CLEAR Meeting
July 16, 2024

Hosted by Sponsored Research
Today’s Agenda

• Announcements
  – Proposal Submission Notes and FY-end Business Processes
  – Outbound MTAs: Export Control Risks

• New Cognos BI Reports
ORCID ID Requirements: Coming May 2025

NIH's implementation of the new Common Forms Requirements on and after May 25, 2025, will require all applicants/ recipients to:

- obtain an ORCID ID and enter it into the Persistent Identifier (PID) section of the Common Forms.
- link their ORCID ID to their eRA Commons Personal Profile.
## Notable Upcoming NIH Due Dates

<table>
<thead>
<tr>
<th>NIH Due Date</th>
<th>SR (5-Day) Deadline</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>August 8</td>
<td>August 1</td>
<td>- F Series Fellowships Individual NRSAs (including F31 Diversity) - All types (new, renewal, resubmission, revision)</td>
</tr>
<tr>
<td>August 12</td>
<td>August 5</td>
<td>- R13, U13 Conference Grants &amp; Cooperative Agreements - All types (new, renewal, resubmission, revision)</td>
</tr>
<tr>
<td>September 25</td>
<td>September 18</td>
<td>All - new, renewal, resubmission, revision: - Program Project Grants and Center Grants (P-series) - Research Demonstration Edu. Projects (R18, U18, R25) - Institutional National Research Service Awards (T-Series) - Multiple other activity codes (C, D, G, S, U)</td>
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<td>October 5*</td>
<td>September 30</td>
<td>- R01 (new)</td>
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<tr>
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<td>- U01 (new)</td>
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*Due date to NIH moves to next business day
Commons ID Requirement

• Commons IDs now required for all key personnel; causing errors (not warnings).
• Also need to keep an eye out of things that are warnings but will become errors (e.g., non-compliant publications).
• Always validate before routing to SR to catch errors.
FY-End AMR Processing

• To accommodate the increase in awards, SR will be deprioritizing Award Modification Requests (AMRs) during the month of August.
• AMRs submitted by July 31, 2024, will be reviewed and processed as per usual.
• For AMRs submitted August 1 - 31, 2024, priority will be given to AMRs related to incoming awards and to urgent deadline-driven requests.
• Starting August 1, a Prioritization Request Form to submit prioritization requests for time-sensitive AMRs will be made available.
Use CERES to Check Status

<table>
<thead>
<tr>
<th>If you want to…</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Track submission to a sponsor (AMR state will still show as “Review” even after it has been sent to a sponsor.)</td>
<td>AMR History Tab</td>
</tr>
<tr>
<td>More info on an AMR related to an active negotiation</td>
<td>Agreement or Amendment Correspondence Tab</td>
</tr>
<tr>
<td>Monitor the status of advance account or award set up</td>
<td>FP and AWD History Tabs</td>
</tr>
</tbody>
</table>

- Refer to sponsor’s specific guidance (PAPPG, Grants Policy Statement, etc.) to ensure each CERES request provides all required info and is ready for submission.
- If you must contact SR, use the “Send E-mail” feature within CERES as it provides a direct link to the record and provides the greatest transparency to SR staff if a request must be reassigned.
Outbound MTAs: Export Controls Risks
International Shipping

**High** export control risk for universities

- Decentralized shipping processes
- Training – getting the right information to the right people at the right time
- High number of global partnerships
- Increased number of restricted entities
- Enforcement action by government
Federal Government Enforcement Action

**Indiana University (June 2024)**
- Commerce Department settlement with Indiana University (IU).
- 42 export violations involving IU’s stock center, an office of the university’s biology department that supplies fruit flies (genetically modified with toxins) to research institutions around the world.
- IU lost its export control privileges for certain biologics for one year, plus other admin penalties.

**Princeton University (Feb. 2021)**
- 37 export violations for sending animal pathogens from the U.S. to research institutions around the globe without the required export licenses.
- Voluntary disclosure reduced the penalties.
- $54,000 fine, plus internal and external audit/monitoring.
Outbound MTAs: Review Criteria

- **High Risk Countries:** All outbound from high-risk countries of concern (OFAC and Military end use countries)
  - OFAC: Cuba, Iran, North Korea, Syria, and certain regions of Ukraine (Crimea, Donetsk, Luhansk, and Sevastopol).
  - Military end use countries: Belarus, Burma, Cambodia, China (including Hong Kong), Nicaragua, Venezuela

- **Biologics or hazardous materials:** All outbound biologics or hazardous materials regardless of country

- **Critical Technologies:** All outbound for critical technologies regardless of country (Reference: White House Critical Technology List)
Next steps – we need your help

Complete and submit a brief questionnaire for all outbound MTAs – starting Sept 1, 2024.

