

# CLEAR Meeting

## June 13, 2023

Hosted by Sponsored Research

# Today's Agenda

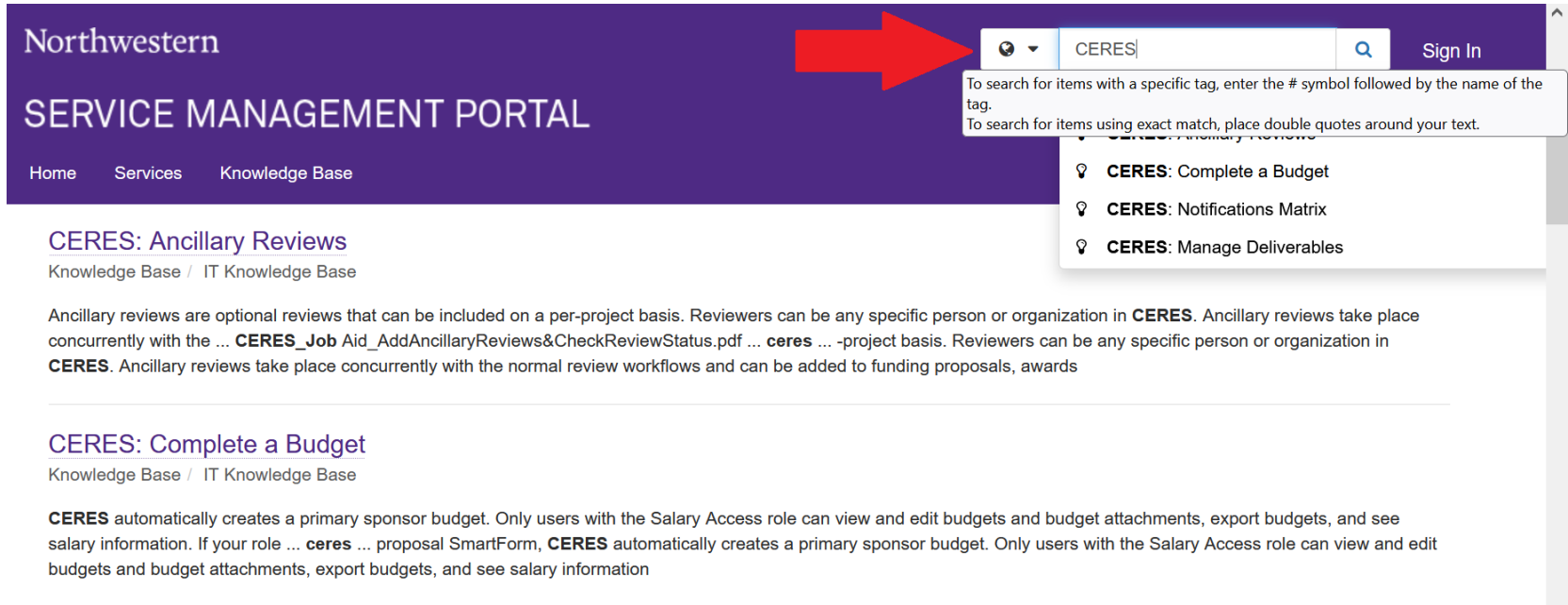
- Announcements
- Foundations: Grantmakers *and* Donors
- Buehler Center for Health Policy & Economics: Evaluation Program
- Award Modification Requests

# Upcoming NIH Due Dates

NIH Due Date	SR (5-Day) Deadline	Description
July 5	June 27	<ul style="list-style-type: none"> <li>• <b>R01 Research Grants</b> - renewal, resubmission, revision</li> <li>• <b>U01 Research Grants</b> - renewal, resubmission, revision</li> </ul>
July 12	July 5	<ul style="list-style-type: none"> <li>• <b>K Series Research Career Development</b> - renewal, resubmission, revision</li> </ul>
July 16 (Sunday)*	July 10	<ul style="list-style-type: none"> <li>• <b>Other Research Grants and Cooperative Agreements</b> (R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3) - renewal, resubmission, revision</li> </ul>
August 8	August 1	<ul style="list-style-type: none"> <li>• <b>F Series Fellowships <u>Individual</u> NRSAs</b> (including F31 Diversity) - All types (new, renewal, resubmission, revision)</li> </ul>
August 12 (Saturday)*	August 7	<ul style="list-style-type: none"> <li>• <b>R13, U13 Conference Grants &amp; Cooperative Agreements</b> - All types (new, renewal, resubmission, revision)</li> </ul>

*\*Due date to NIH moves to next business day*

# NU Knowledge Base: CERES-ously Good Resources



The screenshot shows the Northwestern Service Management Portal search interface. A red arrow points to the search bar where 'CERES' has been entered. A search dropdown menu is open, displaying three results: 'CERES: Complete a Budget', 'CERES: Notifications Matrix', and 'CERES: Manage Deliverables'. The page content below the search bar shows the first result, 'CERES: Ancillary Reviews', with a brief description of the review process.

