

CLEAR Meeting

December 12, 2022

Hosted by Sponsored Research

Today's Agenda

- Announcements
- Federal Policy Changes
- CERES: Agreement Module

Sponsored Research Staffing: Open Positions

- Contracts & Negotiations
 - Contracts & Negotiations Manager (2) (#45742)
- Awards Management
 - Awards Management Associate (3) (#45210)
- Subcontracts
 - Assistant Sponsored Research Officer (#44530)
 - Financial Administrator (posting soon)

Winter Recess: Office Closure & Deadlines

- **December 16, 2022 (Friday): DUE to SR**
 - All transactions that require SR action before Winter Recess are due
- **December 22, 2022 (Thursday): DUE to SR**
 - Last day to submit any NSF proposal that will be submitted through FastLane
- **December 23 – January 2: CLOSED**
 - Regular SR office operations are suspended
- **January 3, 2023 (Tuesday): OPEN**
 - Sponsored Research reopens with normal business hours

FastLane Decommissioning

- Use Research.gov whenever possible
- FastLane submitted and in-progress proposals and supplemental funding requests will not be transferred to Research.gov.

Deadline	Action
December 22, 2022 (Thursday)	• Last day to submit to Sponsored Research any NSF proposal that will be submitted through FastLane
January 27, 2023 (Friday)	• Last day to submit <u>new</u> proposals and <u>new</u> supplemental funding requests in FastLane*
September 29, 2023 (Friday)	<ul style="list-style-type: none">• Last day to submit proposal file updates/budget revisions in FastLane• Last day to access FastLane submitted and in-progress proposals and supplemental funding requests

*As of November 28, FastLane remains a submission option for only 5% of current funding opportunities.

Upcoming NIH Due Dates

Due Date	Description
January 25	<ul style="list-style-type: none">All - new, renewal, resubmission, revision• Program Project Grants and Center Grants (P-series)• Research Demonstration Edu. Projects (R18, U18, R25)• <i>Institutional</i> National Research Service Awards (T-Series)• Multiple other activity codes (C, D, G, S, U)
February 5* (Sunday)	<ul style="list-style-type: none">• R01 (new)• U01 (new)
February 12* (Sunday)	<ul style="list-style-type: none">• Research Career Development (new) K-series
February 16	<ul style="list-style-type: none">• Other Research Grants and Cooperative Agreements (new) R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3

**Due dates will push to next business day: Monday, February 6, and Monday, February 13, respectively*

Grants.gov Validation Delays & Submission Recommendations

- SR has noticed validation delays in Grants.gov with proposals sitting in "packaging process" status for extended periods.
 - Not an error, but during the delay SR will not receive validation confirmation and the proposal will not appear in Commons
 - All delays have occurred later in the afternoon (after 2pm)
- Recommendation: Submit proposals to any agency that relies on Grants.gov no later than 12pm on sponsor deadline day
- Ongoing monitoring: SR will continue to monitor the situation and provide more info as it becomes available.

Industry Clinical Trial Award Set-up

- Effective January 3, 2023 (after winter recess)
- Departments should complete the proposal budget with the following budget categories prior to routing to Sponsored Research; tool will be available soon to assist
 - Direct Costs
 - IRB Fees
 - Indirect Costs
- The AMA for the capsule will set up the clinical trial award once it has been fully executed and all items and compliance documentation are present.

Federal Policy Changes

Final NIH Policy on Data Management and Sharing

[Final NIH Policy for Data Management and Sharing \(NOT-OD-21-013\)](#)

- Required to include a data management and sharing (DMS) plan in funding applications submitted to the NIH on or after January 25, 2023.
- Forms-H includes the DMS plan; InfoEd has been patched with Forms-H
- Applies to all NIH-funded research that results in the generation of scientific data, including competing grant applications, but does *not* apply to research and other activities that do not generate scientific data, such as training and infrastructure development.
- DMS plans must 1) outline how scientific data and related metadata will be managed and shared and 2) address oversight of data management and sharing.
- Final DMS Policy Resources: NIH's [Scientific Data Sharing Website](#).

Budgeting for Data Management and Sharing on NIH Applications

- If submitting an application for funding to NIH that requires a Data Management and Sharing (DMS) Plan, data sharing related costs may be requested.
- NIH Reference: [Budgeting for Data Management and Sharing Resources](#)
- SR Website Assistance: [Budget Development page](#) includes a call-out and link to the NIH DMS budgeting page to help you quickly access those resources.

