

CLEAR Meeting

May 9, 2024

Hosted by Sponsored Research

Today's Agenda

- Announcements
- Outgoing Subawards “How To”
- Post-award Subcontract Management:
Working with ASRSP

Upcoming NIH Due Dates: Cycle II (Spring)

NIH Due Date	SR (5-Day) Deadline	Description
May 25 (Saturday)*	May 20	All - new, renewal, resubmission, revision <ul style="list-style-type: none"> • Program Project Grants and Center Grants (P-series) • Research Demonstration Edu. Projects (R18, U18, R25) • <i>Institutional</i> National Research Service Awards (T-Series) • Multiple other activity codes (C, D, G, S, U)
June 5	May 29	<ul style="list-style-type: none"> • R01 (new) • U01 (new)
June 12	June 5	<ul style="list-style-type: none"> • Research Career Development (new) K-series
June 16 (Sunday)*	June 10	<ul style="list-style-type: none"> • Other Research Grants and Cooperative Agreements (new) R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3

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

Upcoming NIH Due Dates: Cycle II (Summer)

NIH Due Date	SR (5-Day) Deadline	Description
July 5	June 27	<ul style="list-style-type: none"> • R01 Research Grants - renewal, resubmission, revision • U01 Research Grants - renewal, resubmission, revision
July 12	July 5	<ul style="list-style-type: none"> • K Series Research Career Development - renewal, resubmission, revision
July 16 (Sunday)*	July 9	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • F Series Fellowships <u>Individual</u> NRSAs (including F31 Diversity) - All types (new, renewal, resubmission, revision)
August 12	August 5	<ul style="list-style-type: none"> • R13, U13 Conference Grants & Cooperative Agreements - All types (new, renewal, resubmission, revision)

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

Uniform Guidance Updates

- Go into effect October 1, 2024
- Re: SubKs - For now, continue to budget using the \$25K limit; Additional information will be forthcoming
- Evaluation and engagement activities
- Procurement transactions
- Equipment and unused supplies increase from 5K to 10K
- Fixed amount subawards (still require prior written approval) increase from 250K to 500K
- DeMinimus Indirect Rate increases from 10% to 15%
- Burden reduction-removes certain prior approval requirements

Outgoing Subawards: How to in CERES

Open the Subaward

CERES Dashboard

When you log in to CERES, you will find newly assigned subawards in pre-submission status in “Dashboard/My Inbox”.

You will also receive an email notifying you of any newly assigned subawards.

In “Dashboard/My Inbox” click on the award name to open the record in the agreement workspace.

The screenshot shows the CERES dashboard interface. The user is logged in as Helena Kramer. The main navigation bar includes 'Dashboard', 'Agreements', and 'Grants'. The 'My Inbox' section is active, displaying a table of subawards. A green box highlights a specific subaward record, and a green arrow points from the text below to the award name in that record.

ID	Name	Date Created	Date Modified	Status	Coordinator
SUB0000000000000	SUB0000213-ADD_Medical College of Wisconsin, JAWD0000000036 Mary Graham	8/7/2023 10:27 AM	5/3/2024 2:35 PM	Pri-Submission	
SUB0000000000000	SUB0000000000000	8/18/2025 11:26 AM	4/3/2024 13:01	Cite Builder	

Editing Agreement

Editing the Agreement

Click “Edit Agreement” to open the agreement smartform.

The screenshot displays a web interface for managing agreements. The top navigation bar includes 'Dashboard', 'Agreements', and 'Grants'. Below this, there are sub-navigation options: 'Agreements', 'Reports', and 'Help Center'. The main content area shows the details for an agreement with ID '60065645-A00_University of Chicago'. The status is 'Pre-Submission'. Key details include: Agreement: SUBK00000470, Contracting party: University of Chicago, Agreement type: Outgoing Subaward Subcontracts, Office: NITMB, and Department/Division/Institute: University of Chicago # 600. A workflow diagram shows the process from 'Pre-Submission' to 'Assigned', 'In Review', 'Signing', and 'Active', with 'Clarification Requested' loops between 'Assigned' and 'In Review'. Below the details, a 'Next Steps' section contains three buttons: 'Edit Agreement' (highlighted with a green box), 'Printer Version', and 'View All Correspondence'. An 'OnBase Message Center' section is also visible at the bottom.

Agreement Upload

Agreements Upload View

Click on the Agreement Upload tab.

Confirm that the chartstring listed in question #4 is correct (600#).

