Managing Sponsored Projects

Virginia Robbins
NUIT Administrative Systems
What are we doing today?

Sponsored Research Stages

InfoEd
- Access, Navigation and Viewing Data

Cognos Reporting for InfoEd
- GM060 – Current, Pending & Completed
- GM064 – Monthly Award Detail

NUFinancials
- Access, Navigation and Viewing Data

Cognos Reporting for NUFinancials
- GM044 – PI Portfolio
- GM045 – Sponsored Project Budget Stmt
Sponsored Research Stages

Proposal Submission  Pre-Award  Award Start-up  Post Award Management  Award Closeout

There are different tasks at each stage of the lifespan!
Sponsored Research Stages

Tasks include:

• Develop proposal
• Collect revisions and approvals for a proposal
• Submit to sponsor
Sponsored Research Stages

Tasks include:

• Provide sponsor requested revisions, Just-In-Time documents
• Complete IRB and IACUC approvals, if applicable
• Pre-spending set-up, if applicable
Tasks include:
• Receive Notice of Award
• Rework budget per actual funding received (ESPR)
• Receive Project Account Summary from OSR
Sponsored Research Stages

Tasks include:
• Purchases of goods and services
• Manage payroll activities
• Monitor of spending
• Reconcile budget statements monthly
• Effort Reporting (quarterly)
Sponsored Research Stages

Tasks include:

• Develop Final Spending Plan
• Execute Award Closeout Checklist items
• Finalize budget statements for signature and submittal to sponsor
## Applications and their Uses

<table>
<thead>
<tr>
<th>Applications</th>
<th>Uses</th>
<th>Features</th>
</tr>
</thead>
</table>
| InfoEd       | Pre-Award & Post-Award data | - Budget snapshot  
               - Contract negotiations  
               - Committed effort & cost-sharing |
|             | Individual proposals or awards | |
| Cognos      | Reporting on InfoEd & NUFinancials data | - Budget Statements  
               - Expense Activity  
               - Summary-level proposal/award reports |
| NUFinancials| Post-Award financial data | - Account level balance  
               - Requisitions  
               - F&A distribution |
|             | budget & expenditures | |
InfoEd Overview

• Proposal Tracking – since July 2007
  – Proposal Data and Award Establishment entered by OSR
  – Budget Snapshot, Contract Negotiations, Effort & Cost Share
  – Dept. Admins and Faculty – view only

• Proposal Development – mandatory in April 2012
  – Create, review and submit grant proposals
Interfaces to other NU systems

• InfoEd receives Personnel information from FASIS
• InfoEd sends COI information to FASIS
• InfoEd loads % Effort into ERS (Maximus)
• InfoEd data is extracted by Cognos for reporting
• InfoEd loads Awarded Proposal into NUFinancials
<table>
<thead>
<tr>
<th>Numbering</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>SP******</td>
<td>“Sponsored Project” proposal created in InfoEd</td>
</tr>
<tr>
<td>PROJ*****</td>
<td>“Subproject” or “Subcontract” created in InfoEd</td>
</tr>
<tr>
<td>CNV***</td>
<td>“Converted” proposal from legacy system</td>
</tr>
<tr>
<td>CNV**S*</td>
<td>“Converted” subproject or subcontract from legacy system</td>
</tr>
</tbody>
</table>
Let’s get started!
REPORTING FOR INFOED
Cognos Reporting

• Single Source Reporting Tool
• Portal Access
• Format and Distribution Options
• Updated nightly
• Report Inventory
**GM064 – Monthly Award Detail**

**Northwestern University Detail Award List**

*From Sep 1, 2012 to Aug 31, 2013*

This compilation of sponsored projects lists awards processed from Sep 1, 2012 to Aug 31, 2013, irrespective of the dates on which the awards are scheduled to begin. For comments or corrections, please write or call the Office for Sponsored Research at 1-3003 (Evanston) or 3-7955 (Chicago) or send email to Dave Hull, dhull@northwestern.edu.

