

CLEAR Meeting

December 12, 2023

Hosted by Sponsored Research

Today's Agenda

- Announcements
- A (Re-)Introduction to the COI Office
- CERES: Tips & Tricks
- SR Best Practices

Winter Recess: Office Closure & Deadlines

- **December 14, 2023 (Thursday): DUE to SR**
 - All transactions that require SR action before Winter Recess are due
 - Note: SR will be closed in the afternoon (after 12pm) for a staff holiday event
- **Dec. 22 (Friday) – Jan. 1 (Monday): CLOSED**
 - Regular SR office operations are suspended
- **January 2, 2024 (Tuesday): OPEN**
 - Sponsored Research reopens with normal business hours

Upcoming NIH Due Dates

NIH Due Date	SR (5-Day) Deadline	Description
January 25	January 18	<p>All - new, renewal, resubmission, revision</p> <ul style="list-style-type: none"> • 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	January 29	<ul style="list-style-type: none"> • R01 (new) • U01 (new)
February 12	February 5	<ul style="list-style-type: none"> • Research Career Development (new) K-series
February 16	February 9	<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

CLEAR Meetings 2024

- Changing to a hybrid format
 - In-person meeting with networking time
 - Live online simulcast of the presentation and Q&A
- Planned schedule:
 - Quarterly alternating between campuses
 - Feb. (Chi), May (Ev), August (Chi), November (Ev)
 - Second week of the month - Exact dates TBD
- Ad hoc virtual brown bags (via Zoom webinar) for any notable issues that arise between quarterly meetings

Conflict of Interest

Emily Updegraff
Director, Conflict of Interest



What is a conflict of interest?

A situation where financial, professional or other outside activities or interests affect, or appear to affect, a person's judgment in carrying out University duties or responsibilities



The Big Picture

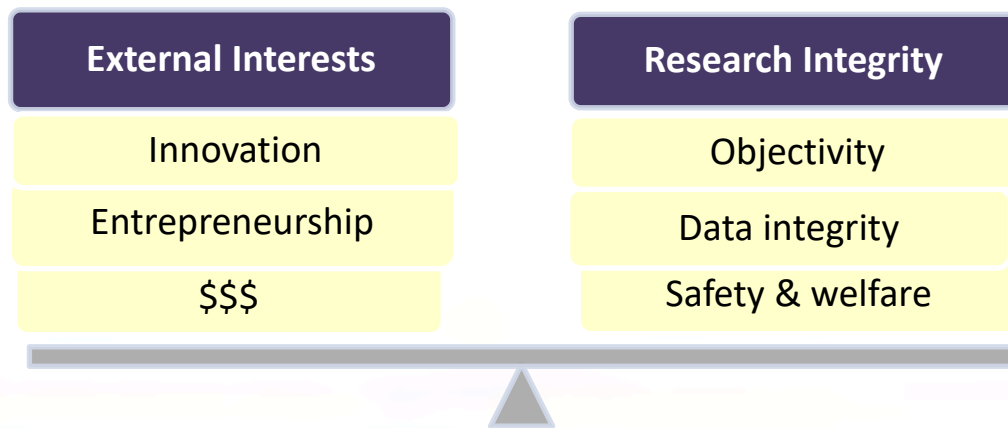
Translating ideas and intellectual property from the University to the marketplace is a critical component of Northwestern's research program.

Translation can create conflicts.

We must **balance** promoting innovation and entrepreneurship with preserving our commitment to Northwestern and safeguarding the integrity and objectivity of University research.

Balancing external interests and research integrity

Bias – even the *perception* of bias – can damage the **integrity of the science**, and the **trust of colleagues, sponsors, and the public**

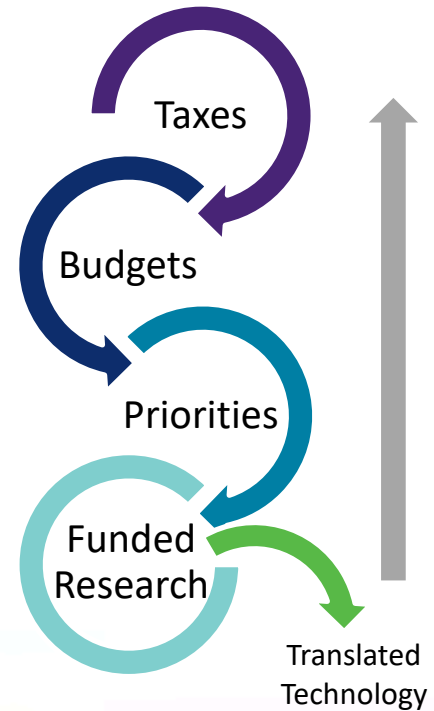




What Federal Sponsors Care About

Federal sponsors are responsible for being good stewards of funds – they want to make good decisions about allocation.

- Will the research results be trustworthy? (i.e. free of bias)
- Do you have the time and resources needed to do this work?
- Is this project already funded? (are you “double-dipping”?)
- Are there opportunities for diversion of intellectual property away from the U.S.?





