

CFA Brown Bag

August 11, 2021

Agenda

- ❑ Milan Mrksich – Office for Research status update
- ❑ Andy Ott- Introduction of Aisha Ozaki
 - OR Director of Diversity, Equity and Inclusion
- ❑ Aisha Ozaki / Beth Abbott – Cores' role in DEI
- ❑ Andy Ott– Operational updates
 - FY22 Equipment Grant Program
 - Rate setting guidance for FY22
 - Annual Report Feedback

DEI Role of Northwestern Cores

- Recruitment
 - Best resource is your OR representative and talent acquisition partner

- Retainment
 - You create the environment for users and staff
 - <https://www.northwestern.edu/diversity/>
 - New OR Office for Diversity, Equity and Inclusion

Aisha Ozaki



- Aisha Ghori Ozaki is a justice, diversity, equity and inclusion practitioner where she recently worked on the enterprise-wide Inclusive Diversity & Equity team at Allstate. In addition to her corporate experience, Aisha worked previously in higher education. Aisha holds both a master's and bachelor's degree in Sociology from DePaul University and is certified in the administration and interpretation of the Intercultural Development Inventory (IDI) and the Myers–Briggs Type Indicator (MBTI). Aisha remains active in various professional associations including the Forum on Workplace Inclusion. Aisha is on the board of directors for Asian Americans Advancing Justice Chicago, Muslim Women's Alliance of Chicago and IL Muslim Civic Coalition.

Equipment Grant Program

- FY 2020
 - 2 ReLODE Rounds
 - ~\$800K awarded
 - 100% of proposals funded (five)
 - One resubmission
 - 1 Equipment Grant (Fall)
 - ~\$600K awarded
 - 55% of proposal funded
- FY 2021
 - 2 Equipment / ReLODE Rounds
 - ~\$700K for ReLODE (will prioritize all quality proposals)
 - Equipment grant TBD

Equipment Grant Program

- Review Process
 - Feedback from reviewers
 - Frequently asked to review proposals outside subject area
 - Excess time on smaller proposals
 - Historical knowledge lost for resubmitted proposals
 - Initial review sets center point of scores
 - Many proposals difficult to read (structure emphasized description of instrument)
 - Feedback from submitters
 - Long time to receive feedback
 - Committee is inconsistent (moving goalposts)
 - Scores on written reviews consistently more positive than the panel
 - Average of sections don't match overall scores

ReLODE Pilot (Spring 21)

- LOI (Smartsheet)
- Written Expert Review
 - ReLODE recipient
 - Overlapping research area
 - Simplified criteria
 - Strategic Importance / Justification of Need
 - Operations / Administration
- Review by leadership
 - School Deans
 - AVP

Fall 2021 Competition

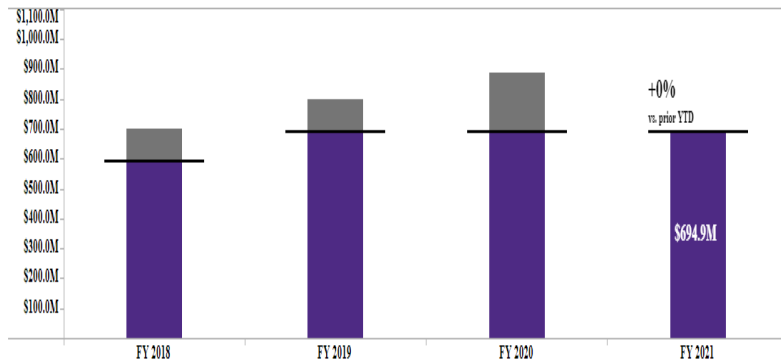
- Process still being finalized
- LOI will be required by 9/7
 - [Fall 2021 Equipment Program Intent to Submit \(smartsheet.com\)](https://smartsheet.com)
 - Expert reviewers will be contacted prior to submission date
- Final proposals will be due 9/20
- Announcement goal is 11/1
- Spring competition LOI early February
- Final review process to be announced
 - Cores will be provided scoring criteria prior to submission date

