What is CERES?
The Centralized Electronic Research System, a more streamlined and modernized system to support the growing research enterprise

Overview of
Sponsored Research Administration Transformation Program (SRATP)
Northwestern is enhancing the technology resources that support its research enterprise. The program’s goals are twofold: to implement a new enterprise sponsored research administration management system and to deliver a revamped analytics environment required to support business functions. These aims include replacing InfoEd with Huron Grants and Agreements, a change intended to strengthen processes, maximize efficiency, and support continued growth of Northwestern research. This effort is a partnership between Northwestern Sponsored Research and Northwestern Information Technology.

https://sponsoredresearch.northwestern.edu/sra-transformation/index.html
Program Timeline
Benefits of CERES

- One-stop shop for the overall sponsored project lifecycle
- More complete information enables smoother review processes
- PI certification can occur while funding proposal is in draft or department review
- Workflow progress will be easily visible, bringing transparency to processes
# Basic Concepts & Navigation: Structure & Status

<table>
<thead>
<tr>
<th>SINGLE ID</th>
<th>MULTIPLE IDs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currently, Proposals and Awards are tracked as one item with one identified, known as the SP Number.</td>
<td>Proposals, awards, and agreements are distinct elements within CERES, each with a separate unique identifier, tied together and easy to navigate between on related records.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>STATUS DIFFICULT TO FIND</th>
<th>VISUAL WORKFLOW</th>
</tr>
</thead>
<tbody>
<tr>
<td>The process of viewing workflow status requires users to navigate to multiple screens depending on context.</td>
<td>Insight into workflow progress will be easily visible in CERES, bringing transparency to processes. The drill downs work similarly from screen to screen.</td>
</tr>
</tbody>
</table>
CERES Across the Lifecycle

**Funded**

- **FP: Award Anticipated**
  - Just in Time or similar

- **FP: Funding Proposal**
  - Competing submissions

- **Agreements**
  - Negotiation of funded projects

- **AWD: Award**
  - Entire performance period

- **SUB: Subaward**
  - One entry per sub-recipient

- **SUBK: Agreements**
  - Entries for agreement + amendments

- **MOD: Award Modification**
  - Updates to awards

**Non-Funded**

- **Agreements**
  - MTA
  - DUA
  - NDA

*Agreements can exist as stand-alone or be related to other projects (funding proposals, award or agreements)*
<table>
<thead>
<tr>
<th>Grants Module</th>
<th>Agreements Module</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-Award</td>
<td>Post-Award</td>
</tr>
<tr>
<td>•Funding Proposals</td>
<td>•Awards</td>
</tr>
<tr>
<td>•SF424</td>
<td>•Award Modification</td>
</tr>
<tr>
<td>•Budget</td>
<td>Request</td>
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<tr>
<td></td>
<td>•Award Modification</td>
</tr>
<tr>
<td></td>
<td>Request</td>
</tr>
<tr>
<td></td>
<td>•Subaward</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Agreements with Funding

Bilateral Awards

- Sponsored Research will create an Agreement record once a notice of award arrives if needed

Industry Clinical Trials

- Departments will create Funding Proposal record and budget, which will route for approval
- Once the Funding Proposal is approved, Departments will create related Agreement record, with questions specific to the clinical trial
- Negotiations begin once Agreement record is routed

Once fully executed, Sponsored Research will create an Award record and complete the setup.
Integrated with eIRB+

### Related Projects

<table>
<thead>
<tr>
<th>ID</th>
<th>Name</th>
<th>Owner</th>
<th>Organization</th>
<th>Project Type</th>
<th>Project Status</th>
<th>Modified Date</th>
</tr>
</thead>
</table>

No data to display.

### Related IRB Protocols

<table>
<thead>
<tr>
<th>Protocol Number</th>
<th>Status</th>
<th>Approved Date</th>
<th>Approved Start Date</th>
<th>Approved End Date</th>
<th>Review Category</th>
<th>Exemption Number</th>
<th>PI Name</th>
<th>Protocol Title</th>
</tr>
</thead>
</table>
Create an Industry Clinical Trial Funding Proposal + Agreement
Create an Industry Clinical Trial Agreement

- The industry clinical trial workflow spans both the Grants and Agreements modules in CERES.
- Two main components:
  1. **Funding Proposal** in CERES Grants, which the RA creates including budget and effort, then submits to route for Department Review and on to Specialist Review.
  2. **Clinical Trial Agreement** in CERES Agreements
     - Before the RA submits the FP for routing, create the Clinical Trial Agreement. *Note: The Negotiation Information page is for SR to complete*
     - RA submits the CTA after all department approvals are in place for the funding proposal.
1. Funding Proposal in CERES Grants, which the RA creates, including budget, then submits to route for Department Review and on to Specialist Review.
2. Clinical Trial Agreement in CERES Agreements

- Before the RA submits the FP for routing, create the Clinical Trial Agreement. *Note: The Negotiation Information page is for SR to complete*
- RA submits the CTA after all department approvals are in place for the funding proposal.
1. From the related Grants funding proposal workspace, click **Create Agreement**.
Create an Industry Clinical Trial Agreement

2. On the Create Agreement activity form, select **Clinical Trial Agreement** then click **OK**.

3. From the funding proposal workspace, click the **Related Projects** tab and click the agreement name to go to the workspace.