Data Management and Sharing Plan

- For What and When? -

- Competing grant applications that are submitted to NIH for January 25, 2023 and subsequent receipt dates.
- Proposals for contracts that are submitted to NIH on or after January 25, 2023.
- NIH Intramural Research Projects conducted on or after January 25, 2023.
- Other funding agreements (e.g., Other Transactions) that are executed on or after January 25, 2023, unless otherwise stipulated by NIH.

NSF Proposal Preparation Changes Effective with NEW PAPPG (NSF 23-1)

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

- Effective for proposals submitted or due on or after **January 30, 2023**
- **A new certification requirement** that senior personnel certify that the information provided in their Biographical Sketch and Current and Pending Support documents are accurate, current, and complete. (**Chapter II.D.1.e**)
- **Biographical Sketches and Current and Pending (Other) Support** have been revised to increase standardization with the common forms developed in compliance with NSPM-33 Implementation Guidance. In addition, biosketches must be prepared using SciENCv. Use of SciENCv for Current & Pending is effective 10/23/23 (Chapter II.D.2.h(i-ii))
- **Plan for Safe and Inclusive Working Environments for Off-Campus or Off-Site Research:** As per NSF policy (see Chapter XI.A.1.g.) to foster safe and harassment-free environments wherever science is conducted, each proposal that proposes to conduct research off-campus or off site must certify that a plan is in place for that proposal at time of submission. (Chapter II.E.9)

Federal Research Requirements & Certifications for Title IX Compliance

AGENCY	NSF	NASA	ENERGY & DOE National Labs	NIH
Requirements	<p>Safe and Inclusive Working Environments for Off-Campus or Off-Site Research Plan</p> <p>Certification that the organization has a plan in place <i>for that proposal</i> that 1) describes how abuse (e.g., harassment, bullying) and conduct that is unwelcome, offensive, indecent, obscene, or disorderly, will be addressed and 2) identifies steps the organization will take to nurture an inclusive off-campus or off-site working environment.</p>	<p>Inclusion Plan (IP)</p> <p>IP's must outline: 1) How the team will work against barriers to create and sustain inclusive work environments and 2) How the team will equip members in such a way that they can go on to lead and contribute to other teams that are diverse and inclusive.</p>	<p>Promoting Inclusive and Equitable Research (PIER) Plan</p> <p>The PIER plan should describe the activities and strategies of the applicant to promote equity and inclusion as an intrinsic element to advancing scientific excellence in the research project within the context of the proposing institution and any associated research group(s).</p>	<p>Updated Requirements for NIH Notification of Removal or Disciplinary Action Involving PD/PI or other Senior/Key Personnel (NOT-OD-22-129)</p> <p>Required notification of NIH when individuals identified as PD/PI or other Senior/Key personnel in an NIH notice of award are removed from their position or are otherwise disciplined by the recipient institution due to concerns about harassment, bullying, retaliation or hostile working conditions.</p>

Title IX Compliance Requirements (cont.)

AGENCY	NSF	NASA	ENERGY & DOE National Labs	NIH
Applicable to	Proposals that propose to conduct research off-campus or off site	(Currently) 13 Programs within NASA's Research Opportunities in Space & Earth Sciences (ROSES)	All applications	All recipient institutions
Guidance	PAPPG II.E.9	<p>Website for researchers is still in development.</p> <p>Language has not been standardized among/for ROSES solicitations.</p>	<p>Information about PIER Plans</p> <ul style="list-style-type: none"> • May incorporate or build upon existing diversity, equity, accessibility, and inclusion efforts of the project key personnel or applicant institution(s) but should <i>not</i> be a re-statement of standard institutional policies. • Complexity and detail of a PIER is expected to increase with the size of the research team and the number of personnel to be supported. 	<p>NOT-OD-22-129</p> <ul style="list-style-type: none"> • Notification must be submitted to NIH through a dedicated web form. • If it is determined that the concerns shared with NIH will impact the PD/PI or senior key personnel's ability to continue as the scientific lead of the project, NIH will require prior approval for a replacement PD/PI or senior key official.

Title IX Compliance Requirements (cont.)