Northwestern's Process



Investigators disclose external interests and relationships



Northwestern reviews interests and research to identify COIs

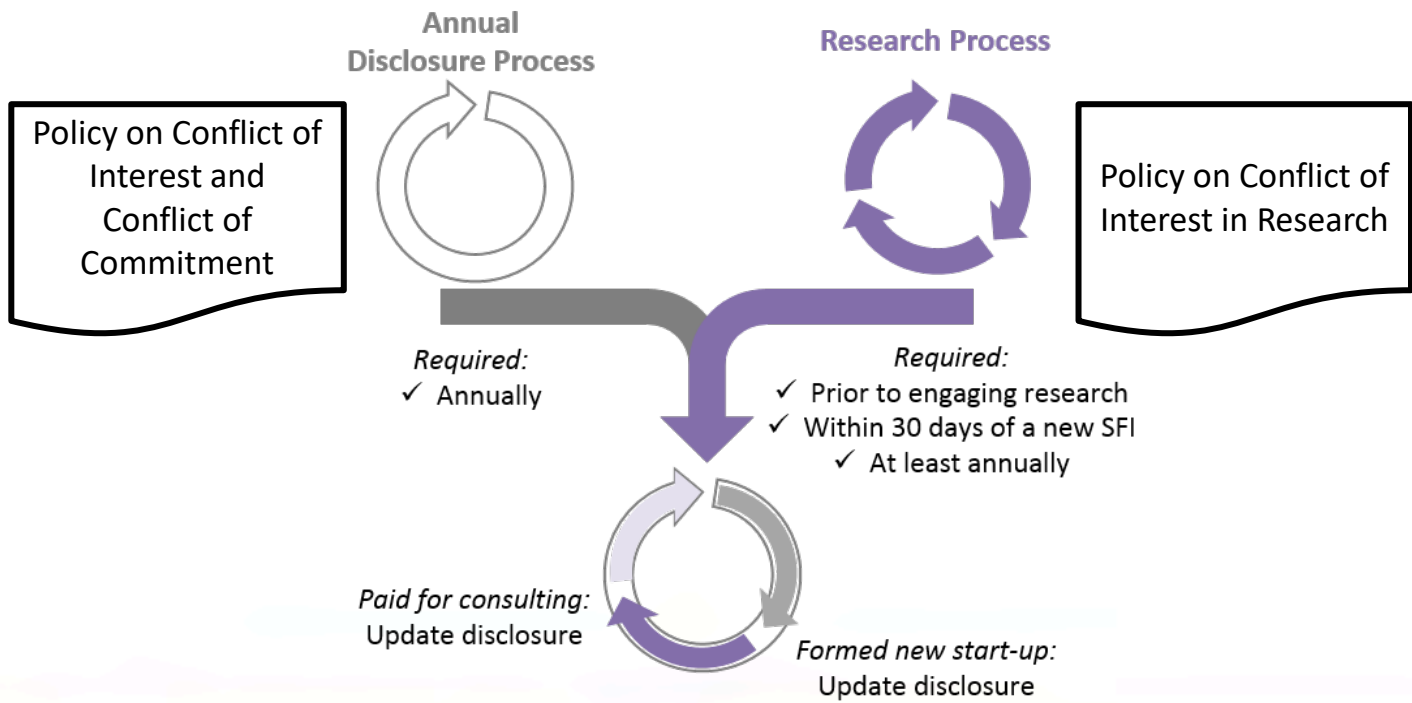


Elimination, reduction, or management of COIs

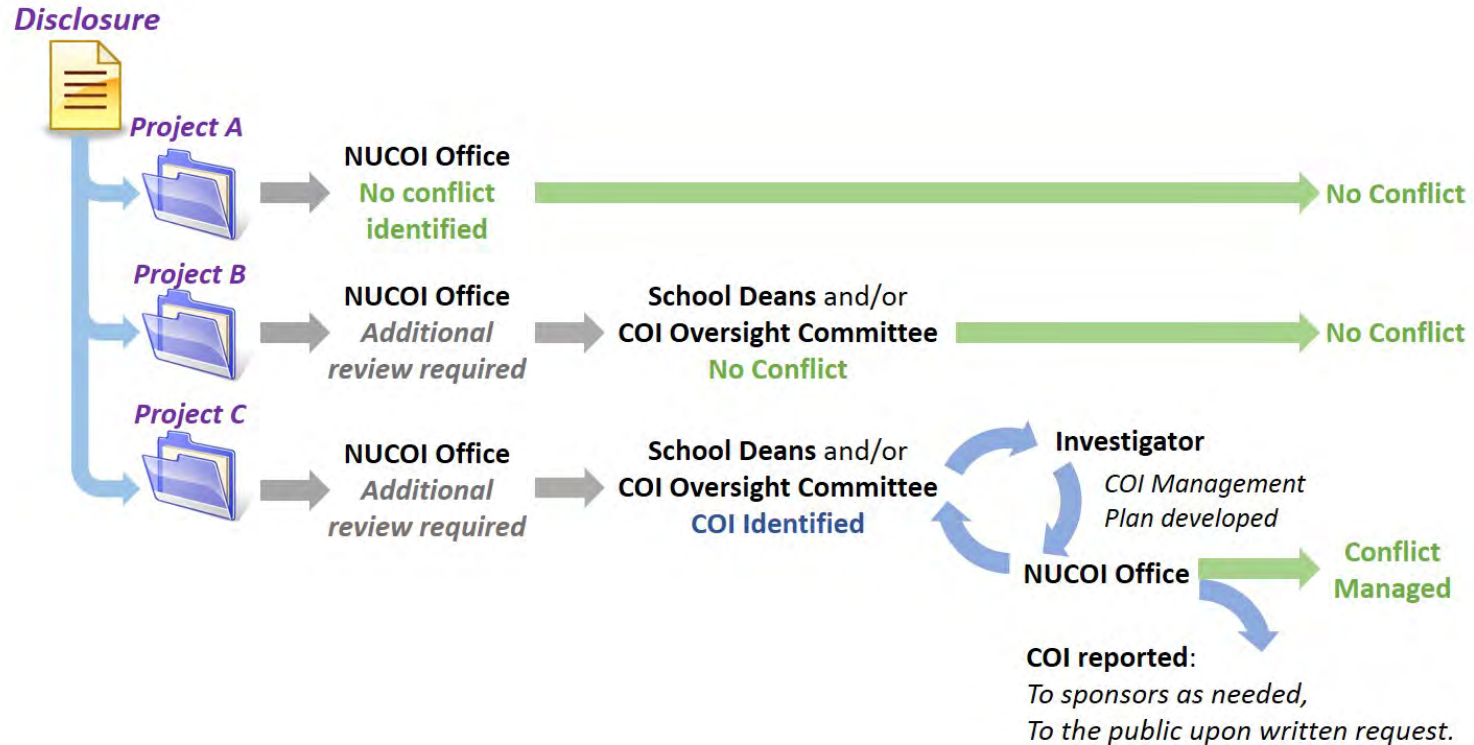


Monitoring compliance with management strategies

Policy & Disclosure Requirements



More on Process...



Factors considered in COI reviews



Nature, Extent, Relatedness

- External consulting
- Start-up companies
- Equity interests
- Option or licensing activity
- Intellectual property interests and stage
- Nature of research
- Role

What do we mean by “Management?”

Management strategies may include:

- **Disclosure / transparency:**
 - To research team & collaborators
 - In presentations & publications
- **Keep outside activities separate from Northwestern activities.** Unless there is an agreement in place, avoid:
 - Involving students & others in outside activities / personal financial interests
 - Using Northwestern resources (space, equipment) in outside work
- **Recusal** from negotiations between Northwestern & entity
- **Independent reviews** of research/other data/results
- **Reduced role in research**



Ancillary Reviews

- At the proposal stage
 - Usually because organizational COI review is needed
- As an agreement is being negotiated
 - When FCOI or OCI certification is required before agreement is signed
- When an award is made
 - To make sure all investigators are reviewed for COI
 - When FCOI is identified, to create management plan prior to award setup



Where to find us

Northwestern Conflict of Interest Office (NUCOI)

