

CLEAR Meeting

October 10, 2023

Hosted by Sponsored Research

Today's Agenda

- Announcements
- SR Lifecycle
- CERES – Security Access Forms Decoded
- CERES Cognos Reporting

Upcoming NIH Due Dates

NIH Due Date	SR (5-Day) Deadline	Description
November 5 (Sunday)*	October 30	<ul style="list-style-type: none"> •R01 Research Grants <i>renewal, resubmission, revision</i> •U01 Research Grants - Cooperative Agreements <i>renewal, resubmission, revision</i>
November 12 (Sunday)*	November 6	<ul style="list-style-type: none"> •K Series Research Career Development <i>renewal, resubmission, revision</i>
November 16	November 9	<ul style="list-style-type: none"> •Other Research Grants and Cooperative Agreements (R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3) <i>renewal, resubmission, revision</i>
December 8	December 1	<ul style="list-style-type: none"> •F Series Fellowships Individual National Research Service Awards (including F31 Diversity) <i>new, renewal, resubmission</i>

*NIH due date moves to next business day

SR Networking Events

Chicago Campus

- Wed. October 11
- 9:30 - 11:00am
- Simpson Querry Building - Trienens Conference Room (Mezzanine Level)

Evanston Campus

- Thurs. October 12
- 1:00 - 2:30pm
- Norris University Center, Second Floor, 205B Louis Room South
- 1:30pm: Brief remarks by VPR Eric Perreault

Foreign Influence Policy

- NSF RCR training
- Malign foreign talent program members

(Beginning August 9, 2024, DoD will be prohibited from providing funds to an institution (1) in which a covered individual is participating in a malign foreign talent recruitment program, or (2) that does not have a policy in place addressing malign foreign talent programs).

- NU currently working on updating our COI policy.
- **ByteDance- FAR 52.204-27 (July 2023)**
 - SR managing individually now with policy near completion

NIH Notice: Foreign Subaward Lab Notebooks

- [NOT-OD-23-182](#) — NIH Final Updated Policy Guidance for Subaward/Consortium Written Agreements

Updates previous guidance to indicate subaward agreements must stipulate that foreign subrecipients will provide to the primary recipient with a frequency of no less than once per year, access to copies of all lab notebooks, all data, and all documentation that supports the research outcomes as described in the progress report in alignment with the timing requirements for Research Performance Progress Report submission. The notice also clarifies that by “access to,” it is understood that such access may be entirely electronic.

- See the following related resources:
 1. [Open Mike Blog post](#) with video addressing community feedback
 2. New [Subaward website](#) provides key elements and sample language for subaward agreements
 3. [FAQs](#)



Project Reporting Enforcement Pilot

- Reminder: NSF is conducting a pilot that began 10/2 and ends in January 2024.
- Delinquent progress reports will follow an escalation process leading up to withholding cash payments.
- [Additional information on SR website](#)

