

URIC

Administrative Meeting
October 28, 2021

Agenda

October 28, 2021

TIME	TOPIC	PRESENTER
9:00 – 9:05	Introduction & Overview	Joe Boes
9:05 – 9:20	ASRSP Introduction Executive Director of Financial Operations	LaShawnda Hall
9:20 – 9:40	HR Updates: PAC process ends & Other Updates	Beth Abbott
9:40 – 10:00	URIC Operations Updates	

Introduction & Overview

Agenda for today's meeting...

- Introduction to new ASRSP leader LaShawnda Hall
- HR Updates
 - Including implications of the end of Position Advisory Committee (PAC)
- URIC Operations Updates
 - General Updates & Year End
 - Financial
 - Sponsored Research
- FY22 Quarterly Forecast Deadlines

Introducing LaShawnda Hall

Executive Director of Financial Operations

October 2021

Northwestern

LaShawnda Hall

Executive Director of Research Financial Operations



Introduction

- 20+ years experience in higher education/academia
 - All aspects of research administration
 - Compliance
 - Strategic planning
 - Finance
- Places of employment:
 - Northwestern University
 - Chicago Public Schools
 - University of Illinois at Chicago (UIC)
 - University of Chicago
 - Fermi National Research Laboratory (Fermilab)

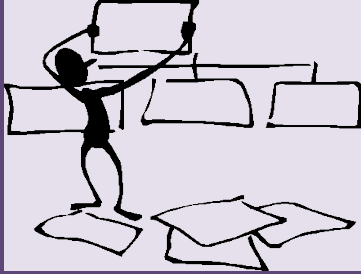
LaShawnda Hall

Executive Director of Research Financial Operations



- A few career accomplishments:
 - Established compliance divisions charged with oversight of federal funds and coordination of audit activity and self assessments at UIC and Fermilab
 - Lead a team charged with developing and implementing effort reporting system, policies, and trainings for campus at UIC
 - Developed campus-wide SOPs, streamlined fiscal processes, and implemented the use of metric reports to manage federal funds at UIC, University of Chicago and Fermilab

Areas of Focus



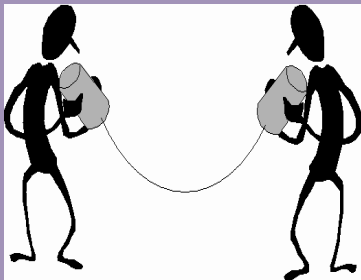
Staffing

- Filling vacant positions
- Assessing current structure to identify opportunities & reconfiguring organization chart
- Coaching & mentoring ASRSP Leadership Team
- Morale



Operations

- Single Audit and other compliance risks
- Updating ASRSP policies and addressing critical backlogs
- Assessing frequency of effort reporting
- Identifying ways to leverage technology more; process improvement initiatives
- Reconfiguring metric reports to enhance strategic & proactive planning



Relationships

- SR – how can we strengthen the partnership?
- Departments – how can we enhance our support?
- Other external colleagues - understand partnerships and challenges
- ASRSP Team – how can we work more collaboratively?

Initiatives Underway



Preparing team for transition into new organizational structure

Staffing

Redistributing workload & re-engineering processes

Establishing compliance division & communications plan



Working with SR to re-align tasks



Proposed changes to the frequency of effort certification



Updating policies



Developing an internal & external training curriculum



Updating the ASRSP Website

Questions, concerns or recommendations?

LaShawnda V. Hall

Executive Director of Research Financial Operations

Accounting Services for Research Sponsored Projects (ASRSP)

Northwestern University

lashawnda.hall@northwestern.edu

Chicago Campus Phone: 312.503.0839

Evanston Campus Phone: 847.491.4716

HR Updates & Hiring Processes

Beth Abbott

Vacant Positions

- Approval by Office for Research prior to entering in eRecruit – send request to Beth Abbott at b-abbott@northwestern.edu
- Follow normal process
- Requests must adhere to budget

Temps, both Student and non-Student

- Approval by Office for Research - Send the following Info to Beth Abbott
 - Nature of Work:
 - Essential Need:
 - Funding Source:
 - Work location (remote/on campus):
 - Duration (start/end):
 - Hourly rate (check minimum rates for Chicago and Evanston)
- I-9 sections 1 and 2 must be completed before temp can begin working

Temps, both Student and non-Student (cont.)

