Research Administration Brown Bag Series

November 15, 2022

Northeastern University

Agenda

- Research Development updates
- NU-RES Admin updates
- Systems updates
- NU-RES Finance updates
- NU-RES Compliance updates
- Upcoming events

Research Development: Limited Submissions Process

1. **Announcement**: Occurs via posting in the [FOA database](#) (which is archived) and/or email to faculty, Deans, and Chair of appropriate programs. **If a faculty member is interested in a limited submission that isn't in the database,** they should get in contact with Research Development as soon as possible.

2. **Pre-Proposal Preparation**: PIs are required to submit a 2-page pre-proposal by the internal deadline (typically 2 months before sponsor deadline). Guidelines are found here: https://resdev.northeastern.edu/limited-submissions-procedure/.

3. **Notification of Decision**: Upon selection, the PI, Associate Dean for Research, and College Research Administration and Finance staff will be informed via email. Proposals not selected will be informed of such.

4. **Submission of Final Proposal**: Once selected, PIs are responsible for submitting the final proposal. Should a PI want to decline a nomination, Research Development should be informed within 5 days.

Research Development: Limited Submissions Website
https://resdev.northeastern.edu/limited-submissions/

You **must be logged in** to your my.northeastern SSO account to access the Funding Opportunity Database, including Limited Submissions.

Limited Submission Nominees can be seen in the FOA Archive

NU-RES Admin Updates

NIH Updates:

- NOT-HS-23-001: Clarification Regarding Data Management Plan Requirement for AHRQ National Research Service Award Institutional Research Training Grant (T32)
  - Clarifies the AHRQ Data Management Policy Information in Part 7. Section IV of RFA-HS-22-010, AHRQ National Research Service Award (NRSA) Institutional Research Training Grant (T32).
  - The AHRQ Data Management Policy (NOT-HS-20-011) does not apply to the AHRQ NRSA T32 program and a data management plan is not required as part of the grant application.

Northeastern University
Research Enterprise Services

NU-RES Admin Updates

NIH Updates continued:

- NOT-OD-22-195: New NIH "FORMS-H" Grant Application Forms and Instructions Coming for Due Dates on or after January 25, 2023
  - Key Change is the "Other Plan(s)" attachment field for DMS Plan.
  - New FOAs will be posted with FORMS-G and/or FORMS-H packages, as appropriate, beginning October 25, 2022.
  - New FOAs posted before October 25, 2022 with initial due dates on or after January 25, 2023 will be posted without forms until updated forms are available. Application packages will be added to these FOAs by November 25, 2022.
  - All active Parent and IC-issued FOAs with due dates on or after January 25, 2023 will be updated to add FORMS-H application packages between October 25 and November 25, 2022 with all application forms packages posted 30 calendar days or more prior to receipt dates.

NU-RES Admin Updates

NIH Updates - continued:

- NOT-OD-22-195: New NIH "FORMS-H" continued
  - For a transition period, both FORMS-G and FORMS-H application packages will be active simultaneously. Applicants must choose the appropriate package for their due date (see table below).

If your intended due date is...	You must use...
On or before January 24, 2023, including: • Applications submitted for due dates on or before January 24, 2023 • Applications submitted under NIH Late Policy 2-week window of consideration for intended due dates on or before January 24, 2023 • Applications submitted by February 1, 2023 under NIH Continuous Submission Policy for the January 7, 2023 AIDS intended due date	FORMS-G application package
On or after January 25, 2023, including: • Applications submitted for due dates on or after January 25, 2023 • All application types (New, Resubmission, Renewal, Revision) • Applications submitted early for intended due dates on or after January 25, 2023	FORMS-H application package

Northeastern University
Research Enterprise Services

NU-RES Admin Updates

NSF Updates:

- The NSF *Proposal & Award Policies & Procedures Guide* (PAPPG) (NSF 23-1) has been issued, effective for proposals starting January 30, 2023.

- **Significant changes include** *(handout)*:

  - *Revisions to incorporate Research.gov as the replacement for FastLane for proposal preparation and submission.*
  - Information about the use of Broad Agency Announcements (BAAs) and the BAA Management System (BAAM).
  - *Revisions to certification for Responsible and Ethical Conduct of Research (RECR) for proposals submitted on or after July 31, 2023.*
  - *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.*
  - *Requirements for use of SciENcv for the Biographical Sketch and Current and Pending Support documents.*
  - Implementation of Build America, Buy America statutes.
  - New sections on Research Security and Scientific Integrity.

