URIC
Administrative Meeting
December 17, 2019
# Agenda
## December 17, 2019

<table>
<thead>
<tr>
<th>TIME</th>
<th>TOPIC</th>
<th>PRESENTER</th>
</tr>
</thead>
<tbody>
<tr>
<td>9:00 – 9:10</td>
<td>Introduction &amp; Updates</td>
<td>Joe Boes</td>
</tr>
<tr>
<td>9:25 – 9:40</td>
<td>Research Integrity: Responsible Conduct of Research</td>
<td>Kelly Xintaris</td>
</tr>
<tr>
<td>9:40-10:00</td>
<td>HR Topics: HR SOP for URIC Activities; PEX; Other Updates</td>
<td>Beth Abbott &amp; Joe Boes</td>
</tr>
<tr>
<td>10:00-10:20</td>
<td>URICA: Annual Reports - Timing; Position &amp; “Dept” Naming Alignments</td>
<td>Joe Boes</td>
</tr>
<tr>
<td>10:20 - 10:30</td>
<td>Closing &amp; Questions</td>
<td>Joe Boes</td>
</tr>
</tbody>
</table>
Updates

- **Website Updates**: [https://urica.northwestern.edu](https://urica.northwestern.edu)
  - **Staff Contacts**
    - Now added communications contacts, additional subset lists, and refined categories
    - Will drive invite and attendance to this meeting
  - **HR SOP** Published (more later)
  - Reminder: slides for this meeting are published to website (if you cannot attend, please review!)
  - Coming: Onboarding template

- Mandatory Harassment & Discrimination Prevention Training
- 1Q 2020 Quarterly Projections
- Office 365 Migration
ASRSP: Facilities & Administration Rates

Jennifer Mitchell
FY17 Facilities & Administrative (F&A) Rate Proposal/Negotiation and ASRSP Staff Update

Jennifer Mitchell
Associate Executive Director
Financial Research Administration
F&A (Indirect Costs) Rate Negotiation
Before We start – What is F&A?

- Facilities and Administrative rate
- F&A = Overhead = Indirect Costs
- Mechanism used to reimburse research costs
- Calculated F&A Rate =

\[
\text{Indirect Costs of Organized Research} \div \text{Direct Costs of Organized Research}
\]

What costs are included?
The Numerator - F&A Costs

* Allowable indirect costs funded by Northwestern
FY17 F&A Rate Proposal Submission and Negotiation

- Final space and salary data submitted to DHHS/CAS April 16
- 6 departments selected for onsite space and equipment reviews the week of May 6
- Interview prep meetings with 6 departments held week of April 22
- Potential additional PI interview prep meetings week of April 29
- Negotiation May to September 2019
- Rates finalized late September
# Negotiated F&A Rates

<table>
<thead>
<tr>
<th>Program Type</th>
<th>Fiscal 2020-2021 (9/1/19-8/31/21)</th>
<th>Fiscal 2022 and Beyond (Starting 9/1/21)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sponsored Research – on campus</td>
<td>58.00% MTDC*</td>
<td>60.00% MTDC*</td>
</tr>
<tr>
<td>DoD Contracts – on campus</td>
<td>59.00% MTDC*</td>
<td>61.00% MTDC*</td>
</tr>
<tr>
<td>Other Sponsored Activity – on campus</td>
<td>36.00% MTDC*</td>
<td>36.00% MTDC*</td>
</tr>
<tr>
<td>Sponsored Instruction – on campus</td>
<td>51.00% MTDC*</td>
<td>51.00% MTDC*</td>
</tr>
<tr>
<td>All Programs – off campus</td>
<td>26.00% MTDC*</td>
<td>26.00% MTDC*</td>
</tr>
</tbody>
</table>

- Provisional rates finalized; all rates remain the same
- FY20 and FY21: rates remain the same
- Starting FY22: On-campus Organized Research Rate increased to 60%
- Next F&A Base Year: FY22
- A 1% increase of On-campus, Organized Research Rate generates ~$2.1 million in unrestricted revenue
- Rate agreement available from the Cost Studies website: [https://www.northwestern.edu/coststudies/docs/northwestern-negotiated-fa-agreement_2019.pdf](https://www.northwestern.edu/coststudies/docs/northwestern-negotiated-fa-agreement_2019.pdf)
60% F&A Rate Starting FY22 – What Does It Mean?

