

# URIC

Administrative Meeting  
December 18, 2020

# Agenda

## December 18, 2020

TIME	TOPIC	PRESENTER
9:00 – 9:10	Introduction & Overview	Joe Boes
9:10 – 9:30	OSR: Troublesome Clauses	Kirk Samson
9:30 – 9:40	Sponsored Research and URICs	Joe Boes
9:40 - 9:50	Corporate Card Policies and Processes Review	Alexandra Manetas
9:50 - 10:00	Budget/Finance and URICs	Joe Boes

# Introduction & Overview

- Today's Agenda
- Extra Days from President, "POD" in Kronos
- Quarterly Projections – Thank you!
- Year-end Reports
  - Proposals & Awards; Revenue Sources; Operations Evaluation
- PAC forms – URIC staff role important to maximize submission quality

# Troublesome Clauses for Universities

Kirk Samson

Senior Contract & Grant Officer

Sponsored Research

# Troublesome Clauses

## Background

- Unless a **gift**, all funding comes with terms and conditions (T&Cs)
- Some T&Cs are particularly challenging because Northwestern is
  1. **academic** (business needs versus research freedom)
  2. **non-profit** (financial aspects and risk)
- Working with commercial partners can be difficult because they are used to working with 'vendors' with very different expectations and requirements.

The Honeywell logo, featuring the word "Honeywell" in a bold, red, sans-serif font.The Facebook logo, consisting of the word "facebook" in a white, lowercase, sans-serif font on a dark blue rectangular background.

# Troublesome Clauses

Intellectual Property (IP): proprietary data & publication

- As an academic institution, Northwestern's primary purpose is to conduct and disseminate research:
  - **Ownership:** (per INVO) we always\* maintain the right to inventions and IP developed in a research project, but offer a license to the sponsor for their use.
  - We don't do '**work for hire**'
  - **Publication** review period is acceptable, but requiring ***approval*** is not.
    - To take out confidential information and allow for the filing of patents / IP protection
- Liability and Indemnification:
  - Commercial partners are going to use and commercialize the research results – so they need to accept the risk (and costs) of things going wrong.
  - Northwestern, as a non-profit, does not have the economic wherewithal to shoulder this burden. We require that we *be held harmless*.

# Trends in government oversight (overreach?)

## Foreign Nationals, Export Control and Foreign Talent Programs T&Cs:

- Increasing scrutiny, particularly with certain sponsors (DOE, DARPA, NIH)
- Can conflict with “Fundamental Research” exclusion
  - We require an exception **letter from the gov’t CO** (on letterhead) if certain clauses appear.
- Cybersecurity / NIST: friendly reminder – we don’t do **anything** classified. Even for CUI/sensitive, though, we have some issues with training and security requirements.
- Highly recommend the use of our NU template for gov’t subcontracts! If you don’t have that, let me know and I will provide.

# Impact and Action

## Impact

- Problematic terms will likely require time-intensive negotiation, but we **can't 'jump' these agreements up to the front of the line.**
- If unable to negotiate T&Cs out, Northwestern will not accept absent a exception to policy – these can go up to Milan / VPR.
- Delays in award review and set-up, increased burden on research administration in all areas
  - May require INVO, OGC, OR leadership involvement.

## Action – how you can help

- Be aware of main issues, understand why they are relevant to the university and that our position is to protect all research and researchers
- Highlight to OSR when troublesome T&Cs are found
- **Flag for faculty members ASAP** to manage expectations.
- Highlight problematic T&Cs early – we can provide some productive negotiations tools and supportive commentary (especially true of the non-profit issue!).



# Resources

## Sponsored research team:

- <https://osr.northwestern.edu/agreements/>



## Federal Demonstration Partnership:

- [http://thefdp.org/clauses/assets/File/Guide\\_Troublesome\\_Clauses\\_Oct\\_2012.pdf](http://thefdp.org/clauses/assets/File/Guide_Troublesome_Clauses_Oct_2012.pdf)

## UIDP – Researcher Guidebook:

- <https://www.uidp.org/wp-content/uploads/documents/Researcher-Guidebook.pdf>



# Sponsored Research and URICs

# Award Set-up

## Standard Expectations

- Goal is for total “with department” time to be less than 5-business days
- Check negotiation status with Cognos report (GM055)
  - OSR expectation is that GOs will track and utilize
- For unique situations, remember and SP record in InfoEd is essential
  - Note, if this needs to involve URICA, lead time is critical
- Award set-up for URICA units is point of transition

Northwestern		Negotiation Status	
Institution Number	Main PI	Title	GCO
Department	Sponsor	Originating Sponsor	Institution, if Applicable
Negotiator	Create Date	Agreement Type	Agreement Status
Comment Date	Comments (Last 300 Characters)	Agreement Number	Agreement # /MTA #

# Award Set-up, Continued

## Terms and Conditions Impact

- Inclusion of any of the “Troublesome Terms” can cause significant delays
  - If you see troublesome term, highlight to OSR early to get it in queue (will get referred on as needed)
- Require additional technical expertise and review
  - IP language: INVO
  - Other terms: Contract Officer
- If does not meet standard OSR parameters, have to defer to Risk Management

# Pre-Spending

Prespending

Northwestern

Close Validate Submit Save

## PRESPENDING REQUEST

### Project Information

Tracking #:

CR0015399

• Linked Proposal

Add New

Sponsor Award # :

• Request Creator:

Boes, Joseph M

• What is the status of your project?

