

Budget Authority Impacts

How Spending Authority Has Changed for Evanston Schools/Units

❑ FY18 and Prior - Spending Authority:

- Carryforward balance
- Transfer In

❑ Current Spending Authority

- Management Budget must be established for Expense
 - Personnel Expense
 - Non-Personnel Expenses
- Will be an offsetting Revenue Management Budget

Budget Impacts to CFA Funded Core Operational Support

- ❑ Operating Support and CFaD Awards will still be managed as transfers
 - Spending authority must be budgeted locally

Budget Impacts to CFA Funded Core Capital Spending

- ❑ FSM Has Their Own Internal Process
 - OR will transfer equipment funds as in prior year (except for ReLODE awards)
 - FSM will manage their spending authority

- ❑ Non-FSM Cores in General
 - Spending authority is set by fiscal year
 - Spending authority is based on the annual Management Budget process
 - In general, CFA funded core purchases are not part of a Core's Management Budget
 - Prior Year Carryforward does not matter unless "Use of Carryforward" was planned

- ❑ Non-FSM Cores Process
 - For the majority of equipment grants, OR has the Management Budget and will provide a chart string for the purchase
 - WCAS has limited spending authority which will be used with the approval of their Dean's office.

Budget Impacts to CFA Funded Core Capital Spending

- ❑ All capital purchases using OR spending authority MUST be complete by the end of the FY
- ❑ A Capital Purchase is complete when all invoices are paid and the equipment is fully received

**NEW SPRING EQUIPMENT GRANT SUBMISSION DATE HAS BEEN
MOVED TO MARCH 1st!**

**RELODE PROPOSALS MUST INDICATE FISCAL YEAR WHEN
SPENDING WILL OCCUR**

Northwestern Core Facility Non-Funded Negotiations

MTA – Non Disclosures

Types of Agreements

Confidential Disclosure Agreement (CDA)

Data Use Agreement (DUA)

Master Agreement

Material Transfer Agreement (MTA)

Subcontracts

Processing Agreements

Engaging Industry

Material Transfer Agreement (MTA)

About MTAs

A Material Transfer Agreement (MTA) is a written contract used to govern the transfer of research material between organizations. The sharing of research products (such as compounds, software, cell lines, transgenic animals, plasmids and monoclonal antibodies, etc.) is critical to continuing progress in science, and it is the University's intention to facilitate the exchange of material between researchers at academic institutions, government agencies and corporate entities.

An MTA is established between a provider institution and recipient institution to document the material being transferred and terms and conditions with respect to issues such as ownership, permitted uses of the material, publication of results, development of inventions and liability. Establishing conditions prior to the transfer of material avoids issues and misunderstandings after the research has begun. Because different collaborations require different agreements, MTAs are negotiated on a case-by-case basis.

MTAs are executed when proprietary materials are transferred in or out of Northwestern. Whether for inbound or outbound materials, MTAs are critical documents that require signatures from the Provider(s) and Recipient institution(s) to ensure that each party will comply with the terms of the agreement.

Resources

- Job Aid: How to Request an MTA in InfoEd
- Webinar: Non-Funded Negotiations in InfoEd

Addgene Plasmid Requests

When submitting an MTA for materials from Addgene:

- The **sponsor should be the institution listed in the "Provider" field** (from the Addgene website) NOT Addgene.
- A separate MTA request is required for each Provider institution listed on the Addgene order.