For every one dollar received, 63% is Direct and 37% is indirect ($1/1.60 = $0.63)

Facilities
Total: 21¢

Operations & maintenance (e.g., Utilities): 9¢
Equipment: 2¢
Interest: 3¢
Building: 6¢
Libraries: 1¢

Research salaries and employee benefits
Equipment
All subcontracts and other direct charges
Other Allowable expenses

Dept Admin, HR, etc.

Administration Total: 16¢
Non-Federal F&A Rates

<table>
<thead>
<tr>
<th>Sponsored Research</th>
<th>FY20 &amp; Future Years On-Campus Rate/Base</th>
<th>FY20 &amp; Future Years Off-Campus Rate/Base</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>69.64% MTDC*</td>
<td>34.62% MTDC*</td>
</tr>
<tr>
<td>Other Sponsored Activity</td>
<td>43.85% MTDC*</td>
<td>32.84% MTDC*</td>
</tr>
<tr>
<td>Sponsored Instruction/Training</td>
<td>83.81% MTDC*</td>
<td>58.03% MTDC*</td>
</tr>
<tr>
<td>Industry Clinical Trials</td>
<td></td>
<td>32.0% TDC**</td>
</tr>
</tbody>
</table>

- What should we do if the sponsor demands to pay a lower F&A rate? Please consider if the following approach is feasible.
  - Fixed price contract
  - Use Total Direct Cost (TDC) as the Base instead of MTDC
  - Included in budget to direct charge allowable indirect cost items such as printer

- Commercial contractors and industry are not subject to the 26 percent administrative cap
FY17 Research Base Increase (in millions)

**Research Rate**
= Facilities & Administrative Cost Supporting Organized Research

**Research Base**
(Direct Cost + Cost Share)

<table>
<thead>
<tr>
<th></th>
<th>FY10</th>
<th>FY14</th>
<th>FY17*</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Research Base (MTDC</strong>)**</td>
<td>251.3</td>
<td>251.3</td>
<td>297.6</td>
</tr>
<tr>
<td>$ Increase</td>
<td>0</td>
<td>0</td>
<td>46.3</td>
</tr>
<tr>
<td>% Increase</td>
<td>0%</td>
<td>0%</td>
<td>18.4%</td>
</tr>
</tbody>
</table>

* Modified Total Direct Cost excludes capital equipment, patient care, subcontracts in excess of the first $25K, tuition/stipends, amortization, and internal telecommunication expenses.
Research Space Coding

<table>
<thead>
<tr>
<th></th>
<th>FY14</th>
<th>FY17</th>
<th>Space Growth from FY14</th>
<th>% Growth from FY14</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Space (ASF*)</td>
<td>1,017,577</td>
<td>1,110,540</td>
<td>92,963</td>
<td>+9%</td>
</tr>
<tr>
<td>Total Space (ASF)</td>
<td>6,428,918</td>
<td>6,597,381</td>
<td>168,463</td>
<td>+3%</td>
</tr>
<tr>
<td>Percent of Total Space</td>
<td>15.8%</td>
<td>16.8%</td>
<td></td>
<td>+1%</td>
</tr>
</tbody>
</table>

* Assignable Square Feet

- No new research buildings in FY17
  - Mudd building and Simpson-Querrey not online in FY17
- Research space coding increased by 1% of total space (92,963 ASF)
  - Changes:
    - Thank you for your help! Cost Studies met with 49 departments to review research space and find opportunities
    - Definition of vacancy enforced; more research space was coded
Cost Share Analysis

Cost Share is the costs funded by Northwestern instead of sponsors, either mandated or voluntary committed, and is required to be included in F&A Bases such as Organized Research.

<table>
<thead>
<tr>
<th>School or Area ($ in millions)</th>
<th>FY14</th>
<th>FY15</th>
<th>FY16</th>
<th>FY17</th>
<th>FY17 vs. FY14 $</th>
<th>FY17 vs. FY14 %</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL</td>
<td>16.60</td>
<td>19.13</td>
<td>23.17</td>
<td>26.10</td>
<td>9.5</td>
<td>57%</td>
</tr>
</tbody>
</table>

Fund 191 to 193:

<table>
<thead>
<tr>
<th>Fund ($ in millions)</th>
<th>FY14</th>
<th>FY17</th>
</tr>
</thead>
<tbody>
<tr>
<td>191-Mandatory Cost Sharing</td>
<td>2.32</td>
<td>1.85</td>
</tr>
<tr>
<td>192-Over-the-Cap Commitment</td>
<td>13.60</td>
<td>18.41</td>
</tr>
<tr>
<td>193-Voluntary Committed</td>
<td>0.68</td>
<td>5.84</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>16.60</strong></td>
<td><strong>26.10</strong></td>
</tr>
</tbody>
</table>

* Analysis per Indirect Cost Reports

- Federal Direct Growth per Indirect Cost Reports: +14% from FY14 to FY17
ASRSP Staff Updates
ASRSP Staff Updates

Welcome to ASRSP!

- Maria Jimenez, Grant & Contract Financial Administrator
- Renee Stokes, Senior Accounting Representative
- Parvez Siddiqui, Senior Accounting Representative
- Sonya Roy-Singh, Senior Accounting Representative
- Ricardo Torres Jr., Senior Accounting Representative
ASRSP Staff Updates

Promotions in ASRSP!

– Sara Baciak, Senior Grant & Contract Financial Administrator
– Jacky Sancen, Grant & Contract Financial Administrator
– Zoe Sing, Grant & Contract Financial Administrator
– Silvana Sabatino, Assistant Grant & Contract Financial Administrator
– Rosanna Sian, Expenditure Audit Coordinator
Thank You
Research Integrity: Responsible Conduct of Research

Kelly Xintaris
Overview of RCR Training Requirements

Kelly Xintaris
Research Training Manager
Office for Research Integrity

researchintegrity.northwestern.edu
ORI & RCR

Office for Research Integrity

• Promotes research integrity and the responsible conduct of research
• Serves as a confidential source for reporting research-related concerns
• Facilitates review of alleged research misconduct
• Helps researchers navigate complex research compliance and administrative arenas
• Creates and facilitates training seminars
• Monitors compliance with NSF RCR training requirements
Goal is for anyone involved in research to perform the most ethical research possible.

RCR training topics generally include:
- Authorship
- Plagiarism
- Peer review
- Research misconduct
- Data management
- Collaborative research
- Conflict of interest
- Animal subjects welfare
- Human participant protections
- Mentoring
RCR Training at Northwestern

- Strongly encouraged for all students, staff, and faculty involved in research

- Federal regulations require RCR
  - National Institutes of Health (NIH)
  - National Science Foundation (NSF)

- Northwestern schools, departments, and programs have policies that detail who needs to complete RCR
  - Some schools/departments require RCR training for all PhD students and postdoctoral researchers, regardless of funding
    - McCormick School of Engineering (all departments)
    - Weinberg College of Arts & Sciences: Chemistry dept.
NIH RCR Training Requirements

- All individuals (undergraduate students, graduate students, postdoctoral researchers, fellows, participants, scholars) who receive funding or support from specific types of NIH awards must participate in RCR training
  - Awards included: NIH training awards, individual career development awards (K), institutional career development awards, research education grants, research service awards (NRSA) and/or dissertation research grants

- At Northwestern:
  - WBT is not acceptable. May be appropriate for short programs.
  - ILT is REQUIRED (minimum 8 hours), at every career stage and at least every 4 years
  - Training faculty and sponsors/mentors are highly encouraged to contribute both to formal and informal instruction
NSF RCR Training Requirements

- All undergraduate students, graduate students, and postdoctoral researchers supported by any NSF award must complete RCR training
  

- At Northwestern:
  - All WBT is via the CITI platform (www.citiprogram.org)
  - For ILT:
    - Graduate students must register via CAESAR
    - Postdocs must register via myHR Learn (learn.northwestern.edu)
## NSF RCR Training Requirements

<table>
<thead>
<tr>
<th></th>
<th>Web-Based Training (WBT, CITI)</th>
<th>Instructor-Led Training (ILT)</th>
<th>Timeframe from “Earns Begin / Journal From” date</th>
<th>Mandatory?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergrad Students</td>
<td>YES</td>
<td>NO</td>
<td>60 days</td>
<td>YES</td>
</tr>
<tr>
<td>Grad Students &amp; Postdocs*</td>
<td>Department-dependent</td>
<td>YES</td>
<td>1 year</td>
<td>YES</td>
</tr>
</tbody>
</table>

- The PI of the NSF grant is ultimately responsible
- All salary charges for non-compliant trainees must be removed from the NSF award and charged to a non-sponsored account
- myHR Learn automatically assigns RCR training “curriculums” (WBT & ILT)

* If a trainee leaves before 1 year, a minimum of WBT must have been completed to be compliant.
NSF RCR Training Requirements

- Visiting Scholars and Visiting Postdoctoral Fellows
  - Must complete RCR ILT training with their affiliated school or department.
  - Some schools and departments also require RCR WBT.
  - Visiting Scholars who are faculty at another institution are not required to take RCR training.