Under #6, "Description," please specify what you want done with this subaward. For example, "This is a new fixed amount subaward included with the proposal or added after the award."

Attach any useful documentation, e.g. sponsor approval of fixed amount subaward.

The screenshot shows a web form titled "Agreement Upload" with a sidebar on the left and a main content area on the right. The sidebar contains a list of tabs: "Agreement Upload" (highlighted in orange), "Outgoing Subaward Setup/Questions", "Outgoing Subaward Approval Information", "Outgoing Subaward Regulatory Compliance", "Negotiation Information", and "Completion Instructions". The main content area has a header "First draft to be generated internally?" with a checkbox. Below this are four numbered sections: 4. "Title or internal reference number:" with a text input field containing "6000"; 5. "Agreement type:" with a dropdown menu showing "Outgoing Subaward"; 6. "Description:" with a large text area; and 7. "Supporting documents:" with an "Add" button and a table with a "Name" column and the text "There are no items to display". At the bottom right are "Exit", "Save", and "Continue" buttons. Green boxes highlight the "Agreement Upload" tab, the title input field, the agreement type dropdown, the description text area, and the supporting documents section. Green arrows point from the text instructions on the left to these highlighted elements.

General Information

General Information

On the “General Information” tab, verify and complete these fields as instructed below:

#1 contracting party: verify the subsite listed. If it is incorrect, please click on the 3 dots and search for correct subsite name.

#2, #3, & #4: please ensure the information entered here is the contact from the subsite's sponsored research office (or equivalent).

#7: please include others from the NU research unit that you want to have access to this record.

General Information

1. * Contracting party:

If you cannot find the organization in the list above, enter its information here:
Contracting party name:

2. * Contracting party contact name:

3. * Contracting party contact e-mail:

4. Contracting party contact phone:

5. Additional Contracting Parties?
 Yes No [Clear](#)

6. * Responsible department/division/institute:

[Exit](#) [Save](#) [Continue](#)

7. Agreements collaborators: (institutional staff given read/edit permissions for this Agreement)

Name	E-mail	Phone
Rowena Kramer	rowena.kramer@northwestern.edu	

Setup Questions

Outgoing Subaward Setup Questions

The Outgoing Subaward Setup Questions fields will be prefilled by Sponsored Research.

Verify the accuracy of questions 1-3, 5, and 7.

#4 Subaward ID is the CERES ID number assigned to the subaward on the parent award in the CERES Grants Module. **Do not make any changes to field #4.**

1. * Prime funding agency:

2. * Project title:

3. * Prime award ID:

4. * Subaward ID:

5. * Subrecipient PI first name:

6. Subrecipient PI middle name:

7. * Subrecipient PI last name:

Exit Save Continue

Agreement Information

Updating the Outgoing Subaward Agreement Information

Navigate to the Outgoing Subaward Agreement Information tab.

From here, you can begin to fill the fields with the required information.

The screenshot shows the CERES web application interface. The top navigation bar includes the CERES logo and the user name 'Hello, Rowena Kramer'. The sidebar on the left contains several menu items: 'Agreement Upload', 'General Information', 'Outgoing Subaward Setup Questions', 'Outgoing Subaward Agreement Information' (highlighted in orange and pointed to by a green arrow), 'Outgoing Subaward Regulatory Compliance', 'Negotiation Information', and 'Completion Instructions'. The main content area is titled 'Outgoing Subaward Agreement Info' and contains four numbered fields with asterisks indicating they are required:

1. * Current budget period direct costs:
2. * Current budget period indirect costs:
3. * Current budget period total costs:
4. * Cumulative costs:

At the bottom right of the form, there are three buttons: 'Exit', 'Save', and 'Continue'.

Starting Out & Budget Period Costs

Budget Period Costs

For a new SUBK, budget period direct costs and indirect costs means the direct costs and indirect costs for the initial subaward budget period.

For a SUBK amendment, the budget period direct and indirect costs mean the cost for THIS ACTION for THIS AMENDMENT.

Cumulative costs should reflect the amount to date, including this action and all previous actions.

The screenshot shows the CERES web application interface. The header includes the CERES logo and the user name 'Hello, Rowena Kramer'. The main content area is titled 'Editing: SUBK0000369' and 'Outgoing Subaward Agreement Info'. There are four input fields, each with a red asterisk and a help icon:

1. * Current budget period direct costs:
2. * Current budget period indirect costs:
3. * Current budget period total costs:
4. * Cumulative costs:

At the bottom right, there are buttons for 'Exit', 'Save', and 'Continue'.

