

Subcontracts Management: Process & CERES Navigation

Coffee Connect| August 4, 2026

Tyra Darville-Layne, Director Subcontracts Management, SR
Lora Zygmán, Assistant Director Subcontracts Management, SR
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AGENDA

- ❑ Polls
- ❑ Introduction to Subcontracts Management
- ❑ CERES Navigation
- ❑ Q&A (please use Chat feature for questions arising during the presentation)
- ❑ Polls
- ❑ CERES Live Demonstration

POLL QUESTIONS

1. Years of Research Administrator (RA) experience

- A. 0-2 years
- B. 2-5 years
- C. 5-10 years
- D. over 10 years

2. Years at Northwestern in RA-related roles

- A. 0-2 years
- B. 2-5 years
- C. 5-10 years
- D. over 10 years

POLL QUESTIONS

1. On scale of 1 to 5, rate your confidence in navigating subcontract processing (1= not at all; 5= extremely)
2. Do you have experience with awards with 5 or more subcontracts?
 - A. Yes
 - B. No
3. Do you have experience with international subcontracts?
 - A. Yes
 - B. No

Introduction to Subcontracts Management

Subcontracts Management Team: VISION



Build
subcontracts
management
operations that
cultivate a
culture of:



Collaboration



Compliance



Competency



Community

Subcontracts Management Team: PERFORMANCE

University-wide: Sponsored Projects Training Performance Indicators



Increase number of hits
on SR website or IT
knowledge base

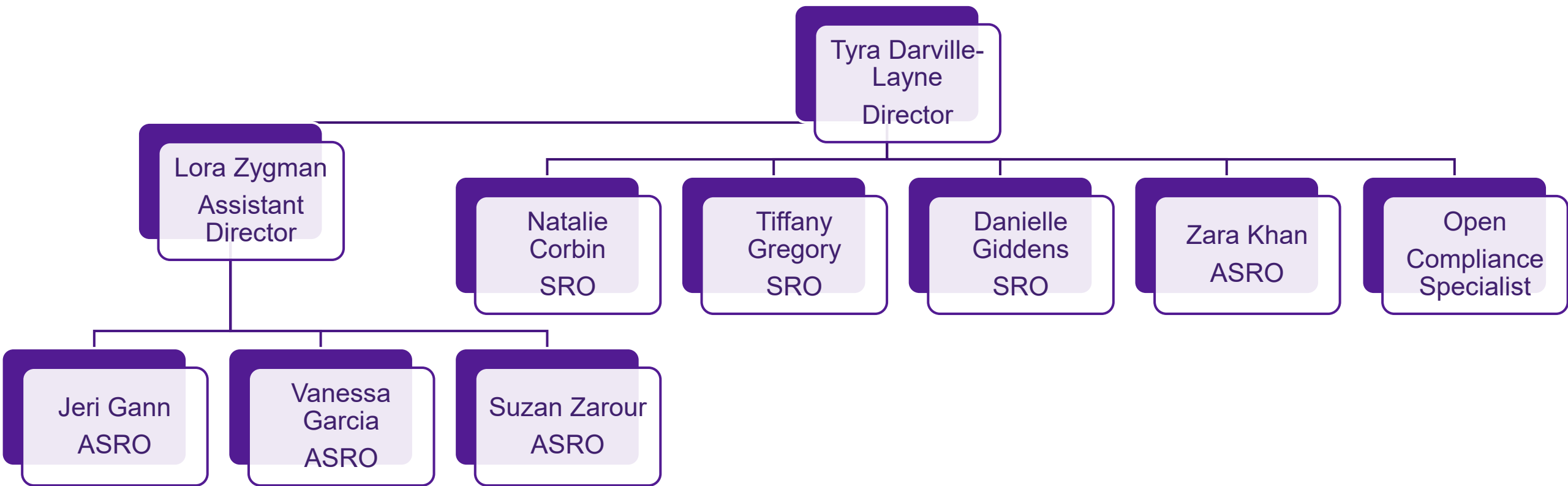


Reduced turnaround
time (request to
issuance; issuance to
execution)



Fewer clarification
requests
(Subk agreement
requests; Subk AMRs)

