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URIC
Administrative Meeting
February 23, 2021

Agenda
February 23, 2021

TIME	TOPIC	PRESENTER
9:00 – 9:05	Introduction & Overview	Joe Boes
9:05 – 9:20	Accounts Payable: AP Updates	Jim Konrad
9:20 – 9:40	Research Portal: Research Navigator Demo	Suresh Mallipeddi
9:40 - 9:50	Postdoc Appointments Changes	Joe Boes
9:50 -10:00	Sponsored Research	Joe Boes

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Introduction & Overview

- Today's Agenda
- AP & Procurement Updates
- Research Navigator Demo
- PostDoc Appointments
- Sponsored Research
  - URICA RA Roles & Responsibilities
  - Research.gov (issues)

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Accounts Payable & Procurement Updates

Jim Konrad

Executive Director of Procurement & Payment Services
Procurement and Payment Services

Research Navigator

Suresh Mallipeddi

Developer Lead

Office for Research Information Technology

Research Navigator

- [Research Navigator User Guide](#)

- Demo of functionality

URICA Updates

Post Doc Appointments

- All postdoc appointments, whether a first appointment or a re-appointment, must be for 12 months.
- Postdocs are free to leave early
- Appointments less than 12-months for postdocs need OPA pre-approval
- Exceptions Process:
  - Send an email explaining the reason for the exception (the postdoc has a job offer to start in six months, etc) to postdocs@northwestern.edu before sending the postdoc appointment form.
  - Once the exception is approved, submit the appointment form along with the exception approval so those can be filed together.
  - Exceptions are only granted in situations that are in the best interest of the postdoc, not the convenience of the PI.

- More Guidance at OPA website

Post Doc Appointments, cont'd

- Five Year Guidance
  - Ensures PIs are aware of how long their postdocs have been postdocs and that they are having conversations about career development and transition with their postdocs.
  - Protects postdocs

- Exceptions Process:
  - Send an email to postdocs@northwestern.edu with a short explanation before submitting the appointment form.

- More Guidance at OPA website

Sponsored Research
Research.gov (issues)

- Major issues with automatic checks in Research.gov
  - Possible sources of issues:
    - Margins (even if nothing there), ghost objects, pre-conversion to PDF
    - "Broader Impacts" – on own line, no numbering, needs the "s"
  - Not adapting until necessary
- Investigative teams may need to make revisions and try uploading directly
  - As the choices to get it through can impact how much fits and how

Sponsored Research
URICA RA Roles & Responsibilities

- URIC RAs do not complete technical documents
  - Includes Letters of Support drafts, and facilities
  - Can help with templates, finding examples, or others to contact though
  - Under exceptional circumstances only, and if time permits, we may be able to provide more assistance

- Not the primary personnel document holder
  - Department, or if via URIC primarily URIC staff
  - URICA RA can provide "this proposal" info, advise, and share previous

[Northwestern Research Roles and Responsibilities](#)

Area/Function Responsibility Description	Responsible Party	Notes
Pre-Award Administration		
Solicitation Review	URICA RA	
Budget Development	URICA RA	
Compliance Alignment	URICA RA	Compliance to soliciation and internal policy
Advise on Proposal Submission/Provide Checklists	URICA RA	
Coordinate Proposal Components	URICA RA	includes coordination of personnel documents, but not creation
Facilitate Completion of Internal Admin. Documents	URICA RA	does not include complete personnel-type documents
Proposal System Entry (i.e. InfoEd)	URICA RA	
Coordinate w/OSR and OSR Review	URICA RA	PI and URIC staff consulted when relevant review comments are made
Support Timely Submission (via required system)	URICA RA	PI maintains primary responsibility
Provide at-time-of-submission decision-making	PI	If PI is not available on day of submission, proposal should be submitted early or proxy identified
Provide all technical documents (in proper format)	PI/URIC Staff	Includes drafting institutional support letters & facilities documents;
Align submission of Just-in-time materials	URICA RA	
Post-Award Administration		
Upon award, advise upon proposal documents and help facilitate any just-in-time	URICA RA	Note, what would not be included here is major rebudget planning, URICA would move to an advisory role in major rebudgets
Serve as Liaison for Awards between internal offices and school	URIC Staff	E.g. Facilitate inquiries from OSR or ASRSP and relevant response
Effort Reporting: Pre-Review & Post-Review; Completion & Tracking	URIC Staff	Would provide comprehensive oversight and monitoring of effort reporting
Assist in Coordination & Tracking Compliance Protocols (e.g. IRB)	URIC Staff	Support for the programmatic staff in ensuring compliance
Process Non-Financial Award Modifications (InfoEd Change Requests)	URIC Staff	
Process Financial Award Modifications (InfoEd Change Request: budget related)	URIC Staff	Aligns with financial support, and would work together
Subawards: Issuing subcontracts	URIC Staff	
Subawards: Subcontract Modification (extension/amendment)	URIC Staff	
Subawards: Monitoring performance	URIC Staff	Programmatic (is work being done) & financial (are invoices being received/paid)
Facilitate Progress Report Submission and RA Related Components	URIC Staff	Includes effort reporting and finanical reporting oversight
Coordinate Close-Out Process with ASRSP	URIC Staff	
Financial Management and Transactions		
Review and Reconcile Monthly Reports	URIC Staff	Transaction review for processing QA/QC; URICA RA to advise upon allowability
Workflow Review & Transaction Entry for Awards	URIC Staff	Entry into NU Financials system
Understand NU Financial Processing and Implement	URIC Staff	Processing the needed activity in financial system, including account codes needed
Workflow Approval for Awards	URIC Staff	
Cost Transfers, Journals, and Corrections	URIC Staff	URICA RA would advise when cost transfer needs are identified
Payroll Deployment to Awards & Additional Pay processing	URIC Staff	myHR input; entering and ensureing payroll is processed
Additional Pay - Liaison for OSR approval and OSR questions/concerns	URIC Staff	KSM staff will indicate status to URICA RA when OSR follow-up is needed
Advise upon Cost-Principles & Allowability, Including Award Specific Requirements	URIC Staff	Advising upon transactions for sponsor & compliance guidelines
Monitoring for Award Performance (Deficits/Surplus/Trajectory)	URIC Staff	Reviewing alignment to award and proposal plan; review deviations with investigators
Monitoring for Award End Dates/Reporting/Extension	URIC Staff	
Programmatic Oversight		
Serve as Single Point of Contact for Programmatic Issues	PI	PI responsibility and responsiveness required for programmatic oversight
Complete Progress Report Narratives	PI	
Oversee Programmatic Deliverables	PI	

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Closing & Questions

THANK YOU!!