Project Period Costs

Project Period Costs

Enter the anticipated project period direct costs (#5) and indirect costs (#6) of the subaward anticipated period of performance.

The screenshot shows a web application interface with a sidebar menu on the left and a main form area on the right. The sidebar menu includes the following items: Agreement Upload, General Information, Outgoing Subaward Agreement Information (highlighted in orange), Outgoing Subaward Regulatory Compliance, Negotiation Information, and Completion Instructions. A green arrow points from the text on the left to the 'Outgoing Subaward Agreement Information' menu item. The main form area contains the following fields:

- 4. * Cumulative costs: [text input]
- 5. * Project period direct costs: [text input]
- 6. * Project period indirect costs: [text input]
- 7. Estimated total costs: [text input]
- 8. * Does this subaward require cost share? [radio Yes] [radio No] [Clear]
- 9. * Current budget start date: [calendar icon]
- 10. * Current budget end date: [calendar icon]
- 11. * Project start date: [text input]

At the bottom right of the form, there are three buttons: Exit, Save, and Continue.

Cost Share

Cost Share

If you are unsure about the answer to question #8, please refer to the help text by clicking on question mark next to this question.

If you select yes, enter the cost share amount in the field/space provided.

The screenshot shows a web form titled 'Outgoing Subaward Agreement Information'. The left sidebar contains a menu with the following items: Agreement Upload, General Information, Outgoing Subaward Setup Questions, Outgoing Subaward Agreement Information (highlighted in orange), Outgoing Subaward Regulatory Compliance, Negotiation Information, and Completion Instructions. The main content area contains the following questions:

- 8. * Does this subaward require cost share? (Help icon) Yes No [Clear](#)
- 9. * Subaward cost share amount:
- 10. * Current budget start date:
- 11. * Current budget end date:
- 12. * Project start date:
- 13. * Estimated project end date:
- 14. Carryover automatically allowed by prime sponsor Yes No [Clear](#)

Annotations include a green box around questions 8 and 9, and two green arrows pointing from the text on the left to the help icon in question 8 and the 'Outgoing Subaward Agreement Information' menu item.

Start/End Dates

Start and End Dates

Current budget start & end date: Enter the budget start date for this action and the budget end date for this action.

Project start date & estimated project end date: Enter the project start date of the original subaward (A00), and enter the project end date which is the anticipated end date of the subaward project period of performance.

The screenshot shows a web form titled "Outgoing Subaward Agreement Information" with a sidebar menu on the left. The sidebar menu includes: Agreement Upload, General Information, Outgoing Subaward Setup Questions, Outgoing Subaward Agreement Information (highlighted in orange), Outgoing Subaward Regulatory Compliance, Negotiation Information, and Completion Instructions. The main form area contains the following fields:

- 9. * Current budget start date: [Date input field]
- 10. * Current budget end date: [Date input field]
- 11. * Project start date: [Date input field]
- 12. * Estimated project end date: [Date input field]
- 13. Carryover automatically allowed by prime sponsor (SR only):
 Yes No [Clear](#)
- 14. Subject to FFATA (SR only):
 Yes No [Clear](#)
- 15. Fixed price subaward (SR only):
 Yes No [Clear](#)
- 16. Foreign entity:

At the bottom right of the form are buttons for "Exit", "Save", and "Continue".

SR-Populated Fields

SR Populated Fields

Fields covering carryover, FFATA and Fixed price subaward are all completed by Sponsored Research.

13. Carryover automatically allowed by prime sponsor (SR only):

Yes No [Clear](#)

14. Subject to FFATA (SR only):

Yes No [Clear](#)

15. Fixed price subaward (SR only):

Yes No [Clear](#)

Foreign Entity

Foreign Entity

Is the entity a non-US entity?

Select "Yes" or "No".

The screenshot shows a web application interface for 'Outgoing Subaward Agreement Information'. The left sidebar contains a navigation menu with the following items: 'General Information', 'Outgoing Subaward Setup Questions', 'Outgoing Subaward Agreement Information' (highlighted in orange), 'Outgoing Subaward Regulatory Compliance', 'Negotiation Information', and 'Completion Instructions'. The main content area displays a series of questions:

- 16. Foreign entity:
 Yes No [Clear](#)
- 17. * Was the subaward included in the original proposed budget and awarded?
 Yes No [Clear](#)
- 18. * Has the subaward budget changed from the awarded amount in a way that would require agency approval?
 Yes No [Clear](#)
- 19. Upload scope of work: ?
[None] [Upload](#)
- 20. Scope of work:

At the bottom right of the form, there are three buttons: 'Exit', 'Save', and 'Continue'.