If the MTA needs further review, SR will create an ancillary review for the ECIC team.

The ECIC will review and work with the research team to determine if an export control license is needed.
New Cognos BI Reports

GA501 – Research Administrator Workload Detail
GA502 – Research Administrator Workload Summary

Jarrod Routh
Data Analyst
IT Data Management & Analytics

Cathy Barrera
Senior Director of Research Administration
McCormick School of Engineering

Bethany Ekesa
Director of Research Administration
Sponsored Project & Research Catalyst (SPARC)
Feinberg School of Medicine
Presentation Agenda

- CERES Datamart & Reports
- RA Workload Origin Story
- Report Development
- Cognos Report Demo
- Use Cases
- Acknowledgements
- Questions
CERES Datamart & Reports
CERES Datamart
CERES system, CERES datamart, and GA Cognos reports all live since 4/24/23

Created and maintained by IT Data Management and Analytics
Implemented and maintained by IT Enterprise Systems
Initial GA reports for Proposals, Awards, Agreements, and “Current & Pending”
RA Workload Reports
Origin Story
Prior State: Manual Data Pull
No standard, automated way to get to this data and evaluate workload equity

Managers manually ran:
- Proposals (# and/or $)
- Awards (# and/or $)
- GM092 – # of subawards
- GM044 & GM086 - Overview
- GM011 - Expenditures
- Number of PIs
- Number of chartstrings

Complexity & Nuance:
- Proposal mechanism
- Sponsor complexity
- Foreign collaborators
- New-to-grants collaborators
- Fixed priced or milestone-based payment terms
- High volume of collaborators or subcontracts
"Examining Research Administrator Workload: Capturing Project Complexity and Allocating FTEs"
By: Monika Lagaard & Janet Nelson

FSM Administrative Leadership Development Program Poster Presentation (February 2023)
Problem Statement

Number of projects and/or award dollars alone does not accurately reflect the amount of time research administrators (RAs) spend on a portfolio.

Improper allocation of workload can contribute to burnout, affect physical & emotional well-being, and turnover within a unit.

Conclusions

- With a challenging job market for RA recruitment, it is more important than ever to assign a manageable and sustainable workload.
- A clear need for additional RA reporting capabilities and/or RA workload dashboard.
Opportunity & Capacity

• CERES Go-Live Preparation (11/2021-4/2023)
• Research Datamart Redesign Advisory Committee identified crucial fields for reporting
• School-wide representatives advocated for RA Workload dashboard using CERES data
Business Needs for RA Workload Reporting

- Reduce administrative burden to evaluate workload
- Ensure consistent expectations and workload across team
- Differentiate portfolio size and complexity across RA levels
- Report on workload trends over time
- Use data from reporting to identify where additional resources are needed and quantify staffing needs
- Manage work in process for cross-coverage and prepare for staffing changes
Requirements Gathering & Report Design
Requirements Gathering

• DMA held requirements sessions during September-October 2023

• Included participants from FSM, WCAS, McCormick, SoC, SR, and OR
Final Requirements Included

- Cognos report based on CERES data should enable both:
  - Monitoring staff “in process” workload
  - Reporting on staff workload over time
- Data should include CERES Project Types:
  - Proposals, JIT Proposals, Awards, AMRs, Subawards, Agreements
- Report should be able to be run for several parameters:
  - Research Administrator, School & Department, PI, Date Options
- Security should be the same as existing Cognos CERES reports
Report Design

• Separate detail and summary reports
  • Like others in GA report series
• Multi-tabs enable several reports to be run at once
  • Detail: all 6 Project Types
  • Summary: aggregate, by RA, and by month
• Workload detail reports following general layout of existing GA detail reports (eg GA101, -201, etc.)
Demonstration
Grants and Agreements folder
Detail and Summary: Report Prompts

- Both reports can be run by RA(s), department(s), and/or PI(s)
- Both reports must be run either for In process or Completed items
  - Completed runs must include Date period selection
GA501 RA Workload Detail

- Similar to other GA reports – the Detail report is lists of items that fit the prompts
- Separate tabs for 6 different CERES Project Types, plus Appendix
Because the report is multi-tabbed, the CSV and Excel data options aren’t useful

“Hide Header & Footer in Excel” returns multi-tabbed Excel file with more readily imported data.
GA502 RA Workload Summary

- Similar to other GA reports – the Summary report shows counts of items that fit the prompt
- Separate columns for 6 different CERES Project Types
- Separate tabs for 3 different methods for summarizing these counts, plus Appendix
- Each count hyper-links to a 1-tab Detail report correspond to row and column titles
## GA502 RA Workload Summary tabs