Northwestern  
SERVICE MANAGEMENT PORTAL

Home Services Knowledge Base

**CERES: Ancillary Reviews**  
Knowledge Base / IT Knowledge Base

Ancillary reviews are optional reviews that can be included on a per-project basis. Reviewers can be any specific person or organization in **CERES**. Ancillary reviews take place concurrently with the ... **CERES\_Job Aid\_AddAncillaryReviews&CheckReviewStatus.pdf** ... **ceres** ... -project basis. Reviewers can be any specific person or organization in **CERES**. Ancillary reviews take place concurrently with the normal review workflows and can be added to funding proposals, awards

**CERES: Complete a Budget**  
Knowledge Base / IT Knowledge Base

**CERES** automatically creates a primary sponsor budget. Only users with the Salary Access role can view and edit budgets and budget attachments, export budgets, and see salary information. If your role ... **ceres** ... proposal SmartForm, **CERES** automatically creates a primary sponsor budget. Only users with the Salary Access role can view and edit budgets and budget attachments, export budgets, and see salary information

*Use the search to find CERES and CERES-related (e.g., Cognos) resources*

# Foundations: Grantmakers *and* Donors

Northwestern

# 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.



# FR Team



**Sarah Fodor, PhD**  
**Senior Executive Director**  
Institutional Priorities, IPR, NU-  
Qatar, SPS, The Graduate  
School



**Catherine Cotter**  
**Director**  
ISEN, Kellogg, Law, McCormick,  
SESP, Weinberg - Economics,  
Math, Psychology, Statistics



**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**

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A blue car is driving away on a road that leads towards a sunset. The sky is a mix of orange, yellow, and blue. There are palm trees on both sides of the road, and a city skyline is visible in the distance. The car's taillights are glowing.

# THE WILD WORLD OF AWARD MODIFICATION REQUESTS: 2 FAST 2 FURIOUS

Alyssa Morren, MA, CRA  
Lindsay Haukebo, MM, CRA  
Mike DiBiccaro, MA

# 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!



CERES Hello, Mike DiBiccario

Dashboard | Agreements | Grants | SF424 Center

Funding Proposal | Complex Projects | Awards | Reports | Help Center

Grants > Request subagreement budget codes Help

**Review** AMR00 Modification Request

View Modification Request 4/25/2023

Printer Version

✓ Approve  
↶ Request Clarifications  
✗ Decline  
📄 Copy  
👤 Assign Submitter  
👤 Assign Specialist  
🗨️ Log Comment  
✉️ Received Sponsor Response

**Request subagreement budget codes**

Submitted By: Mike DiBiccario Request Date: 4/25/2023  
Specialist: Mike DiBiccario Award:

OnBase Message Center

Status:  
[Link](#) no link yet

History	Attachments
Activity	Author
Comment Logged	DiBiccario, Mike
Still pending sponsor response	
Sent for approval	DiBiccario, Mike
Emailed sponsor for approval	
Clarifications Submitted	