Documenting Subaward Inclusion in Original Budget

Documentation of Subaward Inclusion in Original Budget

To answer whether the subaward was included in the original budget and awarded, consult the Funding Proposal in the CERES Grants Module, and then select “Yes” or “No”.

Is the sponsor prior approval required for this subaward? - Consult the sponsor specific award terms and conditions

If “Yes,” follow the upload prompts.

17. * Was the subaward included in the original proposed budget and awarded?

Yes No [Clear](#)

18. * Is sponsor prior approval required for this subaward?

Yes No [Clear](#)

19. * Attach sponsor approval documentation:

[None]

Has Subaward Budget Changed?

Has Subaward Budget Changed?

Determine whether the subaward budget has changed in a way that would require sponsor prior approval by consulting the funding proposal and the sponsor terms and conditions. Then select “Yes” or “No”.

If “Yes,” follow the upload prompts.

18. * Has the subaward budget changed from the awarded amount in a way that would require agency approval?

Yes No [Clear](#)

19. * Attach approval documentation:

[None] [Upload](#)

Scope of Work & LOI

Scope of Work and LOI

The scope of work and budget are usually found in the Letter of Intent package. This information can also be included in the Award Modification Request if new, modified, or requires Sponsor approval.

Follow the upload prompts. You may upload the documents individually or as a consolidated Letter of Intent package.

You can also choose to type directly into the scope of work field.

The screenshot displays a software interface with a sidebar menu on the left and a main content area on the right. The sidebar menu includes the following items: Agreement Upload, General Information, Outgoing Subaward Setup Questions, Outgoing Subaward Agreement Information (highlighted in orange), Outgoing Subaward Regulatory Compliance, Negotiation Information, and Completion Instructions. The main content area shows a list of steps: 19. Upload scope of work: [None] Upload; 20. Scope of work: [Text input field]; 21. Upload letter of intent: [None] Upload; 22. * Upload budget: [None] Upload; 23. Upload budget justification: [None] Upload; 24. Budget justification: [None] Upload. A green box highlights steps 19 and 20. Arrows point from the text on the left to the 'Outgoing Subaward Agreement Information' menu item and the 'Scope of work' input field.

Budget, and Budget Justification

Budget and Budget Justification

Upload the Budget by clicking on the “Upload” button and following the prompts.

EITHER upload the budget justification OR type the budget justification into the Budget Justification form field.

The screenshot shows a web application interface with a sidebar menu on the left and a main content area on the right. The sidebar menu includes the following items: Agreement Upload, General Information, Outgoing Subaward Setup Questions, Outgoing Subaward Agreement Information (highlighted in orange), Outgoing Subaward Regulatory Compliance, Negotiation Information, and Completion Instructions. The main content area displays a form with four sections: 21. Upload letter of intent: [None] Upload; 22. * Upload budget: [None] Upload; 23. Upload budget justification: [None] Upload; and 24. Budget justification: a large empty text area. Green arrows point from the text on the left to the 'Upload' buttons in sections 21, 22, and 23, and to the text area in section 24. At the bottom right of the form, there are buttons for Exit, Save, and Continue.

Save and Exit

Save and Exit

When you have completed the final question in the Outgoing Subaward Agreement Information view, click the “Save” button.

Then click the “Exit” button.

The screenshot shows a web application interface for 'Outgoing Subaward Agreement Information'. On the left is a navigation menu with the following items: Agreement Upload, General Information, Outgoing Subaward Setup Questions, Outgoing Subaward Agreement Information (highlighted in orange), Outgoing Subaward Regulatory Compliance, Negotiation Information, and Completion Instructions. The main content area contains four numbered steps: 21. Upload letter of intent: [None] Upload; 22. * Upload budget: [None] Upload; 23. Upload budget justification: [None] Upload; 24. Budget justification: [Empty text box]. At the bottom right, there are three buttons: 'Exit' (with a back arrow icon), 'Save' (with a floppy disk icon), and 'Continue' (with a right arrow icon). The 'Exit' and 'Save' buttons are highlighted with green boxes. Green arrows from the text on the left point to these buttons: one from 'Save' to the 'Save' button and one from 'Exit' to the 'Exit' button.