- If funded from a sponsored project work end date may not extend beyond the end date of the grant
- Follow normal process of entering via OnBase. Include relevant information (bullets above) in your request.
 - If hiring a Graduate Student, the Permission to Work (PTW) Form is required
 - Note: Temp Students may not work more than 20 hours/week
- Sourced Temps: <https://www.northwestern.edu/hr/for-managers/hiring/hire-temp-staff/sourced-temp-hiring-request-form-v10.4.2021.pdf>
- Requests must adhere to budget

New Staff Positions, Pay/Equity Adjustments, Reclassification Requests

- Review and Approval by Office for Research – send request to Beth Abbott and Joe Boes
- Office for Research sends to Compensation for review and confirmation
- Requests must adhere to budget

For more information on vacant positions, temp hiring, employee/staff requests please refer to Northwestern's Human Resources website: <https://www.northwestern.edu/hr/for-managers/hiring/post-pac-process-changes.html>

Staff Add Pay and Bonus Requests

- Requests reviewed by Office for Research by Beth Abbott and Claire Landis prior to submission to Compensation. Please provide the following:
 - Nature of work requiring Add Pay
 - Duration of Add Pay
- Add Pay requests outside of recommended guidelines and all bonus requests will require approval from VP HR and EVP after submission to Compensation
- Requests must adhere to budget
- For more information on Add Pays please refer to Northwestern's Human Resources website: <https://www.northwestern.edu/hr/for-managers/payroll-administration/additional-pay.html>

Submitting Additional Pay Requests

- URICs are not deployed to use the online additional pay submission system; administrators should submit a signed paper [Additional Pay Form](#) to Barbara Beeuwsaert at: barbarab@northwestern.edu
 - The form must be signed by the Requestor and Dept/Business Administrator for the unit submitting the request, and includes any justification information
- The Office for Research Administration will submit Additional Pay request via myHR, request will be routed to workflow for Home School, School approval and HR-Ops for payment

Submitting Additional Pay Requests

- If requesting additional pay on sponsored projects, additional justification is needed
 - REQUIRED: [Justification for Additional Pay from Sponsored Projects](#); [Additional Pay Rate of Pay Calculator](#) and supporting documentation (e.g. myHR salary panel screenshot or market competitive rate support); and final budget justification
 - AS APPLICABLE: relevant sponsor documentation; [Over 90 Day Memo](#)
- If requesting additional pay for Graduate Students, the Permission to Work (PTW) Form is required

Independent Contractors (ICQ)

- Prior to sending to Compensation for their approval, please send to Beth Abbott for review and confirmation.
- Send approval email along with the ICQ to Compensation.

Staff Budgeted on Sponsored Research

- Feel free to reach out Beth Abbott for discussion of salary ranges for positions you are considering

URIC Operations Updates

Joe Boes

General Updates and Year-end

- Forecasting: Amazing job to all! Thank you!
 - Right on the money!
- Year-end reports & evaluation
 - Proposals & Awards
 - Revenue Sources
 - Operations Evaluation
- Communications SOP coming...
 - How we will communicate with you and amongst office updates
 - What we expect from URICS
 - We will want your feedback to adapt and improve

FY22 Budget Update

- Budget packets send & URIC allocation transferred
 - September close should reconcile to match GL077 to budget total
- Other transfers
 - Reminder that transfers other than standard operating need to be requested by the unit/URIC receiving
 - Best Practice: complete any transfers in first quarter that are possible

FY22 Quarterly Forecast Deadlines

- December 8th – Q1 Forecast Due to URICA
- March 9th – Q2 Forecast Due to URICA
- Jun 13th – Q3 Forecast Due to URICA

