

# Research Administration Brown Bag Series

January 17, 2023



**Northeastern  
University**

# Agenda

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- NU-RES Admin updates
- NIH Data Management & Sharing Plans with Jen Ferguson
- Data/Systems updates
- NU-RES Finance updates
- NU-RES Compliance updates
- Upcoming events

# NU-RES Admin Updates

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## Internal Deadlines: Institutional Review, Approval and Submission of Proposals

- Please be sure to notify your grants officer and/or create ePAWS record as soon as you know that you'll be responding to an FOA/RFP. NU-RES's grant officers review all proposals for compliance with the funding agency's rules and regulations as well as Northeastern's policies.
- **Full Review:** NU-RES will guarantee an error-free submission if we receive the final, complete application for review 5 business days prior to the agency's deadline.
- **Streamline Review:** 3 business days prior to the funding agency's deadline please provide the abstract, budget and budget justification. Then, noon the day prior to the agency deadline the final, complete application (e-submission via agency's system or .pdf in ePAWS).

# NU-RES Admin Updates

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## Sponsored Research Agreement Templates

- Please be sure to use templates on NU-RES Website, [Resources & Tools](#).

Forms	Tools	Resources
Mutual NDA		Agreements SOP
SOP Presentation		
Sponsored Research Agreement (SRA)		
UBMTA Master Agreement		
UBMTA Implementing Letter		
OGI Deposit MTA		
OGI Distribution MTA		

# NU-RES Admin Updates

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## NIH Updates:

- [NOT-OD-23-045](#): Publication of the Revised NIH Grants Policy Statement (Rev. December 2022) for Fiscal Year 2023
  - Applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2022.
  - Previous versions remain applicable as standard terms and conditions of award for all grants and cooperative agreements with budget periods that began prior to October 1, 2022.
  - Update incorporates new and modified requirements, clarifies certain policies, and implements changes in statutes, regulations, and policies that have been implemented through appropriate legal and/or policy processes since the previous version of the NIHGPS dated December 2021.
  - [Significant Changes to the GPS for FY 2023](#) (handout).

# NU-RES Admin Updates

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## NIH Updates:

- [Significant Changes to the GPS for FY 2023.](#)
  - Many updates related to previously released notices.
  - Added definitions for: Data Management; Data Management and Sharing Plan (DMS Plan); Data Sharing; Metadata; Scientific Data; Unique Entity Identifier (UEI).
    - *Resources regarding NIH Data Management & Storage Plans will be discussed by Jen Ferguson later in this Brown Bag session.*
  - Revised definition of Participant Support Costs to resolve conflict with language included in R25 FOAs.
  - Updated Genomic Data Sharing section to reflect changes in policy in DMS Plan.
  - New NIH Disclosure Requirements section.
  - Updated length of time NIH will not release data without recipient's permission to 20 years.
  - Clarified language around deviations to Multiple Program Director/Principal Investigator Applications and Awards.
  - Clarified language regarding the use of a foreign sites within the SBIR program.

# NU-RES Admin Updates

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## NIH Updates:

- [NOT-OD-23-050](#): NIH Operates Under a Continuing Resolution
- [NOT-OD-23-056](#): Salary Limitation on FY2023 Grants, Cooperative Agreements, and Contracts
  - Effective **January 1, 2023**, Executive Level II salary levels:



### NIH Salary Cap (effective January 1, 2023):

12 month: \$212,100

8 month: \$141,400

1 month: \$17,675

# NU-RES Admin Updates

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## NSF Updates:

- Revised [Award Terms and Conditions](#)
  - Effective January 30, 2023, grants will incorporate by reference and will be subject to the Research Terms & Conditions dated November 12, 2020 and the NSF Agency Specific Requirements dated January 30, 2023.
  - The Research Terms & Conditions will not be applied to cooperative agreements or fellowship awards made to individuals.
  - [Summary of Changes](#) (handout).