Northeastern University
Research Enterprise Services

LVX VERITAS VIRTVS

NU-RES Admin Updates

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

- **Effective Dates**

  - PAPPG (NSF 23-1) Overall Effective Date
    - **January 30, 2023**

  - PAPPG – 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

Northeastern University
Research Enterprise Services

NU-RES Admin Updates

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

- <u>Concept Outlines</u>, 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.](#)

Northeastern University
Research Enterprise Services

LVX VERITAS VIRTVS

NU-RES Admin Updates

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

- Revised certification for <u>Responsible and Ethical Conduct of Research</u> (RECR).
    - Provides new certification for proposals submitted on or after July 31, 2023.
    - The certification replaces the existing RECR certification and expands 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 and mandates that the training cover mentor training and mentorship from the America COMPETES Act as amended by CHIPS and Science Act.
    - Does not apply to proposals for conferences, symposia, and workshops.

Northeastern University
Research Enterprise Services

NU-RES Admin Updates

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.

Northeastern University
Research Enterprise Services

LVX
VERITAS
VIRTVS

NU-RES Admin Updates

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

- <u>Revision of the Biographical Sketch and Current and Pending Support.</u>
- The NSF versions will be as close as possible to the interagency formats created 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 2023 –submission via SciENcv becomes required.
- <u>NSF Pre-Award and Post-Award Disclosures Relating to the Biographical Sketch and Current and Pending Support</u>. *(handout)*

NU-RES Admin Updates

[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

Important FastLane Proposal Preparation and Submission Decommissioning Deadlines

Action	Deadline
SUBMIT NEW	
Last day to <u>submit</u> **new proposals** in FastLane *As of 10/27/22, FastLane is a submission option for 8% of funding opportunities.*	Friday, January 27, 2023 (5:00 PM submitter's local time)
EDIT EXISTING	
Last day to <u>submit</u> **proposal file updates/ budget revisions** in FastLane	Friday, September 29, 2023 (5:00 PM submitter's local time)
VIEW EXISTING	
Last day to <u>download</u> **FastLane submitted proposals** and print **FastLane in-progress proposal PDFs**	Friday, September 29, 2023 (11:00 PM Eastern Time)

NU-RES Admin Updates

NSF Updates:

- Supplemental Funding Requests
  - Requests, including Career-Life Balance requests, can now be prepared in Research.gov.
  - Supplemental funding requests can be submitted in Research.gov regardless of the system used (Research.gov, FastLane, or Grants.gov) for proposal submission.
  - FastLane supplemental funding request functionality will remain available in parallel for the preparation and submission of new requests until January 27, 2023.
  - The Research.gov Supplemental Funding Request System has many features aimed at reducing administrative burden, including:
    - Intuitive and dynamic interfaces which provide only relevant preparation options;
    - Inline help features;
    - Fast document uploads and immediate feedback within each section; and
    - Automated compliance checks with specific, actionable warning and error messages.

Northeastern University
Research Enterprise Services

LVX
VERITAS
VIRTVS

NU-RES Admin Updates

Important FastLane Proposal Preparation and Submission Decommissioning Deadlines in relation to supplemental funding requests

Action	Deadline
SUBMIT NEW	
Last day to <u>submit</u> **new supplemental funding requests** in FastLane	Friday, January 27, 2023 (5:00 PM submitter's local time)
VIEW EXISTING	
Last day to <u>download</u> **FastLane submitted supplemental funding requests** and print **FastLane in-progress supplemental funding request PDFs**	Friday, September 29, 2023 (11:00 PM Eastern Time)

Northeastern University
Research Enterprise Services

LVX
VERITAS
VIRTVS

NU-RES Admin Updates

NSF Updates:

- CHIPS and Science Act
  - For the next 5 years, NSF will no longer require universities and other organizations to cover 30% of an award from its major research instrumentation (MRI) program, which funds new equipment. It is also ending the 50% match required by two of the four funding tracks in the Robert Noyce Teacher Scholarship Program, which trains math and science teachers.
  - A new solicitation implementing support for MRI in the CHIPS and Science Act of 2022 will be posted soon, with the FY 2023 submission deadline following by at least 90 days.

Northeastern University
Research Enterprise Services

LVX
VERITAS
VIRTVS

NU-RES Admin Updates

NSF Updates:

- Fall 2022 NSF Grants Conference – November 14-18
    - Proposal Preparation and Merit Review
    - Award Management
    - Directorate-specific sessions
    - PAPPG Session – November 17 @ 3pm est.