<table>
<thead>
<tr>
<th>Main PI</th>
<th>Institution Number</th>
<th>Researchers</th>
<th>Sponsor</th>
<th>Title</th>
<th>Budget Period</th>
<th>Amount</th>
<th>Type</th>
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</thead>
<tbody>
<tr>
<td>Mirkin, Chad A</td>
<td>PRO00004210</td>
<td>Mirkin, Chad A</td>
<td>National Cancer Institute</td>
<td>Research Supplements for Alexander Scott under Nanomaterials for Cancer Diagnostics and Therapeutics</td>
<td>8/1/13 - 7/31/14</td>
<td></td>
<td>Noncompeting Continuation</td>
</tr>
<tr>
<td>Mirkin, Chad A</td>
<td>PRO00004210</td>
<td>Mirkin, Chad A</td>
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<td>Research Supplements for Alexander Scott under Nanomaterials for Cancer Diagnostics and Therapeutics</td>
<td>8/1/12 - 7/31/13</td>
<td></td>
<td>Noncompeting Continuation</td>
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<td>Mirkin, Chad A</td>
<td>SP0009031</td>
<td>Mirkin, Chad A</td>
<td>National Cancer Institute</td>
<td>Nanomaterials for Cancer Diagnostics and Therapeutics</td>
<td>8/1/13 - 7/31/14</td>
<td></td>
<td>Noncompeting Continuation</td>
</tr>
<tr>
<td>Mirkin, Chad A</td>
<td>SP0009031</td>
<td>Rosen, Steven T Wolkoschak, Gayle E Rademaker, Alfred W Mirkin, Chad A</td>
<td>National Cancer Institute</td>
<td>Nanomaterials for Cancer Diagnostics and Therapeutics</td>
<td>8/1/12 - 7/31/13</td>
<td></td>
<td>Noncompeting Continuation</td>
</tr>
</tbody>
</table>

Subtotal of awards for Translational General 4

Total of awards for Lurie Comprehensive Cancer Ctr 4

Total of awards for Feinberg School of Medicine 4
## GM060 – Active Awards – All Roles

### Current, Pending, and Completed Support

**Active Awards - All Roles**

**Cost Sharing Not Included**

Between Feb 1, 2008 and Feb 1, 2014

This report lists, on separate rows, only appropriated (current and past) grant and contract budget periods. Future, anticipated budget periods are not included in this report, which may cause a under-representation of awarded, grant and contract dollars for the purposes of inclusion on current and pending funding reports.

<table>
<thead>
<tr>
<th>Institution Number</th>
<th>Subproject Number</th>
<th>Investigator / Role</th>
<th>Title</th>
<th>Sponsor Award No</th>
<th>Sponsor</th>
<th>Originating Sponsor</th>
<th>Academic / Calendar / Summer % Effort Charged and Contributed</th>
<th>Budget Period</th>
<th>Budget Period Dates</th>
<th>Budget Period Direct Costs</th>
<th>Budget Period Indirect Costs</th>
<th>Project Period</th>
<th>Project Period Total Costs</th>
<th>Total Costs All Projects</th>
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<tbody>
<tr>
<td>ON005-0857</td>
<td>Barnett, Scott A</td>
<td>PD/PI</td>
<td>Barnett, Scott A</td>
<td>Fundamental Studies of Nano-Scale Catalysts in Direct Internal Reforming Solid Oxide Fuel Cells</td>
<td>FRP # 47257-AC13</td>
<td>American Chemical Society Petroleum Research Fund</td>
<td>American Chemical Society Petroleum Research Fund</td>
<td>0 0 14</td>
<td>1</td>
<td>9/1/07 - 8/31/08</td>
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<td>$200</td>
<td>9/1/07 - 8/31/09</td>
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<tr>
<td>ON005-0857</td>
<td>Barnett, Scott A</td>
<td>PD/PI</td>
<td>Barnett, Scott A</td>
<td>Fundamental Studies of Nano-Scale Catalysts in Direct Internal Reforming Solid Oxide Fuel Cells</td>
<td>FRP # 47257-AC13</td>
<td>American Chemical Society Petroleum Research Fund</td>
<td>American Chemical Society Petroleum Research Fund</td>
<td>0 0 14</td>
<td>2</td>
<td>9/1/08 - 8/31/09</td>
<td>$200</td>
<td>$200</td>
<td>9/1/07 - 8/31/09</td>
<td>$200</td>
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</tbody>
</table>
NUFINANCIALS
NUFinancials Lifecycle

InfoEd Interface

Award Setup

Invoicing
Cost Sharing
Industry Clinical Trials
Spending
Award Maintenance
Closeout
Award        Project         Activity

Award

One Award for a sponsor grant or contract.