# NU-RES Admin Updates

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## NSF Updates:

- Revised [Award Terms and Conditions](#) Summary of Changes.
  - Editorial changes made throughout to either clarify or enhance the intended meaning of a sentence or section.
  - References to Research.gov have been incorporated throughout, as part of final transition from FastLane to Research.gov for proposal preparation/submission.
  - Website and document references updated to reflect current information.
  - Updates made to ensure consistency with guidance and terminology contained in other NSF or Federal policy documents.
  - Article numbering updated to reflect addition of the Safe and Inclusive Work Environments for Off-Campus or Off-Site Research article.

# NU-RES Admin Updates

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## NSF Updates:

- Revised [Award Terms and Conditions](#) Summary of Changes.
  - Article 8, Format, Content and Timing of Technical Reporting: Coverage added on the requirement that PIs and co-PIs must update current support in annual and final annual project reports. The article also has been clarified to indicate when NSF required reports become overdue.
  - Article 16, Responsible and Ethical Conduct of Research: Amended to apply the requirement to provide appropriate training and oversight in the responsible and ethical conduct of research to undergraduate students, graduate students, postdoctoral researchers, faculty, and other senior personnel. Also identifies that the content of the training must address mentor training and mentorship. (not effective until July 31, 2023.)
  - Article 17, Safe and Inclusive Work Environments for Off-Campus or Off-Site Research: new article implements the requirement that grantees have a plan in place for awarded proposal for grants where research will be conducted off-campus or off-site. The article also provides considerations for plan development, communication, and dissemination.

# NU-RES Admin Updates

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## NSF Updates:

- [\*NSF Proposal & Award Policies & Procedures Guide\*](#) (PAPPG) (NSF 23-1) changes that are effective for proposals starting January 30, 2023.
  - The use of Concept Outlines as a submission type and the Program Suitability and Proposal Concept Tool (ProSPCT).
  - Requirement to provide a certification regarding Safe and Inclusive Working Environments for Off-Campus and Off-Site Research.
  - Revisions to Biographical Sketch and Current and Pending Support formats to include certifications from the individual (as required by the 2021 National Defense Authorization Act, Section 223) regarding information being accurate, current, and complete.
  - Requirement for NSF program officers to request updated Current and Pending Support information prior to making a funding recommendation, in accordance with the NSPM-33 Implementation Guidance.

# NU-RES Admin Updates

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## [NSF Proposal & Award Policies & Procedures Guide](#) (PAPPG) (NSF 23-1)

- Concept Outlines, primary purpose
  - Ensure the concept being proposed is appropriate for the proposal type/funding opportunity.
  - Help reduce administrative burden associated with submission of a full proposal.
- Types of proposals that require submission of Concept Outlines:
  - Planning
  - Rapid Response Research (RAPID)
  - EARly-Concept Grants for Exploratory Research (EAGER)
  - Research Advanced by Interdisciplinary Science and Engineering (RAISE)
- Funding opportunities may require Concept Outlines.
- Concept Outlines may be submitted at any time via e-mail or via ProSPCT.
- Concept Outline and ProSPCT [Demonstration Webinar](#).

# NU-RES Admin Updates

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## *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 23-1)

- Safe and Inclusive Working Environments for Off-Campus or Off-Site Research
- For each proposal that proposes to conduct research off-campus or off-site, the AOR must complete a certification (new check box) that the organization has a plan in place for that proposal regarding safe and inclusive working environments.
- The plan must describe how the following types of behavior will be addressed.
  - Abuse of any person, but not limited to harassment, stalking, bullying or hazing of any kind, whether the behavior is carried out verbally, physically, electronically, or in written form; or
  - Conduct that is unwelcome, offensive, indecent, obscene, or disorderly.
- The plan should identify steps the proposing organization will take to nurture an inclusive off-campus or off-site working environments.
- The plan should consider communications within the team and to the organization.
- The plan itself is not submitted to NSF as part of the proposal.
- Off-campus or off-site research is defined as data/information/samples being collected off-campus or off-site, such as fieldwork and research activities on vessels and aircraft.