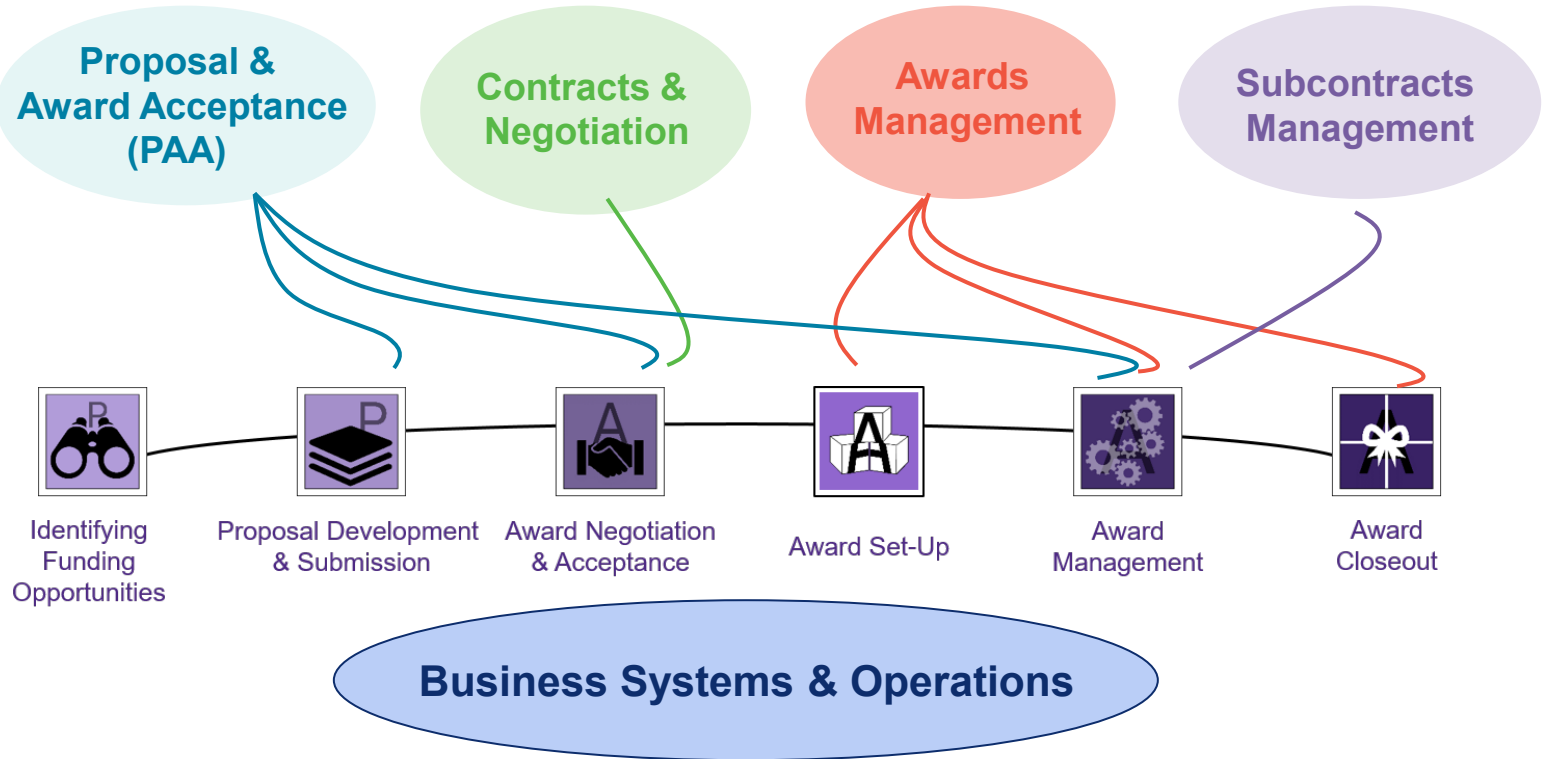


National
Science
Foundation

SciENcv Mandate

- Reminder: Bio Sketch and Current & Pending Support **must** use SciENcv for NSF proposals due on or after 10/23/23
- Jamie Carlstone, Authority Metadata Librarian, will be available at this week's Meet-and-Greet events with more information on SciENcv+ORCID connections
- [Additional information on SR website](#)

SR Teams & the Sponsored Project Lifecycle



PAA (Proposal & Award Acceptance)

- Reviews proposals
- Negotiates/accepts awards
- Reviews terms & conditions for award modifications
- Processes JIT requests

Award Management

- Award Setup (establishes chartstrings)
- Award Modifications
- RPPR (NIH-Research Performance Project Report)



SUBAWARDS

- Issues outgoing subawards & modifications/amendments
- Performs FFATA reporting (Federal Financial Accountability Transparency Reporting)

CONTRACTS

- Negotiation & Execution of Contracts
 - Sponsored Research Agreements (SRA)
 - Clinical Trial Agreements (CTA)
 - Federal Contracts
 - Non-funded Agreements
 - Material Transfer Agreements (MTA)
 - Data Use Agreements (DUA)
 - Non-Disclosure Agreements (NDA)

BSO (BUSINESS SYSTEMS & OPERATIONS)

- Systems Administration & Support (CERES & Sponsor Portals)
- SR data reporting/metrics
- Audit/compliance monitoring/reporting
- Communications
- Training
- Office support



CERES Across the Funded Lifecycle (Capsule Roles)