Project(s)

Associate one or more projects to an Award depending on rules of the Award. Also used for individual transactional data, upon request of PI or department/center.

Activity(ies)

Associate one or more activities to a Project when NU must account for each budget period separately.

Award ID = InfoEd Proposal ID

Chart String
<table>
<thead>
<tr>
<th>Fund</th>
<th>DeptID</th>
<th>Project</th>
<th>Activity</th>
<th>Program</th>
<th>Account</th>
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<tbody>
<tr>
<td>610</td>
<td>4011000</td>
<td>60012366</td>
<td>01</td>
<td></td>
<td>77560</td>
</tr>
</tbody>
</table>

Project – 60012366 (unique system generated number) for Grants always begins with a 6******

Activity – 01 (additional activities will be added if the sponsor does not allow carryover from one period to the next)
## Grant Funds

<table>
<thead>
<tr>
<th>Fund</th>
<th>Name</th>
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</thead>
<tbody>
<tr>
<td>610</td>
<td>Federal Grants and Contracts</td>
</tr>
<tr>
<td>611*</td>
<td>Federal ARRA Grants and Contracts</td>
</tr>
<tr>
<td>620</td>
<td>Federal Flow-Through</td>
</tr>
<tr>
<td>621*</td>
<td>Federal ARRA Flow-Through</td>
</tr>
<tr>
<td>630</td>
<td>State of Illinois Funding</td>
</tr>
<tr>
<td>640</td>
<td>Industry Clinical Trials</td>
</tr>
<tr>
<td>650</td>
<td>Other Grants and Contracts</td>
</tr>
<tr>
<td>191</td>
<td>Mandatory Cost Sharing</td>
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<tr>
<td>192</td>
<td>Over-the-Cap Commitment</td>
</tr>
<tr>
<td>193</td>
<td>Voluntary Committed Cost Sharing</td>
</tr>
</tbody>
</table>
Let’s get started!
EXPENSES
Expenses

ASRSP approval required for the following:

• Transactions charged to Sponsored Projects for tangible goods over $2,500
  – University Vendors/Requisition process
  – P-cards encouraged

• Any grant-related travel expense, grant consulting or subcontractor, regardless of amount
CLINICAL TRIALS
Industry Clinical Trial Policy

Clinical Trials may be budgeted at the maximum amount (potential total budget) and not with incremental budget increases as cash is received.

Expectations:

- Total expenses will not exceed final cash received.
- PAS will no longer be generated with each check deposit. Departments will review Cognos reports to understand the cash balance.
- If no end date is specified, the initial project period will be 3 years.
- Direct cost residual balances will be transferred after closeout to non-sponsored chart strings.
- Any overdrafts at closeout will be transferred to the department chart string and covered by department non-sponsored funds.
AWARD CLOSEOUT
Award Closeout

– Notification will be sent 90 days before the project end date to the PI and Research Administrator
– At Project End date, status = **Closed** (prevents processing of requisitions or payroll)
– Complete the Closeout Checklist

http://www.northwestern.edu/asrsp/closeout.html
REPORTING FOR NUFINANCIALS
### Sponsored Project Portfolio