- Faculty and Staff
  - Faculty who receive funding or support from any NIH training, an individual career development award, an institutional career development award, a research education grant, and/or a dissertation research grant, must complete RCR training.
  - Staff involved in research conduct may be interested in RCR education and are encouraged to explore available training opportunities.
How myHR Learn “Assigns” RCR Training

- myHR Learn sends training assignment via email to trainee after salary is first charged to the NSF award (“Earns Begin” date)
- Trainees receive notifications for each curriculum (WBT, ILT) assigned based on their “job type”

Ruth Mary Martin,

A new curriculum of courses has been added to your learning plan. This means you have an exciting learning opportunity ahead of you. Depending on your job, this may also be a regulatory training requirement. You can get started!

Trainee Name,

RCR curriculum for graduate students and postdoctoral researchers-ILT

INFORMATION

Start Date: 29-OCt-2015
Target Completion Date: 28-OCt-2016

Next ...

Go to the Curriculum Page where you will get guidance on what courses you can take, and how to get started. Have fun learning.
Feinberg School of Medicine
1. Colloquium on Integrity in Biomedical Research (IGP 494-0)
2. Taking Responsibility for the Responsible Conduct of Research (NUCATS)

McCormick School of Engineering
1. RCR Training: MEAS General (GEN_ENG 519-0)

School of Communication
1. RCR Training: Media, Technology, and Society (MTS 519-0)

School of Education and Social Policy
1. RCR Training: Human Development and Social Policy (HDSP 519-0)
2. RCR Training: Learning Sciences (LRN_SCI 519-0)

Weinberg College of Arts & Sciences
1. RCR Training: Anthropology (ANTHRO 519-0)
2. RCR Training: Chemistry (CHEM 519-0)
3. RCR Training: Earth and Planetary Sciences (EARTH 519-0)
4. RCR Training: Economics (ECON 519-0)
5. Ethics in Biological Research: Interdisciplinary Biological Sciences (IBIS 423-0)
6. RCR Training: Interdisciplinary Biological Sciences (IBIS 519-0)
7. RCR Training: Linguistics (LING 519-0)
8. RCR Training: Mathematics (MATH 519-0)
9. Conduct in Neuroscience Research: Interdepartmental Neuroscience Program (NUIN 490-0)
10. RCR Training: Physics and Astronomy (PHYSICS 519-0)
11. RCR Training: Political Science (POLI_SCI 519-0)
12. RCR Training: Psychology (PSYCH 519-0)
13. RCR Training: Sociology (SOCIOL 519-0)
14. RCR Training: Statistics (STAT 519-0)
Registration for RCR ILT:
Graduate students & Postdocs

Notification to trainee
& Trainee on compliance report

GRAD Student?

YES

Enrolls through CAESAR, completes the ILT & CAESAR info in MyHR Learn

NO

Enrolling through MyHR Learn, completes the ILT & grades directly entered in MyHR Learn

Good Job! The trainee is compliant!
RCR WBT courses for Northwestern (on the CITI platform):

1. **RCR course for undergraduate students**
2. **RCR course for graduate students and postdocs**

Both courses consist of these modules:

1. Introduction to RCR
2. Authorship
3. Collaborative Research
4. Conflicts of Interest
5. Data Management
6. Mentoring
7. Peer Review
8. Research Misconduct
9. Plagiarism

