Reporting System Update – What are the Changes?

- Bulk Certification enabled for the certifier – The certifier can certify more than one form at once when the form(s) are available for certification



Certify Effort Forms

Reporting Period 2Q2019

[Certify Multiple Forms](#)

Displaying 1 of 1 records

Certify ^	Employee Name ^	Title ^	Sub Department ^	Sub Department Name ^	Form Status ^	Pre Reviewed By ^	Certified By ^	Post Reviewed By ^	RCT ^	Assigned Certifier ^
[All] ▼			[All] ▼		[All] ▼				[/ ▼	
	Johnson, Jack	Asst Professor	880200	DEMO SUBDEPT2	Pending Pre Review					Johnson, Jack


Questions?



Innovation & New Ventures at Northwestern

Northwestern

Today's Goals

1. Who are we & what do we do at Northwestern?
2. What does the invention disclosure process look like?
3. What should research administrators know about INVO?
4. How can you learn more about what we do at INVO? 

INVO | Our Mission

To catalyze the translation of Northwestern innovations to benefit the public

- Become a source of impactful innovations and products that improve lives
- Become a magnet for entrepreneurial talent



INVO Staff

INVENTION MANAGEMENT TEAM



Alicia Löffler, PhD
Executive Director



Michael Moore, PhD
Life Sciences



Nicole Janovick, JD, PhD
*Life Sciences,
Copyright*



Gwendolyn Humphreys, PhD
*Life Sciences,
Research Tools*



Wenting Luo, PhD
Life Sciences



Iwona Maciagiewicz, PhD
Life Sciences



Andrea Minogue, MPA
Finance & Administration



Arjan Quist, PhD
*Physical Sciences,
Engineering*



Sarah Kamper, PhD
*Chemistry,
Materials Science*



Anne-Isabelle Henry, PhD
*Chemistry,
Materials Science*



Isabella Ortiz, JD
*Engineering,
Computer Science*



John Haugen, JD
Assoc. General Counsel



**Dimitra
Georganopoulou, PhD**
*Life Sciences,
Medical Devices*

NEW VENTURES TEAM



Lisa Dhar, PhD
*New Business Ventures
for Engineering*



Sonia Kim, PhD
*Marketing &
Educational Programs*

INVO | Our Activities

Technology Transfer

IP Support (*Consultation, Filing, Office Actions, etc.*)
Technology Evaluations
Marketing Efforts

Innovation & Entrepreneurship Programming

Workshops
Seminars
Mentoring
Internships
Coordination with Classes, etc.

Space

The Garage
Faculty Hub
University Memberships
(*mHub, 1871 & MATTER*)

