CLEAR Meeting
April 11, 2023

Hosted by Sponsored Research
Today’s Agenda

• Announcements
• Proposal Review Business Process in CERES
• CERES Go-Live
  – Preparing for Go-Live
  – System Demos
  – Resources
## Upcoming NIH Due Dates

<table>
<thead>
<tr>
<th>Due Date</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 25</td>
<td>All - new, renewal, resubmission, revision</td>
</tr>
<tr>
<td></td>
<td>• Program Project Grants and Center Grants (P-series)</td>
</tr>
<tr>
<td></td>
<td>• Research Demonstration Edu. Projects (R18, U18, R25)</td>
</tr>
<tr>
<td></td>
<td>• Institutional National Research Service Awards (T-Series)</td>
</tr>
<tr>
<td></td>
<td>• Multiple other activity codes (C, D, G, S, U)</td>
</tr>
<tr>
<td>June 5</td>
<td>• R01 (new)</td>
</tr>
<tr>
<td></td>
<td>• U01 (new)</td>
</tr>
<tr>
<td>June 12</td>
<td>• Research Career Development (new) K-series</td>
</tr>
<tr>
<td>June 16</td>
<td>• Other Research Grants and Cooperative Agreements (new) R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3</td>
</tr>
</tbody>
</table>
Authorized Institutional Official

- **Andrea Zakrzewski** is Northwestern’s Authorized Institutional Official until a permanent AVP Sponsored Research is installed.

- Current info is always listed on the SR website on the page: [Institutional Information](#)
CERES Cutover Intake Form

• Form to request action from Sponsored Research on **new, sponsored-initiated, time-sensitive items** received after the cutoff date for submission in InfoEd.

• **Not a prioritization request.** "New" means not previously entered into InfoEd.

• Details will be sent to the Sponsored Research listserv and posted on SR website later today (April 11 afternoon).
Proposal Review
Business Process in CERES
## Proposal Review
### Comments Location

**S2S Proposals**

For S2S, the SRO will log their comments in these specific locations:

- CERES SmartForm fields
- Funding Proposal (Budget & SF424 workspace comments)
- Clarification Requested activity comments

**Non S2S Proposals**

For non-S2S, the SRO will log their comments in these specific locations:

- CERES SmartForm fields
- Funding Proposal—Budget workspace comments
- Clarification Requested activity comments
Field-Level Review Comments

Edit FP SmartForm to review
Field-Level Review Comments
Review Comments—SR Lens

Funding Proposal—Budget

Funding Proposal—SF424
Review Comments—RA View

Funding Proposal—Budget

Funding Proposal—S424
Agenda

Preparing for Go-Live................................................................. Kim Griffin
  • Conversion Scope + Cutover Details
  • Open Labs & Office Hours

CERES System Review & Demos........................................ Andrew Kienitz

CERES Resources ................................................................. Lia Floreno
When CERES goes live on April 24, the Northwestern community will be learning how to adjust to the change from InfoEd to CERES together.

Please practice patience with your colleagues and yourself as everyone learns how to work together with this new system.
Conversion Scope + Cutover Details

Kim Griffin
Senior Director, Business Systems & Operations
Sponsored Research
## Conversion Scope

<table>
<thead>
<tr>
<th>In-Scope</th>
<th>Out-of-Scope</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Conversion of all active awards including projects and project budgets. A corresponding funding proposals to facilitate follow-on activities such as Continuations and Supplements.</td>
<td>• Conversion of in-process &amp; pending proposal data</td>
</tr>
<tr>
<td>• Conversion of subawards for all active awards</td>
<td>• Conversion of unfunded proposal data</td>
</tr>
<tr>
<td>• Conversion of all active and in process agreements from InfoEd</td>
<td>• Conversion of completed agreements</td>
</tr>
<tr>
<td>• Legacy InfoEd ID to support the ability to construct a dynamic URL to corresponding folder in OnBase</td>
<td>• Conversion of amendments related to agreements</td>
</tr>
<tr>
<td>• Relating converted Awards to protocol submissions using existing funding linkages</td>
<td></td>
</tr>
</tbody>
</table>
## Cutover: Proposals

