Research Administration Brown Bag Series

November 12, 2024

Northeastern University

Agenda

- NU-RES Admin Updates
- Data/Systems Updates
- NU-RES Finance Updates
- NU-RES Compliance Updates
- Upcoming Events

NU-RES Admin Updates

National Institutes of Health (NIH):

- An updated Research Performance Progress Report (RPPR) Instruction Guide is now available. The instruction guide reflects progress reporting requirements for the Data Management and Sharing Plan, updated screenshots of the system, and other changes. Learn more on the Research Performance Progress Report (RPPR) page.

- NOT-OD-25-008: **Announcement of Childcare Costs for Predoctoral to Postdoctoral Fellow Transition Programs F99 Recipients**
    - Beginning in FY25, NIH will begin providing childcare cost support to individuals supported as full-time recipients of Predoctoral to Postdoctoral Fellow Transition Award (F99/K00) programs during the F99 phase of the award.
    - F99/K00 applicants and F99 award recipients may request $3,000 per budget period to defray childcare costs.

NU-RES Admin Updates

National Institutes of Health (NIH): ***continued***

- **NOT-HS-25-006: New AHRQ "FORMS-I" Grant Application Forms and Instructions Coming for Due Dates on or after January 25, 2025**

If your intended due date is?	You must use...
On or before January 24, 2025, including: • Applications submitted for due dates on or before January 24, 2025	FORMS-H application package
On or after January 25, 2025, including: • Applications submitted for due dates on or after January 25, 2025 • All application types (New, Resubmission, Renewal, Revision) • Applications submitted early for intended due dates on or after January 25, 2025	FORMS-I application package

NU-RES Admin Updates

National Oceanic and Atmospheric Administration (NOAA)/Department of Commerce (DOC):

- NOAA/DOC is now utilizing eRA Commons for proposal and award management.
- DOC issued the following new guidance documents:
  - Accepting or Declining a DOC Award
  - Successfully Completing the Application Submission Process

Reminder:

- NU-RES Research Administration has updated the guidance on internal proposal deadlines. The guidance has been uploaded to our website and can be found at: https://nu-res.research.northeastern.edu/wp-content/uploads/2024/10/Guidance-on-Internal-Deadlines-10-8-24_FINAL.pdf

NU-RES Admin Updates

Updated Award Obligation Setup Process

- Research Administration (RA) is tasked with performing a thorough institutional review of all externally funded sponsored project award obligations. This process aims to ensure compliance with both university and funding agency policies, as well as regulatory requirements, while confirming Northeastern University's capacity to adhere to award terms.
- To facilitate these reviews, Principal Investigators (PIs) are required to obtain all necessary compliance approvals and submit relevant documentation to RA.
- RA has implemented enhancements to the award setup process to streamline workflows, minimize review times, and ensure submission of timely Banner setup requests.
- This process focuses exclusively on the actions taken by RA and does not include procedures related to the Banner system, which are managed by the Research Finance (RF) team.

NU-RES Admin Updates

Updated Award Obligation Setup Process, continued

- **Congratulations Email Update:**
    - Now referred to as Acknowledgement and Compliance Status Email.
- **New Role of Grant Officers:**
    - Responsibility to send Status email shifts from Grant Management Administrators (GMA) to Grant Officers (GO).
        - With only two GMAs available, distributing this responsibility to multiple GOs aims to accelerate the process.
- **Compliance Checks – Awards Requiring Signature:**
    - RA will try to complete compliance review during negotiation phase.
    - Departments are encouraged to collaborate with their PIs to ensure that updated budgets and compliance approvals (IACUC, IRB, Biosafety, etc.) are uploaded to the eCLAWs records prior to routing to RA for review. This proactive approach will facilitate faster compliance verification.
- A few months ago, we introduced a new fCOI verification process for the just-in-time and negotiation phases. Although the rollout has been slow, we will fully utilize it going forward.