4. From the agreement workspace, click **Edit Agreement** to open the SmartForm.
5. Complete all required fields on the Agreement Upload page.
   • Question 3 – if the agreement has already been drafted, attach it by clicking Upload.
     • If SR will create the first draft, check the First draft to be generated internally? box instead.

6. Click Continue to move through the pages and enter all required information.
   • On the General Information page under question 6, list yourself as an Agreement Collaborator.

7. When you reach the final page, click Finish.

Note: Do not complete the Negotiation Information page as this section is only to be filled in by SR.
Create an Industry Clinical Trial Agreement

8. From the agreement workspace, click **Submit**. Click **OK** to accept the statement and submit the clinical trial agreement.

**Note:** Failure to fill out the agreement correctly and completely will cause delays and it will be routed back to the department.
Create a Non-Funded Agreement
<table>
<thead>
<tr>
<th>Non-funded Agreement Types</th>
<th>ID Prefix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Material Transfer Agreements</td>
<td>MTA</td>
</tr>
<tr>
<td>Data Use Agreements</td>
<td>DUA</td>
</tr>
<tr>
<td>Non-Disclosure Agreements</td>
<td>NDA</td>
</tr>
<tr>
<td>Collaboration Agreements</td>
<td>CA</td>
</tr>
<tr>
<td>Letter of Indemnification*</td>
<td>LOI*</td>
</tr>
<tr>
<td>Memorandum of Understanding</td>
<td>MOU</td>
</tr>
</tbody>
</table>

**Note:** Agreements related to a Grants proposal or award should be created using the **Create Agreement** activity from the Grants workspace to link the records.

*LOIs are used when a funded industry clinical trial is coming through a Clinical Research Organization (CRO)*
1. From the related (and editable) Grants funding proposal workspace, click **Create Agreement**.
   - If this will be a standalone agreement (unrelated to an existing Grants proposal) then initiate the agreement from the CERES Dashboard by clicking **Create** and then select **Create Agreement**.

   ![Dashboard and Agreements interface](image)

   ![Create Agreement button](image)
2. On the Create Agreement activity form, select the appropriate agreement type then click **OK**.

3. From the funding proposal workspace, click the **Related Projects** tab and click the agreement name to go to the workspace.

4. From the agreement workspace, click **Edit Agreement** to open the SmartForm.
5. Complete all required fields on the Agreement Upload page.
   • Question 3 – if the agreement has already been drafted, attach it by clicking Upload.
     • If SR will create the first draft, check the First draft to be generated internally? box instead.
   • Question 5 – select the appropriate non-funded agreement type
     • Note: If you created the agreement from the related Grants record, this question will be pre-populated based on your prior selection.

6. Click Continue to move through the pages and enter all required information.
   • On the General Information page under question 6, list yourself as an Agreement Collaborator.

   Note: Do not complete the Negotiation Information page as this section is only to be filled in by SR.
Create a Non-Funded Agreement

7. When you reach the final page, click **Finish**. From the agreement workspace, click **Submit**. Click **OK** to accept the statement and submit the non-funded agreement.

![Pre-Submission]

**Note:** Failure to fill out the agreement correctly and completely will cause delays and it will be routed back to the department.
Resources to Learn More

**CERES 101 is here!**
The Northwestern research community can learn more about CERES via the CERES 101 Computer-Based Learning course. CERES 101 includes an overview of what the system is, how it is used, and how CERES benefits all users. This 65-minute, on-demand course takes learners on a tour the system and teaches you where and how to find records in the system and related information. CERES 101 is available via MyHR Learn. [REGISTER NOW](#)

**Concepts Overview**
Before viewing CERES 101, step through the following overviews of the key CERES concepts and workspaces: the funding proposal, agreements, awards, and subawards. ([CERES Training page](#))
Resources to Learn More

How-To-Videos
• Create a Funding Proposal
• Complete a Budget

CERES Job Aids: Locate CERES-related job aids in the Northwestern Knowledge Base, including Create and Submit a Non-Funded Agreement and Create and Submit a CTA
Questions?

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