CLEAR Meeting
June 13, 2023

Hosted by Sponsored Research
Today’s Agenda

- Announcements
- Foundations: Grantmakers and Donors
- Buehler Center for Health Policy & Economics: Evaluation Program
- Award Modification Requests
# Upcoming NIH Due Dates

<table>
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<tr>
<th>NIH Due Date</th>
<th>SR (5-Day) Deadline</th>
<th>Description</th>
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| July 5       | June 27             | • R01 Research Grants - renewal, resubmission, revision  
               |                     | • U01 Research Grants - renewal, resubmission, revision |
| July 12      | July 5              | • K Series Research Career Development - renewal, resubmission, revision |
| July 16 (Sunday)* | July 10         | • Other Research Grants and Cooperative Agreements (R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3) - renewal, resubmission, revision |
| August 8     | August 1            | • F Series Fellowships Individual NRSAs (including F31 Diversity) - All types (new, renewal, resubmission, revision) |
| August 12 (Saturday)* | August 7         | • R13, U13 Conference Grants & Cooperative Agreements - All types (new, renewal, resubmission, revision) |

*Due date to NIH moves to next business day*
NU Knowledge Base:
CERES-ously Good Resources

Use the search to find CERES and CERES-related (e.g., Cognos) resources
Foundations: Grantmakers and Donors
Overview

• What are foundations?
• Why do they give?
• Who are we and what do we do?
• How do we work together?
What Are Foundations?

• Endowed charitable orgs—must give ~5% annually.

• Established by donor or family (individual differences)

• >120,000 in US: independent, community, corporate foundations + growing international support.

• Driven by philanthropic mission, with discrete programs, professionally staffed
Why Do They Give?

- Foundations: philanthropic mission, established by donor

- Companies: advance company interests (recruiting, research and development, marketing, community).

- Federal funders: advance the national interest.
Sarah Fodor, PhD  
Senior Executive Director  
Institutional Priorities, IPR, NU-Qatar, SPS, The Graduate School

Catherine Cotter  
Director  

Heidi Jurgens, PhD  
Senior Associate Director  
Limited Submissions, Weinberg - Life and Physical Sciences

Chloe Taft Kang, PhD  
Senior Associate Director  
Bienen, Block, Communication, Medill, Libraries, Weinberg - Humanities and Social Sciences

Maureen Scherrer  
Associate Director  
Student life and scholarships, prospect research, reporting and analytics

Susan Hammerman  
Program Assistant  
Gift/grant processing, stewardship support

Michelle Melin-Rogovin  
Senior Director  
Feinberg School of Medicine

Eric S. Fragoules  
Associate Director  
Feinberg School of Medicine
What We Do

Leadership
• Manage Northwestern’s foundation relationships
• Arrange and staff leadership visits and site visits

Proposal consulting
• Research and disseminate funding opportunities
• Provide online resources including FDO; present workshops
• Advise faculty on strategies and proposal narratives

Tracking and reporting
• Track contacts, LOIs, proposals (>300/year), awards, payments
• Send faculty report reminders and write selected stewardship reports
How Are Foundation Proposals Different?

- Philanthropic donor (track in both CERES and CATracks)
- Vary in size, style, communication preferences
- May prefer one contact point at university, via FR
- Typically limit indirect costs
- FR officers or PIs may submit proposals, once SR approves
Restricted Foundations

- Rita Allen Foundation
- Annenberg Foundation
- ARCS Foundation
- Arthur Vining Davis Foundations
- Buehler Family Foundation
- Charles Koch Foundation
- Chicago Community Trust
- Circle of Service Foundation
- Coleman Foundation
- Owen L. Coon Foundation
- Crown Family Philanthropies
- Charles A. Dana Foundation
- Chauncey and Marion Deering McCormick Foundation
- Camille and Henry Dreyfus Foundation
- Farley Family Charitable Foundation
- Joseph and Bessie Feinberg Foundation
- Gordon and Llura Gund Foundation
- The Hartwell Foundation
- The Hearst Foundations
- Hoellen Family Foundation
- W.M. Keck Foundation
- Kettering Foundation
- James S. Kemper Foundation
- Kinship Foundation
- Lilly Endowment
- MacArthur Foundation
- Mallinckrodt Foundation
- McCormick Foundation
- Mellon Foundation
- The Bernard Osher Foundation
- David and Lucile Packard Foundation
- Pew Charitable Trusts
- Polk Bros. Foundation
- Pritzker Foundation
- Pritzker Pucker Family Foundation
- Regenstein Foundation
- Rice Foundation
- Dr. Scholl Foundation
- Searle Funds at the Chicago Community Trust
- Sherman Fairchild Foundation
- The Siragusa Family Foundation
- Starr Foundation
FR FY22 Metrics (ARD counting)

