CLEAR Monthly Webinar (July 2020)

Hosted by Sponsored Research (OSR)
July 17, 2020
Today’s Agenda

• Announcements
  – Salaries Restricted Account Code Requests
  – System Downtime
  – Upcoming NIH Due Dates
• Single IRB Guidance
• Sponsored Project Year-End Reminders
Announcements

• Sponsored Research Staffing
  – Subcontracts Team has two (2) openings: Grants Officer and Assistant Grants Officer

• CLEAR Webinar Survey
  – We want to hear from you!
  – Keep an eye out for an email and please respond
Salaries Restricted Account Code Requests

- Change Requests (CR) related to the Salaries Restricted budget account code (60200) constitute the greatest number of CR submissions to Sponsored Research because….

- Professional Exempt expense account code (60101)
  - Falls under Salaries Restricted on the NU financial tree.
  - Includes several job codes allowable on sponsored research projects
  - Also include other administrative and central office salaries (This is why it falls under a restricted code)

- Prior to opening a restricted code in the financial system, Sponsored Research collects documentation of the specific grant-related purpose for the audit file. If documentation for the need of the 60200 budget code is not provided at proposal stage or just prior to award set-up, then an Open New Budget Categories CR is required.
Salaries Restricted Account Code: Recommended Action

• **At proposal stage:** use the Additional Information field at the bottom of the Proposal Routing Form to document a project-specific need for Salaries Restricted to be opened should an award be made.
  – Example: “If awarded, budget account 60200 is required to pay the Research Project Coordinator role.”

• **At award set-up:** Sponsored Research will refer to the Proposal Routing Form (and not need a CR)

• **Result:** Reduce the number of CRs for 60200 and ease the administrative burden on departments and central offices
Salaries Restricted Account Code: Additional Info

• Interim solution
  – Permanent job re-classification solutions are being explored and implemented by department and school stakeholders

• Proactive submission of justifications for opening any restricted budget account codes necessary on a project before setting up the award
  – Welcomed by Sponsored Research
  – Results in fewer after-the-fact Change Requests which benefits everyone

• Questions? Contact Michael Ferguson, Associate Director for Awards Management
System Downtime

• Northwestern Systems
  – **InfoEd**: TONIGHT Friday, July 17, 5:00pm – 8:00pm unavailable due to upgrade to University’s Web Single Sign-on (WebSSO) Online Passport
  – **NUFinancials**: Saturday, July 18, 6:00am – 6:00pm unavailable due to a critical patch update

• Federal Systems
  – **FastLane**: Unavailable TONIGHT Friday, July 17, 7:00pm (CT) - Saturday, July 18, 7:00am (CT)
  – **NIH ASSIST**: Saturday, July 18, 9:00am – 1:00pm (CT) available, but connectivity may be impacted due to planned network updates
### Upcoming NIH Due Dates & Resources

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<thead>
<tr>
<th>Due Date</th>
<th>Description</th>
<th>Resources</th>
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<tbody>
<tr>
<td>August 8</td>
<td>Individual National Research Service Awards (F-Series Fellowship)</td>
<td>• Job Aid: <a href="#">Getting Started Guide: Preparing an Individual NRSA</a></td>
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<td>• Microlearning: <a href="#">The “No Tears” NRSA</a></td>
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<td>August 12</td>
<td>Conference Grants and Conference Cooperative Agreements (R13, U13: All -</td>
<td>• <a href="#">NUIIT Video and Web Conferencing Services</a></td>
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<td>new, renewal, resubmission, revision)</td>
<td>• <a href="#">Zoom Webinars</a></td>
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<td>• <a href="#">Cisco Webex</a></td>
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<td>August 7 - 17</td>
<td>Various <a href="#">Funding Opportunities Specific to COVID-19</a>, including a number</td>
<td>• <a href="#">COVID-19 Information for NIH Applicants and Recipients of NIH Funding</a></td>
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<td>of Notices of Special Interest (NOSI)</td>
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Single IRB Guidance

Monica Kane, MPH
IRB Reliance Analyst
IRB Office | Northwestern University
What’s New?


New “Single IRB Planning before Federal Grant Submission” Webpage
When to Follow Single IRB Guidance

If your proposed research involves:

• federal funding,

• human subjects,

• and multiple research locations,

please fill out our [Single IRB Pre-Consultation Intake Form](#) prior to submitting your proposal.
The Pre-Consultation Process

• Single IRB Pre-Consultation is required when either requesting the Northwestern IRB to serve as the IRB of Record for external sites (Single IRB), or cede IRB review to an external IRB.

• Please contact us at least 5 weeks prior to the grant application due date.

• We will issue a Letter of Support to serve (subject to IRB fees), or to cede, as appropriate.
What is a Single IRB?

The Single IRB mandate is a set of complementary federal policies that require certain types of federally-funded research, that involve multiple institutions, to use one IRB to accomplish IRB review and approval for all of the institutions/sites.