Northeastern University
Research Enterprise Services

NU-RES Systems Updates

- For updates to the Institute Proposal or Award Attributions/Affiliations tab, the Approver/Top Approver in the requesting college should contact the NU-RES Help Center

•Any requests for info for Amanda Mello, please cc Kshitij Zutshi (KZ) at k.zutshi@northeastern.edu

▯

Northeastern University
Research Enterprise Services

NU-RES Finance Reports Update

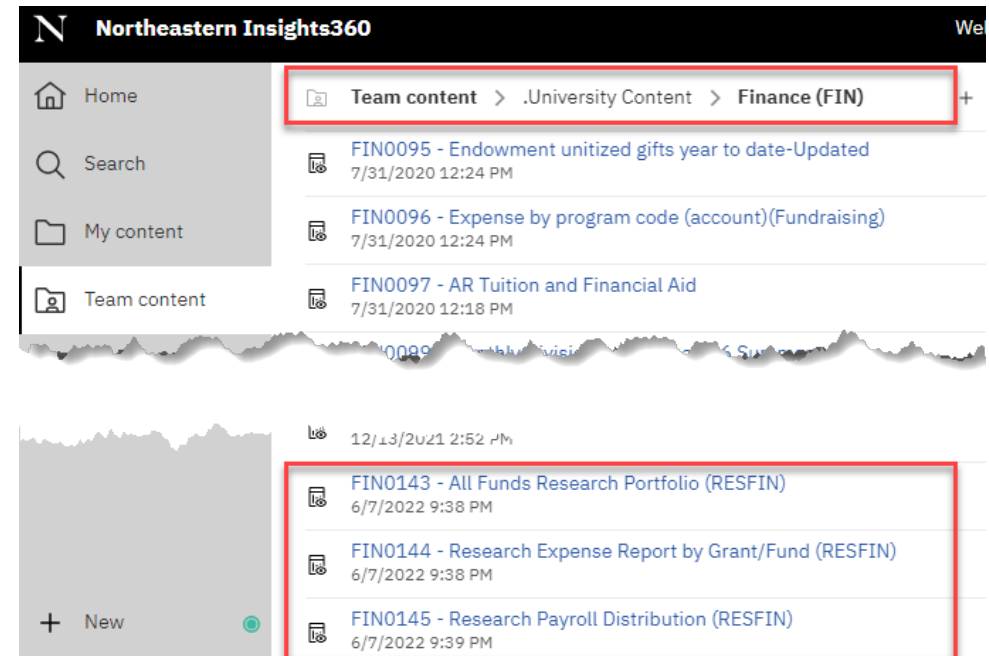**Research Cognos reports <u>published</u> to date:**

- FIN0143 – All Funds Research Portfolio (RESFIN)
- FIN0144 – Research Expense Report by Grant/Fund (RESFIN)
- FIN0145 – Research Payroll Distribution (RESFIN)
- RESBILL0001 * – Research Finance Analysis (RESFIN)
- RESBILL0002 * – Research AR by Grant (RESFIN)
- RESBILL0003 * – Research AR Summary Report (RESFIN)

Research Cognos reports <u>pending</u>:

- FIN0146 * – Research Cost Share Report (RESFIN)
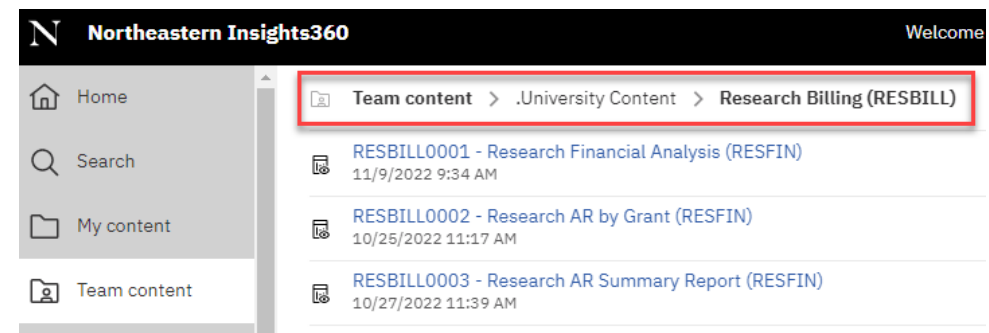- FIN0147 * – Research Project Budget Statement Report (RESFIN)

To request or update Cognos access, please submit request through

https://northeastern.onk2.com/Runtime/Runtime/Form/UDS.Access Request.Request/

* Demo & Training coming in January 2023 *

Northeastern University
Research Enterprise Services

Banner HR Payroll Corrections

- "Banner HR" adjustments (for pay dates prior to 12/31/2021) can no longer be processed via Payroll Distribution Change (PDC) forms

- Corrections will need to be processed via K2 Journal Voucher:
  - Payroll must originate from Banner HR system (Workday payroll changes should be processed via regular PDCs)
  - JV entries should be inclusive of salary and fringe costs
  - If removing salary/fringe from a grant, transfer to discretionary index
  - Consider impact on closed effort/payroll certification periods