• $71M new commitments (gift/grant); $62M cash
• 220 $100k+ submissions, requesting $153M
• 84 $100k+ proposals funded
• 50 faculty consults; 23 foundation meetings
• 39 prospect research projects; 229 RFPs
How Do We Work Together?

• Valued partnership
• Keep us informed about issues
• Ask us about foundations
• Send faculty our way
• Check before contacting foundation
How Can We Help You?
Buehler Center for Health Policy and Economics Evaluation Program
Evaluation Program

Mission: To provide high quality, state of the art evaluation services aimed at increasing use of quality evaluation findings to improve research, programs, services and activities.
The way we work

• Strong and sustained partnerships with service providers, communities and policy makers
• Policies/interventions designed and operated by our partners – real world applications
• Multi-level data collection
• Multi-method data collection
• A focus on real world implementation issues
• Action-oriented framework for findings
Opportunities for Researchers (Community and Academic)

• Support along the research lifecycle
  – Planning
    • Evaluation plan/methodology
    • Grant submissions
  – Implementation
    • Evaluation project management
    • Data collection
    • Qualitative analysis
    • Tool review/creation
    • Logic model
  – Dissemination
    • Resources for communities
Opportunities for Researchers (Community and Academic)

- Project consultation
  - 1 hour sessions
  - Quick answers (basic tool review)
  - Beginning conversations about future, larger projects and how we can support

- Evaluation Training
  - Introduction to evaluation, focus groups, etc.
Projects – City Partner

• City of Chicago, DFSS - Alzheimer’s Disease Initiative
  – Overall evaluation design and implementation
  – Data analysis
  – Reporting
Projects – Community Org

• NIRCO – Recovery Support Services for Justice Involved Individuals
  – Co-wrote the grant
  – Evaluation design and implementation
  – Tool/database creation
  – Capacity building for sustainability (data collection, database management, analysis methods, dissemination)
Projects – Community Org

• Pending applications
  – Evanston Development Corporation, “One-Stop Shop for Equitable, Affordable Housing Retrofits” submitted to NU Office of Neighborhood and Community Relations (Racial Equity Grant) – Update – funded 6/3/23!!
    • Co-wrote the grant, developed the evaluation through conversation about their goals
  – Lorenzo’s House, “We Bring Mindfulness to Younger-Onset Dementia” submitted to ACL DHHS
    • Came in two weeks prior to submission after their evaluator quit – developed the evaluation based on what they had, added to the existing grant submission
Projects – Qualitative Expert

Designed the qualitative plan and the tools, analyzed existing data, trained a team to assist and learn for future sustainability

- University of Lagos – Age Friendly Health Services for older adults
- Use of mobility data during COVID
- Pfizer funded study on eczema (conducted the interviews and focus groups)
- Double Pandemic w/ Lurie Children’s (used the Delphi method)
Projects – NU Program Evaluation

• MSGH Evaluation
Projects – NU/Lurie Research

• South Asians Active Together for Health
  – Implementation evaluation

• Child and Mother Physical Activity Study
  – Evaluation design and implementation
  – Project management of data collection
Evaluation Program

• Services available
  – Proposal stage consultation
  – Evaluation plan development (methods/tools)
  – Evaluation implementation/Project Management
  – Training for program staff in basic evaluation methods
  – Consultation on intervention development/modification relative to evidence base/evaluation findings
  – Qualitative Methods
Sarah B. Welch, MPH

Director of Evaluation Research
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THE WILD WORLD OF AWARD MODIFICATION REQUESTS: 2 FAST 2 FURIOUS
Where should I?