NU-RES Admin Updates

Updated Award Obligation Setup Process, continued

- **Effective Date:** New process begins November 13, 2024
- **Transition Period:**
  - Awards fully executed or received (if no signature required) from this date onward will adhere to the updated process.
  - Awards issued prior to this date will follow the old process.
- **Award Package Components:**
  - **Award AOS Setup Form and Checklist:** This combines the setup form and checklist into a single document, providing a comprehensive overview of all checks required for RA to run.
  - **Budget Allocation Form:**
    - A new budget workbook has been created for both proposal preparation and award setup.
    - This workbook will eventually replace the current templates, but all formats will be accepted temporarily.
    - Thank you to all who tested the new template! We are reviewing the feedback and hope to incorporate it into the next version.
  - **Backup File:** A PDF portfolio including the award notice and essential documents. This has been streamlined to include only the necessary information not available in existing systems.

NU-RES Admin Updates

Updated Award Obligation Setup Process, continued

- **Key Documents** (*Copies of documents not linked above will be shared after the Brown Bag*)**:**
  - **Standard Operating Procedure (SOP):** Research Administration (RA) - Award Obligation Setup (AOS) Process
  - **Quick Card:** fCOI Verification Process at Just-In-Time and Award Negotiation/Setup Stages
  - **Award Obligation Setup Form and Checklist**
  - **NU-RES RA Budget Forms:**
    - Current Proposal Budget Template
    - Current Award Obligation Setup Budget Template
    - New RA Budget Workbook for Proposals and Awards
- **Website Updates:**
  - Updates to the website to incorporate changes are forthcoming.

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NU-RES Admin Updates

Proposal Documentation Reminder- Proposals with Subawards

If Subrecipient is FDP Clearinghouse Participant please use FDP Letter of Intent (LOI) Template

- **Link to FDP Expanded Clearinghouse to check for subrecipient participation:**
  - https://fdpclearinghouse.org/
- **If subrecipient has profile listed, please use this LOI template:**
  - https://fdpclearinghouse.org/helpdocs/LOI-pdf.pdf

Use of this LOI template is required by FDP when both PTE and subrecipient institutions are clearinghouse participants

LOI, Budget, Budget Justification and Scope of Work are required for each subaward

- **Uploading a single file to ePAWS containing these documents for each subaward proposed greatly supports timely issuance at award stage**

Data/Systems Updates

Use of eCLAWs Info Request and Consult feature

- Contract Officers and Grant Officers who need to communicate with an individual or subject matter expert(s) at NU about an eCLAWs record will do so through initiating an "Information Request" (to specified individuals) or a "Consult" (to preset institutional groups, e.g. Center for Research Innovation, Risk Services, Environmental Health/Safety, etc.)
- This is a 'chat' feature within the record that keeps correspondence about the contract part of the record without having to download / upload email conversations to the record

Info Requests & Consults

Consult Group Instructions

- Launch tasks underway
    - Created/Contacted all Consult Groups to confirm users in group; instructions updated/to be distributed
    - Email notification in final draft to NU-RES News and Lead PI's of Active awards with instructions
    - Internal SOP for NU-RES in final draft
    - Based on initial use, discussing quick eCLAWs enhancements to Info Request functionality

NU-RES Finance Update

Final Invoice Timeline Update

	- 90-30 days	Budget Period / Project End Date	+ 30 days	+ 45 days	Final Invoice Submission + 60 days
RESEARCH FINANCE	Distribute Closeout notification and checklist **~60 and ~30 days prior** to end date	Send out preliminary list of final invoices due within 60 days following the monthly financial close	Distribute final invoice notifications	Send final invoice draft to Research Administrator	Submit Final Invoice to sponsor
			Coordinate final reconciling adjustments with department		Reduce Banner budget to match reported expenditures
			Draft final invoices		
PI / Research Administrator	Verify project will not continue and review financials to date	Review Closeout checklist	Confirm that final invoice list is accurate	Review final invoice draft	Complete outstanding items on closeout checklist
	Review progress of work, determine if NCE is needed.	Identify and advise Research Finance if project is ending, continuing with NCE, or continuing with new increment	Provide supporting documentation for NCE if one was requested/issued	Approve final invoice draft	Submit Carry-forward request, if applicable
	Review salary allocations and encumbrances and determine if any final costs need to be allocated	Request final invoices from vendors/consultants	Identify and communicate final pending adjusments to Research Finance. Include supporting documentation.		
	Submit final PDCs, Concur reimbursements, Cost Tranfers, etc	Stop reoccurring charges or redirect from the award			
		Reconcile final expenditures			