Where to Find Job Aids

NU Knowledge Base Article: [Complete and Submit an Outgoing Subaward Agreement](#)

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Knowledge Base / IT Knowledge Base / CERES: Complete and Submit an Outgoing Subaward Agreement

CERES: Complete and Submit an Outgoing Subaward Agreement

CERES

Complete and Submit an Outgoing Subaward Agreement

Note: The attachments contain a job aid related to this article.

Outgoing subcontracts on approved awards will require an Outgoing Subaward Agreement. This agreement will be initiated by Sponsored Research (SR), then the Research Administrator (RA) will receive an email notification once the agreement is in their CERES inbox for their completion. The RA is responsible for either completing and submitting the agreement or discarding it if the subcontract is no longer moving forward. The steps below reflect the RA's role in this process.

Notes:

- If a subaward is needed to an institution not originally on the proposal, review the CERES Grants Research Community Reference Guide section related to requesting an award modification for more information on requesting a budget revision.

To Complete an Outgoing Subaward Agreement

Details

Article ID: 2267
Created
Thu 4/6/23 10:37 AM
Modified
Wed 6/7/23 8:18 AM

Attachments (1) Sort By: Name Date

AGM_Job Aid_CompleteSubmitOutgoingSU BK.pdf
Wed 6/7/23 8:18 AM
[View](#)

Basic “how to” information in the article body

Detailed job aids available in the Attachments section

Post-award Subcontract Management: Working with ASRSP



Post Award Management

Once a subaward is fully executed, department administrators work with ASRSP to process subaward invoices.

A fully executed subcontract:

1. Has an allocation for the subaward in NUFinancials
2. Needs a REQ or POC to be created with an understanding of the appropriate expense account code
3. Typically requires the receipt of final invoices 60 days after the subaward end date

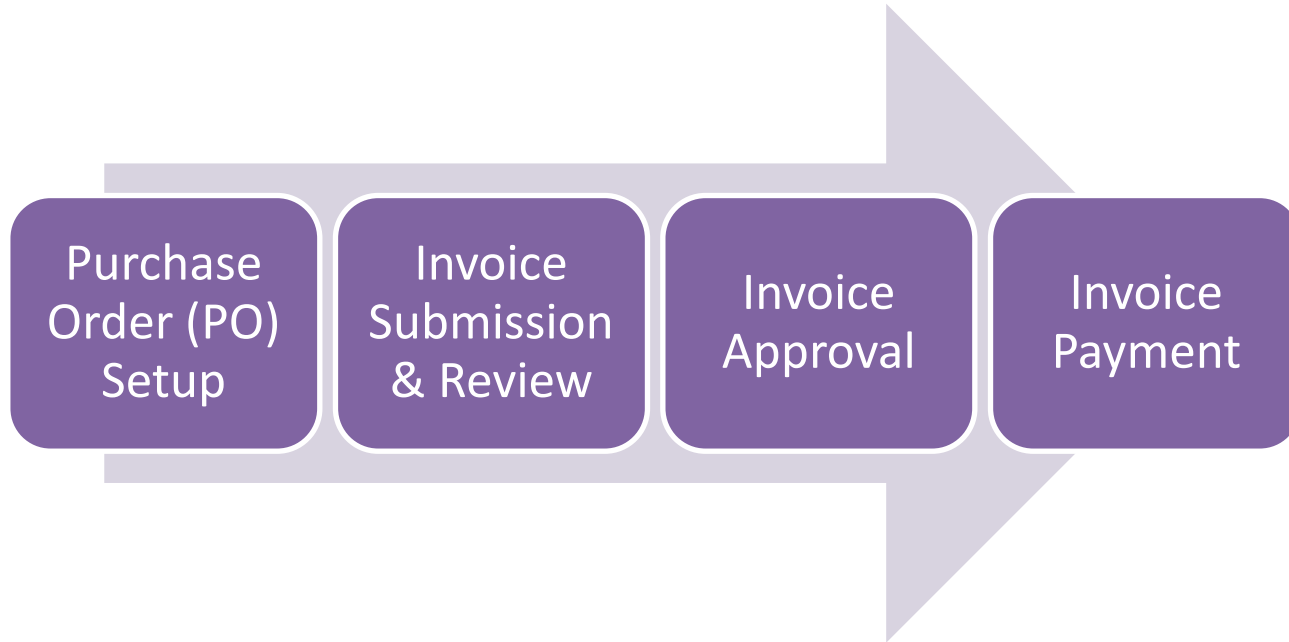


Roles & Responsibilities

NU department administrators	Sets up PO based on approved budget, in anticipation of invoices
Subrecipient institution	Submits invoices to ASRSP for payment of project work performed
ASRSP	Reviews invoices against award agreement and budget for accuracy and required certification
Principal Investigator	Certifies work performed by subrecipient