# NU-RES Admin Updates

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## [NSF Proposal & Award Policies & Procedures Guide](#) (PAPPG) (NSF 23-1)

- Revision of the Biographical Sketch and Current and Pending Support.
- Revised forms released on January 12th to comply with NSPM-33 Implementation Guidance.
- SciENCv Implementation.
  - Fillable formats and SciENCv will continue to be available.
  - Certification language will be incorporated into both forms & formats.
  - October 23, 2023 –submission via SciENCv becomes required.
- [NSF Pre-Award and Post-Award Disclosures Relating to the Biographical Sketch and Current and Pending Support.](#)
- [NSF/NIH Webinar](#) on January 19th at 3pm.

# NU-RES Admin Updates

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## *NSF Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 23-1)

NSF Implementation of NSPM-33 Guidance:

- NSF Pre-and Post-award Requirements for Disclosures and Update/Correction of Disclosures are as follows:
  - At the time of proposal submission: Collaborators and Other Affiliations, Biographical Sketch and Current and Pending Support.
  - Prior to making an award: Updated Current and Pending Support information must be submitted.
  - After an award is made: if the AOR discovers that a disclosure that should have been submitted at the time of proposal submission, but was not, we have 30 days to submit a post-award request to NSF.
  - At the time of project reporting: PIs and co-PIs must specify whether new, active other support has been received in their annual and final project reports. If yes, they must attach updated Current and Pending Support information.
- NSF is continuing to assess possible use of a just-in-time solution for current and pending support for a future iteration of the PAPPG

# NU-RES Admin Updates

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*NSF Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 23-1)

- **Other Effective Dates**
  - July 31, 2023: Responsible and Ethical Conduct of Research (RECR).
  - October 23, 2023: Mandatory use of SciENcv for Current and Pending (Other) Support and the Biographical Sketch.



# NIH Data Management & Sharing Plans

Overview and resources at Northeastern:

Discussion lead by Jen Ferguson, Head of Research Data Services - Library

# Changes are coming in January 2023

## **What?**

The National Institutes of Health (NIH) will require data management and sharing plans (DMSPs) for all funding applications

## **Who?**

Faculty and researchers seeking funding from NIH

## **When?**

Beginning January 25, 2023

## **Why?**

Increased availability of NIH-funded research outputs

# What is a data management and sharing plan (DMSP)?

- Short document often submitted as part of a grant proposal
- Describes how a researcher will manage data during their project, and how they'll share and preserve data after the project ends.

# What does a DMSP consist of?

- Data type
- Related tools, software, code
- Standards
- Data preservation, access, and timelines
- Access, distribution, and reuse considerations
- Oversight of data management and sharing

See [Writing a Data Management & Sharing Plan](#) for more details.

# Highlights = major changes as of January 2023



Key points of this policy:

- A data management and sharing plan (DMSP) is **required** at the time of application.
- Compliance with the DMSP as approved by NIH Institute, Center, or Office (ICO) is required. Specifically:
  - An approved DMSP will become a **term and condition** of the Notice of Award.
  - **NIH will monitor compliance** with the DMSP during the award period. Noncompliance at the end of the funding period may factor into future award decisions.
- The use of established repositories for the sharing of data is strongly encouraged.
- Expects that data will be made accessible **as soon as possible** and no later than the time of an associated publication, or the end of the award/support period, whichever comes first.”
- Reasonable **costs** related to data management and sharing may be included in NIH budget requests.

# FAQs

Who will review Data Management and Sharing Plans (DMSPs)?

NIH Program Staff will review DMSPs. DMSPs will not be viewed as part of the peer review process unless there are related budget items.

# FAQs

Who will confirm that a PI or researcher has complied with their DMSP?

Researchers will provide updates on data management & sharing activities as part of RPPRs.

NIH will monitor compliance. If award recipients are not compliant with Plans at the end of the award, noncompliance may factor into future funding decisions.

# FAQs

What does 'allowable costs' mean?

Allowable costs address project-specific data management and sharing needs, such as costs to deposit, format, or de-identify data.

Institutional costs that apply to multiple projects (such as infrastructure costs) would not be allowable.

See [Allowable Costs](#) for more details.



# FAQs

How do I choose a repository that NIH will find acceptable?

[NIH encourages use of domain-specific repositories when appropriate, but also suggests other options including:](#)

- Institutional repositories like [Northeastern's DRS](#)
- PubMed Central for small datasets
- Generalist repositories (e.g. Dataverse, Dryad, Figshare, Mendeley Data, OSF, Zenodo.)

