

Northwestern

**Award Closeout –  
Closeout Emails Process  
Improvements**

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Director of Research Administration, WCAS

**Jarrod Routh**  
Information Manager, ASRSP

*ASRSP  
Semi-annual  
Networking  
Event  
June 2016*

**“Old” Closeout Email**

Feedback from PIs and Administrators

- Too much text, too dense
- Some text was confusing – didn’t know what they were supposed to do
  - e.g., contacted OSR GO as instructed to do in the email

Northwestern 1

## “New” Closeout Email

Input from both campuses

- Clarify roles and actions required (PI and RA)
- Bullet points; less text
- Personalized – added name of RA, signed by GCFA

## Evanston ASRSP-School Workgroup

- Meeting monthly for the last year  
Agenda: Updates, Issues, Current Topic
- Topics: closeout email, pCards, computer purchases, allocations, closeout checklist
- Representatives:
  - ASRSP - Jennifer Mitchell, Frank Cutting
  - Weinberg - Reid Wellensiek, Sharlene Andrewin
  - McCormick - Maura Cleffi, Deb Cundiff
  - SoC - Maria Galent
  - SESP - Carmen Robinson
  - Research Centers - Peter Anglada

## ASRSP Closeout Email Notification Process

- Who?
  - ASRSP Info Team starts
  - Email goes to OSR GO, ASRSP GCFA, PI, and Department RADM (Research ADMinistrator)
- What?
  - All project IDs with End Dates in month 2 beyond current month
- How?
  - Email notifications automatically sent by NUFInancials
- When?
  - First business day of each month