Prop. Development & Submission



Award Negotiation & Acceptance



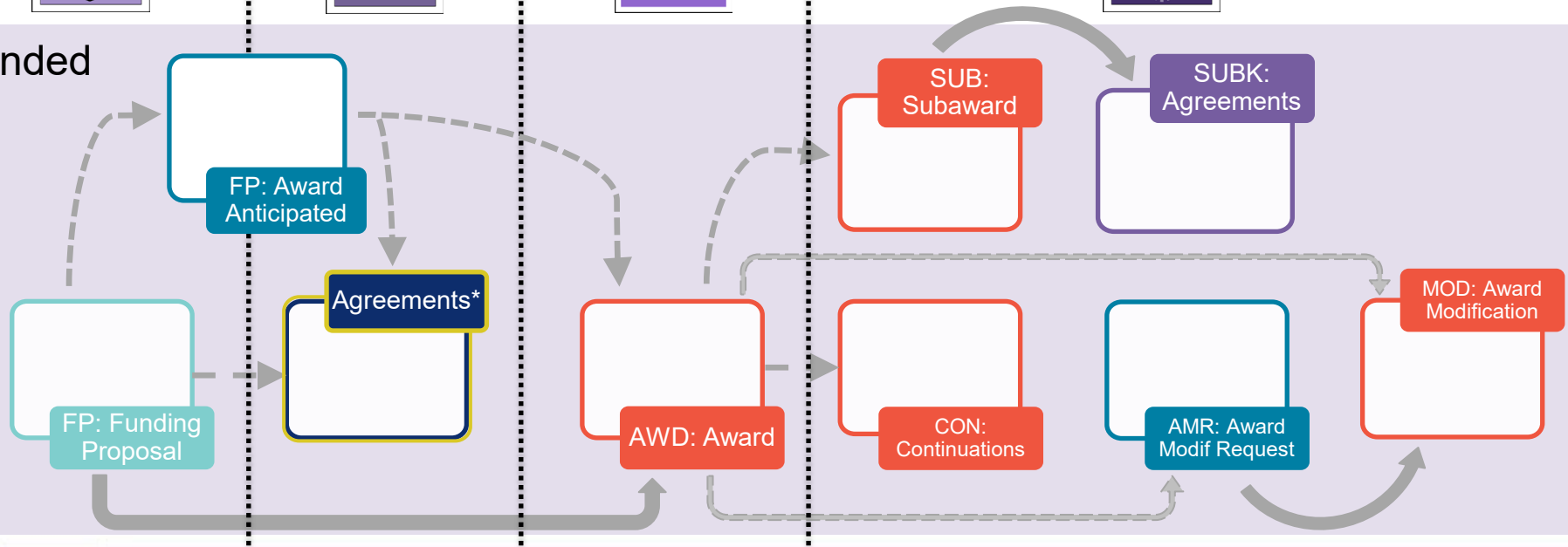
Award Set-Up



Award Management



Funded



Process Flow

- Proposal created in CERES by departmental administrators
- Proposal routed to SR (PAA) in CERES
- Proposal reviewed by PAA and submitted to sponsor per sponsor guidelines

****** Proposals are to arrive in SR 5 business days prior to the sponsor deadline. Proposals are to be **complete & ready to submit** to sponsor. Proposals are reviewed in a “First In First Out (FIFO)” method.

Process Flow (cont.)

- Awards are received in SR and reviewed by the PAA team
- Terms/Conditions are negotiated if necessary
- Awards are routed to the AMA team

Process Flow (cont.)

- AMA reviews award budgets and contacts the PI/departmental administrators for any necessary changes based on Notice of Award
- Chartstrings are established and notifications sent to ASRSP

Process Flow (cont.)

- Award Modification Requests (AMR's) are submitted via CERES by the departmental administrator.
 - Reviewed by PAA for allowability
 - Routed to AMA for budget adjustment
 - Routed to Subawards if applicable
- ** AMR's are processed FIFO and any edit to the request after submission will cause the AMR to move back in the queue.*

Process Flow (cont.)

- Awards that contain a subaward budget will be routed to the Subaward team in CERES.
- **SR will initiate an agreement record** in CERES that routes to the department for information to be completed.
- Subawards are prepared and sent to the sub site for signature then fully executed by the Subaward team.

Process Flow (cont.)