- ✓ The award has not yet been received and finalized so I need a new prespending chartstring
- The award has been received but I need an earlier start date
- The end date of my award is approaching and I need to prespend in advance of receiving an extension

Additional documents for OSR (optional):

Add New

Description:

Upload:

Three Relevant project status to select from:

- **New**, and need to start
  - Risky, depending on terms
- **Received**, but start earlier
  - Needs pre-spend authority... not always allowed
- **Continuation** of award, but pre-spend next period
  - Low risk if within existing budget
  - Think ahead on these to request early to avoid payroll issues
  - Think in conjunction with extensions, if not automatic

# Pre-Spending

## **Responsibility:**

- If NU cannot accept terms, or if award fails to be received for any reason, unit is responsible
- OSR or other offices are not responsible for any expenses if agreement cannot be reached
- For URICs, responsibility is local – we do not have any central budget to cover
  - Pre-spending can be very helpful, but weigh the risk
  - Always happy to discuss strategy and situations with URICs

## **Guarantee chart strings:**

- Need to truly be able to provide support to dollar amount
- URIC operating should not be utilized, unless discussed with (and approved by) URICA

## **Terms Unknown:**

- Foreign Nationals (particularly DOE) terms can cause some pre-spend costs to be invalidated
- Need to carefully evaluate if terms are not yet clear

[Link to all Change Request job Aids](#)

# Corporate Card Policies and Processes Review

# Corporate Card Process

- Please inform Joe Boes and/or Alexandra Manetas when intending to request a new card or make changes to your current card.
- Complete the [Northwestern Corporate Card Application and Agreement Form](#) (URL) to the Corporate Card office to request a new card or make changes to current card.
- Reminder: Cardholder is the only approved individual who can make purchases with card. Proxies cannot make purchases for cardholder.



# Corporate Card Reconciliation

- All transactions should be reconciled on an expense report in NUFinancials and approved within 30 days after the transaction occurs.
- Cardholders who have unreconciled transactions in My Wallet for more than 90 days will have their account suspended until the transactions are reconciled on an expense report.
- Cardholders who either transfer to a new department or leave the University should cease use of the card, notify the Corporate Card office, and return the card. Cardholders need to make sure all outstanding transaction are reconciled on an expense report and approved before leaving.
- <https://www.northwestern.edu/procurement/payment/corporate-card/docs/cardholder-guide.pdf>

# Budget/Finance and URICs

# Overview

## FY21:

- This year will review and track FY21 (Projections)
- We will start looking forward to FY22 needs

## Reminder

- Mid-year changes challenging, planning highly encouraged
  - Funding Request from OR: rarely, if ever, possible mid-year, needs to come via Annual Report
  - Management Budget Changes: typically, will just watch the variance (and URICA/OR should know if significant variance), rarely will changes be made to budget unless major size and includes revenue source alongside expense

# Budget Calendar: Office for Research ([link](#) – to PDF)

## FY 2021

September 2020						
Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

December 2020						
Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

March 2021						
Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

June 2021						
Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

October 2020						
Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

January 2021						
Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

April 2021						
Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

July 2021						
Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

November 2020						
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

February 2021						
Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28						

May 2021						
Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

August 2021						
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

### OBP Deadlines

	FY21 Quarterly Budget Due to OBP
	Forecast and Current Resource Request Due to OBP
	Resource Request for Operating & Capital
	Review Forecast Variance with OBP
	FY22 Resource Request to OBP -Operating & Capital

### Deadlines Internal to OR

	FY21 Forecast to OR Finance
	FY22 Major requests - Res Admin & Faculty Support
	FY22 Major requests - URIC to OR Finance
	Prior month financial info available

# FY21 Projections

## Anytime

- Keep in mind if any major budget shifts get identified, notify URICA, don't wait for next quarterly projection if major/\$50k+

## 1Q in December

- Thank you, important to catch major early variances at this time

## 2Q in March

- Increasingly accurate, coordinating with Core Facilities Admin this year
  - May mean a request for core-level (disaggregated)
- First baseline for Annual Report carryforward balances anticipated
  - If deviate from this significantly be sure to provide context for Annual Report
  - Changes are fine, just want to track and align consistently
  - Update then should also track to 3Q projection then if updated for Annual Report

## 3Q in June

- Should be very accurate to close, ensure to get all end of year captured
- Important to get a sense for capacity to budget use of fund balance
  - if 3Q projection carry-forward < management budget usage the disparity will need to be reconciled
  - Management budget will be reduced a use of fund balance consistent with 3Q Projections

# FY22 Planning

## FY22 Resource Requests - January

- Spend of carry-forward - existing resources, but not balanced
- Increase expense authority alongside new revenue - expansion/growth
- Requests for new funding - to be followed on in Annual Report, but need to capture at this point

## FY22 Annual Reports - May

- URIC Operating – request from OR, specific to OR provided URIC Operating
- Management budget (all funds) – category needs, shifts,
  - If didn't catch resource request, still note major differences at this point

# Closing & Questions

THANK YOU!!