Subcontracts Management Team Org Chart



Subcontracts Management Team - Roles & Responsibilities

Intake and review
CERES Agreement
requests for
outgoing subawards

Conduct
Subrecipient risk
assessment

Create, issue,
negotiate, and
execute outgoing
subawards

FFATA reporting

Subcontract related
AMRs

Audit Requests

Outreach/Education

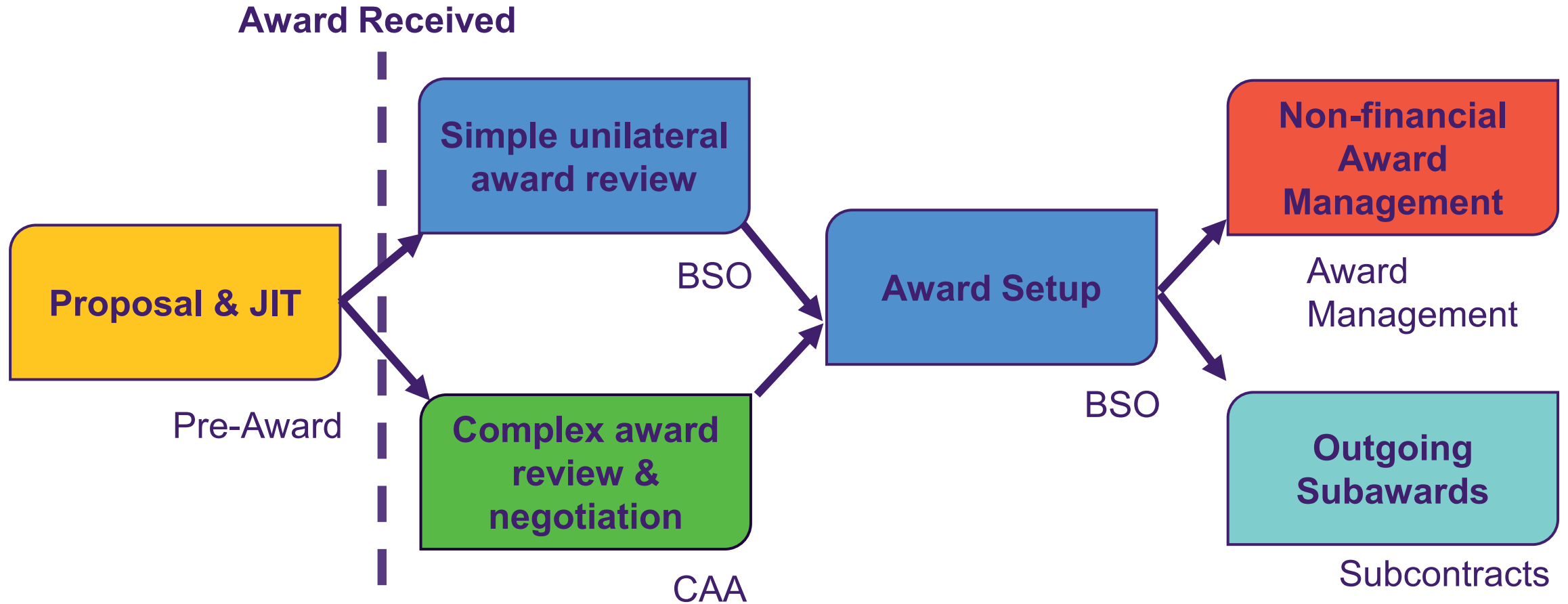
Subcontracts Team Assignment by Department and Carve Out

Subs SRO	Departments	Carve Out
Danielle Giddens	SPARC, Neurology, NUCATS, SOC, FSM other	DOD, DARPA, REACT
Jeri Gann	MSS, OBG, Psychiatry, Kellogg	
Suzan Zarour	SESP, McCormick, TGS	
Tiffany Gregory	HemOnc, IPHAM, Law, PrevMed, RAL, BSA	State of IL
Zara Khan	Medill, Music, Physical Therapy	
Natalie Corbin	Medicine, URICs	Federal National Labs
Vanessa Garcia	Cancer Center, Weinberg	
Tyra Darville-Layne		CBC outgoing awards – including NU specific projects
Lora Zygman		IND CTA and FED Contracts