Northeastern Insights360

Research Payroll Distribution (RESFIN)
FIN0145

	Grant Code	Fund Code	Account Full Description	Last Name	First Name	Pay Check Date	Transaction Date	Pay Run ID	Adjustment	Amount	
*	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Oct 15, 2021	Oct 15, 2021	2021-SM-19	Original	$ 2,830.23	**Journal**
*	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Oct 29, 2021	Oct 29, 2021	2021-SM-20	Original	$ 2,830.23	**Voucher (JV)**
*	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	May 13, 2022	May 13, 2022	2022-SM-9	Original	$ 1,436.05	
*	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	May 31, 2022	May 31, 2022	2022-SM-10	Original	$ 1,436.05	
*	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Jun 15, 2022	Jun 15, 2022	2022-SM-11	Original	$ 1,436.05	
*	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Jun 30, 2022	Jun 30, 2022	2022-SM-12	Original	$ 1,436.05	**Payroll**
	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Jul 15, 2022	Jul 15, 2022	2022-SM-13	Original	$ 1,436.05	**Distribution**
	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Jul 29, 2022	Jul 29, 2022	2022-SM-14	Original	$ 1,436.05	**Change (PDC)**
	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Aug 15, 2022	Aug 15, 2022	2022-SM-15	Original	$ 1,436.05	
	G0000XXXX	500XXX	61050 - Salary-Research/Teaching Assistant	Smith	A	Aug 31, 2022	Aug 31, 2022	2022-SM-16	Original	$ 1,435.98	

* If salary transfers are needed due to a change in effort, revisions should also be noted in FY22 Annual Payroll Certifications.

Journal Voucher Example

Transfer SGA payroll (October 2021) to discretionary source:

Grant Code	Fund Code	Account Full Description	Last Name	First Name	Pay Check Date	Transaction Date	Pay Run ID	Adjustment	Amount	
G0000XXXX	500XXX	61050 - Salary-Research	Smith	A	Oct 15, 2021	Oct 15, 2021	2021-SM-19	Original	$ 2,830.23	**Journal**
G0000XXXX	500XXX	61050 - Salary-Research	Smith	A	Oct 29, 2021	Oct 29, 2021	2021-SM-20	Original	$ 2,830.23	**Voucher (JV)**

$ 5,660.46 Total salary
$ 433.02 + Fringe 7.65%
$ 6,093.48 Total to transfer

- **Debit:** Discretionary Index | **Credit:** Grant Index | **Account Code:** 78070 – Research Transfer
- **Amount:** calculate the total salary and fringe that needs to be moved off grant index
- **Banner Reference:** enter employee's name
- **Detailed Explanation:** provide a justification of the changes, see example below
- **Supporting documentation:** payroll report pointing to the 2021 pay periods that are being transferred

Debit

Index:	300xxx (discretionary)
Fund:	
Account:	78070 - Research Transfer Account
Amount:	$6,093.48

Banner Reference (35 Character Limitation)

EMPLOYEE NAME

Credit

Index:	500xxx (grant)
Fund:	
Account:	78070 - Research Transfer Account
Amount:	$6,093.48

Detailed Explanation (Optional)

Employee was charged to grant in error. JV being processed to remove student's Banner payroll and fringe for Aug2021. Error flagged during PI's review of annual payroll certification.

NU-RES Compliance Updates

- Resource Reminder:
  - Northeastern Research Allowability Advisory Panel
  - [Webpage](#)
  - [Submit Allowability Inquiry](#)

Upcoming Events

- [Virtual Satellite Office Hours](#), Thursdays 1:30-2:30pm

- [RCR Training Calendar Sign-Up](#)
  - **RCR Training – Publications**
    - Wednesday, November 16th from 12:00PM – 2:00PM
  - **RCR Training – Data Management and Stewardship**
    - Wednesday, November 30th from 12:00PM – 2:00PM
  - **RCR Training - Export Controls and Global Research**
    - Wednesday, December 7th from 12:00PM – 2:00PM
- [Digital Persistent Identifier Workshop Series](#)
  - In-Person: November 16 from 9:30AM – 10:15AM in Curry Room 346
  - Remote: December 5 from 12:00PM – 12:45PM
- December Learn More Session
  - Thursday, December 8th at 12:00PM
  - Introduction to Mills College from Christie Chung, Associate Dean for Research, Scholarship, and Partnerships as well as Special Advisor to the SVP on DEI, Professor of Psychology, and Director of Mills Cognition Lab

Northeastern University
Research Enterprise Services

NU-RES and You!

Thank You!

See you in December!

Northeastern University
Research Enterprise Services