- NIH - Single IRB Policy
- Common Rule - Cooperative Research Requirement
Scenarios to Avoid

Failure to go through Single IRB Pre-Consultation before submitting a proposal for federal funding may result in:

- *Delay* in OSR proposal review and submission,
- *Delay* in IRB review if funded,
- *Failure* to include IRB fees in your proposed budget
  - Fees applicable, if Northwestern IRB agrees to serve as the Single IRB
- *Inability* of the Northwestern IRB to serve as the Single IRB
  - Possible, even if you indicated in the proposal that the Northwestern IRB would serve as the Single IRB
Questions?
Fiscal Year End
Sponsored Project Reminders
Fiscal Year End Resources from the Office of the Controller

• FYE Town Hall is recorded – Listen to it
• Office of the Controller website has great resources - Book mark it

Resources for Closing FY20 and Preparing for FY21

- Key Dates (updated 6/30/2020; changes noted in red text)
- Key Tasks (updated 6/30/2020; changes noted in red text)
- FY20 Monthly Closing Calendar
- Financial Operations Policies & Procedures
- Definition & Support of Accruals
- Key Contacts by Office
Award Period vs. University Fiscal Year

• Grants are multi-year awards operating in the university fiscal year.

• This means:
  – Your grant may not close, and you can continue to spend across fiscal years, but all accounting rules about posting costs on the correct fiscal period still apply.
  – If you’re moving items from non-sponsored to sponsored or vice versa, you will be impacted.
  – There is a moment in September where both FY20 & FY21 are open. Monitor what you’re doing by the incurred date. (i.e. When did the services or transaction occur?) and use the appropriate Fiscal Year.
FYE Deadlines

• Be familiar with deadlines given for fiscal year end as they will impact your work.

• Central Administration deadlines are not School deadlines.
  – Make sure to use the College/School deadlines

• ASRSP must meet the Central Admin. deadline
Journals

• Payroll and Non-payroll journals should be submitted well in advance of the deadline to ensure there is enough time to post

• NUFinancials journals
  – Make sure to use August dates (Remember NUFIN defaults to today’s date)
  – Ensure they are fully approved by 9/15/2020

• Submit your payroll journals ASAP and stay on top of accurate deployment
  – The deadline is set by your school/college
# NUFIN Journal Key Dates

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<tr>
<th>Date</th>
<th>Event Description</th>
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<tr>
<td>SEPT 2</td>
<td>Recharge Journals (Interface) (Refer to Key Dates for exceptions)</td>
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<tr>
<td>SEPT 10</td>
<td>Upload Spreadsheet Journals (10:00am)</td>
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<tr>
<td>SEPT 15</td>
<td>Actuals Journals Portal Close (5:00pm)</td>
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<tr>
<td>SEPT 22</td>
<td>August Close Processing</td>
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<tr>
<td>SEPT 23</td>
<td>August Reports available</td>
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Note that some deadlines are in September but you need to use **AUGUST 2020 date** on journals that should post for FY 2020.
Payments to Grants

Key Dates

**FY20**

**AUG 1-31**
- Payments received by departments for grants in August should be forwarded to ASRSP
  - Rebecca Crown Center
  - North Tower, G594
  - Peg Morrisroe (847.491.7776)

**AUG 27**
- Grant payments received in ASRSP will be **applied** to grants in FY20, provided the grant is active

**AUG 28**
- Grant payments received in ASRSP and by Depository Services – in line with Depository Services' deadlines – will be **processed** as FY20 deposits, but will be **applied** to the grant in FY21
Subcontract Purchase Orders (PO)

• Will my Subcontract PO be closed at FYE?
  • POs are closed each fiscal year end. However, a special review is implemented for subcontracts.
  • If a subcontract PO is ~2 years old or older, it is reviewed by ASRSP to determine if it should be closed.
  • Reminder: Department should be closing out POs as needed during the fiscal year
Accruals, Petty Cash, and Prepaid Travel

- **FY20 Revenue and Expense Accruals:** Only Revenues earned or Expenses incurred as of 8/31/20 should be recorded as FY20 revenues/expenses.

- **Petty Cash:** accounts do not need to be closed at year-end
  - Review & respond to Verification letters (details forthcoming)
  - Close out Petty Cash accounts that are no longer needed
  - Contact Cindy Regner (c-regner@northwestern.edu, 847.467.6327) with questions

- **Prepaid Travel in FY20:** Travel that has a departure date of 9/1/20 and beyond will be posted to a FY20 balance sheet and recharged in FY21 to properly reflect the fiscal year activity. The transactions on your budget statement will include the invoice number, traveler's name, and departure date. Travel fees will post in the month assessed.
Additional Key Dates & References

Cost Studies Deadline

**AUG 14**

• FY21 recharge rate calculations are due to Cost Studies: Sophia Gabay (s-gabay@northwestern.edu)

Office of the Controller Key Dates & References

• [Office of the Controller Fiscal Year End Resources](#)
• [Key Dates for Closing FY20 and Preparing for FY21](#)
• [Key Tasks for Closing FY20 and Preparing for FY21](#)
Presenter Contact Info

Kathy Mustea
ASRSP Assistant Director, Chicago

k-mustea@northwestern.edu
312.503.0862

Accounting Services for Research and Sponsored Programs (ASRSP)
Questions?
Thank you for attending!

Join us next month on Thursday, August 20, 12:00pm

Find meeting slide decks at:
https://osr.northwestern.edu/presentations/