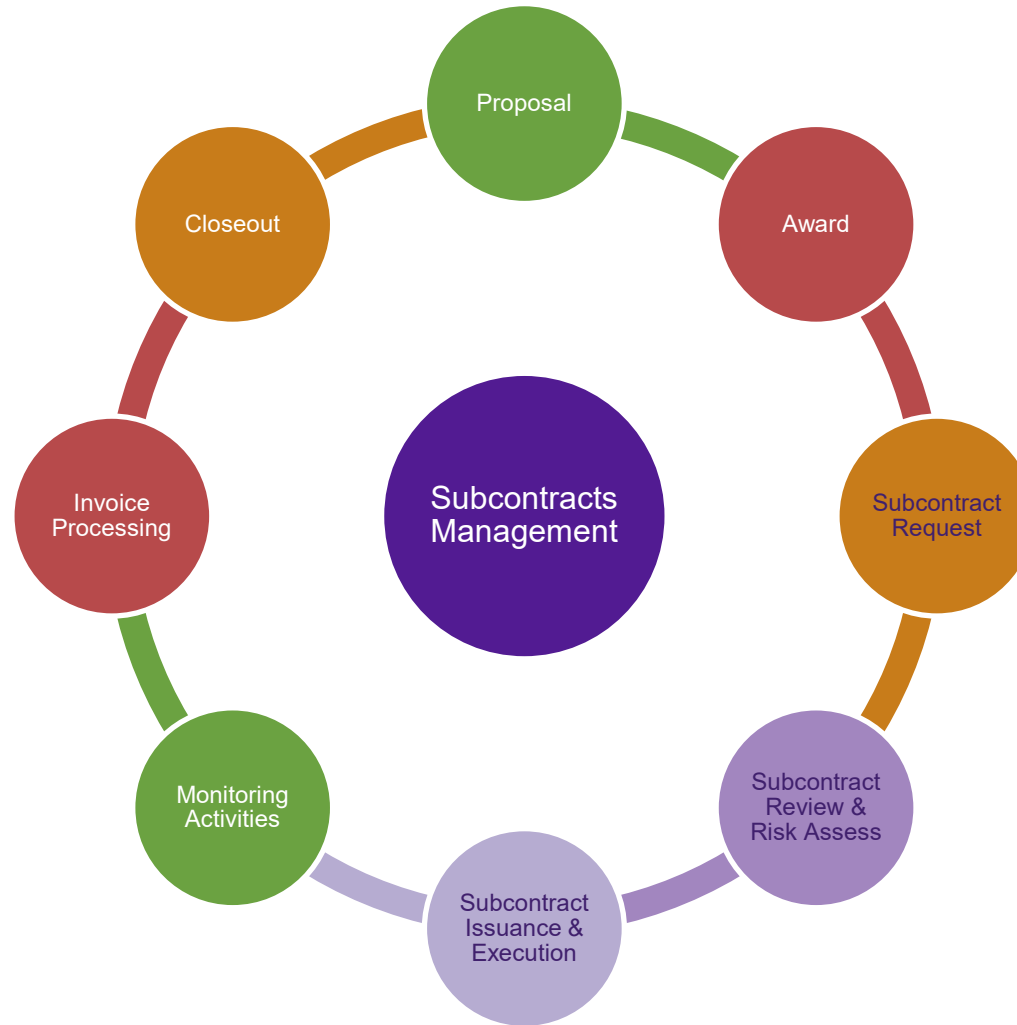
Outgoing Subaward Agreements - Metrics

Volume	Fiscal Year	State/Status	Notes
1347	2025	Completed	9/1/2024 - 8/31/2025
1248	2026	Completed	9/1/2025 – 8/3/2026
209	2026	In Process	As of 8/3/2026
271	2026	Pre-Submission	As of 8/3/2026

CERES Workflow: Sponsored Research (SR) Teams Across the Sponsored Project Lifecycle



Subcontracts Management Lifecycle



Sponsored Research Website – Subcontracts Page

SPONSORED RESEARCH

Search this site

Proposals

Awards

Agreements

Resources

About Us

Agreements

HOME > AGREEMENTS > SUBCONTRACTS

Confidential Disclosure Agreements (CDA)

Data Use Agreements (DUA)

Material Transfer Agreements (MTA)

Clinical Trial Agreements

Master Agreements

Subcontracts

Forms and FAQs

Subcontracting Policy

Research Compliance

Outgoing Subcontracts

A **subcontract** (or subaward) is a formal agreement between Northwestern University (serving as a Pass-through Entity) and a subrecipient under a sponsored program. **The information below applies to *outgoing* subawards** (from Northwestern). Incoming subawards (to Northwestern) are categorized and handled as funded agreements.

- Use the [Subrecipient vs. Contractor Classification Form](#) to help you decide if an entity is a subrecipient or a contractor
- Find information about [requesting a new subcontractor](#) that is not currently in CERES

Subcontract Processing and Related Information

Sponsored Research Website – Subcontracts Page

Subcontract Processing and Related Information

Processing

DocuSign

Action Needed

Other Info

Contact

Status Updates

- To view all pending subcontract requests for your department, run **Cognos report GA301**. Visit the [Knowledge Base to learn more about CERES Cognos Reports](#), including the GA301.

Processing Procedure for Establishing an Outgoing Subcontract

1. The sponsored award to Northwestern must be set up by Sponsored Research (SR). The Project Account Summary (PAS) mailing is distributed to the PI, research administrator, department chair or center director, and dean's office. The PAS reflects the appropriation of the parent award, including all budgeted line items. This is the notice to the research unit that it is okay to incur costs against the chart string.
2. Once the award and subaward are set up on the parent award in CERES, SR initiates a subcontract agreement request by sending the CERES agreement to the subcontract request primary contact (most commonly the research administrator). The request arrives in the primary contact's CERES dashboard/inbox in "pre-submission" status.
3. In consultation with the PI, the subcontract request primary contact completes and submits the

Sponsored Research Website – Subcontracts Page

Subcontract Processing and Related Information

Processing

DocuSign

Action Needed

Other Info

Contact

Action Needed for Fully Executed Subcontract Agreements

When the research unit (the subcontract primary contact) is copied on a fully executed subcontract agreement via DocuSign email notice please note the following:

- Funds are now available for the subcontractor to spend and submit invoices (the FEA is also available on the CERES subcontract agreement request record).
- The research unit must encumber the funds with a purchase order (PO)

For guidance on processing a purchase order, see “[Action Needed for Fully Executed Subcontract Agreements](#) ” or reference [ASRSP's Subcontracts page](#) for more information.