Funds

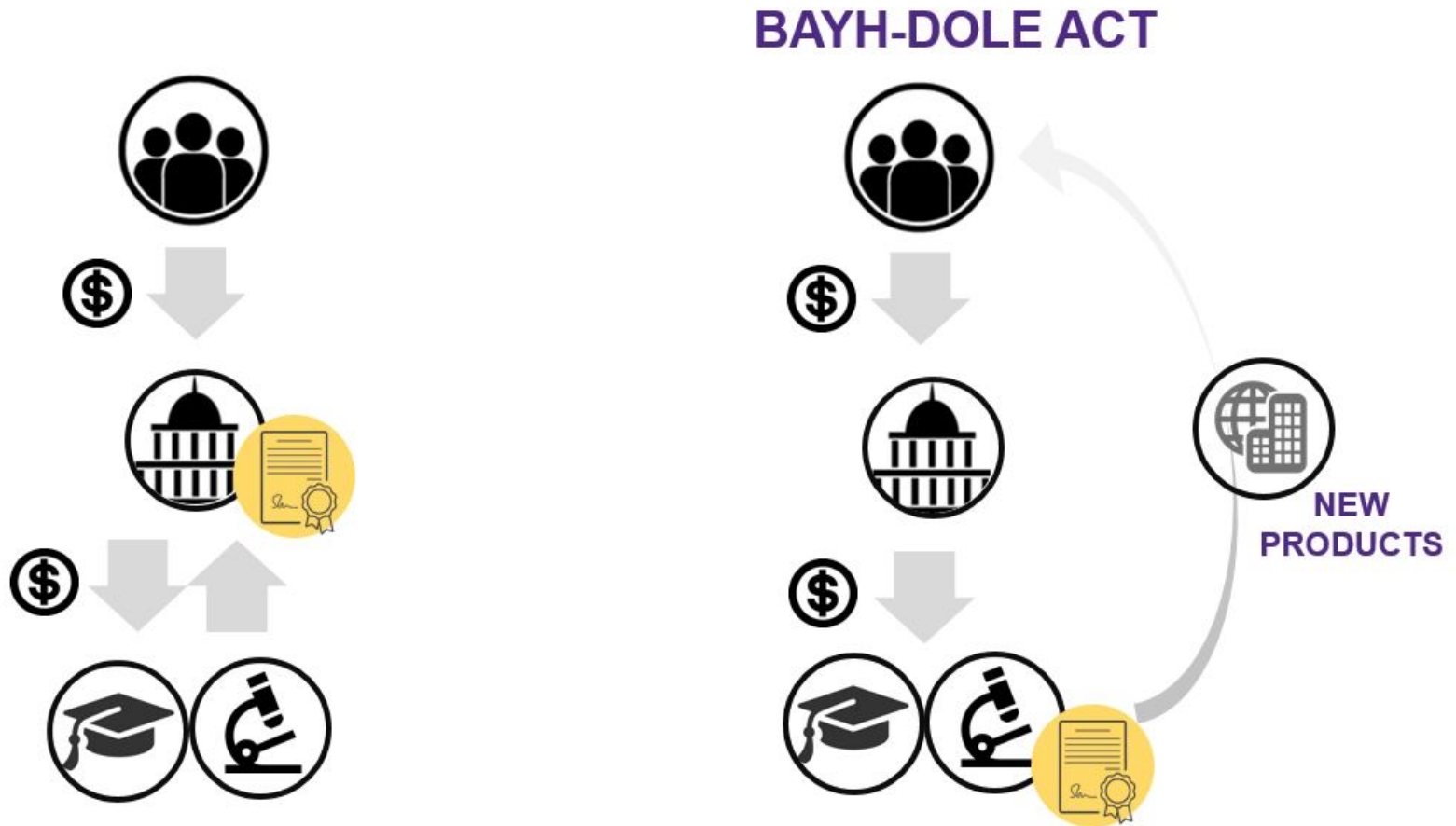
N.XT Fund (\$10M)
NuSeeds Fund (\$4M)

Technology Transfer

Technology transfer activities focus on moving technology from the University to the public domain