## Pre-review Cognos GM028 List of Expected Notifications


Project Close Out Notification Report															
Project Close Date From Aug 1, 2016 to Aug 31, 2016															
Notification Type	Award Number	Project Number	Project Status	Project Title	Project End Date	Sponsor Award Number	Sponsor Name	Prime Sponsor Name	Project PI	Project PI Email	ASRSP GCFA Name	ASRSP GCFA Email	Grants Administrator Email	OSR GO Name	OSR GO Email
Clinical Trial Closeout	SPO03543	60021570	Open	Prot# THAD5 (P4)	8/31/16	(02) The F0504 Pkari	Shah, Sangy J		Sangy, J	sangy.shah@northwestern.edu	Karen Spina	kspona@northwestern.edu	brittany.patrick@northwestern.edu	Thennes, Jenni	jthennes@northwestern.edu
Clinical Trial Closeout	SPO006496	60023532	Open	PROT# CP35A008	8/24/16	CP35A00 Geron Corp	Smith, Zachary		Zachary, Smith	zachary.smith@northwestern.edu	Karen Spina	kspona@northwestern.edu	Janette Coffey	Simon-Flowers	jackie-flowers@northwestern.edu
Clinical Trial Closeout	SPO021586	60040689	Open	CAP2 - Continued	8/16/16	(0E) CAP-Boston Scier	Knight, Bradley		Bradley, Knight	b-knight@northwestern.edu	Karen Spina	kspona@northwestern.edu	Kashmeen Raza	Thennes, Jenni	jthennes@northwestern.edu
Clinical Trial Closeout	SPO032660	60017132	Open	(PRESPEND) Prot	8/1/16	(Termina) i/nventiv Hea El Lilly and Nimeri, Hala S	Nimeri, Hala S		Hala, Nimeri	h-nimeri@northwestern.edu	Karen Spina	kspona@northwestern.edu	Lesker	Rosenthal, Mar	m-rosenthal@northwestern.edu
Flow-Through Closeout	CNV0059240	60017132	Open	Improving Breast C	8/31/16	Agmt 11/Northwester Avon Prodi Goel, Mita S	Goel, Mita S		Mita, Goel	m-goel@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	Amneh, Kowani	Kilick, Nadine	Nallick@northwestern.edu
Flow-Through Closeout	SPO009590	60029401	Open	Adult Life Predictor	8/31/16	115-910/Kaiser Founr/National In Luu, Kang	Kang, Luu		Kang, Luu	kianglu@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	Aherref	Hawkins, Jason	jason.hawkins@northwestern.edu
Flow-Through Closeout	SPO009516	60025633	Open	A Multi-Center Pro	8/31/16	WJ-10-1/Washington National In Koski, Tyler Rob	Koski, Tyler Rob		Tyler, Koski	t-koski@northwestern.edu	Karen Spina	kspona@northwestern.edu	Janette Coffey	Simon-Flowers	jackie-flowers@northwestern.edu
Flow-Through Closeout	SPO009516	60025633	Open	A Multi-Center Pro	8/31/16	WJ-10-1/Washington National In Koski, Tyler Rob	Koski, Tyler Rob		Tyler, Koski	t-koski@northwestern.edu	Karen Spina	kspona@northwestern.edu	Cristina, Goldsmith	Simon-Flowers	jackie-flowers@northwestern.edu
Flow-Through Closeout	SPO022272	60036199	Open	COMPASS: Capturi	8/21/16	Agmt 1/9/EverFit, In/National Cj Bass, Michael B	Bass, Michael B		Michael, Bass	m-bass@northwestern.edu	Michael Brown	m-browning@northwestern.edu	Joseph, Michaelsen	Thennes, Jenni	jthennes@northwestern.edu
Flow-Through Closeout	SPO022499	60034710	Open	Study no. BAY-86-	8/12/16	BAY-86-4/Ecron Acuno Bayer Heal Carr, James	Carr, James		James, Carr	jcarr@northwestern.edu	Karen Spina	kspona@northwestern.edu	Jessica, Anaya	Simon-Flowers	jackie-flowers@northwestern.edu
Flow-Through Closeout	SPO023933	60035374	Open	Combined Top Dow	8/20/16	13X5 108 /Leidos Biome/National Cj Kelleher, Neil L	Kelleher, Neil L		Neil, Kelleher	n-kelleher@northwestern.edu	Bernie Hadawa	b-hadawa@northwestern.edu	Thomas, Beginger	Chris, C-beginger	chris-beginger@northwestern.edu
Standard Closeout	CNV0030698	60014465	Open	Institute for Envir	8/31/16	DE-FG02/Department	Kung, Harold H		Harold, Kung	hkung@northwestern.edu	Frank Cutting	fc@northwestern.edu	Linda, Naunapper	Richards, Josh	josh.richards@northwestern.edu
Standard Closeout	CNV0030698	60014466	Open	Institute for Envir	8/31/16	DE-FG02/Department	Kung, Mayfair		Mayfair, Kung	m-kung@northwestern.edu	Frank Cutting	fc@northwestern.edu	Linda, Naunapper	Richards, Josh	josh.richards@northwestern.edu
Standard Closeout	CNV0030698	60014468	Open	Institute for Envir	8/31/16	DE-FG02/Department	Nguyen, Sorbin		Sorbin, Nguyen	sorbin@northwestern.edu	Frank Cutting	fc@northwestern.edu	Linda, Naunapper	Richards, Josh	josh.richards@northwestern.edu
Standard Closeout	CNV0030698	60014469	Open	Institute for Envir	8/31/16	DE-FG02/Department	Poepelmeier, Korp		Korp, Poepelmeier	k-korp@northwestern.edu	Frank Cutting	fc@northwestern.edu	Linda, Naunapper	Richards, Josh	josh.richards@northwestern.edu
Standard Closeout	SPO026377	60035699	Open	LS-CAT Pooled Use	8/31/16	Dummy f/Life Sciences	Brister, Keith		Keith, Brister	k-brister@northwestern.edu	Frank Cutting	fc@northwestern.edu		Richards, Josh	josh.richards@northwestern.edu
Standard Closeout	SPO026468	60037928	Open	The Pathogenesis	8/31/16	2R56A11/National Inst	Rowley, Anne H		Anne, Rowley	a-rowley@northwestern.edu	Coleen Hull	c-hull@northwestern.edu	Richardg	Ferguson, Midt	ferguson-m@northwestern.edu
Standard Closeout	SPO036275	60042110	Open	Genetically-Modifie	8/31/16	7R00CA/National Car	Ahmed, Atque		Atque, Ahmed	atque.ahmed@northwestern.edu	Coleen Hull	c-hull@northwestern.edu	Janette Coffey	Simon-Flowers	jackie-flowers@northwestern.edu
Standard Closeout	SPO036295	60042255	Open	Gr. Knowl Herat	8/31/16	Award A/Northwester	Bishop, Virginia		Virginia, Bishop	v-bishop@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	Debhany, Ahsa	Thennes, Jenni	jthennes@northwestern.edu
Standard Closeout	SPO036326	60042314	Open	Improving Women	8/31/16	Exhibit B/Northwester	Wooduff, Tere S		Tere, Wooduff	t-wooduff@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	Runkel	Hawkins, Pame	p-hawkins@northwestern.edu
Standard Closeout	SPO036389	60041777	Open	Developing a Strat	8/31/16	AGMT-05/Northwester	Matsuoka, Akhi		Akhi, Matsuoka	amatsuoka@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	White	Hawkins, Pame	p-hawkins@northwestern.edu
Standard Closeout	SPO036493	60041955	Open	The effect of perp	8/31/16	AGMT-9/Northwester	Miller, Emily Str		Emily, Miller	emily-miller-1@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	P-trueba	Hawkins, Pame	p-hawkins@northwestern.edu
Standard Closeout	SPO036748	60042228	Open	Intergovernmental	8/31/16	Agmt - 5/Edward Hine	Gordon, Keith E		Keith, Gordon	k-gordon@northwestern.edu	Damon Mui	d-mui@northwestern.edu	Holubar	Mugg, Rachel E	r-mugg@northwestern.edu
Standard Closeout	SPO036866	60042156	Open	The Use of 3D Prin	8/31/16	AGMT - 06/Northwester	Riccardi, Mark		Mark, Riccardi	m-riccardi@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	Herra, Iqbal	Rosenthal, Mar	m-rosenthal@northwestern.edu
Standard Closeout	SPO036869	60042528	Open	Higher Education C	8/31/16	Award Le/Robert R. M	Lewis, Dan A		Dan, Lewis	d-lewis@northwestern.edu	Deborah, Boetzer	d-boetzer@northwestern.edu	Heidi, Gross	Hawkins, Pame	p-hawkins@northwestern.edu
Standard Closeout	SPO037033	60042264	Open	Improving Clinical	8/31/16	Agreement/Northwester	Wooduff, Tere S		Tere, Wooduff	t-wooduff@northwestern.edu	Kathy Mustea	k-mustea@northwestern.edu	Runkel	Hawkins, Pame	p-hawkins@northwestern.edu