# Additional help and resources

**Guide**      <https://subjectguides.lib.neu.edu/datamanagement/NIH2023>

**DMPTool**      <https://dmptool.org/>

**Contact**      [j.ferguson@northeastern.edu](mailto:j.ferguson@northeastern.edu)

# Data/Systems Updates



- Coming Soon:
  - Jan...survey to identify the inventory of ALL tools, whether electronic or paper, used to support research administration at Northeastern University, to rate their effectiveness, and suggest alternative solutions
    - Will go out to a wide stakeholder group
  - Guidance on ePAWs Attributions (awaiting Senior Leadership concurrence)
- EPAWs records not completed/proposal already submitted to sponsor
  - Between 7/1/22 and 12/23/22, there are 161 proposals submitted but not yet completed
  - **FY22 still has ~17 records still routing/already submitted to sponsor**
    - Records not completed affects Deans ability to do projections, as the data is NOT in the Data Warehouse

## Total Funding Requested FY23 to date vs. FY22

	FY2022	FY2023	Difference	Difference %
Q1	\$293,658,764	\$248,694,441	(\$44,964,323)	15.3% ▼
Q2	\$294,321,109	\$180,161,476	(\$114,159,633)	38.8% ▼
Q3	\$10,408,210	\$7,501,460	(\$2,906,750)	27.9% ▼
Grand Total	\$598,388,083	\$436,357,377	(\$162,030,706)	27.1% ▼

# NU-RES Finance Updates

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## Welcome, Christa Gonsalves and Daniel Nguyen!

- **Christa Gonsalves, Associate Director – Sponsored Accounts.** Christa will be managing Banner award setups and data quality control. Changes to the Banner setup process will be communicated soon. Please continue sending setup questions to [Banner\\_setups@northeastern.edu](mailto:Banner_setups@northeastern.edu).
- **Daniel Nguyen, Research Account Analyst.** Daniel is starting with supporting KRI, additional portfolio TBD

## Congratulations, Chris Tiller!

- **NEW role - Associate Director, Research AR Operations** – will oversee half the RAAs and their portfolios; redistribution to be announced soon

# SNAP REPORT

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Issue: Process Improvement Members met with ITS to discuss the possibility of gaining access to this report through COGNOS. This would help Research Administrators in their conversation with their PIs.

Response: ITS would not be able to make the report available in COGNOS to run on demand. This would require a lot more work to implement as there would need to be large scale changes to Banner grant accounts and constant maintenance (for example, when admins leave/move around).










Solution: Share the full report online with the research community. You would be able to go into a sharepoint folder and look up your PI to see what they are seeing. This was decided as the most convenient and viable solution.

# SNAP report files








SharePoint

 **research administrators @NU**   
Private group

Home  
Conversations  
**Documents**  
Shared with us  
Notebook  
Pages

**+ New**  Upload  Edit in grid view  Share  Sync  Download  Add shortcut to OneDrive  Export to Excel  Automate 

Documents > General > **SNAP reports**

 Name 	Modified 	Modified By 	 Add column
 A new version of FIN0026 - Summary North...	4 days ago	Hui, Alex	
 FIN0026 - Summary Northeastern Account ...	4 days ago	Dean, Chelsea	

# Suspense Payroll Postings (61999)

- Some PDC feeds are causing suspense account postings – see example below. This impacts ~33 grants as of December financial close.
- Payroll feeds are currently posting to account code 61999 instead of 61340 (Salary office Clerical <24 hrs) and 61140 (Salary professional <24 hrs).
- Corresponding employee-level detail (names, pay periods, etc.) not visible on payroll reports at this time.
- HRIT is working with Workday team to process fix.