NU-RES Finance Update - Continued

Financial Reporting Requirements	Department/College Approval Required
Quarterly and Semi-Annual FFRs	No
Annual FFR (Grant with automatic carryover)	No
Annual FFR (Grant with restricted carryover)	**Yes**
Final FFR	**Yes**
Final NSF Draw Reconciliation	**Yes**

- Financial Reports
  - 90-day internal deadline is intended to allow us sufficient time to complete final drawdowns or invoicing
  - Please expedite the review and approval of the FFRs to help us stay on track with these deadlines
- Annual Payroll Certification FY24
  - Signed certs were due November 1st
  - Escalation emails will begin to go out this week
  - Contact Fred or Fiorella with questions

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Space Survey Update

•Space Packets are over due, please return **ASAP.** We are going to start scheduling space survey meetings with departments to go through the data.

•Only **research-intensive** lab spaces highlighted in blue is required to be filled out.

•Any occupants that are in the space, but not listed in the packet, you can add them to the employee tab of the packet.

•For the account information, please make sure to include **ALL** research funding sources, not just external research funds. This should include departmental research that may be in ledger 2 and ledger 3.

WD Finance Update

- Completed Customer Confirmation Session for Grants track last month
- Finalizing unit testing, working on E2E testing and building test scenarios for this.
- E2E will begin once we return from the holiday break

- **Closeouts and inactivations are a priority, but there should be a focusing to reviewing all awards to ensure all awards are reconciled as best as possible**

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NU-RES Compliance Updates

- Updated on Feedback Surveys
  - Average workshop/session attendance ~70
  - Response rate is ~10%
  - This is a start, but lets try and get this up to at least 25%
- Why is this important?
  - Improvement of Content and Delivery
  - Engagement and Participation
  - Measuring Effectiveness
  - Accountability and Transparency
  - Data-Driven Decisions
    - Interest from the Provost to receive this data

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NU-RES Compliance Updates

- NASA Grants Policy and Compliance has published Grant Notice 24-01 informing NASA grant and cooperative agreement recipients and applicants about upcoming changes to NASA's grant policies being released on October 1, 2024, which implement revisions to 2 CFR and National Security Presidential Memorandum-33.
- The Grant Notice, published on the Grants Policy and Compliance website, outlines what proposers and grant recipients can expect in the coming weeks, as NASA prepares to release updated grant guidance in the NASA Grant and Cooperative Agreement Manual.
- While changes to policy are effective for grants being awarded on or after October 1, 2024, GPC recognizes that upcoming requirements around biosketch and current and pending (other) support (CPS) disclosures could change for proposers while there is an open Notice Of Funding Opportunity (NOFO). As such, if a proposal is submitted that does not comply with the changes, and has been selected for funding, the NASA Shared Services Center will request and collect the new required forms and certifications from entities post-application and pre-award.

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NU-RES Compliance Updates

- DOE Research Security Training Requirements for all R&D Financial Assistance Awards
  - The purpose of the DOE FAL is to provide information and guidance regarding DOE's implementation of research security training requirements for covered individuals listed on financial assistance applications and for the organizations applying for such an award, per Section 10634 of the CHIPS & Science Act.
  - Covered individuals must certify that they have "completed within one year of such application research security training that meets the guidelines [described in the Act]".
    - DOE interprets this as the 12 months immediately preceding the application date.