### Notification Criteria

- Friday July 1 process runs for Project End Dates between September 1 and September 30
- Given that end dates are mostly at end of month – approximately 90 day notice
- Message text based on fund – in new process, 1 message for all fund types except 640 clinical trials

July 2016					August 2016					September 2016				
Su	Mo	Tu	We	Th	Su	Mo	Tu	We	Th	Su	Mo	Tu	We	Th
26	27	28	29	30	1	2	3	4	5	1	2	3		
3	4	5	6	7	7	8	9	10	11	4	5	6	7	8
10	11	12	13	14	14	15	16	17	18	11	12	13	14	15
17	18	19	20	21	21	22	23	24	25	18	19	20	21	22
24	25	26	27	28	28	29	30	31		25	26	27	28	29
31										2	3	4	5	6

### Project Team highlighted on Cognos GM045



**Sponsored Project Budget Statement**  
For Fiscal Year 2016  
As of Accounting Period 10 - June 2016 (Open)

Fiscal Year: Current Period  
Accounting Period: Current Period  
Manager/Reviewer: All  
Current Department: All  
Project Status: Active Projects Only  
Project: 60036523 - Doctoral Dissertation Improvem  
Display Certificate: Yes

Account & Description	Fund	Dept	Activity ID	(A) Incep-TD Budget	(B) Current Period Exp	(C) FY-TD Exp	(D) Incep-TD Exp	(E) Open Req Enc	(F) Budget Checked Not Posted	(A-D-E-F) Bal Remaining	(A-D-E-F) % Available
<b>Project: 60036523 - Doctoral Dissertation Improvem -</b>											
Award ID: SP0025322											
FDP/RTC: Yes											
Bill Type: LOC											
Flow Through: No											
Sponsor: National Science Foundation											
Originating Sponsor: -											
Sponsor Reference Award #: BCS-1355082											
FAIN: 1355082											
ASRSP GCFA: Howard Ventura											
Clinical Trial: No											
Project Dates: 3/10/2014 - 5/31/2016											
Project PI: Hauser, Mark William											
Research Administrator: Berardesco, Genia											
Project Status: Open											
Primary Project: 60036523 Doctoral Dissertation Improvem											
Primary Project Department: 4023200 Anthropology											
Project Type: Federal Grants and Contracts											
Products: GRANTS, REIMBURSEBL											
Total Payments Applied: \$18,160.36											
<b>Activity ID: 01 Budget Period Ending 5/31/16</b>											
FRA Rate and Base: 26.00% MTDCN											