Subcontract Invoice Process



Terminology

Requisition: A purchase request subject to approval based on NU workflow rules. Creating a [requisition](#) is the first step in the procurement process. Once approved, a requisition becomes a **purchase order** which encumbers the funds for the subaward.

POC: A purchase order change is a revision to an existing purchase order. A POC should be initiated when an amendment authorizes additional funding for a new budget period.



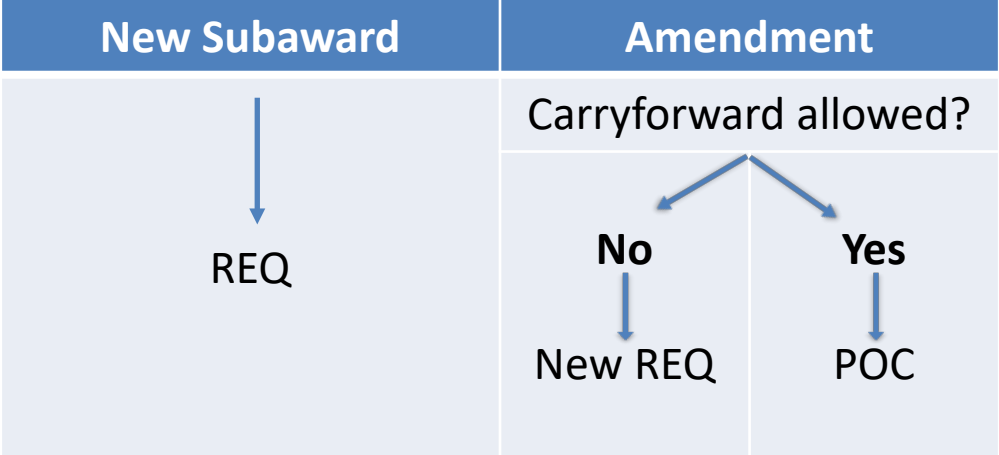
REQ/POC Requirements

Every REQ or POC must have the following components to be processed efficiently:

1. Correct account code
2. Correct supplier ID
3. Correct attachment(s)
 - Copy of agreement/amendment
 - Purchasing Decision Document (formerly SSJ) form when REQ > \$10,000

When to Create REQ vs. POC

The NU department creates a Requisition (REQ) or a Purchase Order Change (POC).



Note: Foreign subrecipient institutions receive international wire transfers as payment. A REQ or PO is not needed.

Expense Account Codes

Subaward REQs use the following expense account codes, which are linked to corresponding budget codes:

78640 = \$ < \$25k per subaward

78642 = \$ < \$25k no F&A*

78650 = \$ > \$25k

78652 = \$ > \$25K TDC* (Total Direct Cost)

*Applies if 1) the sponsor has specified F&A is not allowed or 2) F&A has been waived by NU with Dean's office, VPR & SR approval.



Invoice Submission

Subrecipient institution submits invoice to Northwestern:

- Subcontract invoices must be sent to the ASRSP department email address as specified in the subcontract agreement:

ASRSP-subk-CH@northwestern.edu

ASRSP-subk-EV@northwestern.edu

- The NU department may be copied
- Discrepancies found during review will cause invoice to be returned for revision

Closeout Considerations

Department responsibilities to prepare for closeout of subawards:

- 90 days prior to end date:
 - Notify subrecipient institution that prime award will be closing and request final projection for remaining invoices
- After project end date:
 - Confirm that final invoice has been received 60 days after the award end date

Online Resources

See the ASRSP webpage on [Subcontracts](#) for:

[Grant Subcontract REQ Job Aid](#)

[Grant Subcontract Requisition Processing](#)

[Subcontract Invoice PI Workflow Certification Process Job Aid](#)

[How to Find Pending Subcontract Vouchers](#)



See Cognos for [GM092 – Subcontract Monitoring Report](#)

Join us for the
next CLEAR Meeting:

Wednesday, August 7, 10:00am

Pre-show networking and breakfast
at 9:30am (Chicago campus)