nucoi@northwestern.edu / 847.467.4515

Emily Updegraff, Director

Garth Huskey, Senior Compliance Analyst

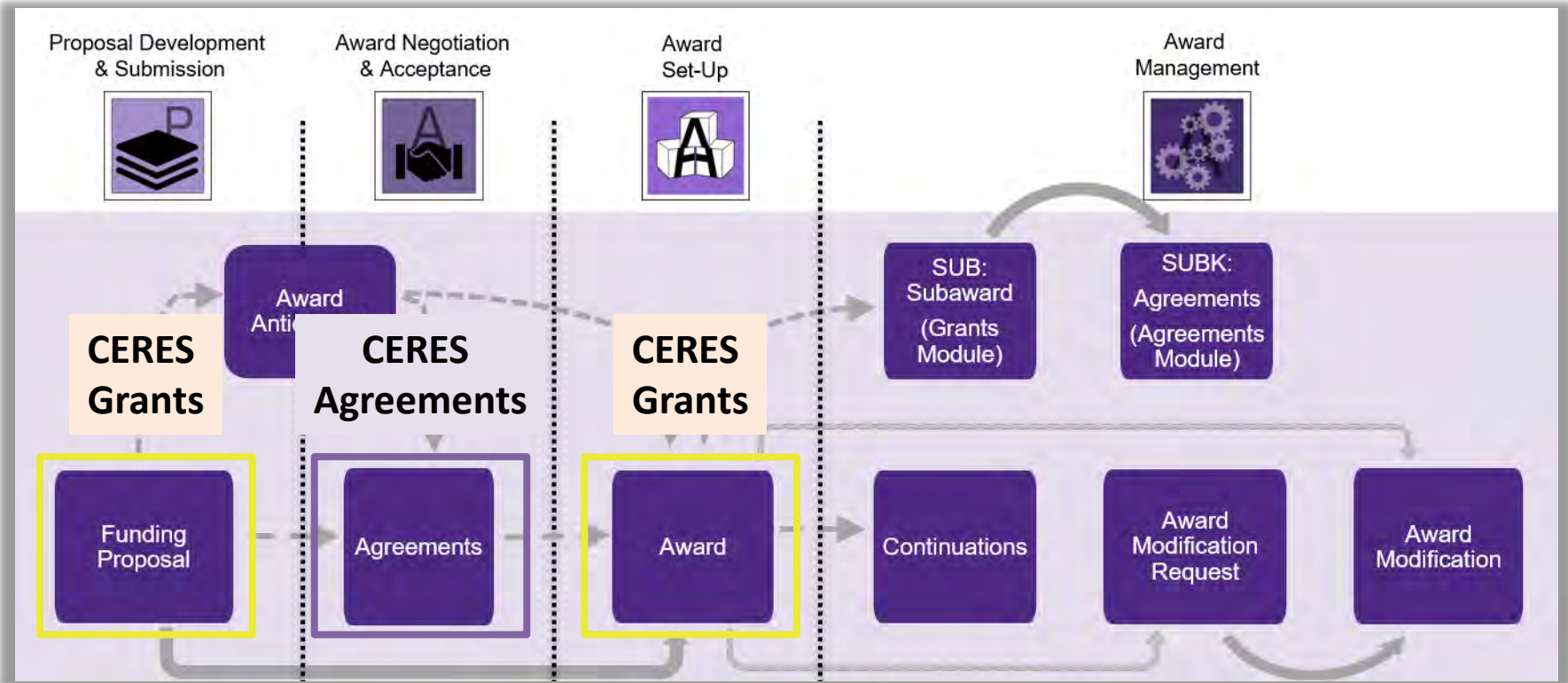
Honami Nelson, Compliance Analyst

Diana Sancen, Compliance Analyst

Paula Foster, Program Assistant 4

CERES Tips & Tricks

CERES Lifecycle



CERES Numbering

Grants Module



Records converted from InfoEd:
Shell Funding Proposals:
FP-SP0072470
Awards: **SP0071137**



Records created in CERES:
Funding Proposals: **FP00002552**
Awards: **AWD00000522**

Agreements Module



Records converted from InfoEd:
Most agreement types: **SP0071137-x**
(multiple agreements on one award)
Outgoing subcontracts: **PROJ...-x**,
SUB...-x



Records created in CERES:
Agreement-type specific prefixes:
SRA-, DUA-, MTA-, SUBK-, etc

CERES Grants is the landing page when you first log into the system.

Searching for Records

Click on Funding Proposals or Awards in the sub-taskbar to access those modules.

Search for records using information you know by using **filters**. Add additional filters to narrow your search. The filters correspond to the column headers in the table.

Click on the **Name** of the funding proposal to access it.

The screenshot displays the CERES Grants system interface. At the top, there is a navigation bar with tabs for Dashboard, Agreements, Grants (highlighted), and Settings. Below this is a sub-taskbar with options for Funding Proposal, Complex Projects, Awards, Reports, Help Center, and Central Actions. The main content area shows a search and filter interface for funding proposals. A search bar is located at the top right. Below it, there are filter options for Draft, Internal Review, Sponsor Review, Awarded, Completed, and Tableau. A 'Filter by' section allows users to filter by PI, Primary Sponsor, and Submitting Department. A table of funding proposals is displayed below, with columns for ID, SmartForm State, PI, Primary Sponsor, Submission Type, Application Deadline, Specialist, and Submitting Department. A callout box points to the 'Submitting Department' filter, and another callout box points to the 'Name' column header in the table.

Dashboard Agreements **Grants** Settings

Funding Proposal Complex Projects Awards Reports Help Center Central Actions

Grants > Funding Proposal

Funding Proposal

Search ? [input] [Q]

Proposals Draft Internal Review Sponsor Review Awarded Completed Tableau

Filter by ?

Filter by: PI [dropdown] Enter text to search [input] [Q] + Add Filter [button] Clear All [button]

and by: Primary Sponsor [dropdown] Enter text to search [input] X Remove Filter [button]

and by: Submitting Department [dropdown] Enter text to search [input] X Remove Filter [button]

ID	SmartForm State	PI	Primary Sponsor	Submission Type	Application Deadline	Specialist	Submitting Department
FP0000255	[Edit] Department Review	Look	AAA New Jersey Automobile Club	Funding Submission	1/5/2024	Adamsel	Preventive Medicine
FP0000252	[Edit] Pending Sponsor Review	Kozlowski	AAA New Jersey Automobile Club	Funding Submission	1/5/2024	Adamsel	Behavioral Medicine
FP0000256	[Edit] Pending Sponsor Review	Kozlowski	University of Chicago	Funding Submission	12/1/2023	Adamsel	Behavioral Medicine
FP00000440	[Edit] Pending Sponsor Review	Mark	National Institute of Biomedical Engineering and Bioengineering	Funding Submission	5/25/2023	Godowic	General Radiology
FP00000744	MURI white paper		Research Laboratory	Funding Submission	5/19/2023	Godowic	Physics & Astronomy
FP00002528	Test 26		Corporation	Funding Submission	9/4/2023	Godowic	Neurology Basic Science
FP00000020	Neighborhood perceptions and response to a technol	[Edit]	Awarded	Becker	National Institute on Drug Abuse	Funding Submission	5/8/2023 more Ctr for Disem & Impl Science

How can I?