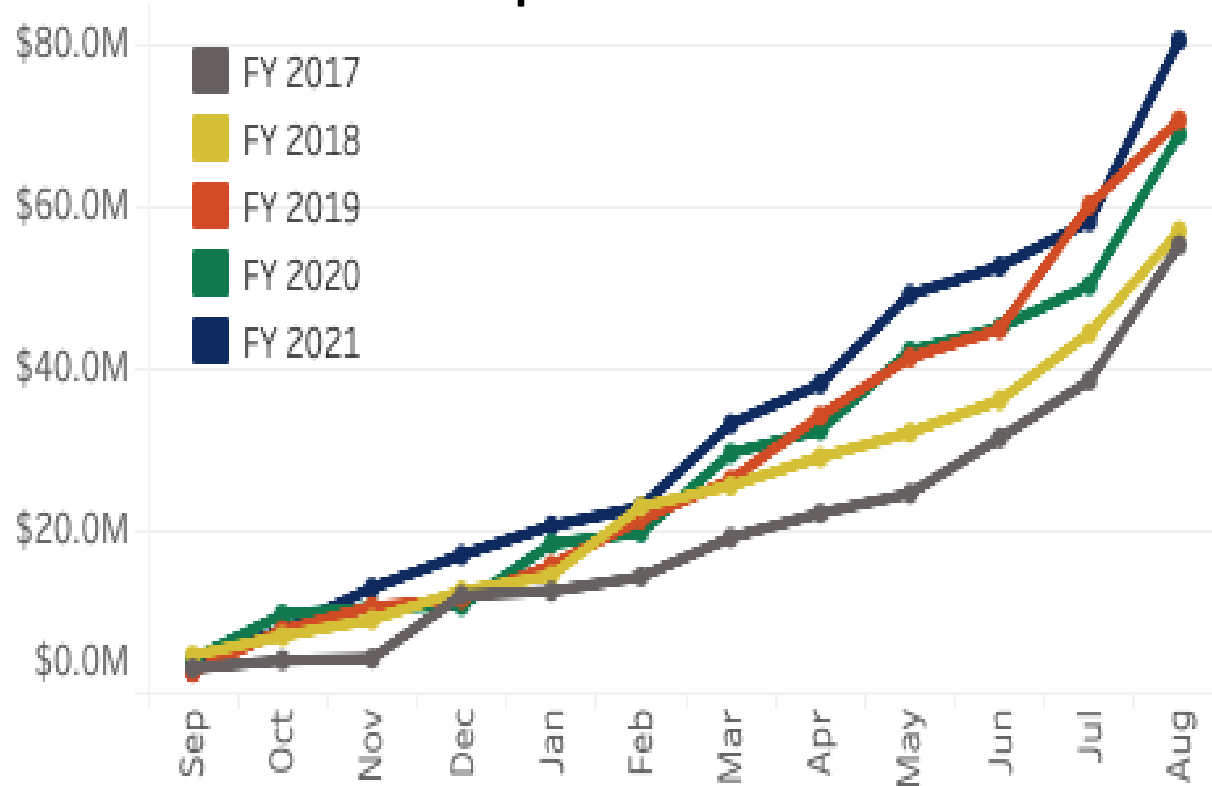
Sponsored Research Updates

Change is coming...

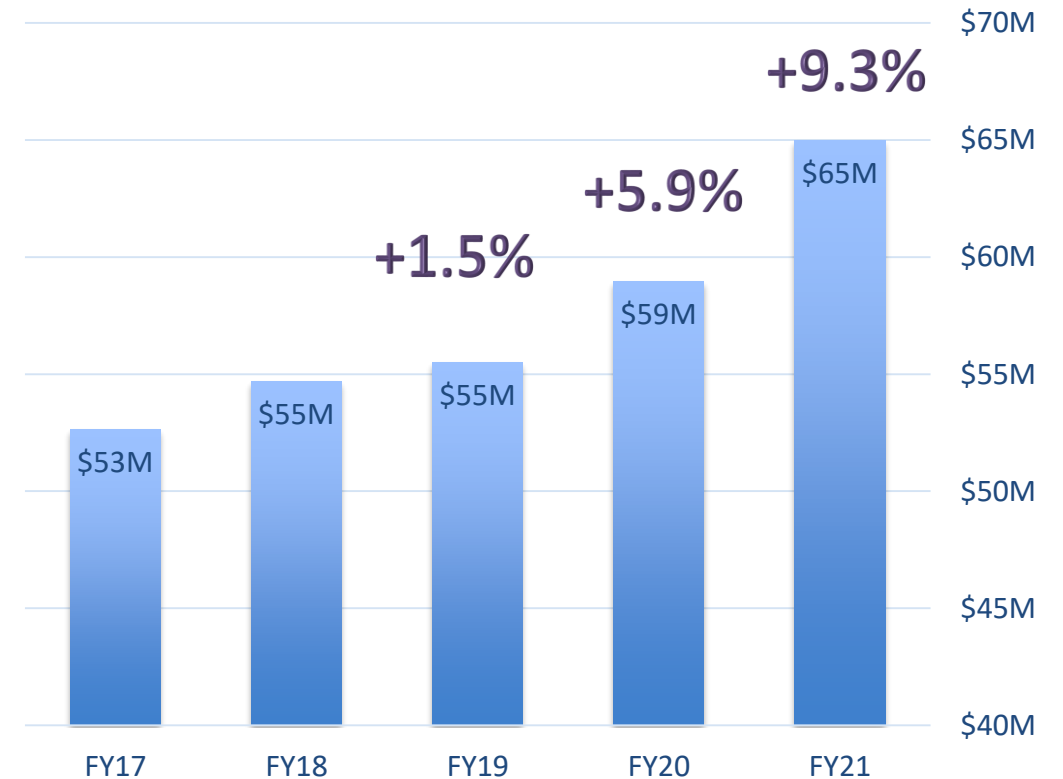
- Capsules (URICs in Capsule 4)
 - Team and function based (containing escalation, varied experience, built-in back-ups, quarterly meeting opportunities, etc.)
 - Early January Target
 - For URICs doing your own pre-award, your Sponsored Research Office team will likely change
- Project Award Summary – WE NEED YOUR FEEDBACK!
 - What is most useful in appropriations notes?
 - What do you use this for and is most important?
 - Changes coming... including a possible role-based directory
- Huron Grants software
 - Project re-initiated to convert from InfoEd... more to come (18+ month project)

Sponsored Research Activity

Sponsored Awards



Sponsored Expenditures



Show off time for URICs...