The grad/postdoc course also has a Human Subjects Research module.
<table>
<thead>
<tr>
<th>Person</th>
<th>Science Foundation</th>
<th>Full Name</th>
<th>Student Curriculum</th>
<th>Person</th>
<th>Curriculum Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aditya Griffin</td>
<td>ECECS Electrical Eng &amp; CS Dept</td>
<td>16-Jul-17</td>
<td>17-Aug-17 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Aaron Oliver</td>
<td>Ctr Interdis Explor Phys &amp; Astro</td>
<td>1-Mar-15</td>
<td>21-Oct-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Aaron William Kirk</td>
<td>General FAS - Grad Fellowships</td>
<td>1-Sep-17</td>
<td>25-Oct-17 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Aaron William Kirk</td>
<td>General FAS - Grad Fellowships</td>
<td>1-Sep-17</td>
<td>25-Oct-17 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Aaron Yeast</td>
<td>MSE Materials Sci &amp; Eng Dept</td>
<td>29-Jan-17</td>
<td>17-Aug-17 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Abbas Haddadi</td>
<td>Center For Quantum Devices</td>
<td>29-Jan-17</td>
<td>17-Aug-17 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Abbas Haddadi</td>
<td>Center For Quantum Devices</td>
<td>29-Jan-17</td>
<td>17-Aug-17 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Sobhathan Diggan</td>
<td>Chemistry</td>
<td>1-Feb-16</td>
<td>4-Dec-16 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Sobhathan Diggan</td>
<td>Chemistry</td>
<td>1-Feb-16</td>
<td>4-Dec-16 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Nihita Gustavo</td>
<td>Mechanical Eng Dept</td>
<td>27-Aug-15</td>
<td>17-Feb-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Nihita Gustavo</td>
<td>NIMES Mechanical Eng Dept</td>
<td>27-Aug-15</td>
<td>17-Feb-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Nihita Gustavo</td>
<td>NIMES Mechanical Eng Dept</td>
<td>27-Aug-15</td>
<td>17-Feb-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Siva Pai Trabu</td>
<td>SCCS Mechanical Engineering</td>
<td>22-Jun-16</td>
<td>21-May-17 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for undergraduate students</td>
</tr>
<tr>
<td>Adam Coleman</td>
<td>Argonne NUS Energy Res Fosl Dr</td>
<td>1-Sep-16</td>
<td>9-Dec-16 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Adam Coleman</td>
<td>Argonne NUS Energy Res Fosl Dr</td>
<td>1-Sep-16</td>
<td>9-Dec-16 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Adam Edward Juk</td>
<td>NIMES Material Science</td>
<td>1-Aug-15</td>
<td>30-Dec-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Adam Edward Juk</td>
<td>NIMES Material Science</td>
<td>1-Aug-15</td>
<td>30-Dec-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Adam John Howat</td>
<td>Inst For Policy Res (UIA-Admin)</td>
<td>1-Apr-15</td>
<td>13-Dec-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Adam John Howat</td>
<td>Inst For Policy Res (UIA-Admin)</td>
<td>1-Apr-15</td>
<td>13-Dec-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Adam John Howat</td>
<td>Inst For Policy Res (UIA-Admin)</td>
<td>1-Apr-15</td>
<td>13-Dec-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
<tr>
<td>Adam John Howat</td>
<td>Inst For Policy Res (UIA-Admin)</td>
<td>1-Apr-15</td>
<td>13-Dec-15 Acquired</td>
<td>RCR</td>
<td>RCR curriculum for graduate students and postdoctoral researchers VST</td>
</tr>
</tbody>
</table>
## Column Header on RCR Compliance Reports