See more results without scrolling through so many pages...



...Adjust the number of items appearing per page

See an Activity that isn't appearing on a workspace ...

Manage Access

1. Select administrative contact:

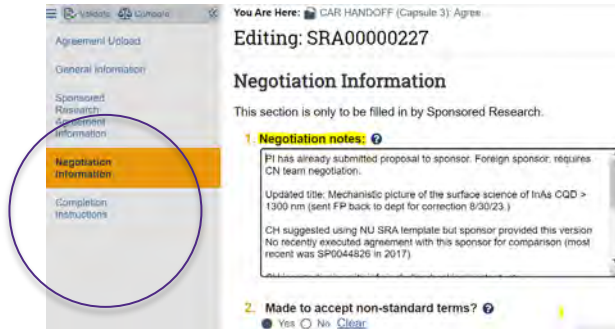
Trinita Coachman



...Double-check whether you are listed as the Admin Contact (Grants) or Primary Contact (Agreements); if you're not, make yourself the contact using Manage Access

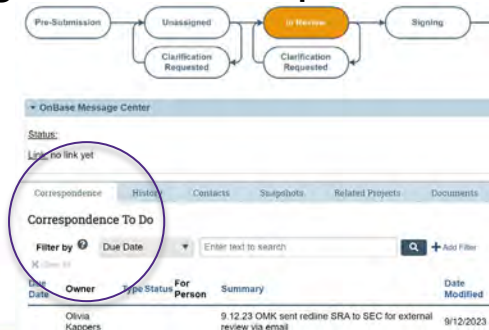
How can I?

See details regarding negotiations in process for Sponsored Research Agreements?



...Navigate to the SRA SmartForm **Negotiation Information** page

Get at-a-glance latest update on an agreement in negotiation...

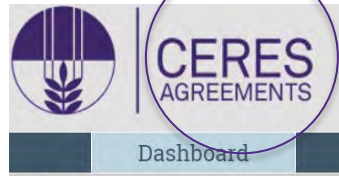
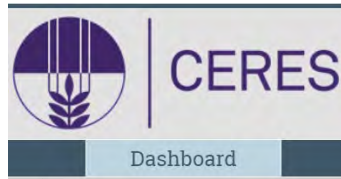


...In the Agreement workspace:

- note the workflow bubble in orange
- see latest Correspondence on tab
- run **GA301 Agreement Detail** in Cognos

How can I?

Tell if I'm in the Grants or Agreements module...



...Look for 'Agreements' in the logo

See all of the agreements in Pre-Submission that my department needs to complete and submit to SR?

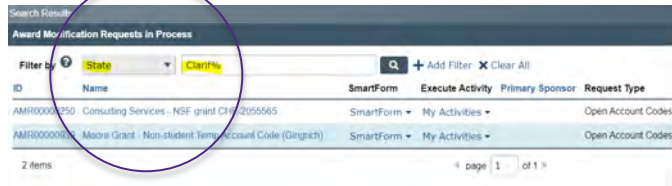
A screenshot of the CERES Agreements dashboard. It shows a grid of six tiles representing different stages of agreements. The top-left tile, "Pre-Submission Agreements", is highlighted with a purple circle and contains the number 29. The other tiles are: "Assigned Agreements" (1), "Agreements in Review" (40), "Agreements in Contract Request" (1), "Agreements in Signing" (18), and "Agreements in Process - Any Date" (89).

All Agreements		
Pre-Submission Agreements 29	Assigned Agreements 1	Agreements in Review 40
Agreements in Contract Request 1	Agreements in Signing 18	Agreements in Process - Any Date 89

...Navigate to the Agreements Dashboard->In Process tab, scroll down to either My Agreements (to see items where you are RA) or All Agreements (whole dept), and click on the **Pre-Submission Agreements** tile

How can I?

See all **Award Mod Requests** that I/my department needs to provide clarifications and re-submit?