- Chartstrings setup by SR are managed in NU Financials by ASRSP (Accounting Services for Research & Sponsored Programs).
 - Financial Reporting
 - Invoicing
 - Sub Monitoring
 - Cash Management
 - Audits
 - Closeouts

SR Titles

- Assistant SRO (sponsored research officer)
- Associate SRO
- Subaward SRO
- Contracts Officer
- Associate Contracts Officer
- Contracts & Negotiation Managers
- Award Management Associates

Capsules

- Capsules containing representatives from each SR team were created and assigned departments to support. You can find your capsule # on the SR website based on your department.
- [Job aid: Capsule Roles Across the Lifecycle](#)




Sponsored Research Metrics (FY23)

- Proposals Submitted: 3,566
- Awards Received: 3,888
- AMR's Received: 3,911
- Subawards Issued: 1,722
- Total Funding Received: \$1.01 billion

CERES: Security Decoded



CERES Security: Decoded

- How do I request...
 - RA access for CERES?
 - department approver access for CERES?
 - Grants & Agreements data mart access?
 - Access to CERES is provisioned by the Financial Operations IT Security Office
 - foitsecurity@northwestern.edu
- 

Forms to Use

- **General Form**
 - RA in Schools
 - Department Approver in Schools
 - Cognos reporting access
 - “Model after” now available for active employees
- **Central form**
 - Central Office staff

RA/Dept Approver/Cognos Access for CERES

REQUEST TYPE (Check all that apply)

To **add** a user, select the appropriate box(es) below, then complete section(s) B–F.

To **inactivate** a user, select the appropriate box(es) below, sign, and forward form to foitsecurity@northwestern.edu.

To **modify** access, select box(es) below, then select add/delete as appropriate in section(s) B–F.

General Access (Section B)	<input type="checkbox"/> ADD	<input type="checkbox"/> INACTIVATE	<input type="checkbox"/> MODIFY
Workflow (Section C)	<input type="checkbox"/> ADD	<input type="checkbox"/> INACTIVATE	<input type="checkbox"/> MODIFY
ChartField Security / Row Level Security (Section D)	<input type="checkbox"/> ADD	<input type="checkbox"/> INACTIVATE	<input type="checkbox"/> MODIFY
Facilities Management (Section E)	<input type="checkbox"/> ADD	<input type="checkbox"/> INACTIVATE	<input type="checkbox"/> MODIFY
Grants Management (Section F)	<input checked="" type="checkbox"/> ADD	<input type="checkbox"/> INACTIVATE	<input type="checkbox"/> MODIFY
NUPlans (Section G)	<input type="checkbox"/> ADD	<input type="checkbox"/> INACTIVATE	<input type="checkbox"/> MODIFY

RA Access for CERES

Page 5

SECTION F: GRANTS DEPARTMENT ROLES

Office for Sponsored Research (OSR) data contains confidential information. The technical, programmatic, and budgetary details of an individual proposal are confidential and the contents of a proposal may not be disclosed without the prior written approval of the proposal's PI. Any authorized university user may otherwise access proposal data elements such as the proposal title, amount requested, and period of performance without obtaining the PI's approval. Aggregate proposal data may be reported in accordance with the restrictions set forth in the remainder of this Agreement. Researcher social security numbers and employee IDs are confidential and may only be disclosed to units who are administering the proposal or award.

By signing this request you agree to the following provisions. You will not provide others with unlimited access to OSR data without prior approval of OSR. You will not seek personal benefit or permit others to benefit personally from information contained in any OSR dataset. You will not divulge the contents of any record or report to any person except in the conduct of your work assignment and in accordance with University and departmental policies. You acknowledge OSR as the data collection source when making any permitted disclosures of OSR data. You understand that OSR provides all data without warranty. You are obligated to inform OSR of any problems detected in the OSR data as soon as possible. You will not include or cause to be included in any record or report a false, inaccurate, or misleading entry. You will not divulge IDs or passwords to anyone.

CERES General Access

Research Administrator	<input checked="" type="checkbox"/> Add <input type="checkbox"/> Remove	Department Approver (Please coordinate additional delegation approval with Sponsored Research)	<input type="checkbox"/> Add <input type="checkbox"/> Remove
		Research Portal Sponsored Salary Access	<input type="checkbox"/> Add <input type="checkbox"/> Remove

CERES Report Access

COGNOS: Report User (CAFÉ_JE_RESEARCH_FACULTY)	<input type="checkbox"/> Add <input type="checkbox"/> Remove	Cognos Self Service	<input type="checkbox"/> Add <input type="checkbox"/> Remove
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CERES DeptIDs