### Department Closeout Notification

- Research ADMinistrators (RADMs) are established in NUFinancials at award set-up by OSR based on an internal master list
- RADMs represent a department administrator contact and are
  - Listed on GM045
  - CC'ed on closeout email
- OSR or ASRSP Info Team performs updates of department RADMs upon request
- When departments have staff turn-over, they can either pro-actively provide OSR or ASRSP a list of project IDs to update, or request a list of project IDs for which a employee is listed as RADM
- The PI is only updated by OSR via approved ESPR request

## ASRSP Operations Update

**Janet Maher**

Associate Director of Operations, ASRSP

## ASRSP Operations Update

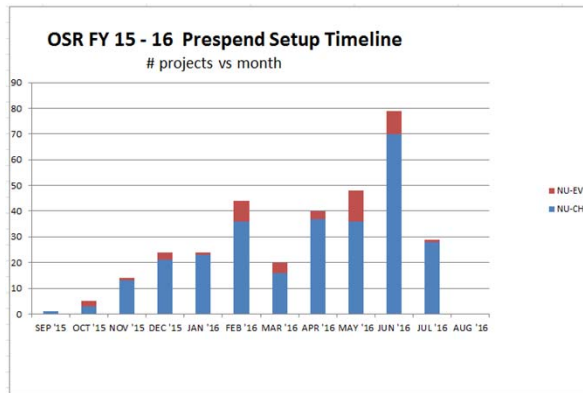
- **Cash Management**, August 2016 end of fiscal year cash application
- **Subk and Transactions Team**, GM092 Cognos report and end of fiscal year PO rollover project
- **Info Team**, FY16 Payment Management System Transition project update

## Outgoing Subcontracts Cognos GM092

- GM092 Subcontract Monitoring Report is now in Cognos Production but not available to Departments.
- Vendor ID clean up is in progress by ASRSP and OSR.
- Proper NUFIn vendor ID must be selected by department when setting up Purchase Order so that the GM092 is functional.
- Report will assist ASRSP in monitoring timely set up of Purchase Order by Department and monitoring expenditure rate of the subk towards the end of the award (not individual subk budget periods).

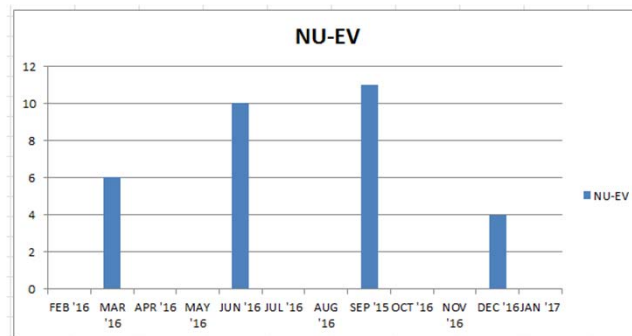
## FY16 PMS Transition project update, Prespend Setup EV & CH

- As of June 23<sup>rd</sup>, OSR has set up 287 prespend projects (fund 610 and 620). Total of ~ 330.



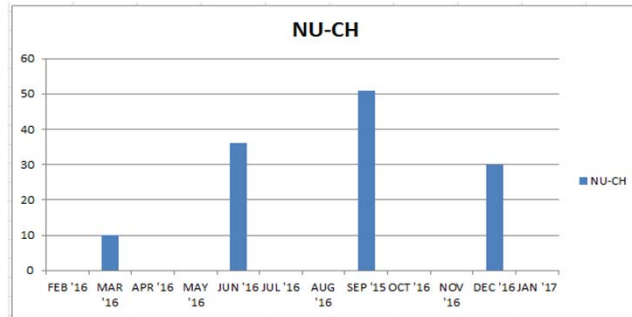
## FY16 PMS Transitional FFR update EV

- Total of **31** EV NIH Transitional FFRs for Fund 610
- As of June 16<sup>th</sup>, ASRSP has submitted 8 of the total 31 EV Transitional FFRs due.
- On schedule to submit balance of 8 due on June 30<sup>th</sup>, 2016



## FY16 PMS Transitional FFR update CH

- Total of **127** CH NIH Transitional FFRs for Fund 610
- As of June 16<sup>th</sup>, ASRSP has submitted 18 of the total 127 CH Transitional FFRs due.
- On schedule to submit balance of 26 due on June 30<sup>th</sup>, 2016



Thank You



Northwestern

## Feedbacks are welcome!



Thank you for attending our networking event! Handouts  
will be posted on ASRSP website in early July

Please send your comments or suggestions  
(e.g., future topics) to:

Jennifer Mitchell  
[jmitchell@northwestern.edu](mailto:jmitchell@northwestern.edu)  
Phone: 847.467.7325

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