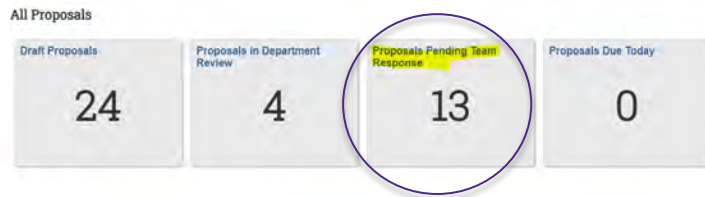


The screenshot shows a table titled "Award Modification Requests in Process". A filter dropdown is set to "State" with a search term "Clarify%". The table lists two items:

ID	Name	SmartForm	Execute Activity	Primary Sponsor	Request Type
AMR00000250	Consulting Services - NSF grant C19205565	SmartForm	My Activities		Open Account Codes
AMR00000000	Moore Grant - Non-student temporary council Code (Geisrich)	SmartForm	My Activities		Open Account Codes

...Navigate to the Grants Dashboard->In Process tab, scroll to My Post-Award Items (to see items where you are RA) or All Post-Award Items (whole dept), and click on the **Award Mod Requests in Process** tile; add State filter for 'Clarif%'

See all **proposals** that I/my department needs to provide clarifications and re-submit?



The screenshot shows a dashboard titled "All Proposals" with four tiles:

Draft Proposals	Proposals in Department Review	Proposals Pending Team Response	Proposals Due Today
24	4	13	0

...Navigate to the Grants Dashboard->In Process tab, scroll to My Proposals (to see items where you are RA) or All Proposals (whole dept), and click on the **Proposals Pending Team Response** tile

What's in my Inbox?

- Records from across both modules that are in a state that requires your action
- **Tip:**
 - You can see all records where you are listed as Admin Contact via the 'My Proposals' and 'My Post Award Items' tiles on the 'In Process' dashboard tab in the Grants Module; similar tab in the Agreements module
 - To see all records your security gives you access to, see the 'All Proposals' and 'All Post Award Items' sections on the same tab

What's in my Inbox?

Page for Kimberly Griffin

Dashboard Admin Agreements Grants Settings

Hello, Kimberly Griffin

My Inbox

Filter by ID Enter text to search

ID	Name	Date Created	Date Modified	State	Coordinator
SUBK00000466	60066516-A00_University of Illinois at Urbana-Champaign_(AWD00000655) [Fan]	10/9/2023 1:36 PM	12/12/2023 8:25 AM	Unassigned	
SUB00000943-1AM1	60060337-A0X_UKMC_(SP0067995) [Meister]	10/19/2023 11:15 AM	12/12/2023 8:17 AM	Unassigned	
PROJ0013575-1AM1	60052960-A04_Rehabilitation Institute of Chicago_(SP0047927) [Heinemann]	9/28/2023 4:18 PM	12/11/2023 7:54 PM	Unassigned	
SP0055121-1AM2	Amendment for Prot. PRV-PD101- A Phase 1/2a Study to Evaluate the Safety of PR001A in Patients with Parkinson's Disease with at Least One GBA1 Mutation 2	12/11/2023 2:09 PM	12/11/2023 3:27 PM	Unassigned	
SRA00000257AM1	Amendment for Agreement for: Spine Fellowship Support AONA 1	12/7/2023 4:23 PM	12/7/2023 4:34 PM	Unassigned	
SP0068408-1AM1	Amendment for Prot #AN2025H0301: The BURAN Study of Buparlisib (AN2025) in Combination with Paclitaxel Compared to Paclitaxel Alone, in Patients with Recurrent or Metastatic Head and Neck Squamous Cell Carcinoma 1	12/7/2023 3:37 PM	12/7/2023 3:44 PM	Unassigned	

What's in my Inbox?

Record Type	State	Likely Next Step
Funding Proposal	Draft	Submit for Department Review (once FP-Budget-SF424 ready)
	Department Review: Response Pending from PI	After RA makes changes, re-submit to resume Dept Review
	Specialist Review: Response Pending from PI	SR has requested changes; once complete, re-submit to return to Specialist Review in SR
	JIT Response Required	SR has responded to your proposal status confirmation JIT by opening the Funding Proposal record for updates. Upload your JIT documents, then execute the Submit JIT Response activity.

What's in my Inbox?

Record Type	State	Likely Next Step
Clinical Trial Agreement	Clarification Requested	SR has begun reviewing the CTA you submitted and has questions for you/the PI. Address questions and re-submit.
Outgoing Subcontract Agreement	Pre-Submission	SR has created a subcontract agreement record for you to complete/update and submit. (Note: don't make one of these yourself!)
Outgoing Subcontract Agreement	Clarification Requested	SR has begun reviewing the provided subcontract information and needs you to clarify some question(s)

Help! (Quick Reference)



CERES

Navigation: Dashboard | Admin | Agreements | Grants | Settings

Sub-navigation: Funding Proposal | Complex Projects | Awards | Reports | Help Center | Central Actions