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NU-RES Compliance Updates

- DOE Covered Indvidual Definition
    - Covered Individual means **an individual who (a) contributes in a substantive, meaningful way to the development or execution of the scope of work of a project funded by DOE or proposed for funding by DOE, and (b) is designated as a covered individual by DOE.**
    - At a minimum, DOE designates as covered individuals any principal investigator (PI); project director (PD); co-principal investigator (Co-PI); co-project director (Co-PD); project manager; and any individual regardless of title that is functionally performing as a PI, PD, Co-PI, Co-PD, or project manager.

NU-RES Compliance Updates

- DOE Research Security Training Requirement
  - Optional until **May 1, 2025** – mandatory thereafter
  - Covered individuals listed on applications under this funding opportunity are required to certify that they have taken research security training
  - New covered individuals at the recipient and subrecipient levels added to the project must certify that they have completed the training within 30 calendar days of the individual joining the project.
  - 4 NSF funded RS training modules meet the requirement

RSP Standard Requirement Finalization

Cybersecurity	NIST will issue a set of standards (Cybersecurity for R&D | NIST) Institutions will have to certify that they meet the NIST standards within one year of publication. NIST standards are still in draft form.
Foreign Travel Security	Certify that the institution will implement training on foreign travel security to covered individuals engaged in international travel; cadence is at least once every six years Implement a reporting program (inclusive of an organizational record of all international travel regardless of business purpose) for those participating in R&D awards in cases where agencies determine security risks warrant travel reporting
Research Security Training	Certify that the institution has implemented a research security training program to address the "*unique needs, challenges, and risk profiles of covered individuals…*" and ensure covered individuals complete the training. Provides the option to a) leverage NSF developed trainings or b) complete training developed elsewhere - we will be using the NSF trainings and creating additional NU specific trainings as needed
Export Control Training	Certify that the institution "requires covered individuals who perform R&D involving export-controlled technologies, to complete training on U.S. export control and compliance requirements". Mandates that agencies allow institution to meet the requirement by a) requiring them to complete BIS/Dept. of Commerce and/or DDTC/Dept. of State trainings or b) certify that the institution requires targeted training for individuals on complying with U.S. export controls and requirements for reviewing foreign collaborations.

NU-RES Compliance Updates

- Northeastern Research Security Training Program
  - Training modules published to and accessible in Workday Learning
    - Allows for trainings to be assigned and track attendance
    - Set and send reminders
  - 3 short, internally developed modules that will cover;
    - Export Controls
    - Covered Defense Information (CDI)
    - International Travel
  - 4 NSF developed modules that cover;
    - What is Research Security?
    - Disclosure
    - Manage and Mitigate Risk
    - International Collaboration
  - 1 condensed version of the NSF modules developed by University of Michigan, Stanford, Ohio State, and Duke

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NU-RES Compliance Updates

- New Initiative! Northeastern Internal Research Administration Certificate/Research Administration Professional Development Program
  - Form a Working Group before the end of calendar year 2024
  - Create a framework and curriculum by end of Spring 2025
  - Update and develop modules through Summer 2025
  - Launch a pilot of the program for Fall 2025
- Foundation to be based on:
  - SRAI Framework https://framework.srainternational.org/ and inclusion of SRAI LevelUp Modules (expertise dependent)
  - Internally, 15 NU-RES developed modules that need updating from "Find Funding" and "How to Read the FOA" to "Financial Reporting" and "Closeout Process"
  - We will also look to incorporate a "Leveled Cohorts" system similar to Cedars Sinai, Harvard, and MGB

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Upcoming Events

- Please Use and Share the NU-RES Events Calendar

- Virtual Satellite Office Hours, Thursdays 1:30 - 2:30 PM EST

- The next year of the NYU RAD Series is being finalized

- **ReXPO (Research Services Expo)**
    - This event has been postponed until February 5, 2025