<table>
<thead>
<tr>
<th>Column Name</th>
<th>Data Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Person Full Name</td>
<td>myHR if postdoc/CAESAR if student</td>
</tr>
<tr>
<td>Person Person No/Person Empl ID</td>
<td>myHR if postdoc/CAESAR if student</td>
</tr>
<tr>
<td>Person Job Type Name</td>
<td>myHR</td>
</tr>
<tr>
<td>Person Job Type Internal Description</td>
<td>myHR</td>
</tr>
<tr>
<td>Person Custom2/Person Pay Group</td>
<td>myHR</td>
</tr>
<tr>
<td>Funding - National Science Foundation Originating Sponsor</td>
<td>myHR</td>
</tr>
<tr>
<td>Funding - National Science Foundation Project ID</td>
<td>myHR</td>
</tr>
<tr>
<td>Funding - National Science Foundation FN Department</td>
<td>myHR</td>
</tr>
<tr>
<td>Funding - National Science Foundation FN Department Description</td>
<td>myHR</td>
</tr>
<tr>
<td>Funding - National Science Foundation Earns Begin / Journal From Date</td>
<td>myHR</td>
</tr>
<tr>
<td>Student Curriculum Due Date</td>
<td>myHR Learn</td>
</tr>
<tr>
<td>Student Curriculum Acquired On</td>
<td>myHR Learn</td>
</tr>
<tr>
<td>Student Curriculum Status</td>
<td>myHR Learn</td>
</tr>
<tr>
<td>Person Terminated On</td>
<td>myHR if postdoc/CAESAR if student</td>
</tr>
<tr>
<td>Curriculum Name</td>
<td>myHR Learn</td>
</tr>
<tr>
<td>Manager Full Name</td>
<td>myHR. For students, it is defaulted to 'HTA931'</td>
</tr>
<tr>
<td>Academic Program 1 Academic Program</td>
<td>CAESAR</td>
</tr>
<tr>
<td>Academic Program 1 Academic Program Description</td>
<td>CAESAR</td>
</tr>
<tr>
<td>Academic Program 2 Academic Program</td>
<td>CAESAR</td>
</tr>
<tr>
<td>Academic Program 2 Academic Program Description</td>
<td>CAESAR</td>
</tr>
<tr>
<td>Academic Program 3 Academic Program</td>
<td>CAESAR</td>
</tr>
<tr>
<td>Academic Program 3 Academic Program Description</td>
<td>CAESAR</td>
</tr>
<tr>
<td>Person Organization Name</td>
<td>myHR. For students, it is defaulted to 'Northwestern'</td>
</tr>
<tr>
<td>Person Username</td>
<td>myHR if postdoc/CAESAR if student</td>
</tr>
<tr>
<td>Student Curriculum Assigned On</td>
<td>myHR Learn</td>
</tr>
</tbody>
</table>

*Northwestern*
Monitoring and Maintaining Compliance

Use the RCR compliance report to:

- Proactively check for all upcoming due dates, even those that are 6+ months away
- Communicate with trainees to ensure that they are on track (they are aware of the requirements, how to register, etc.)

Please note:

- ILT extension requests are rare and granted only for exceptional circumstances
- If trainees are non-compliant, schools/units must email ORI with verification that salary has been removed from the NSF award and charged to a non-sponsored account
What’s Next?

RCR Training Compliance Reporting Tool

You will be able to:

- Look up and confirm RCR training completion status for any RCR training curriculum in one place (NSF, McCormick, Chemistry)
- Monitor RCR training completion status on a regular monthly basis and whenever needed. The data is in real time!
- Proactively alert the appropriate parties, to help ensure and maintain ongoing compliance with the RCR training policies
- Create, run, and save your own custom reports!
Northwestern’s RCR training requirements and additional information can be found on the ORI website:

http://www.researchintegrity.northwestern.edu/responsible-conduct-of-research-rcr-training

ORI can assist with additional RCR-related questions:
kelly.xintarisis@northwestern.edu
312-503-2748
Questions?
HR Topics:
HR SOP for URIC Activities; PEX;
Other Updates

Beth Abbott & Joe Boes
URIC Human Resources Activities: Standard Operating Procedures by Activity

• Overview of HR activities, with processes specific to URICs, URICA, & Research HRA
  – Links out to relevant web pages across NU
  – Defines key processes to serve as resource
  – Key point… Coordinate with Research HRA & URICA ('Dean’s Office’ equivalent)

• Published to web:
  – https://urica.northwestern.edu/services-for-centers/staffing/
HR Topics: PEX

For All:
• Reminder to enter goals into system
  – SIMple Goals structure
• HR Website:
  – https://www.northwestern.edu/hr/learning/performance-excellence/
  – Training and resources available

Supervisors:
• Review and ensure all staff are reflected appropriately in “Reports to”
• Ensure staff enter and associate goals with review
  – Performance & Development types
HR Topics: Other Updates

• Harassment and Discrimination Prevention
  – Deadline for completion is December 19, 2019
  – Takes about 90 minutes to complete

• OR’s Research Administrative Services Website is live:
  – The new address is
    https://www.researchhradmin.northwestern.edu/

• Questions about University processes (e.g., hiring, employee relations, performance excellence)?
  – We are happy to schedule a time to meet with you to review and answer any questions!
URICA:
Annual Reports; Position & “Dept” Naming Alignments

Joe Boes
Annual Reports: Timing Change

• Email coming shortly to announce a change in timing for Annual Reports submission
  – *May 15th - due date planned*
  – *March 1st - call to be issued*