AGENCY	NSF	NASA	ENERGY & DOE National Labs	NIH
When	Certification at time of proposal submission Dissemination prior to departure	At time of proposal submission as separate document	At time of proposal submission as appendix (up to 3 pages) to proposal narrative – cannot be a separate file.	Individuals. No specified time. Institution via AOR. Notification within 30 days of removal or disciplinary action.
Awardee Actions	Plan for the proposal must be disseminated to individuals participating in the off-campus or off-site research prior to departure. <i>Proposers should not submit the plan to NSF for review.</i>	Plan must be submitted as part of the proposal	Plan must be submitted as part of the proposal	
Stakeholders	Title IX Office, Office for Research, School / Department, Researcher, Project Personnel	Title IX Office, Office for Research, School / Department, Researcher	Title IX Office, Office for Research, School / Department, Researcher	Title IX Office, Office for Research, Individuals
Certifier	Distinct Certification: Northwestern University Authorized Organizational Representative (AOR) – Sponsored Research	Standard Certification as part of submission process: Northwestern University AOR – Sponsored Research	Standard Certification as part of submission process: Northwestern University AOR – Sponsored Research	N/A

CERES Agreements

Recap October CLEAR Meeting: Funding Proposals

October CLEAR Meeting
Deck: [link](#)
Recording: [link](#)

Draft

Caffeine Effects on the Frontal Cortex

FP00000350 Funding Proposal

Next Steps

- View Funding Proposal
- Printer Version
- Manage Ancillary Reviews
- Create-Update SF424
- Manage Tags
- Add Attachments
- Copy
- Send Email
- Assign Specialist
- Add Comment

Proposal Information

PD/PI: Rebecca Simms (pi)
Department: Biochemistry (Huron Test)
Specialist: Guideen Dubois
Sponsors: National Institutes of Health
Internal Submission Deadline: 10/20/2022
Certified: No
SF424 Link: SF-424000000350

Budget Information

Starting Date: 1/1/2023
Number of Periods: 5
Total Direct: \$816,808
Total Indirect: \$167,584
Total: \$984,392

Workflow: Draft → Department Review → Specialist Review → Sponsor Review → Complete
Clarification Requested (between Department and Specialist Review)
Changes Required (between Specialist and Sponsor Review)

Working Budgets

Name	SmartForm	Date Modified	State	Funding Source	Total	In Financials?
National Institutes of Health	[Edit]	10/7/2022 9:13 AM	Draft	Federal	\$984,392	yes

Proposal

Contains all the data and relationships necessary to describe the full scope of a Proposal