- Best Poster at 2021 SRA International Conference
 - [Where's the Data? Take a Trip on the Data Road to Informed Decisions](#)
 - <https://www.sraannualmeeting.org/2021/symposium.cfm>
- Based upon Best Practices forum presentation
- Big thank you to all URIC staff and all OR colleagues!

WHERE'S THE DATA?

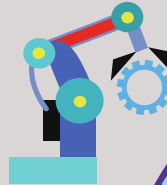
Take a Trip on the Data Road to Informed Decisions

Joseph Boes, Nicholas Angeloni & Fruma Yehieli
Northwestern | RESEARCH

GATHER PARTS



ASSEMBLE COMPONENTS



CREATE DASHBOARDS



TAKE A TEST DRIVE



DECISIONLAND
More metrics. Less time investment.

1. START HERE.

- learn about enterprise system data
- evaluate existing data from enterprise systems
- standardize self-reported data
- establish persistent identifiers to cross-reference data
- keep ONE system of record

2. USE SMARTSHEET.

- non-enterprise system data lives here
- use forms to collect consistent data
- collaborate easily
- single source of truth
- Tableau integration

3. USE TABLEAU.

- offers clean data with a graphical interface
- live data connections from enterprise systems
- preserves, cleans and integrates data
- multiple sources can be linked
- easily publish and share reports
- build dashboards

4. DECISIONS AND REVISIONS.

- what does sustainability look like?
- are we staffing equitably and in line with scope factors?
- where are growth areas and bottlenecks?
- are there common factors indicating need for intervention?
- determine how performance "shows up"

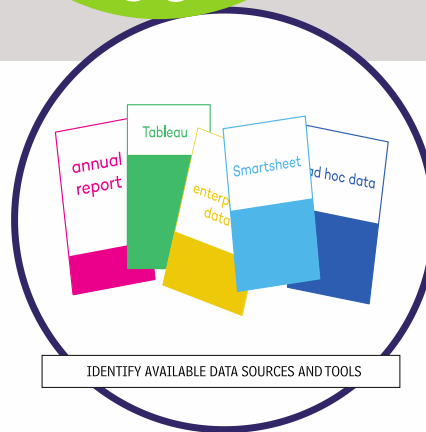
5. USE DATA.

- are we making the right decisions?
- are we asking the right questions?
- do we have the right data inputs?
- refine. refine. refine.

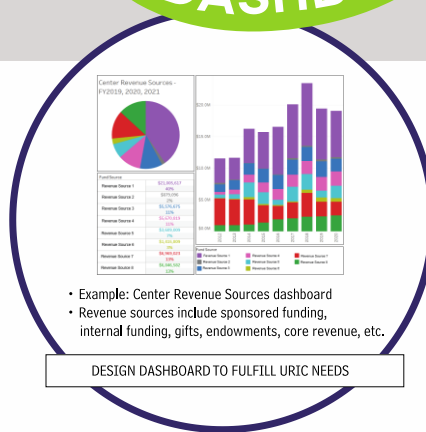
THE
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JOURNEY



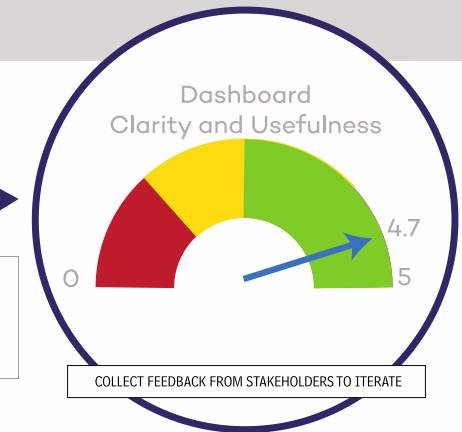
PROBLEM:
High level of
diversity amongst
URICs, lots of
data, little time
for analysis



**GATHER RELEVANT
DATA:**
Use a format
enabling automation
and single
source-of-truth



**LISTEN TO
YOUR USERS
AND YOUR
AUDIENCE**



POSTER DESIGN by JULIE COWAN - jcowan@ndpint.com

Closing & Questions

THANK YOU!!