**For Fiscal Year 2014**
**As of Accounting Period 2 - October 2013 (Closed)**

**Department:** 4011000 Molecular Biosciences

**Pl.:** Radhakrishnan, Ishwar

<table>
<thead>
<tr>
<th>Project Code</th>
<th>Activity</th>
<th>Description</th>
<th>Sponsor</th>
<th>Sponsor Reference Award #</th>
<th>Fund Code</th>
<th>Activity Start Date</th>
<th>Activity End Date</th>
<th>Project End Date</th>
<th>(A) Cumulative Budget To Date</th>
<th>(B) Direct Cost Expenditures</th>
<th>(C) Direct Cost Encumbrance</th>
<th>(D) F&amp;A Expenditures</th>
<th>(E) F&amp;A Encumbrance</th>
<th>(F) Available Balance</th>
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</thead>
<tbody>
<tr>
<td>60020916</td>
<td>01</td>
<td>Center for Reproductive Research</td>
<td>NIH</td>
<td>5KHD041857</td>
<td>610</td>
<td>4/1/2008</td>
<td>3/31/13</td>
<td>3/31/2013</td>
<td>$7,759,914.99</td>
<td>$338,537.24</td>
<td>$5,415,456.85</td>
<td>$172,090.95</td>
<td>$2,758,504.75</td>
<td>$924,664.80</td>
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<tr>
<td>60021194</td>
<td>01</td>
<td>Structural Biology of Sin3 Cor</td>
<td>NIH</td>
<td>GM064715</td>
<td>610</td>
<td>6/1/2008</td>
<td>5/31/13</td>
<td>5/31/2013</td>
<td>$7,195,332.00</td>
<td>$756,689.09</td>
<td>$12,335,381.26</td>
<td>$372,668.72</td>
<td>$6,211,585.39</td>
<td>$12,480,992.46</td>
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<tr>
<td>60022902</td>
<td>01</td>
<td>Molecular Biophysics Training</td>
<td>NIH</td>
<td>GM064382-20</td>
<td>610</td>
<td>7/1/2011</td>
<td>6/30/13</td>
<td>6/30/2016</td>
<td>$8,009,233.89</td>
<td>$388,177.73</td>
<td>$2,483,006.02</td>
<td>$19,411.02</td>
<td>$121,541.28</td>
<td>$797,097.94</td>
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<tr>
<td>60031009</td>
<td>01</td>
<td>Transcriptional Regulation by</td>
<td>ADA</td>
<td>1-12-85-168</td>
<td>650</td>
<td>1/1/2012</td>
<td>12/31/13</td>
<td>12/31/2014</td>
<td>$3,809,595.00</td>
<td>$132,968.27</td>
<td>$2,672,011.32</td>
<td>$19,945.41</td>
<td>$400,801.70</td>
<td>$583,868.30</td>
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<tr>
<td>60031242</td>
<td>01</td>
<td>600 MHz NMR Instrument Upgrade</td>
<td>NIH</td>
<td>1S100D012016-01</td>
<td>610</td>
<td>4/1/2012</td>
<td>3/31/13</td>
<td>3/31/2013</td>
<td>$1,871,996.00</td>
<td>$267,310.06</td>
<td>$1,603,860.36</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$825.58</td>
</tr>
</tbody>
</table>

**Total for Radhakrishnan, Ishwar:**
- **Grand Total:**
  - Budget: $24,446,071.88
  - Expenditures: $1,883,682.39
  - Available Balance: $9,492,433.13

Note: Budget and Expenditure data excludes Cost Sharing dollars.
## Sponsored Project Budget Statement

For Fiscal Year 2013
As of Accounting Period 9 - May 2013 (Closed)

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**Project:** GM045 - Molecular Biophysics Training

### Award ID:
SP011163

**FDO/BTO:** Yes

**Bill Type:** LOC

**Flow Through:** No

**Sponsor:** National Institute of General Medical Sciences

**Originating Sponsor:** -

**Sponsor Reference Award #:** 2T32GM088382-20

**AGRP/OCTA:** Colleen Hull

**Clinical Trial:** No

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### Project:

**Date:** 7/1/2011 - 6/30/2016

**Project PI:** Radhakrishnan, Ishwar

**Research Administrator:** Davis, Yvette

**Project Status:** Open

**Project Total:**

- **Primary Project:** GM045 - Molecular Biophysics Training
- **Primary Project Department:** 401100 Molecular Biosciences
- **Project Type:** Federal Grants & Contracts
- **Project Number:** GRANTS_REIMBURSEABLE