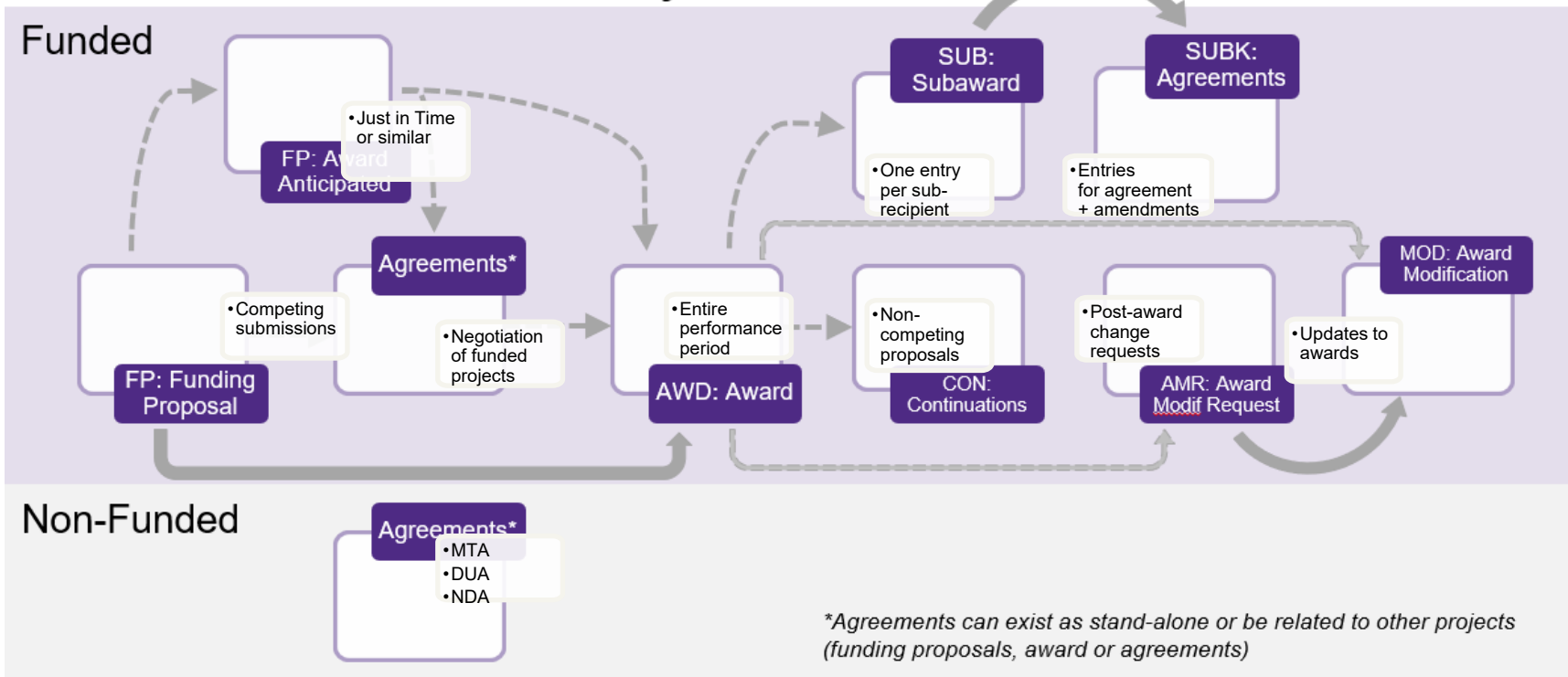
Budget

Includes Sponsor, Cost Share and Subaward budgets

SF424

Contains the application information that is submitted to Grants.gov

CERES Across the Lifecycle



Agenda

- 1. CERES Agreements Overview**
 1. Grants vs. Agreements Modules
 2. Navigation
 3. Agreements SmartForms
 4. Agreement Types
 5. Agreements Workflow
 6. Agreement Templates
- 2. System Demonstration**
- 3. Business Process**
 1. Funded Agreements
 2. Outgoing Subcontracts Process
 3. Non-Funded Agreements
- 4. Announcements**
 1. End-to-End Testing
 2. Training
 3. CERES Q&A

Grants Module

Agreements Module

Pre-Award

- Funding Proposals
- SF424
- Budget

Post-Award

- Awards
- Award Modification Request
- Award Modification
- Subaward

Funded

- Clinical Trial
- Sponsored Research Agreement
- Subcontract

Non-Funded

- MTA
- DUA
- NDA
- LOI
- MOU
- Master Collaboration

Navigating to Agreements

Modules

Dashboard **Agreements** Grants

Page for Taylor Carl Help

Create ▾

Recently Viewed

Recent Pinned

- FP00000478: LC 12/5 Test JIT
- AWD00000307: SEH Test Complex Award
- FP00000480: LC JIT Test ... Screenshots
- BU00000708: National Ins...es of Health
- BU00000705: National Ins...es of Health
- FP00000414: SEH Test Scr...S Submission
- FP00000267-Res1: KK ONBASE RESUB
- AWD00000300: Seed

My Inbox My Reviews Assignments In Process

My Inbox

Filter by ID + Add Filter X Clear All

ID	Name	Date Created	Date Modified	State	Coordinator
FP00000481	Enhancing Liver Transduction	12/6/2022 10:04 AM	12/6/2022 1:25 PM	Department Review: Response Pending from PI	Daniel Johnson
FP00000472	ATK Test Proposal SF424 Function Test 2	12/2/2022 1:17 PM	12/5/2022 6:33 PM	Draft	Daniel Johnson
NDA0000008AM3	Amendment for NDA Test 3	12/2/2022 1:35 PM	12/2/2022 1:45 PM	Unassigned	
CTA00000062	CME1015CTA	11/22/2022 2:31 PM	12/1/2022 8:35 AM	Unassigned	
AWD00000280	KK OnBase FP TEST with SF424	11/17/2022 2:20 PM	11/18/2022 10:46 AM	Draft	Taylor Carl
SRA00000054	Test Award #0	11/15/2022 2:53 PM	11/15/2022 3:27 PM	Internal Signature	Taylor Carl
AMR00000168	KK AWDMODREQ OnBase TEST	11/10/2022 3:37 PM	11/10/2022 3:38 PM	Review	Kavita Kalra
FP00000406	ATK COI Integration Test - FP Agreement Creation Test #2	11/2/2022 8:04 AM	11/9/2022 10:09 AM	Department Review: Response Pending from PI	Daniel Johnson
CA00000015	CA 11-3-2022	11/3/2022 10:07 AM	11/3/2022 10:08 AM	Unassigned	
AWD00000140	DMA Complex Award Example (FP00000129)	9/16/2022 2:51 PM	11/1/2022 11:16 AM	Draft	Taylor Carl
FP00000399	This is a S2S Proposal	10/27/2022 9:15 AM	10/27/2022 9:46 AM	Draft	Taylor Carl