BAYH-DOLE ACT of 1980

Change in IP Ownership



INVO | FY18 Stats

210

INVENTIONS DISCLOSED

460

PATENT APPLICATIONS

171

AGREEMENTS EXECUTED

7.7

MILLION IN LICENSING
REVENUES, DOLLARS

170

PATENTS ISSUED

9

STARTUPS

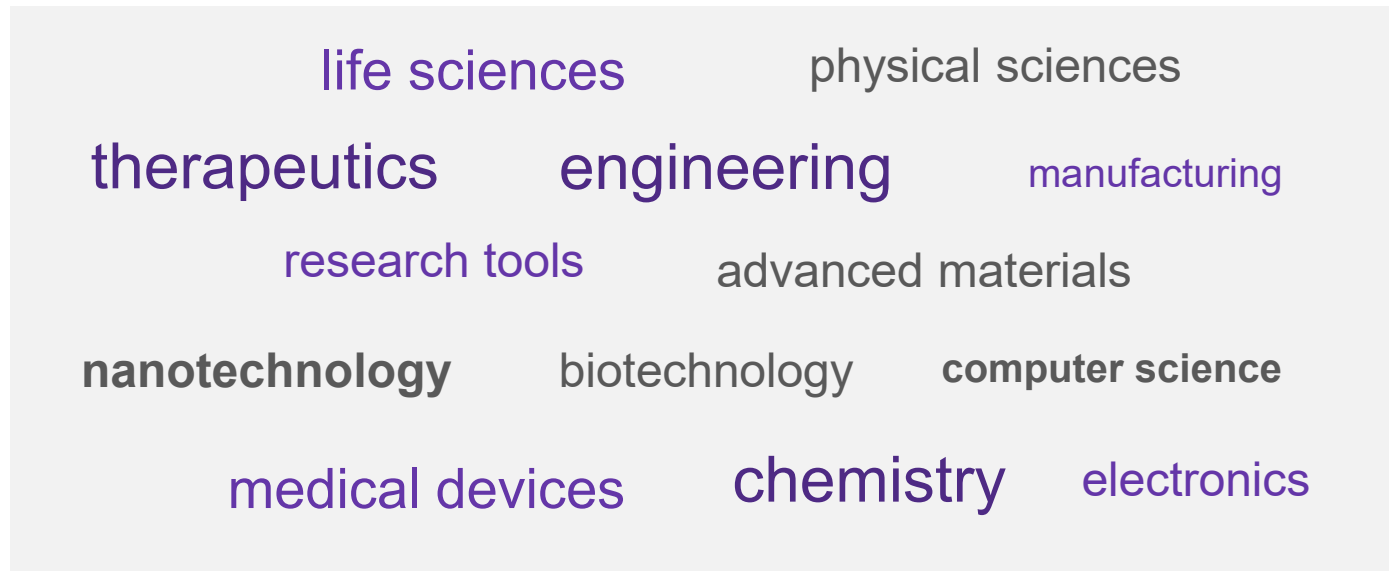
INVO | Areas of Innovation

Northwestern
McCORMICK SCHOOL
OF ENGINEERING

M Northwestern
Medicine®

Northwestern
WEINBERG COLLEGE
OF ARTS & SCIENCES

Northwestern
MEDILL



The Invention Disclosure

An **INVENTION DISCLOSURE** is Northwestern's record of an invention, the inventors involved, sponsorships, & other public disclosures and publications.

Inventors should plan to submit their invention disclosure 3-4 weeks prior to a public disclosure

- Posters/abstracts/proceedings
- Journal articles, book chapters
- Conference presentations
- Some departmental seminars & thesis defenses
- Some grant proposals

**DISCLOSING AN INVENTION TO INVO
DOES NOT PROTECT AN INVENTION.
A PATENT APPLICATION MUST BE SUBMITTED TO THE USPTO**

Reasons to Disclose to INVO

1. PROTECT COMMERCIAL POTENTIAL

INVO can provide feedback on how to proceed in the commercialization process.

2. PROTECT INTELLECTUAL PROPERTY

If IP protection is appropriate, INVO can maximize IP protection if invention is disclosed in advance of public disclosure.

3. FULFILL NU'S RESPONSIBILITY TO REPORT TO RESEARCH SPONSORS

INVO must report all inventions to respective public and private research sponsors.

4. IMPROVE MARKETING WITH INDUSTRY PARTNERS

INVO can help provide industry with insight into available technologies and the research that is taking place at the university.

Important Take-Homes



Complete the disclosure as thoroughly as possible.



Be available to meet with IM to discuss your technology.



Respond to IM as quickly as possible as they may have time-sensitive questions.



Send relevant updates to IM, such as future public disclosures or technology development.

Commercializing Technologies

1. **Explore Additional Sponsored Research Opportunities**

INVO coordinates with other offices to review IP stipulations.

Ideally, several weeks are needed to review these agreements.



2. **License Technology to Existing Company**

INVO helps identify and negotiate license agreements.

If there's interest, IMs contact faculty to discuss.



3. **Create University Startup**

INVO has Startup Guide online.

