URIC
Administrative Meeting
October 28, 2021
<table>
<thead>
<tr>
<th>TIME</th>
<th>TOPIC</th>
<th>PRESENTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:00 – 9:05</td>
<td>Introduction &amp; Overview</td>
<td>Joe Boes</td>
</tr>
<tr>
<td>9:05 – 9:20</td>
<td>ASRSP Introduction</td>
<td>LaShawnda Hall</td>
</tr>
<tr>
<td></td>
<td>Executive Director of Financial Operations</td>
<td></td>
</tr>
<tr>
<td>9:20 – 9:40</td>
<td>HR Updates: PAC process ends &amp; Other Updates</td>
<td>Beth Abbott</td>
</tr>
<tr>
<td>9:40 – 10:00</td>
<td>URIC Operations Updates</td>
<td></td>
</tr>
</tbody>
</table>
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 Resaerch
• 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

<table>
<thead>
<tr>
<th>Initiative</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparing team for transition into new organizational structure</td>
<td>Staffing, Redistributing workload &amp; re-engineering processes, Establishing compliance division &amp; communications plan</td>
</tr>
<tr>
<td>Working with SR to re-align tasks</td>
<td></td>
</tr>
<tr>
<td>Proposed changes to the frequency of effort certification</td>
<td></td>
</tr>
<tr>
<td>Updating policies</td>
<td></td>
</tr>
<tr>
<td>Developing an internal &amp; external training curriculum</td>
<td></td>
</tr>
<tr>
<td>Updating the ASRSP Website</td>
<td></td>
</tr>
</tbody>
</table>
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
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

FY21
FY20
FY19
FY18
FY17

FY21
FY20
FY19
FY18
FY17

$70M
$65M
$60M
$55M
$50M
$45M
$40M

+9.3%
+5.9%
+1.5%

Northwestern
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!
Closing & Questions
THANK YOU!!