<table>
<thead>
<tr>
<th>Deadline for SR Receipt</th>
<th>Thursday 4/13/23 5 pm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Converting to CERES?</td>
<td>No – proposals are not in scope for conversion. Anything that has not reached Submitted status will have to be re-created in CERES. InfoEd proposals with a submit date will be reportable from the data mart.</td>
</tr>
</tbody>
</table>
## Cutover: Subcontract Requests

<table>
<thead>
<tr>
<th>Deadline for SR Receipt</th>
<th>Thursday 4/13/23 5 pm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Converting to CERES?</td>
<td>Yes – but only the agreement screens, not the request for a subcontract. Subcontract requests arriving by the cutoff will not need to be re-entered in CERES. SR will make agreement records for these in InfoEd that will convert, and the original request in InfoEd will still be accessible in read-only mode for reference.</td>
</tr>
</tbody>
</table>
## Cutover: Agreements

<table>
<thead>
<tr>
<th>Deadline for SR Receipt (MTA/DUA/CDA)</th>
<th>Thursday 4/13/23 5 pm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Converting to CERES?</td>
<td>Yes – but only the agreement screens, not the proposal tracking records (non-funded negotiation) routed to request the agreement.</td>
</tr>
</tbody>
</table>
## Cutover: Award Setup (including entering changes)

<table>
<thead>
<tr>
<th>Deadline for SR Receipt – Return of Awards Waiting Dept</th>
<th>Monday 4/10/23 5 pm</th>
</tr>
</thead>
<tbody>
<tr>
<td>Converting to CERES?</td>
<td>Awards with active chart strings in PeopleSoft will be converted to CERES.</td>
</tr>
</tbody>
</table>
# Cutover: Change Requests

<table>
<thead>
<tr>
<th>Deadline for SR Receipt</th>
<th>Monday 4/10/23 5 pm</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Converting to CERES?</strong></td>
<td>No – change requests are not in scope for conversion.</td>
</tr>
<tr>
<td></td>
<td>CRs received by 4/10 that are actionable will be processed either in InfoEd or in CERES (as award modifications without need for re-entering an award modification request). CRs received by 4/10 that require further clarification from the dept will need to be resubmitted in CERES after go-live.</td>
</tr>
</tbody>
</table>
Open Labs & Office Hours

Andrew Kienitz

Huron CERES Implementation and Training Team Member
Open Labs are open to all Research Administrators participating in in-unit training. These Open Labs are intended for participants to ask CERES-related questions and request demonstrations in CERES.

Please join the final two CERES Open Labs:
Tuesday, April 11th from 1pm – 2pm
Tuesday, April 18th from 1pm – 2pm

Join here!
CERES Office Hours

Office Hours are open to all CERES users following Go-Live on April 24. The meeting link will be available on the SRA Program Website.

Office Hours are currently scheduled Monday through Friday from 10AM to 1PM from April 24- May 5.

The Office Hours schedule beyond May 5 will be adjusted based on community need.
CERES System Review & Demos

Andrew Kienitz
Huron CERES Implementation and Training Team Member
Dept Reviewer Approval Process Overview

Further Guidance:
- Department Reviewer Job Aid
- Department Reviewer How-to Video

Reviewer Comment
PI Certification Emails

The proposal will be in the PI’s inbox so long as they have not certified.

Further Guidance:
CertifyProposalCompletion.mp4
Grants_Job_Aid_CertifyProposal.pdf
PI Certification Emails

FP00000449: PI Certification Required

no-reply@huronclick.com
To: d-kozloowski@northwestern.edu; Kavita Kalra; Andrew Kienitz

If there are problems with how this message is displayed, click here to view it in a web browser.

To: Andrew Kienitz; Monika Lagaard

Link: FP00000449
PI: Andrew Kienitz
Title: ATK Resub Test Proposal KK

Andrew Kienitz is named as the PD/PI on an upcoming proposal submission and certification is needed per Federal regulations.

To provide PI Certification, click the link above and complete the Certify activity.

Further Guidance: CertifyProposalCompletion.mp4 Grants Job Aid CertifyProposal.pdf
Send Email Activity

1. * Email subject line:

2. * Select at least one group of recipients:
   - All team members
   - All editors
   - All readers
   - Specialist

Select any other recipient for this email: (Only editors and readers have access to the funding proposal.)