Grant Code	Fund Code	Actual Transaction Date	Actual Document Code	Account Code	Account Description	Actual Transaction Description	Actual Transaction Amount
G000C	51	10/20/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	600
G000C	51	10/20/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	600
G000C	51	10/20/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	1,987.5
G000C	51	10/20/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	11,212.51
G000C	51	10/21/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	34,148.68
G000C	51	10/24/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	3,200
G000C	51	10/31/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	10,918.68
G000C	51	10/31/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	6,747.3
G000C	51	10/31/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	11,802.11
G000C	51	10/31/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	1,582.7
G000C	51	10/31/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	9,491.25
G000C	51	10/31/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	15,909.12
G000C	51	11/15/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 BW	828.8
G000C	51	11/21/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	5,999.12
G000C	51	11/21/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	6,100
G000C	51	11/21/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	3,050
G000C	51	11/22/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	10,187.93
G000C	51	11/29/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	2,986.82
G000C	51	11/29/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	2,986.82
G000C	51	12/5/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	3,563.4
G000C	51	12/5/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	3,458.56
G000C	51	12/5/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	3,458.56
G000C	51	12/16/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	-7,064.04
G000C	51	12/16/22	FC	61999	Suspense – Payroll Earning	HR PAYROLL ADJ 2022 SM	-784.9

# NU-RES Compliance Updates

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- The inaugural issue of the *NU-REsearch Newsletter* will be distributed today
  - To opt-in to the new listserv, send email to [research-users-subscribe-request@listserv.neu.edu](mailto:research-users-subscribe-request@listserv.neu.edu) and **just put the word subscribe in the subject**. Submitter will receive an email to confirm the subscription, and once completed, they'll receive messages from the list, including those they send.
  - Info about the list:
    - The name of the list: RESEARCH-USERS (*This will be updated*)
    - The LISTSERV host name: LISTSERV.NEU.EDU
  - The following email addresses are used for the specified purposes:
    - To send an email to the list: [RESEARCH-USERS@LISTSERV.NEU.EDU](mailto:RESEARCH-USERS@LISTSERV.NEU.EDU)
    - To contact the list owner: [research-users-request@LISTSERV.NEU.EDU](mailto:research-users-request@LISTSERV.NEU.EDU)
    - To unsubscribe from the list: [RESEARCH-USERS-signoff-request@LISTSERV.NEU.EDU](mailto:RESEARCH-USERS-signoff-request@LISTSERV.NEU.EDU)
- A PDF version will be posted to the website



# NU-RES Compliance Updates

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- **Formation of a Training/Learning/Education Resource Committee:**
  - Circulate the department feedback from the outreach meetings over the past 6 months regarding training/education needs
  - Open call to search for approx. 6 committee members to volunteer (50% department representation and 50% NU-RES representation)
  - To be formed over the next 30-60 days
  - Meet on a monthly basis
  - Review feedback data and organize needs based on subject matter and responsible department
  - Add any topics that have not been addressed in the feedback data
  - Devise potential best methodologies for creating resources or trainings for the research/research administration community

# Upcoming Events

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- **Virtual Satellite Office Hours**, Thursdays 1:30-2:30pm
- **January Learn More Session:**
  - Subject: Cost Transfer Journal Vouchers
  - Time: Wednesday, January 25 from 1:00PM – 2:00PM via Teams
  - Presenters: Research Finance team
- **NCURA Live Webinar:**
  - Subject: Cost Share
  - Time: Thursday, January 26 from 2:00PM – 3:30PM
  - Unlimited logins link: <https://onlinelearning.ncura.edu/p/230126XLCostShare>
- **RCR Training Calendar:**
  - **Wellness & Self-Care for the Researcher | Wednesday, February 1 from 12:00PM – 2:00PM via Teams**
    - Presented by Suzanne Garverich, MPH and Amy Farrell, PhD
  - **Managing Conflict & Strengthening Professional Relationships in Research | Thursday, February 16 from 12:00PM – 1:15PM via Teams**
    - Presented by Kimberly Wong and Diane Levin
  - **Animal Care and the Division of Laboratory Animal Medicine | Wednesday, March 15 from 12:00PM – 2:00PM via Teams**
    - Presented by Sean Sullivan
  - **IRB and Human Subject Protections | Wednesday, April 12 from 12:00PM – 2:00PM via Teams**
    - Presented by Anita Balgopal, et. al.

NU-RES and You!

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Thank You!

See you in February!