Agreements

Agreement SmartForm Menu (Clinical Trials)

Validate Compare

Agreement Upload

General Information

CTA Agreement Information

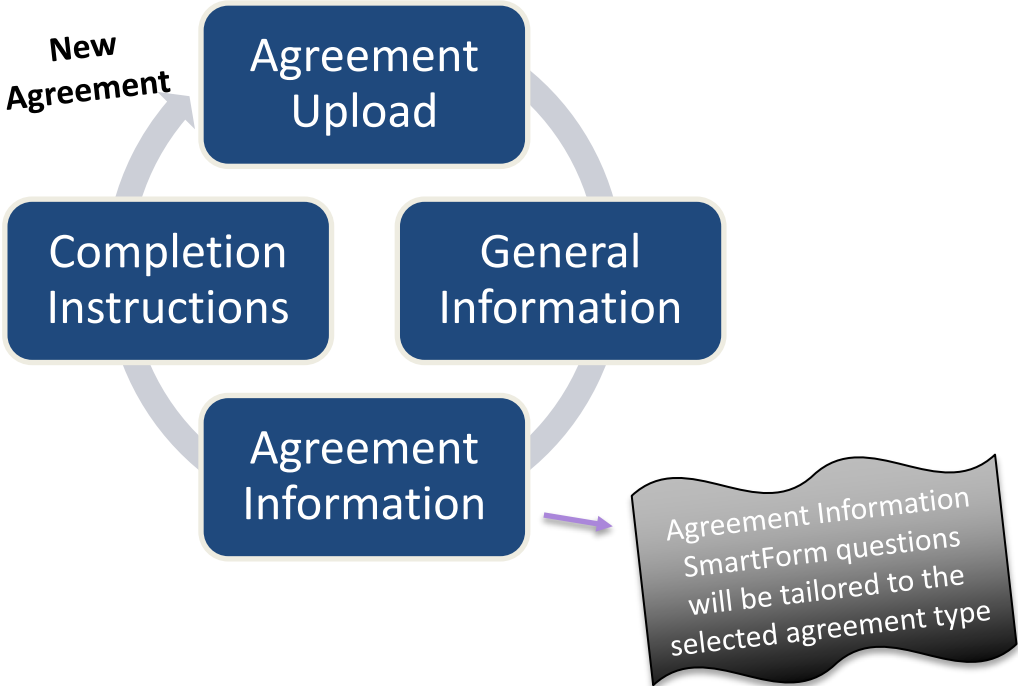
CTA Additional Information

CTA Supplemental Information

Negotiation Information

Completion Instructions

SmartForms: All Types



Agreement Types

Funded

- Clinical Trial
- Sponsored Research Agreement
- Outgoing Subcontract

Non-Funded

- MTA
- DUA
- NDA
- LOI
- MOU
- Master
- Collaboration

Agreements Workflow



Workflow Notes

- PI and RA are notified at each state change
 - Outlook rules can be configured as needed
- Correspondence tab in lieu of agreement comments
- Department access can be granted by module
 - Accommodates users who only submit non-funded agreements
- Signature routing integrated with DocuSign
 - DocuSign envelope status will display within CERES on the agreement workspace
- Expiration reminders auto-send 90, 60 and 30 days prior to end dates

Agreement Templates

Agreement Upload

You Are Here: [_ClickAgreement](#)

Creating New: Agreement

Agreement Upload

- * Agreement manager/Principal investigator:**
- * Primary contact:**
Kimberly Griffin
- * Upload agreement draft:** (or check the box below)
[None]
First draft to be generated internally?
- Title or internal reference number:**
- * Agreement type:**
- Description:**