First Name   Last Name   E-Mail
There are no items to display

3. * Comments to be included in the email:
Subaward Process

Note:
RAs are only responsible for filling out the remaining pages and submitting subcontract agreements.
Miscellaneous Questions & Additional Demos
CERES Resources
Lia Floreno
Training Specialist
Sponsored Research
Ancillary Review Matrices

**Ancillary Review Matrix - Agreements**

<table>
<thead>
<tr>
<th>Ancillary Review Type</th>
<th>Initiator</th>
<th>Individual Person or Organization Approver</th>
<th>Required Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>COI Determination Needed</td>
<td>Org: Anc Rvw-Conflict Of Interest</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>SR Escalation</td>
<td>Org: Anc Rvw-Export Control</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>Office of Eq.</td>
<td>ASRSP</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>OGC</td>
<td>Person: Varies</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>Risk Manager</td>
<td>Environmental Health and Safety</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>Tax</td>
<td>FSM Regulatory Affairs</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>Global Marketing &amp; Comms</td>
<td>Org: Anc Rvw-Global I &amp; Comms</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>INVO-Tech Transfer</td>
<td>Org: Anc Rvw-INVO</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
<tr>
<td>IT Security</td>
<td>Org: Anc Rvw-IT Secu</td>
<td>Person: Varies</td>
<td>Yes</td>
</tr>
</tbody>
</table>

**Ancillary Review Matrix - Grants**

<table>
<thead>
<tr>
<th>Ancillary Review Type</th>
<th>FP</th>
<th>AWD</th>
<th>Award Mod</th>
<th>Initiat or</th>
<th>Individual Person or Organization Approver</th>
<th>Response Required?</th>
<th>Required Documentation</th>
</tr>
</thead>
<tbody>
<tr>
<td>COI-Related Determination</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Yes</td>
<td>Org: Anc Rvw-Conflict Of Interest</td>
<td>Yes</td>
<td>Refer to the COI Proposal Preparation website.</td>
</tr>
<tr>
<td>COI-Organizational COI</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>Yes</td>
<td>Org: Anc Rvw-Conflict Of Interest</td>
<td>Yes</td>
<td>Refer to the COI Proposal Preparation website.</td>
</tr>
<tr>
<td>Same-day COI Determination or Certification</td>
<td>X</td>
<td></td>
<td></td>
<td>Yes</td>
<td>Org: Anc Rvw-Conflict Of Interest</td>
<td>Yes</td>
<td>Refer to the COI Proposal Preparation website.</td>
</tr>
<tr>
<td>Subrecipient Investigator</td>
<td>X</td>
<td></td>
<td></td>
<td>Yes</td>
<td>Org: Select submitting department</td>
<td>Yes</td>
<td>Refer to the SR Cost Sharing website.</td>
</tr>
<tr>
<td>Cost Sharing</td>
<td>X</td>
<td></td>
<td></td>
<td>Yes</td>
<td>Org: Anc Rvw-F&amp;A Waiver</td>
<td>Yes</td>
<td>Refer to the SR Cost Sharing website.</td>
</tr>
<tr>
<td>F&amp;A Waiver</td>
<td>X</td>
<td></td>
<td></td>
<td>Yes</td>
<td>Org: Anc Rvw-F&amp;A Waiver</td>
<td>Yes</td>
<td>Refer to the SR Cost Sharing website.</td>
</tr>
<tr>
<td>PI Eligibility</td>
<td>X</td>
<td></td>
<td></td>
<td>Yes</td>
<td>Org: Anc Rvw-PI Eligibility</td>
<td>Yes</td>
<td>Required: bio sketch, email confirmation from mentor/PI that confirms disallowed funds will be covered from non-sponsored funds, justification/rationale for individual to be PI/Co-I</td>
</tr>
</tbody>
</table>

Available in the CERES Training SharePoint Folder
Business Process Details

Available in the CERES Training SharePoint Folder

Includes Business Processes for:
- Funding Proposals
- Pending Sponsor Review
- Agreements
- Awards
- Award Modifications
Reference Guides will be published by Go-Live:

- Grants Reference Guide for RAs
- Agreements Reference Guide for RAs

Available in the CERES Help Center
CERES Q&A

Submit your questions about CERES via this SmartSheet Form:

We will follow-up and add new FAQs monthly to the SRATP CERES FAQs page.
Join us for the next CLEAR Meeting:

Tuesday, June 13, 12pm