Northwestern Licensees (Past & Present)



Our Startup Playground

Diagnostic Fingerprinting **Big Data** Gas Storage Software Encryption
Nanomaterials Tangible Haptics Machine Learning Electricity Storage
Personalized Medicine **Robotics** 3D Imaging Software Optimization
Geolocation High Performance Alloys Medical Devices Microfluidics
Artificial Intelligence Point of Care Diagnostics Thin Film Transistors
Nanoparticles Advanced Materials **Wearables** Surgical Devices
Therapeutics Biomedical 3D Printing 3D Vision Sound Engineering
Biotechnology Nanofabrication Cancer Diagnostics Plastic Recycling

Northwestern Startups



Recent Issues for Discussion

Pre-Award

- Commercialization Plan or IP Provisions – Reach out to INVO/Invention Manager early

Disclosures – Key items

- Employee ID to identify personnel @ NU – our system is linked to myHR
- Funding accuracy
 - Corrections result in costly fees to NU – each one can be hundreds of \$
 - When possible, include grant Project Award Summary as an attachment to disclosure

Agency Requests

- If you are ever asked from an agency about reporting, please reach out to INVO early
- iEdison Reporting – INVO takes care of this; Please reach out to INVO/Invention Manager if asked by agency
- Foundation/Private funding compliance – INVO takes care of this; Please reach out to INVO if asked by agency

Ways to Learn More about INVO

WEBSITE: Visit www.invo.northwestern.edu. For global I&E, visit <https://www.northwestern.edu/innovation/index.html>

INVO NEWSLETTER: Sign up on our home page

SOCIAL MEDIA: Follow us on Twitter (@INVOatNU)

STUDENT OPPORTUNITIES: INVO Practicum Interns and N.XT Associates

THANK YOU

Andrea Minogue
Senior Director, Finance and Administration
a-minogue@northwestern.edu

URICA RA Proposal Intake

Goal:

Improve the intake process for proposal support provided by URICA Research Administration to clarify expectations, increase efficiency, and accelerate the initiation of proposal development

Strategy:

Implement a proposal intake form that captures the most relevant data needed to initiate proposal development, sets expectations, and leverages data submitted automatically

URICA RA Proposal Intake: Setting Expectations

Proposal Intake Form - URICA

This form collects initial basic information on upcoming proposals to initiate URICA support of proposals. For guidance on routing proposals through URICA vs. Schools/Departments see: <https://urica.northwestern.edu/sponsored-research-administration/proposal-center-or-department/>

Please note that we aim to complete all administrative components (excluding scientific portions) 5-business days in advance of submission date. URICA also requests that the PI be available on the day-of-submission, or a proxy is identified when availability is limited.

We appreciate receiving as much lead-time as possible for submissions, and general guidance on lead-time that will help ensure the best possible submission support is as follows:

- 3+ weeks for basic proposals
- 4+ weeks for proposals involving collaborating institutions
- 6+ weeks for large-scale/complex proposals (e.g. cost-sharing, OSR legal review, industry partners)

Yes, I understand the guidelines above: *

☐

URICA RA Proposal Intake: Form Questions

Unit (i.e. URIC, school, etc.) *

University Research Institute/Center in which a resulting award will reside (abbreviation preferred for URICs):

PI *

Last, First

Other Key Personnel

Last, First; Last, First; etc.

Sponsor *

If proposal involves a subcontract, please include both prime and flow-through sponsor (e.g. Univ. of Chicago/NSF).

Proposal Type

URICA RA Proposal Intake: Form Questions

Link to Opportunity/Solicitation

Optional; or upload below

Solicitation, or Other Attachments

Please upload any relevant files

Drag and drop files here or [browse files](#)

Project Start Date *

Project End Date *

Due Date *

Enter target date for those without sponsor deadlines

URICA RA Proposal Intake: Form Questions

Title *

Can be preliminary

Budget Maximum or Target

Please provide the maximum or target budget total if known (specify annual or total):

Cost Sharing *

Indicate if cost sharing is expected and type

 **Subcontracts ***

Check if proposal will require subcontracts

☐**Subcontract Institutions**

Indicate subcontract institution(s) if known

URICA RA Proposal Intake: Form Questions

Contact Email *

PI or PI-designated administrative contact

Comments

Please provide any additional information, requests, or comments that will help URICA Research Administration support your proposal. Possible information may include budget needs, additional contacts, special requirements, etc.