**Total Payments Applied:** $395,593.32

---

### Activity ID: 01 Budget Period Ending 6/30/13

**F&A Rate and Base:** 0.00% * TRAIN

**Sponsor**

- **60100 Academic Personnel**
- **60100 Non Academic Personnel**
- **60180 Fringe Benefits**
- **60210 Non Academic Temp, Work Study**
- **73000 Supplies**
  - **73290 Chemicals**
  - **73479 Lab Supplies & Hardware**
  - **73480 Lab Gases**
- **75000 Services**
  - **75130 External-Printing Services**
  - **75450 Equipment Service Contracts**
- **75001 Consultant Services**
  - **75010 Professional & Consulting Svs**
  - **75011 Prof-Consult Svcs - Non-Res Alie**
  - **75015 Professional Svcs-Reimbursement**
- **73002 Services, Restricted**

### Account & Description

<table>
<thead>
<tr>
<th>Account &amp; Description</th>
<th>Fund</th>
<th>Dept</th>
<th>Activity ID</th>
<th>(A) Incep-TD Budget</th>
<th>(B) Current Period Exp</th>
<th>(C) FY-TD Exp</th>
<th>(D) Incep-TD Exp</th>
<th>(E) Open Req Rec</th>
<th>(F) Budget Cheq Not Posted</th>
<th>(A-D-E-F) Bal Remaining</th>
<th>(A-D-E-F) % Available</th>
</tr>
</thead>
</table>
| **60100 Academic Personnel** | 610 | 4011000 | 01 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | 0.00%
| **60100 Non Academic Personnel** | 610 | 4011000 | 01 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | 0.00%
| **60180 Fringe Benefits** | 610 | 4011000 | 01 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | 0.00%
| **60210 Non Academic Temp, Work Study** | 610 | 4011000 | 01 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | 0.00%
| **73000 Supplies** | 610 | 4011000 | 01 | $119,527.62 | $19.95 | $19.95 | $4,168.97 | $0.00 | $20,844.85 | $94,513.80 | 79.07%
| **73290 Chemicals** | 0.00 | 0.00 | 0.00 | $1,273.63 | $0.00 | $0.00 | $6,864.15 | $0.00 | $0.00 | $0.00 | 0.00%
| **73479 Lab Supplies & Hardware** | 19.95 | 19.95 | 19.95 | $2,795.34 | $0.00 | $0.00 | $13,976.70 | $0.00 | $0.00 | $0.00 | 0.00%
| **73480 Lab Gases** | 0.00 | 0.00 | 0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | $0.00 | 0.00%
| **75000 Services** | 610 | 4011000 | 01 | $63,000.00 | $1,684.75 | $1,729.15 | $0.00 | $13,174.90 | $50,895.95 | 80.79%
| **75130 External-Printing Services** | 0.00 | 0.00 | 0.00 | $1,684.75 | $1,684.75 | $0.00 | $10,188.50 | $0.00 | $0.00 | $0.00 | 0.00%
| **75450 Equipment Service Contracts** | 0.00 | 0.00 | 0.00 | $440.40 | $0.00 | $0.00 | $266.40 | $0.00 | $0.00 | $0.00 | 0.00%
| **75001 Consultant Services** | 610 | 4011000 | 01 | $0.00 | $0.00 | $2,717.06 | $7,444.91 | $0.00 | $51,298.46 | ($58,743.37) | 0.00%
| **75010 Professional & Consulting Svc** | 0.00 | 0.00 | 0.00 | $1,990.00 | $4,825.00 | $0.00 | $31,400.00 | $0.00 | $0.00 | $0.00 | 0.00%
| **75011 Prof-Consult Svcs - Non-Res Alie** | 0.00 | 0.00 | 0.00 | $150.00 | $150.00 | $0.00 | $2,100.00 | $0.00 | $0.00 | $0.00 | 0.00%
| **75015 Professional Svcs-Reimbursement** | 0.00 | 0.00 | 0.00 | $2,269.91 | $0.00 | $0.00 | $17,798.46 | $0.00 | $0.00 | $0.00 | 0.00%
| **73002 Services, Restricted** | 610 | 4011000 | 01 | $0.00 | $0.00 | $128.23 | $128.23 | $0.00 | $769.20 | ($897.75) | 0.00%