### Summary By RA

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### Summary By Month

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</table>
GA502 Viz View
Appendix

Details of the underlying drivers for person, status, and date are the same for “In Process” and “Completed” and available on the Appendix tab of both GA501 and GA502 reports.
User Guide

GA501 GA502 – Research Administrator Workload Reports User Guide (PDF)

Available via:
- IT Knowledge Base
- Data Management and Analytics Catalog
- Under FFRA
- Grants Management (GM) & Grants Agreements (GA)

Also linked to from:
- IT Knowledge Base
- InfoEd & CERES Report Inventory
- Under CERES Workload Reports

Northwestern
INFORMATION TECHNOLOGY
Grants and Agreements Reporting

GA501 – Research Administrator Workload Detail & GA502 – Research Administrator Workload Summary

Contents
OVERVIEW........................................................................................................................................... 2
GA501 RESEARCH ADMINISTRATOR WORKLOAD DETAIL REPORT FORMAT............................................................... 3
GA502 RESEARCH ADMINISTRATOR WORKLOAD SUMMARY REPORT FORMAT......................................................... 5
Cognos Report Prompts .................................................................................................................................. 8
UNDERLYING DRIVERS FOR PERSON, STATUS, AND DATE.................................................................................. 11
Limitations
Nightly datamart refresh

- Cognos GA reports are based on 5pm daily load of CERES data into the datamart: items, states, and assignments
- Real-time data is only available via CERES system front-end
Sponsored Research Agreements: SR Primary Contact

- RA reports run by Department may list some SR Personnel
- Usually due to SRAs, which are included in Other Agreements
- SR are Primary Contact on SRAs

- If you want to avoid this: keep a list of your unit’s RAs’ NetIDs
- Use RA “Contains any of these keywords” prompt with NetIDs each separated by a space
Assignment Changes before 2/24/24

During “Completed items” report runs for dates before 2/24/24 the credited individual will be the person that held the role in CERES on 2/24/24 (the date at which history tracking began in the CERES datamart) for certain Project Types.

This means that if the following Project Type items were completed and then reassigned before 2/24/24, the report will credit the assigned person as of 2/24/24 and not the original assignment: Proposal, JIT Proposal, Outgoing Subaward Agreements, other Agreements.

From 2/24/24 forward all original assignments will be retained in the CERES datamart for all Project Types.
Use Cases
Who will use the report(s)?

• Research Administrators
• Supervisors/managers of Research Administrators
• Other leadership (Deans, Associate Deans, etc.)
From the RA Perspective

• **Completed Reports**
  o Run submission #s
  o Data for Performance Excellence
  o Documentation of your growth & professional development

• **In Process Reports**
  o Verification of items in your name
### RA Submission #s

<table>
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<tr>
<th>Admin Contact</th>
<th>Proposal Type</th>
<th>Proposal Submit Date</th>
<th>Proposal State</th>
<th>Funding Mechanism</th>
<th>Number of Key Personnel</th>
<th>Number of Subaward Budgets</th>
<th>Number of Costshare Budgets</th>
<th>Submitting Department Name</th>
<th>Prime Sponsor Type</th>
<th>Proposed Project Period Total Amount</th>
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Northwestern
RA Growth and Workload over Time
### Admin Contact

<table>
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<tr>
<th>Award ID</th>
<th>Modified Request ID</th>
<th>Request Type</th>
<th>Date Request Submitted to Specialist for First Time</th>
<th>Request Short Title</th>
<th>Full Description of Requested Changes</th>
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<tbody>
<tr>
<td>Awesome RA AMR00002332</td>
<td>Rebudget</td>
<td>09/26/2023</td>
<td>Review</td>
<td>Rebudget YR2 SP0072355</td>
<td>Rebudget YR2 SP0072355--Vanderbilt cut our budget for YR2 because...</td>
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<td>Awesome RA AMR00002814</td>
<td>Carryforward</td>
<td>06/11/2024</td>
<td>Review</td>
<td>YR2 carryforward</td>
<td>Year 3 began 7/1/2023. The Unobligated balance at the end of year 2 was ~$588K. This is a U01, so we need to request that the NIH allow...</td>
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<td>No-Cost Extension</td>
<td>07/02/2024</td>
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<td>Murray MRI Req, NCE #1</td>
<td>Prof. Murray would like to request a one-year NCE.</td>
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<td>Awesome RA AMR00005785</td>
<td>Personnel-Effort Change</td>
<td>05/24/2024</td>
<td>Clarification Req</td>
<td>Transfer JDRF to Burke</td>
<td>Prof. Scott is leaving NU 8/1/2024, he has asked to leave the grant at Murray MRI...</td>
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<td>Awesome RA AMR00005805</td>
<td>Open Account Codes</td>
<td>05/28/2024</td>
<td>Review</td>
<td>Foreign Travel--Emily's expenses</td>
<td>PhD candidate Emily Schafer traveled to bioE2024 in Austria. She is trying to get reimbursement, but the foreign travel account codes...</td>
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<td>Awesome RA AMR00006059</td>
<td>Outgoing Subaward Modification</td>
<td>06/14/2024</td>
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<td>Baruch Final SubK</td>
<td>Extending the end date on the subK to Baruch to 4/30/2025. Changing...</td>
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<td>Clinical REPAIR NCE thru 3/31/2025</td>
<td>NCE being issued by Pitt thru 3/31/2025</td>
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<td>06/24/2024</td>
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<td>Add-on REPAIR NCE thru 3/31/2025</td>
<td>Pitt issued NCE thru 3/31/2025</td>
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<td>06/27/2024</td>
<td>Review</td>
<td>2nd NCE</td>
<td>PI's would like an NCE for another year.</td>
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<td>Awesome RA AMR00006217</td>
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<td>06/26/2024</td>
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<td>New MPI plan</td>
<td>Prof. Scott is moving to UVA. The grant will remain housed at NU, but...</td>
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</tbody>
</table>