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Upcoming Events

- **Track 3 – Virtual RCR Workshops**
    - 5 Workshops remain during AY 24/25
        - Publications: Monday, November 18, 2024, from 12:00 PM – 1:30 PM EST via Teams
        - Managing Professional Relationships in Research: Wednesday, December 11, 2024, from 12:00 PM – 1:00 PM EST via Teams
        - Copyright for Academics: Monday, February 17, 2025, from 12:00 PM – 1:30PM EST via Teams
        - Peer Review: Monday, March 10, 2025, from 12:00 PM – 1:30 PM EST via Teams
        - Wellness and Self-Care for the Researcher: Wednesday, March 26, 2025, from 12:00 PM – 1:00 PM EST via Teams
    - Registration
    - Workshop Descriptions

- **Learn More Session: "Uniform Guidance 2024 Revisions and Their Impacts"**
    - TBD, from 12:00 PM – 12:45 PM EST via Teams
        - Presenters: Amanda Humphrey, Chief Research Operations Officer, NU-RES; and Alex Hui, Executive Director – Research Finance, NU-RES
        - Event will be edited in NU-RES calendar

Upcoming Events

- November RADG & End of Year Gathering
    - Thursday, November 14, 2024
    - 2:00 PM 4:00 PM
    - RADG Topic: **Build It or Buy It: Approaches to Centralizing and Utilizing Central Research Support**
    - Date/Time: November 14, 2-4 PM EST
    - Location: Mass General Brigham Assembly Row
    - This event is limited with registration capped at 60 attendees. **Registration will close on November 12th**
- Speakers:
    - Dave Waldron, Director of Pre-Award, Research Support Services & Training, MGB
    - Eric Jones, Director, HUB Services, Northeastern University
    - Nicole Magni, Associate Director, HUB Services, Northeastern University
    - Roseann Luongo, Senior Director, Huron
- Description:
    - This session will go over department support and how centralized units at some institutions provide department level support to faculty. The session will consider pros and cons to this approach and issues of scale, structure, reporting lines and professional development. Issues of power dynamics and how reporting lines support compliance will also be addressed. Finally the session will consider when or if institutions should consider a centralized model and various practical solutions for implementation.

Upcoming Events

- **Professional Development Learn More Series – Part 1:**
- NU-RES Event Calendar Link

  - **When:** Thursday, November 21, 2024, from 1:00 PM – 2:00 PM EST via Zoom
  - **Title:** Having a ~~Difficult~~ Conversation
  - **Workshop Duration:** 50 minutes
  - **Presenter:** Rich Trombetta, HR Learning & Engagement
  - **Workshop Description:** Today's world and work environments have become flooded with texts, Teams' messages, and emails. One thing that seems to be going out of style is actually having a conversation with someone. This session will help participants learn how to have a great conversation, even if it might be perceived as one that will be difficult.
  - **Goals/Objectives of Workshop:** Participants will leave the workshop being aware of their communication style, appreciating the power of listening, and learning a process to prepare for and deliver what might seem like a difficult conversation.
  - **Target Audience:** Anyone
  - ***Disclaimer*:** Each participant should complete and bring the results of this free assessment with them to the session (DISC Assessment)

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Upcoming Events

- **Professional Development Learn More Series – Part 2:**
- NU-RES Event Calendar Link

    - **When:** Thursday, December 12, 2024, from 1:00 PM – 2:00 PM EST via Zoom
    - **Title:** Writing Emails That Get Read and Acted On
    - **Workshop Duration:** 50 minutes
    - **Presenter:** Rich Trombetta, HR Learning & Engagement
    - **Workshop Description:** A recent report showed that today's office workers receive an average of 121 emails per day and send over 40 as well. Add in texts, Teams' messages, and social media and the average person is on information overload. However, there are simple ways to write emails that get read and acted on.
    - **Goals/Objectives of Workshop:** Participants will leave this workshop with an understanding of what is known as Smart Brevity, an approach that helps people produce emails (or almost any other type of written communication) that enable readers to quickly and easily focus on the most important information in the least amount of time.
    - **Target Audience:** Anyone

NU-RES and You!

Thank You!

See you in December!

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