https://osr.northwestern.edu/agreements/mta

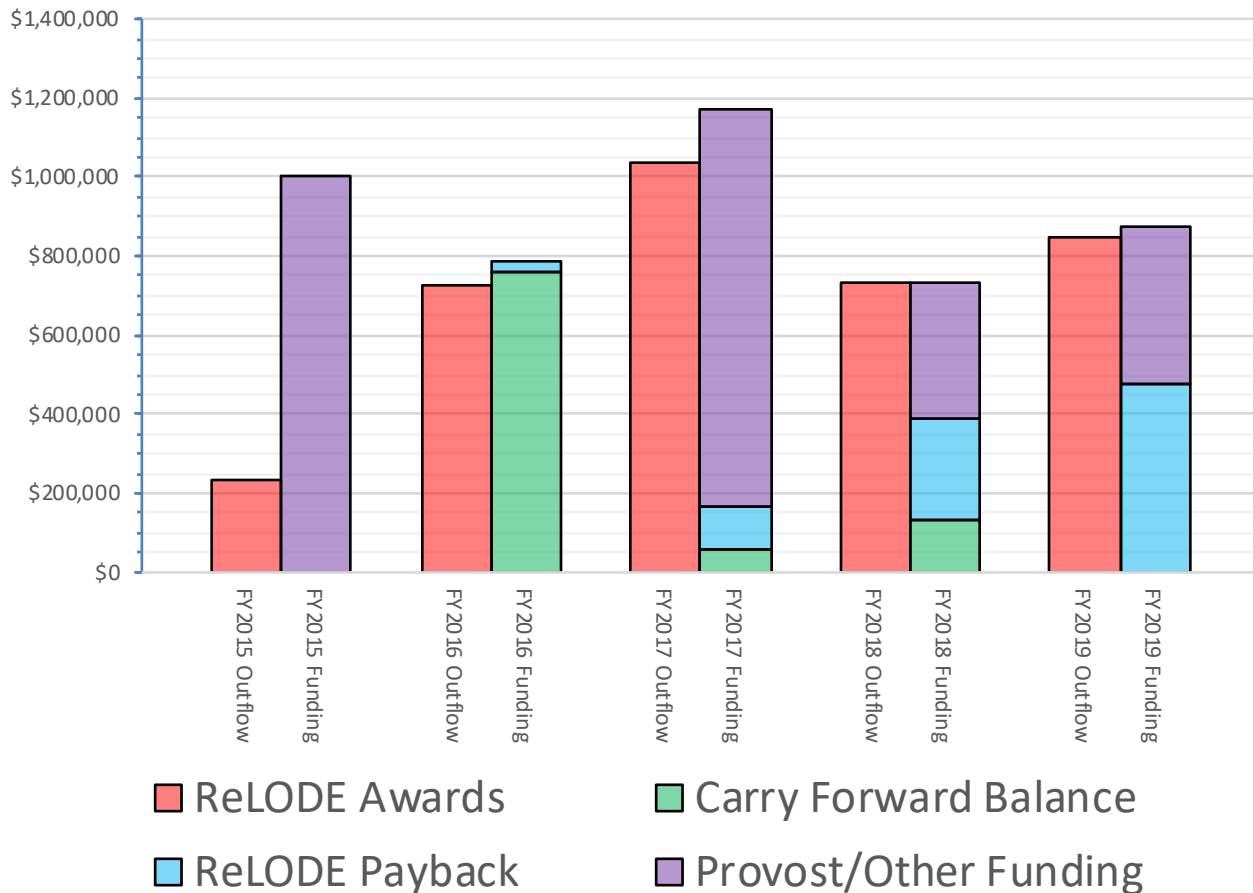
Materials Transfer Agreements / Mutual Non-Disclosure Agreements

- ❑ MTA's and MDA's for core facilities used to be handled by the Office of General Council.
- ❑ Now these documents will be routed through OSR
 - Should allow additional tractability
- ❑ Instructions for loading projects into InfoEd are at:
https://osr.northwestern.edu/sites/osr/files/mta_job_aid_2018-11-20.pdf
- ❑ Always use NU forms first, if possible
 - Send questions to CFA or mta@northwestern.edu before getting into negotiations.
 - <https://www.invo.northwestern.edu/documents/invention-disclosure/NUMutualCDA-20170328.pdf>
 - Approved lab testing agreement available at:
[https://facilities.research.northwestern.edu/sites/facilities/files/ckfinder/userfiles/files/LabService%20Agreement%20Template%201MAR15\(1\)-1.doc](https://facilities.research.northwestern.edu/sites/facilities/files/ckfinder/userfiles/files/LabService%20Agreement%20Template%201MAR15(1)-1.doc)