Award Change Request

# AMR vs Ancillary Review

## Award Modification Request

Associate SRO

NCE

Budget Code

Carryforward

Change in scope

Rebudget

Effort Change

Change in dept

Advance/at-risk spending

## Ancillary Review

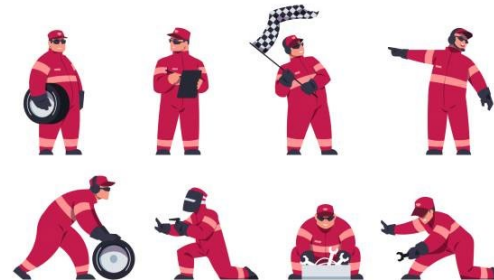
SR leadership/external offices

PI eligibility

F&A Waiver

COI Determination

Export Controls



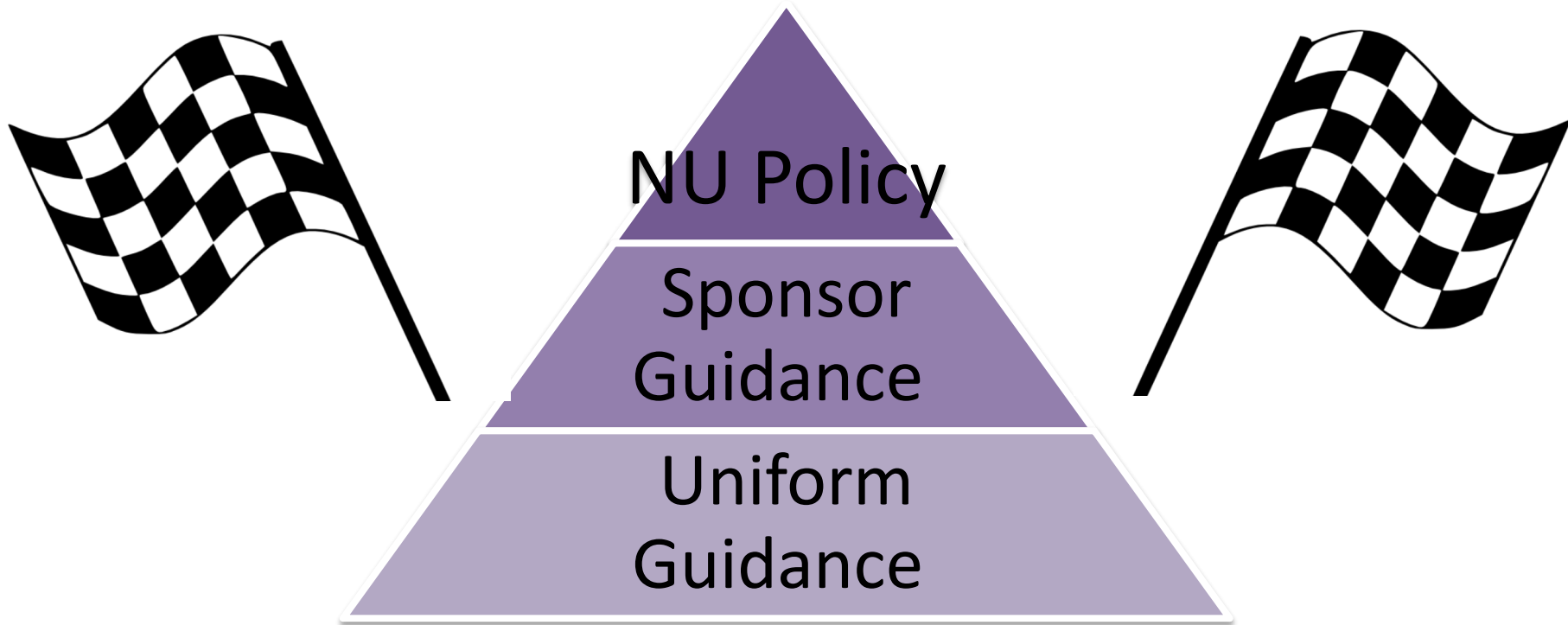


# Just In Time (JIT) Requests



- 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



# Best Practices

- Standardize titles

Format	Due MM/DD   AMR type   FP/SP   PI   Sponsor   Dept
Example	Due 6/31   NCE   FP-SP000000   Mombou   NIH   English

- 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

The screenshot displays the CERES system interface for a 'Carryforward Letter'. The top navigation bar includes 'Dashboard', 'Agreements', 'Grants', and 'SF424 Center'. The main content area shows the 'Carryforward Letter' details, including 'Submitted By: Mike DiBiccario' and 'Request Date: 5/12/2023'. A 'Review' button is visible. The 'Comments' section is highlighted with a yellow circle and contains the following text:

Comments:  
1) [Redacted]  
2) [Redacted]  
3) [Redacted]  
cu

The activity log below shows the following entries:

Activity	Author	Activity Date
Send for Sponsor Approval	DiBiccario, Mike	5/30/2023 4:13 PM
Final sponsor formal carryforward request needed at later date	[Redacted]	5/23/2023 9:59 AM
Clarifications Submitted	[Redacted]	5/23/2023 9:59 AM
Signed Carryforward Letter	DiBiccario, Mike	5/22/2023 4:09 PM
Clarifications Requested	DiBiccario, Mike	5/22/2023 4:09 PM
Request Submitted to Specialist	[Redacted]	5/12/2023 1:59 PM

# 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)

# Budget code

- 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:**

Effective date

Reason for change

Confirmation that new department accepts responsibility  
for the project

New department code and administrator contact  
information



# 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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Mike DiBiccaro, [mike.dibiccaro@northwestern.edu](mailto:mike.dibiccaro@northwestern.edu)