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**Run Date:** 12/30/13
**Run Time:** 3:23:09 PM
# Sponsored Project Budget Statement

**For Fiscal Year 2013**

**As of Accounting Period 9 - May 2013 (Closed)**

**Fiscal Year:** 2013  
**Accounting Period:** 9 - May  
**Current Department:** AI  
**Project Status:** Active Projects Only  
**Project:** 60029312 - Molecular Biophysics Training  
**Display Certificates:** Yes  
**Project PI:** AI

<table>
<thead>
<tr>
<th>Account &amp; Description</th>
<th>Fund</th>
<th>Dept</th>
<th>Activity ID</th>
<th>(A) Incrop-TD Budget</th>
<th>(B) Current Period Exp</th>
<th>(C) FY-TD Exp</th>
<th>(D) Incrop-TD Exp</th>
<th>(E) Open Req Enc</th>
<th>(F) Budget Checked Not Posted</th>
<th>(A-D-E-F) Bal Remaining</th>
<th>(A-D-E-F) % Available</th>
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</thead>
<tbody>
<tr>
<td>75030 Membership Due</td>
<td>610</td>
<td>4011009</td>
<td>01</td>
<td>$1,650,670.00</td>
<td>$1,800.00</td>
<td>$82,584.00</td>
<td>$206,434.00</td>
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<tr>
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<td>$128.25</td>
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<tr>
<td>7801 Stipend</td>
<td>610</td>
<td>4011009</td>
<td>01</td>
<td>$1,200,000.00</td>
<td>$0.00</td>
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<td>$0.00</td>
<td>$873,240.00</td>
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<td>78641 Subcontract &lt; 25000</td>
<td>610</td>
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<td>$0.00</td>
<td>$0.00</td>
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<td>0.00%</td>
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<tr>
<td>78651 Subcontract &gt; 25000</td>
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<td>4011009</td>
<td>01</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
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<td>$0.00</td>
<td>$0.00</td>
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<td>0.00%</td>
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<td>10.04%</td>
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* Excluded from FBA Calculation

F & A amounts in columns E & F are calculated for this report.

I have reviewed the expenditures charged to this sponsored project for the applicable period and believe to the best of my knowledge that they are appropriately assigned to this project in accordance with federal or other sponsor regulations, University policy, and the specific terms and conditions of the award.

Principal Investigator ___________________________ Date ___________________________
# Revenue and Expense Activity Report

**For Fiscal Year 2014**

**As of Accounting Period 2 - October 2013 (Closed)**

**Fiscal Year/Budget Periods:** 2014

**Accounting Period:** 2 - October

**Fiscal Code:** 60029031

**Department:** 401140 - Molecular Biosciences

**Project:** 60029031

**Project Manager:** Radha Krishna, Ishwar

## Expenses and Open Commitments

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<th>Transactions</th>
<th>Account Ending Balance</th>
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What classes should I take?

- FMS112 Cognos Canned Reporting
- FMS807 Expenses
- FMS832 Online Voucher & Payments
- FMS803 Requesters Basic Topics
- FMS801 Shopping in iBuyNU
- FMS711 Correction, Transfer and Internal Sales journals
- FMS722 NUFinancials Budget Searches
- FMS723 Reconciling your Budgets
- FMS815 Requesters Advanced Topics
- FMS504 Reports in Sponsored Research
Resources

• 1-HELP (4357) or consultant@northwestern.edu
• Café Website
  – Training Materials
    • InfoEd Proposal Development
    • FMS504 Reports in Sponsored Research, New!
    • Sponsored Programs Report Inventory
  – Tips & Tricks (Grants Tree)
Questions...