- When this box is checked, the system will generate the agreement template associated based on type + specific fields
- The Word document will be pre-populated with key fields mapped from this SmartForm
- Sponsored Research is currently working with General Counsel to review and approve the full set of agreement templates to be configured
- For outgoing subcontracts, the FDP template will be pre-configured, along with additional templates we can configure

System Demonstration

Business Processes

Agreements with Funding

- Bilateral Awards
 - Sponsored Research will create an Agreement record once a notice of award arrives if needed
- Industry Clinical Trials
 - Departments will create Funding Proposal record and budget, which will route for approval
 - Once the Funding Proposal is approved, Departments will create related Agreement record, with questions specific to the clinical trial
 - Negotiations begin once Agreement record is routed
- Once fully executed, Sponsored Research will create an Award record and complete the setup.

Outgoing Subcontracts Process

- For active awards with outgoing subawards, SR directs/sends the agreement to the unit
- Unit primary admin contact dashboard reflects agreement form is in unit's queue for completion (SR send email to unit in CERES)
- Unit primary admin contact can re-assign to other unit staff as needed
- Unit completes agreement form, attaches supporting materials, returns/submits to SR
- SR negotiates issues and executes the agreement.

Non-Funded Agreements

- Non-Funded Agreement Types Initiated by Department
 - Non-Disclosure (NDA)
 - Material Transfer (MTA)
 - Data Use (DUA)
 - Collaboration
 - Memorandum of Understanding (MOU)
 - Letter of Indemnification (LOI)
- Create directly in Agreements module
 - If relevant can relate to a Funding Proposal or Award, but can stand alone
- No departmental approval step; routes directly to SR

Security Access is separate for Grants and Agreements:
User access can be tailored according to role

Announcements

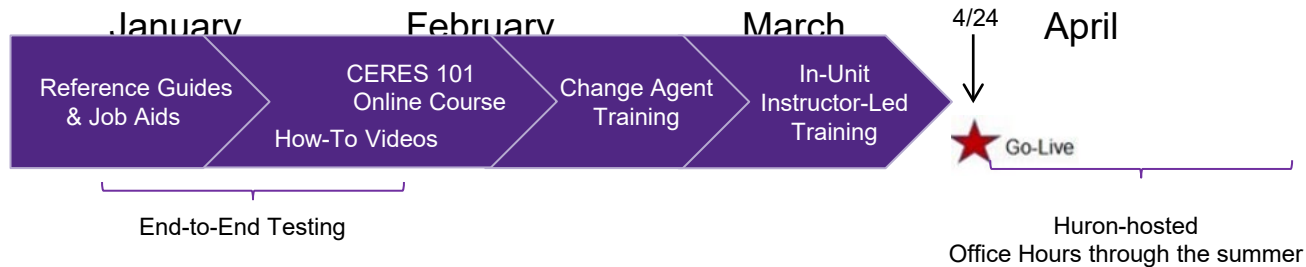
Coming up: End-to-End Testing

- Expected to take place in January and February 2023.
- Participants will be notified before Winter Recess if they have been selected to participate in End-to-End Testing.
- This is an opportunity to gain experience in our new system, ask questions, and contribute to Northwestern's seamless transition from InfoEd to CERES.
- Testing is intended to “kick the tires”- this is not a test of your proficiency in the system, it is a test of the system to identify limitations
- Testing sessions scheduled by sratransformation@northwestern.edu. Please open emails from this account.

Training Overview

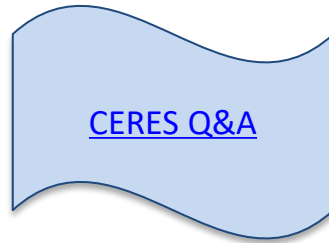
Northwestern staff will receive training through the materials and resources outlined below. Training materials will include both published materials staff can use on their own schedule, and Instructor-Led Training Courses.

Instructor-Led Training will take place in your units in April, leading up to the 4/24 Go-Live date.



CERES Q&A

Submit your questions about CERES via this SmartForm:



We will follow up and add new FAQs monthly to the SRATP [CERES FAQs](#) page.

Join us for the
next CLEAR Meeting:

Tuesday, February 14, 10:00am