FY22 Rate Setting Guidance

Award Trends by Year

Sponsored Research Reports and Metrics

\ Fiscal Year-to-Date Awards \



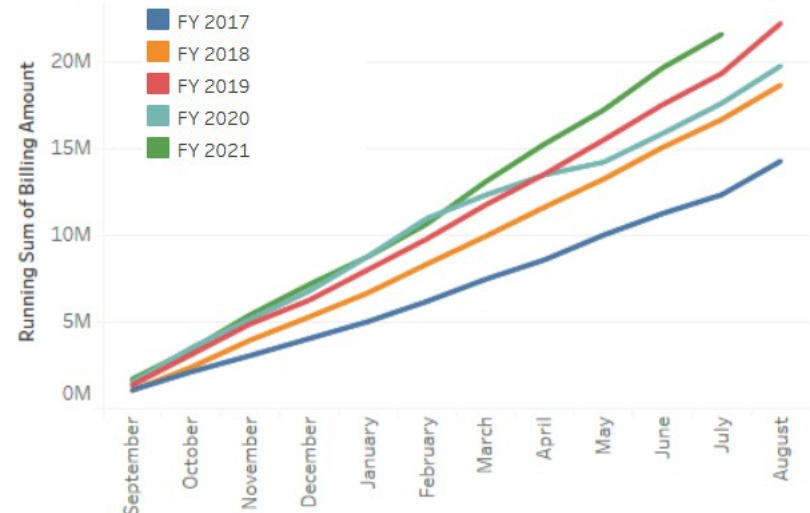
Hover over the chart components for additional details.

Fiscal YTD as of 8/9/2021 7:55:16 AM. Source: InBio data warehouse. Note: Historical figures may shift slightly; refer to published final reports for definitive totals.

NUcore Billing by Month

Monthly Trend All

last update 8/16/2021 1:52:24 PM



FY22 Rate Setting Guidance

- Address systemic issues ASAP
 - Cost study can be updated multiple times per year
 - Understand research trends and adjust operational model appropriately
- FY22 budgets should be revenue neutral
 - Pay down historical deficits per past plans
- Do not make disruptive changes to rates
 - Okay to make regular inflationary based increases
- Use deficits in cost basis to maintain rates as usage increases
 - Contact yan.qiu1@northwestern.edu or s-gabay@northwestern.edu for details

Including Deficits in Cost Basis

SD in Aggregate

Northwestern University - Recharge Worksheet (Version 2014-June V1.2)

SD in Aggregate

Applicable for Fiscal Year: g

Name of Recharge/Service Center: Glovebox Inert Atmosphere (N2) Thin-film Fabrication and testing (GIANTFab)

NUFinancials Chartstring: 160-8288330

Facility Location: Tech J415

Instructions/Notes

REVENUE IN AGGREGATE

A Carry Forward (total prior fiscal year surplus or deficit) 1

B Current total year-to-date user revenue (not including subsidy transfers) 2

C As of: 8/11/2020

D Estimated additional user revenue through end of current year 3

E Adjust for:

F Subsidies transferred to the Recharge Chart String year-to-date 4

G $E = A + B + C + D$ Total current year Estimated Revenue \$ -

EXPENSE IN AGGREGATE

H Current total year-to-date Operating Expenses 5

I As of: 8/11/2020

J Estimated additional Operating Expenses through end of current year 6

K Adjust for:

L Equipment Depreciation Expenses 7

M Other unallowable costs charged to operating account (Unallowable FB) 8

N $J = F + G + H - I$ Estimated Total Allowable Current Year Expenses \$ -

O $K = J - E$ TOTAL SURPLUS/(DEFICIT) FOR CURRENT YEAR \$ -

P Adjust for:

Q 2 Months' Working Capital Allowance 9

R If Deficit: Other Subsidy (beyond Line D, this includes year-end deficit coverage) 10

S $N = K + M$ or $N = K + M - L$ NET SURPLUS/(DEFICIT) LESS TWO MONTHS WORKING CAPITAL IF APPLICABLE \$ -

DESCRIPTION OF SURPLUS/DEFICIT STATUS

Three Possibilities: Deficit, Surplus less than 2 months Working Capital, and large surplus