Root > Grants > Help Center

Help Center

Guides | Videos

Name	Description
Research Community Grants Reference Guide	Instructions for the NU Research Community for key tasks in preparing applications for sponsored funding using the Grants solution.
Create and Submit a Funding Proposal	Job Aid: This topic shows how to create a funding proposal and check it for errors and omissions.
Complete a Budget	Job Aid: This topic shows how to complete a primary sponsor budget.
Create a Cost Share Budget	Job Aid: This topic shows how to create a cost share budget if the project effort exceeds the salary requested on a primary sponsor budget or if the funding proposal has mandatory or voluntary committed cost sharing.
Create a Subaward Budget	Job Aid: This topic shows how to create a subaward budget when an external collaborator will be contracted to perform work as part of a larger sponsored project. A subaward budget is created from and linked to a primary sponsor budget.
Create and Update SF424 Forms	Job Aid: This topic shows how to create SF424 forms once the funding proposal and budget are complete, but before they are submitted for review. Information from the funding proposal and budget auto-populate the SF424 pages.
Request a New Organization	Job Aid: This topic shows how to submit a request for a new organization (sponsor or subaward entity) to be added to the NU Organizations list.
Certify a Funding Proposal	Job Aid: This topic shows how the PI should review and certify that their proposal is complete and accurate. If PI certification is outstanding when the proposal moves to Department Review, the PI will receive a reminder email to complete it.
Add an Ancillary Review and Check the Review Status	Job Aid: This topic shows how to add ancillary reviews and check the review status. Ancillary reviews take place concurrently with the normal review workflows and can be added to funding proposals, awards, award modifications, and agreements.
Submit an Ancillary Review	Job Aid: This topic shows how to submit an ancillary review in either the Grants or Agreements modules.
F&A Waiver Ancillary Review	Job Aid: This topic shows how to add an ancillary review specifically for requesting an F&A Waiver. An ancillary review for F&A Waiver is required on a funding proposal or award.
PI Eligibility Ancillary Review	Job Aid: This topic shows how to add an ancillary review specifically for PI Eligibility. An ancillary review for PI Eligibility is required on a funding proposal or award. Requests should be made at least 3 weeks prior to the proposal deadline.
Department Reviewer Activities	Job Aid: This topic shows department reviewers how to review a funding proposal, add reviewer notes, request changes from the RA, review clarification responses, and submit a department review.
Respond to a Clarification Request	Job Aid: This topic shows how to respond to a clarification request if a reviewer requests changes. The proposal team must make the appropriate changes and submit the revised proposal for review again.
Request an Advance Account	Job Aid: This topic shows how to submit a request for an advance account to Sponsored Research.
Respond to a Just-In-Time (JIT) or Similar Request	Job Aid: This topic shows how to respond to a Just-In-Time (JIT) or similar request from a sponsor. Both the Research Administrator and Sponsored Research will perform steps in CERES.
Create and Submit a Clinical Trial Agreement (CTA)	Job Aid: This topic shows how to create and submit a Clinical Trial Agreement (CTA). After the related funding proposal is approved by the necessary department approvers and reviewed by Sponsored Research, the Research Administrator can create the CTA.
Reconcile an Award Budget	Job Aid: This topic shows how to reconcile an award budget. Sponsored Research may contact the Research Administrator to reconcile the budget in certain circumstances.
Manage Deliverables	Job Aid: This topic shows how to add, edit, and complete deliverables on an award. Deliverables created in CERES provide a way to track sponsor and Northwestern requirements for the award, such as deadlines, special reports, and progress reports.
Request an Award Modification	Job Aid: This topic shows how to create an Award Modification Request and submit it for review. During the life cycle of a research project, active awards often require changes, for example, budget adjustments, no cost extensions, or personnel changes.
Create a Continuation Proposal	Job Aid: This topic shows how to create a Continuation Proposal and submit it for review. A continuation proposal is a type of follow-on submission in CERES used primarily for submitting progress reports for review and approval.

21 items | 1 of 1



Grants
Module

Help! (Quick Reference)

Agreements Module

Dashboard	Admin	Agreements	Grants	Settings
Agreements	Reports	Help Center	Central Actions	

Agreements > Help Center

⚙ Properties

Help Center

Quick Reference

Videos

Export
to CSV



Name

Description

Agreements Researcher's Guide	A guide for researchers and agreement submitters that includes steps for submitting a new agreement or amendment and responding to reviewer clarification requests.
Create and Submit a Clinical Trial Agreement (CTA)	Job Aid: This topic shows how to create and submit a Clinical Trial Agreement (CTA). After the related funding proposal is approved by the necessary department approvers and reviewed by Sponsored Research, the Research Administrator can create the CTA.
Create and Submit a Non-Funded Agreement	Job Aid: This topic shows how to create a non-funded agreement and submit it for review. Non-funded agreements may include MTAs, DUAs, NDAs, CAs, LOIs, or MOUs.
Create and Submit an Amendment to an Agreement	Job Aid: This topic shows how to create and submit amendments for agreements in the Active, Expired, and Evergreen state. Only one amendment can be in progress at a time, and multiple changes can be included in a single amendment.
Create and Submit an Outgoing Subaward Agreement	Job Aid: This topic shows how to complete an Outgoing Subaward Agreement and submit it for review. This agreement will be initiated by Sponsored Research, and the Research Administrator is responsible for completing and submitting the agreement.