• Aiming to accomplish 3 goals (next slides)

• Splitting up retrospective fiscal year end from current state & prospective activity
  – *Retrospective Fiscal Year End* = year-end funding sources analysis; operations evaluation; proposals & awards activity
  – *Current State & Prospective* = narrative; goals; programmatic evaluation; YTD proposals & awards activity
Annual Reports: Timing Change

• **What is changing?**
  – Timing of submission & timeline covered in report narrative
    • Annual Meeting will include year-to-date sponsored
  – Fiscal year end reports to be provided prior to Annual Report meetings
    • Create an administrative meeting to review those reports and operations evaluation
  – Submission will include Management Budget request (rather than 2Q projections)
Annual Reports: Timing Change

• **What is not changing?**
  – Overall format and material reported
  – Importance of timely submission
  – Programmatic factors reviewed
  – Annual Report Meetings (same timing)
  – Major resource requests/budget changes to occur outside this process
Annual Reports: Timing Change Goals

**Goal 1: Programmatic**

Ensure the narrative portion of Annual Report and discussion during Annual Meeting is as up-to-date as possible; enable Annual Meeting to focus more on programmatic aspects and goals.
Annual Reports:
Timing Change Goals

Goal 2: Budget

Obtain budget request that most accurately captures needs for the upcoming year, and have request cover both OR URIC Allocation and the Management Budget Authority.
Annual Reports: Timing Change Goals

Goal 3: Operations and Fiscal Year Activity

Provide fiscal year oriented reports and analysis closer to the year-end to allow for intervention/course-correction when needed; create opportunity for more in depth and timely discussion on operations.
<table>
<thead>
<tr>
<th>Description of Activity</th>
<th>Sep</th>
<th>Oct</th>
<th>Nov</th>
<th>Dec</th>
<th>Jan</th>
<th>Feb</th>
<th>Mar</th>
<th>Apr</th>
<th>May</th>
<th>Jun</th>
<th>Jul</th>
<th>Aug</th>
<th>Sep</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collect and compile year-end metrics and analysis</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Send year-end report &amp; operations eval.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>URICA meet with URIC lead admin.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revise and issue call for reports</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complete and submit reports</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Discuss reports and answer questions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Receive and review reports</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Send reports w/ metrics to AVPs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review and evaluate reports</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual Report Retreat</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Follow-up budget meeting (as needed)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meetings with Directors, URIC Lead Admin, URICA, AVPs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Key:**

- Ongoing
- Finished

- OR URICA & Leadership
- OR/URIC Leadership
- OR/URIC Admin
- OR URICA Only
- URIC Only
Annual Report: Timeline Comparison

**Fall (Sep–Nov)**
- Previous: Budget Packets
- This Year: Budget Packets
- Future: Budget Packets & FY-Reports

**Winter (Dec–Feb)**
- Call for Reports
- FY-Reports & Admin Meeting
- Admin Meeting

**Spring (Mar–May)**
- Due Date & Analysis
- Call for Reports & Due Date
- Call for Reports & Due Date

**Summer (Jun–Jul)**
- Annual Report Meetings
- Annual Report Meetings
- Annual Report Meetings
'Department’ Naming Alignment

• Creating standard approach to “Department” naming for URICs
  – <Acronym – Short Name>
  – URIC – Univ. Res. Inst. & Centers

• Aligning names across all systems
  – NU Financials = myHR = InfoEd
    • “myHR Published Name” can be longer and fully spelled out
    • Each entity may not need all three
    • Working on definitions of when a record should be created in each system

• Always consult with URICA before creating new “dept” IDs
  – Note: New 171 projects can be created by units for business purposes as needed
Position Naming Alignment

• Consistency across function/responsibility
• URIC Director (faculty) standardization
  – More guidance forthcoming, clean-up occurring
• ‘Director of…’ / Functional Directors
  – Creating “families” for main types, with variations
• For Faculty and Research Faculty performing administrative or leadership roles:
  – Ensuring an “Administrative Faculty” (ADF) position is created in the system
Position Naming: Next Steps

• Review of staff positions
  – Align names to current job families
    • E.g. Research Administrator 2 now should be Sr. Research Administrator
  – Ensure working titles are appropriate

• Modeling administrative support
  – Common positions and structures identified
  – Scope factors and positions
Closing & Questions
THANK YOU!!!