Specify DeptID(s)	<input type="checkbox"/> Add <input type="checkbox"/> Remove
	<input type="checkbox"/> Add <input type="checkbox"/> Remove
	<input type="checkbox"/> Add <input type="checkbox"/> Remove

RA access includes research portal, no need to check that box separately

Specify 7-digit DeptID here

Dept Approver Access for CERES

Page 5

After FOIT notifies you the approver is set up, reach out to osr-info@northwestern.edu to communicate specifics on which departments at which levels

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CERES DeptIDs

Specify DeptID(s)	<input type="checkbox"/> Add <input type="checkbox"/> Remove
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	<input type="checkbox"/> Add <input type="checkbox"/> Remove



Requesting Delegate Authority

- Directly to osr-info@northwestern.edu
 - FOIT Security does not manage delegation
- Send either a signed letter (PDF) or email
- Sample text on next slide

Requesting Delegate Authority

EXAMPLE

This [letter/email] serves to confirm that I have delegated signature authority to the individuals listed below for all paper and electronic SR proposal forms including CERES Department Review routing. This delegation covers [which departments/units].

Name

Title

Department

In the event that a proposal requires my personal signature, such documents will be forwarded to me for signature. This letter approving signature authority is effective [date].

[signature]

Department Chair (individual departments) or Dean (entire school)

Title

Cognos Access for CERES

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CERES DeptIDs	<input type="checkbox"/> Add <input type="checkbox"/> Remove		
Specify DeptID(s)	<input type="checkbox"/> Add <input type="checkbox"/> Remove		
	<input type="checkbox"/> Add <input type="checkbox"/> Remove		

Want to run pre-built reports?
Check here!

Want to write your own reports?
Check here!

RA Transfers (staying at NU)

- New Department submits the form

Page 1

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Grants Management (Section F)	<input type="checkbox"/> ADD	<input type="checkbox"/> INACTIVATE	<input checked="" type="checkbox"/> MODIFY

Is this a School or Department transfer? Yes No

(Please note all previous FFRA Security Access is removed for transferred users)

RA Departures from NU

Page 1

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Grants Management (Section F)	<input type="checkbox"/> ADD	<input checked="" type="checkbox"/> INACTIVATE	<input type="checkbox"/> MODIFY

Approve + Submit

REQUIRED APPROVALS

Financial system users at all levels of the organization are charged with responsibility for ensuring that prescribed guidelines and policies are followed when conducting business at the University. The policies outlined in Standards for Business Conduct include confidentiality of University financial data, proper accounting and use of University assets, in addition to policies on purchasing, travel and entertainment, and other business activities. See: <http://policies.northwestern.edu/docs/StandardsforBusinessConduct.pdf>.

By submitting this request, the user and department head affirm that they are aware of and will comply with University business guidelines and policies referenced in the Standards for Business Conduct and all other applicable policies. The user also affirms compliance with all NUIT policies. Access may be changed or revoked at any time. NUIT policies are available for review at <http://www.it.northwestern.edu/policies>.

Dean's office signature authorizes all access including cross department security.

REQUIRED APPROVALS

Applicant	
Print Name:	Email:
Signature:	Date:
<input type="checkbox"/> Request Approved <input type="checkbox"/> Request Denied	Applicant's Department Head
	Print Name:
	NetID:
	Email:
	Signature: Date:
By signing this form, the Dean's Office authorizes <i>all</i> access indicated on the request form. If you are authorizing access to departments or projects that are controlled by other Deans' offices, please validate requests with those entities before authorizing access with your signature.	
<input type="checkbox"/> Request Approved <input type="checkbox"/> Request Denied	Dean's Office
	Print Name:
	NetID:
	Email:
	Signature: Date:
FOIT Security Processing	
Date Received:	Date Completed: Completed By:

Submit fully approved form to:
foitsecurity@northwestern.edu

CERES Cognos Reporting & Demo



Agenda

- New version of Cognos (go-live 11/4)
- Access to CERES datamart
- Navigation and Search
- Features of canned reports
- Features of self-service
- Starter reports

Links to Resources

- [Data Analytics Community of Practice \(CoP\) on Microsoft Teams](#)
- [GIFs and Videos](#) for Cognos report features
- Guide to Getting Started with Self-Service: [Self-Service Getting Started Guide](#)
- [Introduction to Cognos Analytics 11.2.4](#)