Complete the following tab(s) in accordance with "Description of Deficit Status" instructions

Surplus Less than 2-month Working Capital; SD

SD by Service

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SD by Service

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Instructions/Notes

Allocation to Services

Totals from "SD in Aggregate"

Service 1: Perovskite Spin Coater

Service 2: Organic Spin Coater

Service 3: Metal Evaporator

Service 4: Other

Revenues by Service

Expenses by Service

TOTAL SURPLUS/(DEFICIT) FOR CURRENT YEAR

WORKING CAPITAL AND OTHER SUBSIDY ADJUSTMENT

NET SURPLUS/(DEFICIT)

SURPLUS/(DEFICIT) TO INCLUDE IN RATES

SURPLUS/(DEFICIT) NOT INCLUDED IN NEXT YEAR'S RATES

Surplus Less than 2-month Working Capital; SD by Service not require

OR Annual Report Goals

Cores

- Facilitate planning
- Implement best practices/
shared learning
- Provide visibility
- Receive feedback
- Request support
- Gauge performance
relative to peers

Leadership

- Identify and proliferate
best practices
- Recognize performance
- Highlight opportunities
- Highlight issues
- Gauge overall health of
programs
- “Right size” programs

FY21 Annual Report Changes

- No discrete scoring
 - Core faced different issues, so value of comparison reduced
 - Used similar evaluation scheme, but ranked as complete, partially complete, or incomplete/not provided
 - No spider diagram
- Annual effort to reduce time to prepare
 - Real time dashboards
 - Reduced detail for staff and “laundry list” items
 - Developing dashboards / central repositories where possible
 - Align with URIC’s reporting where possible
- Increased emphasis on strategic planning
 - SWOC
 - Goals
- Pilot Meeting with OR/FSM
 - Optional for this year
 - Core initiates by contacting CFA Director (corefacilities-director@northwestern.edu)

Core Name: Template

Rating Scheme

- Not complete
- Partially Completed
- Completed / most appropriate

Note: If more than one criterion listed under rating, individual lines may be independent (i.e. checked all that apply) or mutually exclusive (checked most appropriate).

1. Administration and Governance

Mission: Pulled from annual report or website.

Notes: Changes and omissions highlighted.

- a. Overview: (checked all that apply)
 - i. Mission Statement accurately articulates main focus of core (>50% of activities)
- b. Faculty director and faculty advisory committee: (checked all that apply)
 - i. Effort provided for administrative activities appropriate
 - ii. Representation from multiple departments
 - iii. Committee represents user base and has appropriate expertise
 - iv. FAC met at least twice in the past year and meeting notes provided
- c. Business Admin
 - i. Business administration for the facility identified and appropriate
- d. Report Approval
 - i. FD or FAC chair approved and sign the annual report
- e. Research Safety Certification and Business Continuity Plan
 - i. Continuity plan uploaded to CFA Smartsheet and safety certification included in Appendix

2. Research & Technical Staff

Notes: Highlighted changes to staff and key activities.

Note: Confederated core scores are prorated for each sub core.

FY21 Annual Report Changes

Pilot Meetings

- Attendees
 - Core Ops Director
 - Core Fac Director
 - FSM Director Core Planning (if appropriate)
 - AVP in charge of cores
 - CFA Director
 - CFA Sr. Financial Analyst
 - URIC's Center DOO
- Agenda:
 - Introductions
 - Major accomplishments –(core)
 - Updates since annual report (core)
 - Major areas of concern (all)
 - Refinement of SWOC / Goals (all)

FY21 Annual Report Feedback

1. Survey comments not incorporated into SWOC analysis
2. SWOC analysis should lead to goals
 - Untapped userbase → marketing
 - New technology → assess demand / options to access
 - Saturation of services → additional training / equipment acquisition
 - Financial deficit → business model update
3. Goal and success criteria should not match
 - Need to refine goal to something core has control over
 - Evaluate need, submit proposal, identify user base, demonstrate capability
 - Metric should inform future similar decisions and be quantitative where possible
 - Evaluates the definition of the project and execution
4. Stagnant goals need to be more narrowly defined