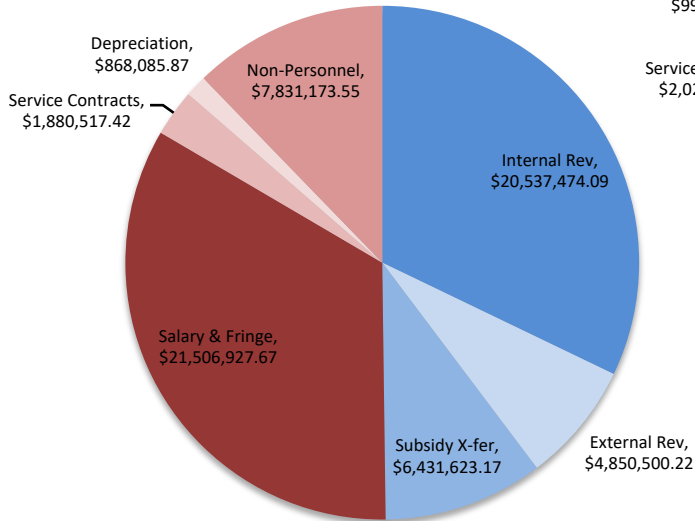
Northwestern Core Facility Financial Summary 2018

Institutional Support and Facility Performance in FY2018

ReLODE Awards Versus Funding Sources

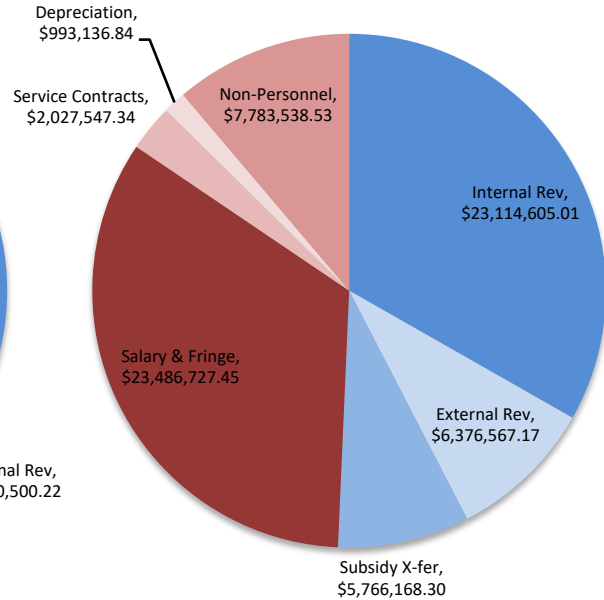


FY17 Recharge Exp Vs Rev



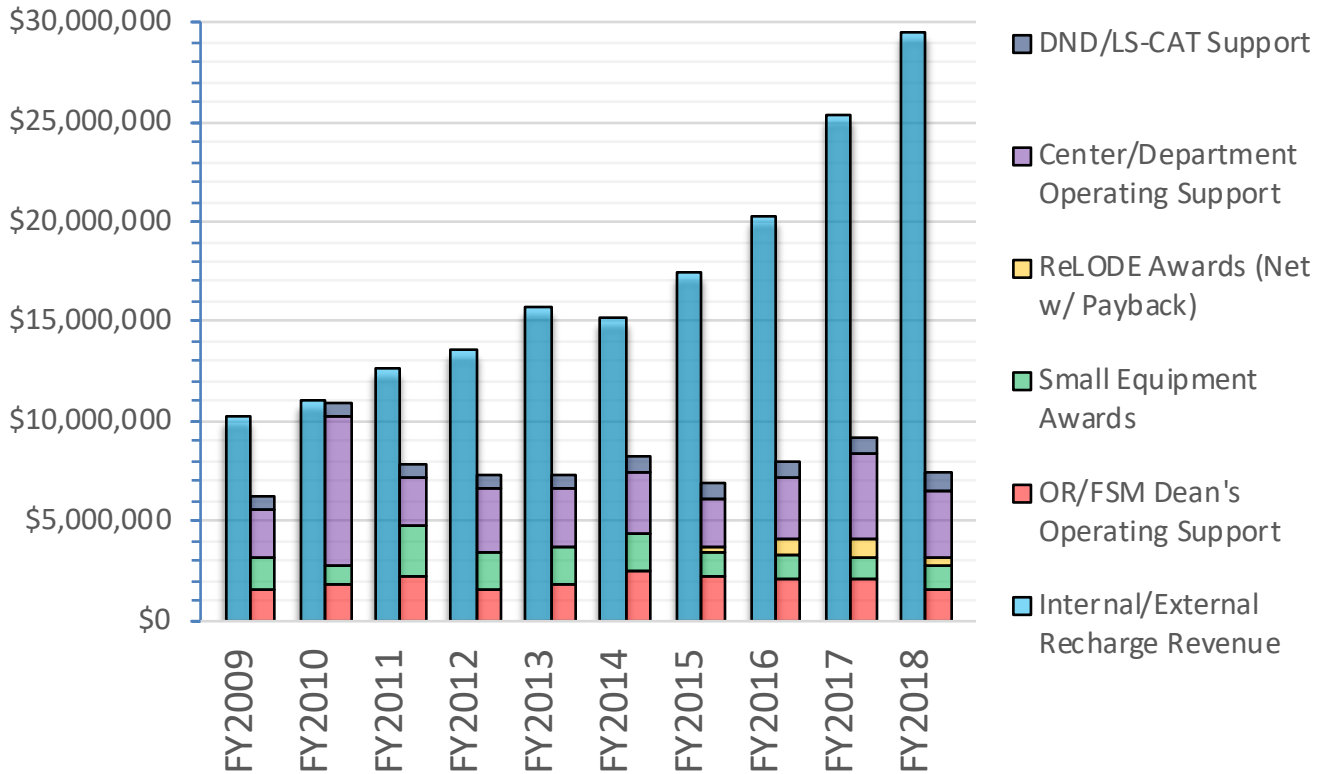
FY17 Starting Position	\$230,631.25
FY17 Total Revenue	\$31,819,597.48
FY17 Total Expenses	\$32,086,704.51
FY17 Net Performance	(\$267,107.03)
FY17 Ending Position	(\$36,475.78)

FY18 Recharge Exp Vs Rev



FY18 Starting Position	(\$35,878.24)
FY18 Total Revenue	\$35,257,340.48
FY18 Total Expenses	\$34,290,950.16
FY18 Net Performance	\$966,390.32
FY18 Ending Position	\$930,512.08

Northwestern Core Facility Recharge Revenue to Direct Core Support



Core Rating Program

Thank You For All of Your Hard Work

- ❑ Northwestern Cores impact 53% of all grants running through Northwestern (by dollars)
- ❑ Northwestern Cores are in a more stable financial situation than ever before
- ❑ Northwestern Cores are innovating to meet research needs
- ❑ Northwestern Cores have largely adopted best practices

- ❑ In 2018, CFA eliminated “Honorary Mention” award and added “Highly Performing Cores”

Core Rating Program

- ❑ The time is appropriate to change rating scheme and review process
 - Old scheme competitive
 - New scheme intended to measure against a bar
 - Old scheme favored large cores over smaller cores
 - Old scheme penalized FSM cores in some cases as FSM review had slightly different requirement than OR

- ❑ OR and FSM currently work to have a single review / budgetary request review
 - Goal is to increase amount of data that can be pulled centrally / cut and pasted over tedious reviews
 - Goal is to emphasize quality and link to impact over quantity
 - Scoring will be shown in instructions to minimize extra work

- ❑ There will be a single type of award
 - CFA is soliciting for names of the award until January 8th
 - Email ideas to Andy
 - Core staff can vote until January 31st
 - Winner to be announced at Core Facilities Colloquium on Feb 8th
 - Theme will be “Ensuring Scientific Rigor and Reproducibility in Core Facilities”