☐ Send me a copy of my responses

Submit

FY20 Budget Perspective

- FY20 will remain a challenging budget year for Northwestern, as the university remains in a three-year period of stabilization
- Considerable improvements from the efforts that have been made thus far
- FY19 is on target and FY21 university is expected to reach a balanced operating budget
- Office of Budget and Planning may implement new initiatives (e.g. budget by time)

FY20 Budget Perspective, Cont.

- There are no planned layoffs, university leadership has stated this very clearly
- Personnel expense budgets were limited to very minimal growth (to accommodate merit)
- Non-Personnel Expense budgets were cut for administrative units (includes OR)
 - No actual funds eliminated
 - Spending authority slow-down

FY20 Budget:

Working in Partnership

- **FY20 Budget Packets** in September
 - OR Provided URIC Operating (Annual Report)
 - Management Budget for all funds
 - Spending authority for Operating Funds: 110, 171, 300s, 400s (incl. above)
 - Spending authority for Recharge: 160
- **Budget Distribution**
 - OR Provided URIC Operating on the specific chart string (110 or 171)
 - Remaining “Operating Funds” budget on xxxx03
 - 160 Recharge on individual chart strings

FY20 Budget: Working in Partnership

- **GL077 Income Statement** remains the tool to review
 - Run for entire area/node (to include xxxxx03)
 - Run report early and match to your management budget
 - *Recommendation: Save & schedule report to run throughout the year*
- **Quarterly Projections** (aka Forecasts) remain vital activity, reminders when completing forecasts:
 - Provide comments on major differences, defined as:
 - \$25,000 variance in categories with total under \$500,000
 - 5% variance in categories with total over \$500,000
 - Update your starting fund balances & budgeted change in fund balance
 - Accurately capturing transfers (e.g. both revenue & expense for internal, correct codes, aligns with source unit)
 - Align to how charges are hitting the GL077 (e.g. depreciation is now a negative expense)

FY20 Budget: Working in Partnership

- Keep open lines of communication with OR on any deviations from budget expected
 - Good citizenship... if you don't need the budget authority (something won't happen), another area likely could utilize
 - Significant new revenue that leads to new expenses
- Transfers vs. Direct spending
 - Accepting a new “transfer in” that is not budgeted creates problem... no budget authority
 - New transfer codes...

Transfer Codes

Office for Research FY20 Transfer Codes

	Intra Unit Transfer Revenue	Intra Unit Transfer Expense
Nets Out at URIC	88552 From Intra Unit	88252 Intra Unit Transfer Out
Nets Out at URIC	88527 From Endowment, Intra Unit	88204 To CFU IntraUnit fr Gift/Endow
Nets Out at "Dept"	88598 From Intra Unit, same Dept	88298 To Intra Unit, Same Department
Nets Out at OR	88553 From Intra Unit, different Dept	88253 To Intra Unit, Different Department

	Revenue Transfers In	Expense Transfer Out
Nets Out at NU	88558 From Inter Unit	88258 To Inter Unit

Total URICs is considered a "Department" within the Office for Research

Transfer Codes

Office for Research FY20 Transfer Codes

	Intra Unit Transfer Revenue	Intra Unit Transfer Expense	Examples
Nets Out at URIC	88552 From Intra Unit	88252 Intra Unit Transfer Out	URIC - within a specific Institute
Nets Out at URIC	88527 From Endowment, Intra Unit	88204 To CFU IntraUnit fr Gift/Endow	Transfer from endowment to 171 fund for seed funding
Nets Out at "Dept"	88598 From Intra Unit, same Dept	88298 To Intra Unit, Same Department	Total of all URICs is considered a "Department". Most common will be the annual budget transfer from URICA to individual URICs
Nets Out at OR	88553 From Intra Unit, different Dept	88253 To Intra Unit, Different Department	Between departments within OR: i.e. CFA to URIC

	Revenue Transfers In	Expense Transfer Out	
Nets Out at NU	88558 From Inter Unit	88258 To Inter Unit	URIC to/from a school

"Departments" within OR: URICs, CFA, CCM, Res Ops, Faculty Support

Closing & Questions

THANK YOU!!!