### Proposal Detail

<table>
<thead>
<tr>
<th><strong>AMR Detail</strong></th>
<th><strong>Outgoing Subaward Agreement Det</strong></th>
<th><strong>Agreement Detail</strong></th>
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</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

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Northwestern
From the Manager Perspective

**Completed**
- Prepare you for better discussions with staff & leadership
- View equity & growth across team
- Benchmark workload across team

**In Process**
- Manage current workload
- Address staff turnover & reassignments needed
- Monitor pending items, escalate as needed, or re-assign
Completed RA Workload Across the Team

Northwestern Research Administrator Workload Summary
Aggregate Summary
Reporting Date between 04/01/2023 and 05/31/2024

Status Option: Completed items
Date Option: User Selected Date Range by Month
Research Administrator: See Appendix Page
Department: All
PI Name/EmplID: All

- Number of Proposals
- Number of JITs
- Number of AMRs
- Number of Outgoing Subaward
- Number of Other Agreements
- Number of Financial Accounts

Bar chart showing completed RA workload across the team members: Darth, Luke, Han, Yoda, Leia, and Lando.
In Process Team Workload

![Bar chart showing the workload distribution among team members.

Steve: 9 Proposals, 10 AMRs, 12 Other Agreements, 7 JITs, 3 Financial Accounts
Darth: 5 Proposals, 3 AMRs, 9 Other Agreements, 2 JITs, 4 Financial Accounts
Rose: 3 Proposals, 2 AMRs, 3 Other Agreements, 6 JITs, 3 Financial Accounts
Bob: 4 Proposals, 12 AMRs, 3 Other Agreements, 7 JITs, 2 Financial Accounts
Claire: 10 Proposals, 5 AMRs, 3 Other Agreements, 6 JITs, 4 Financial Accounts
Julie: 3 Proposals, 3 AMRs, 3 Other Agreements, 3 JITs, 2 Financial Accounts]
In Process Detail Reports

Multiple Uses

- Proposals
- JITs
- AMRs
- Outgoing Subawards
- Agreements
- Awards
Comparison to Other Pending Item Reports

Workload Reports
(Cognos)
Only includes submitted status
Proposal detail includes:
• Subcontract #s
• Cost share
• Mechanism
• Budget amount
AMR Detail includes full description of request
Ability to automate!!!

CERES Reports
Quickly and easily able to access
Simple data (RA, PI, status, sponsor, and deadline)

Tableau/Capsule Reports
Limited access
Shows items in RAs unsubmitted status
 Doesn’t include level of detail as Workload Reports
Reminders when Using

- **Doesn't give full story**
  - Some complexities not in the data
  - Doesn't include items not in CERES

- **Data derived from admin contact**
  - Can change over time
  - Get in practice of running and saving reports for historical purposes

- **Summarizes data by month, not year**
Acknowledgements
Thank you to project stakeholders and team!

**Requirements stakeholders**
- Reid Wellensiek, WCAS
- Bethany Ekesa, FSM
- Cathy Barrera, MCC
- Marysia Galent, FSM
- Jennifer Felten, FSM
- Kim Griffin, OR
- Sara Krentz, SR

**Project Team**
- Abhisekh Adhikari
- Paul Geigler
- Sanish John
- Lance Bergquist
- Aditi Singru
- Angela Sanecki
- Rob Hartzler
- Noel Gaceta
- Alan Garbarino
Questions?