- Security access: https://sponsoredresearch.northwestern.edu/resources/help.html
- Job aids: https://sponsoredresearch.northwestern.edu/resources/ceres.html
How to check status

Check the assigned specialist!
# AMR vs Ancillary Review

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<th>Award Modification Request</th>
<th>Ancillary Review</th>
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<td>Associate SRO</td>
<td>SR leadership/external offices</td>
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<tr>
<td>NCE</td>
<td>PI eligibility</td>
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<tr>
<td>Budget Code</td>
<td>F&amp;A Waiver</td>
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<tr>
<td>Carryforward</td>
<td>COI Determination</td>
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<tr>
<td>Change in scope</td>
<td>Export Controls</td>
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<tr>
<td>Rebudget</td>
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<tr>
<td>Effort Change</td>
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<td>Change in dept</td>
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<td>Advance/at-risk spending</td>
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Just In Time (JIT) Requests

• If proposal was submitted in InfoEd, "stub" record needed before routing
• If submitted through CERES, "JIT Changes Required"
• Either SR or dept can initiate depending on who received the request
• Comments in History tab
Best practices for compliant requests

- NU Policy
- Sponsor Guidance
- Uniform Guidance
Best Practices

• Standardize titles

<table>
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<tr>
<th>Format</th>
<th>Due MM/DD</th>
<th>AMR type</th>
<th>FP/SP</th>
<th>PI</th>
<th>Sponsor</th>
<th>Dept</th>
</tr>
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<tr>
<td>Example</td>
<td>Due 6/31</td>
<td>NCE</td>
<td>FP-SP000000</td>
<td>Mombou</td>
<td>NIH</td>
<td>English</td>
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• Uploads: Do not duplicate required uploads in the optional upload section
  – Include deadline if applicable (must include documentation)
  – Sponsor correspondence

• Full description of requested changes: use this section for high level overview of what changes are requested

• If you have more than one request, bundle it!
Responding to comments

Please consider:
- Formatting
- Being specific
- Numbering responses
- Responding in the order the comments were raised
No cost extension

• If sponsor has already approved, provide specific approval.
• If the request needs to be submitted to the sponsor, please provide justification for request.
• Uploads: GM045, Sponsor correspondence, NU IRB or IACUC approval (with explicit connection to project: matching title, award number, or FP/SP)
• Was this cost originally proposed? If not, how does it contribute to the SOW?
• Does this require sponsor approval? If so, provide justification.
• If cost was included at proposal stage and not restricted by NOA, depts can email AM team directly
• If related to IRB/IACUC provide approval letter
• Contact ASRSP for restricted codes: https://www.northwestern.edu/asrsp/expenses/account-codes.html
Carryforward

• Unobligated balance needs to be rough estimate and confirmed by ASRSP
• All sponsor required documents should be completed and uploaded in the correct sponsor format
• If the department or PI has started a request in a sponsor system, provide those directions or sponsor contact information.
Change in scope

• Required CERES information – revised SOW, sponsor contact
• Provide a programmatic reason for the change, any correspondence with the sponsor, relevant human/animal assurance documents, any resulting changes to sub
• Needed if there is a budget cut of 20% or more
• NIH requires if over 25% of total award costs rebudgeting
• Check for sponsor requirements – what does a given sponsor want to see.
• Can bundle with budget changes
# Rebudget

## When to request
- When required by the sponsor
- SR will not rebudget to true up spending

## What to include
- Terms and Conditions
- Description of the changes to be made
- Detailed description of movement across categories

## How to bundle
- Does this trigger a change in the SOW?
- Are new budget categories required
Personnel effort change

Type of change

- Adding Personnel
- Removing Personnel
- Changing role of current personnel
- Short term leave of absence

Required Documents

- CV’s (Biosketch and C&P) in sponsor format
- Emails or NSF IDs for NSF grants
Subaward Personnel Change

- Upload any previous communication about the change
- Provide a programmatic description of if or how the SOW will be affected
- Indicate whether sponsor approval is needed
- Reminder: Any documents required for sponsor approval (e.g., biosketch, other support) should be uploaded in sponsor's most current format
## Change in Department

Upload documentation for the following:

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<th>Description</th>
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<tbody>
<tr>
<td>Effective date</td>
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<tr>
<td>Reason for change</td>
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<td>Confirmation that new department accepts responsibility for the project</td>
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<tr>
<td>New department code and administrator contact information</td>
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Advance / At-Risk Accounts

• Advance vs. At-Risk spending: What's the difference?
• Any spending prior to the project's official start date is at the risk of the department
• Costs charged should be evaluated to minimize risk
• Guarantee chart string must be for a non-sponsored project
• Guidance: https://sponsoredresearch.northwestern.edu/awards/award-set-up/advance-at-risk-accounts.html
Any questions?

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