Help! (Video Links)

Dashboard Admin Agreements Grants Settings

Agreements Reports Help Center Central Actions

Agreements > Help Center

Properties

Help Center

Quick Reference Videos

Export to CSV

Name	Description
CERES 101	CERES 101 is a Computer-Based Learning course that covers CERES basic terminology and navigation. Learners will become familiar with the CERES system, including an overview of what the system is and how it is used.
Submit an Ancillary Review	This topic shows how to submit an ancillary review in either the Grants or Agreements modules.
Add Ancillary Reviews	This topic shows how to add ancillary reviews and check the review status. Ancillary reviews take place concurrently with the normal review workflows and can be added to funding proposals, awards, award modifications, and agreements.



SR Best Practices

General Guidance

- Reduce email/Teams traffic!
 - Be sure to include the related CERES ID in your subject line
 - Review the History tab, Correspondence BEFORE emailing SR
 - Consult [Capsule Roles](#) and [Find My Capsule](#) tool to find the appropriate staff member for your inquiry
 - **Note: No need to send an email/chat informing SR that you've sent something in CERES!**

Capsule Resources

Learn About Capsule Roles

JOB AID Northwestern RESEARCH

CAPSULE ROLES ACROSS THE SPONSORED PROJECT LIFECYCLE 1 of 1

This job aid aligns the roles of the Sponsored Research Capsule team members with the corresponding activities in the Sponsored Project Lifecycle.

All proposals should start with an Infiled record. Click here to access the [Getting Started Guide: Proposals in Infiled](#) for more information. The Infiled record will also reflect who is working on your proposal or award in the status history, once it has been submitted into workflow.

Role	Responsibilities
Assistant SRO	Reviews and submits proposals
Associate SRO	Reviews J.T. revised budgets, and prior award reps. and certs. Reviews incoming award modifications and amendments
SRO	Reviews award terms and negotiates if necessary
C&N: Funded	Negotiates funded agreements, as necessary
C&N: MFN	Negotiates unfunded agreements (CDA, MTA, DU)
AMA	Completes Award Setup
Subs SRO	Completes change requests and reviews NIH RFFR submissions. Reviews and issues outgoing subcontracts

Find My Capsule

View my Capsule Team

Click a capsule number to see the team assigned to support that capsule across the lifecycle. Hover over the capsule number tile to see the list of units in it.

Download List **Display Capsule for a Dept** Contracts & Negotiations Teams Learn More about Capsules

Best Practice Tips

- F&A and PI eligibility waiver requests
 - Use the job aids provided to ensure the correct information is included so the ancillary review is actionable upon receipt
 - If returned for correction a new ancillary review must be completed and resubmitted.
- If you have a new org, submit request ASAP!

Best Practice Tips

- After the Fact Proposals
 - All proposals are required to be submitted to SR for institutional review and endorsement prior to submission
 - ATF (after the fact) proposals should include all required proposal materials and all forms should be completed prior to routing to SR
 - At minimum SR needs the submitted proposal, detailed budget and justification, solicitation and any other related materials (emails, etc.) that will aid in the timely review of the application. As applicable: any waivers or eligibility approvals must be routed via ancillary review
 - Awards resulting from ATF proposals will experience delay in negotiation and acceptance

Best Practice Tips

- When the PI or RA receives an award from a sponsor by email – use the **Send Grants Status Update** activity on the FP to convey it to SR, selecting Award Received.
 - Please don't create a Sponsored Research Agreement; SR will create one if it is needed to track negotiations

Send Grants Status Update


1. Grants status:

- Award Anticipated
- JIT Info Requested
- Not Funded
- Withdraw Submission (Proposal Not Reviewed)
- Award Received
- other

[Clear](#)

2. Comments:

3. Documents:

Name
 AwardDoc.docx(0.01)

Best Practice Tips

- All documentation relevant to the review of the AMR should be uploaded IN the AMR, no documentation should be included in the pop up.
- Annual and final progress report / technical report deliverables are being added to records where the due dates are clearly indicated. Financial reports are not, nor are any special interim reports. PIs and departments must read the award document in full for any and all due dates.

Best Practice Tips

- New Award Setup + Award Modifications trigger SR to tee up subcontracts to RA
 - Wait for the agreement to appear in your inbox in Pre-Submission state; email notification is sent. **Please don't create an agreement yourself!**
- Use the Outgoing Subcontract Award Modification Request for other changes needed.

Resources

- SR's [CERES page](https://sponsoredresearch.northwestern.edu/resources/ceres/)
 - <https://sponsoredresearch.northwestern.edu/resources/ceres/>
- SR's [Help page](https://sponsoredresearch.northwestern.edu/resources/help.html)
 - <https://sponsoredresearch.northwestern.edu/resources/help.html>
- SR's [Training page](https://sponsoredresearch.northwestern.edu/resources/training/)
 - <https://sponsoredresearch.northwestern.edu/resources/training/>