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)

<table>
<thead>
<tr>
<th>NIH Due Date</th>
<th>SR (5-Day) Deadline</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 25 (Saturday)*</td>
<td>May 20</td>
<td>All - new, renewal, resubmission, revision&lt;br&gt;&lt;br&gt;• Program Project Grants and Center Grants (P-series)&lt;br&gt;• Research Demonstration Edu. Projects (R18, U18, R25)&lt;br&gt;• Institutional National Research Service Awards (T-Series)&lt;br&gt;• Multiple other activity codes (C, D, G, S, U)</td>
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<tr>
<td>June 5</td>
<td>May 29</td>
<td>• R01 (new)&lt;br&gt;• U01 (new)</td>
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<tr>
<td>June 12</td>
<td>June 5</td>
<td>• Research Career Development (new) K-series</td>
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<td>June 16 (Sunday)*</td>
<td>June 10</td>
<td>• Other Research Grants and Cooperative Agreements (new) R03, R21, R33, R21/R33, R34, R36, U34, UH2, UH3, UH2/UH3</td>
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*Due date to NIH moves to next business day*
# Upcoming NIH Due Dates: Cycle II (Summer)

<table>
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<tr>
<th>NIH Due Date</th>
<th>SR (5-Day) Deadline</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 9     | • 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    | August 5           | • 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.
Editing Agreement

Editing the Agreement

Click “Edit Agreement” to open the agreement smartform.
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.
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.
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.**
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.
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.
Enter the anticipated project period direct costs (#5) and indirect costs (#6) of the subaward anticipated period of performance.
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.
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.
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

Is the entity a non-US entity?
Select “Yes” or “No”.

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Documenting 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.
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.
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.
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.
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.
Where to Find Job Aids

NU Knowledge Base Article: **Complete and Submit an Outgoing Subaward Agreement**

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

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<th>Role</th>
<th>Responsibility</th>
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<tr>
<td>NU department administrators</td>
<td>Sets up PO based on approved budget, in anticipation of invoices</td>
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<tr>
<td>Subrecipient institution</td>
<td>Submits invoices to ASRSP for payment of project work performed</td>
</tr>
<tr>
<td>ASRSP</td>
<td>Reviews invoices against award agreement and budget for accuracy and required certification</td>
</tr>
<tr>
<td>Principal Investigator</td>
<td>Certifies work performed by subrecipient</td>
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Subcontract Invoice Process

- Purchase Order (PO) Setup
- Invoice Submission & Review
- Invoice Approval
- Invoice Payment
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).

<table>
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<tr>
<th>New Subaward</th>
<th>Amendment</th>
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<tr>
<td></td>
<td>Carryforward allowed?</td>
</tr>
<tr>
<td></td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>New REQ</td>
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**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)