Sponsored Research Website – Subcontracts Page

Subcontract Processing and Related Information

ProcessingDocuSignAction NeededOther InfoContact

Sponsor Approval and Notice of Award (NOA) Terms

Prior sponsor approval requirements for adding new subcontracts are determined by the prime sponsor award. For FDP/RTC awards, please refer to the [RTC Prior Approval and Other Requirements Matrix](#). When a subcontract is not included in the originally approved budget, please work with Sponsored Research to determine if sponsor prior approval is required. [NOTE: Not all sponsors require that the subcontract entity be listed on the NOA.]

Sufficient Funds Verification

- Subcontracts team will rely on Unit verification of sufficient funds allocated to subcontract budget lines in NU Financials
- Units encouraged to attach supporting documentation of sufficient funds verification to subcontract modification requests
- Subcontracts team will process re-budget in NU Financials if/when Unit:
 - Determines there are insufficient funds and

Subcontracts Review Process

REQUEST

Request Stage

- CERES agreement request assigned by capsule/carveout
- Preliminary review of request form and supporting docs

REVIEW

Review Stage

- Subrecipient risk assessment and checklist
- Critical analysis of subrecipient materials
- Verify sufficient funds allocation
- Research compliance verification
- Review prime award T&C's
- Document supporting materials to CERES record
- Engage department as needed

ISSUANCE & EXECUTION

Issuance and Execution

- Create subaward agreement with appropriate flow downs
- Issue via DocuSign to subrecipient for PE signature
- Negotiate subrecipient requested changes
- Signature queue up via DocuSign
- FE review and signature by authorized signer
- FE distribution via DocuSign to subrecipient, department, ASRSP

POST EXECUTION

Post Execution

- FFATA reporting
- Complete CERES SUBaward data entry

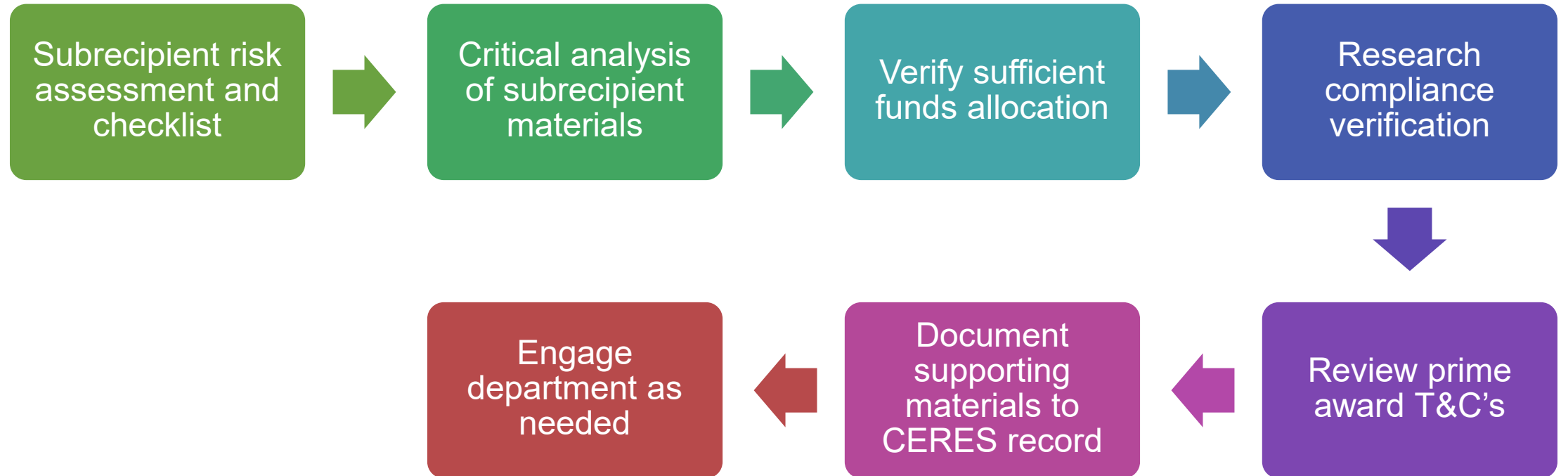
Subcontracts Review Process – Request

CERES agreement
request assigned to
Subs SRO/ASRO by
capsule/carveout

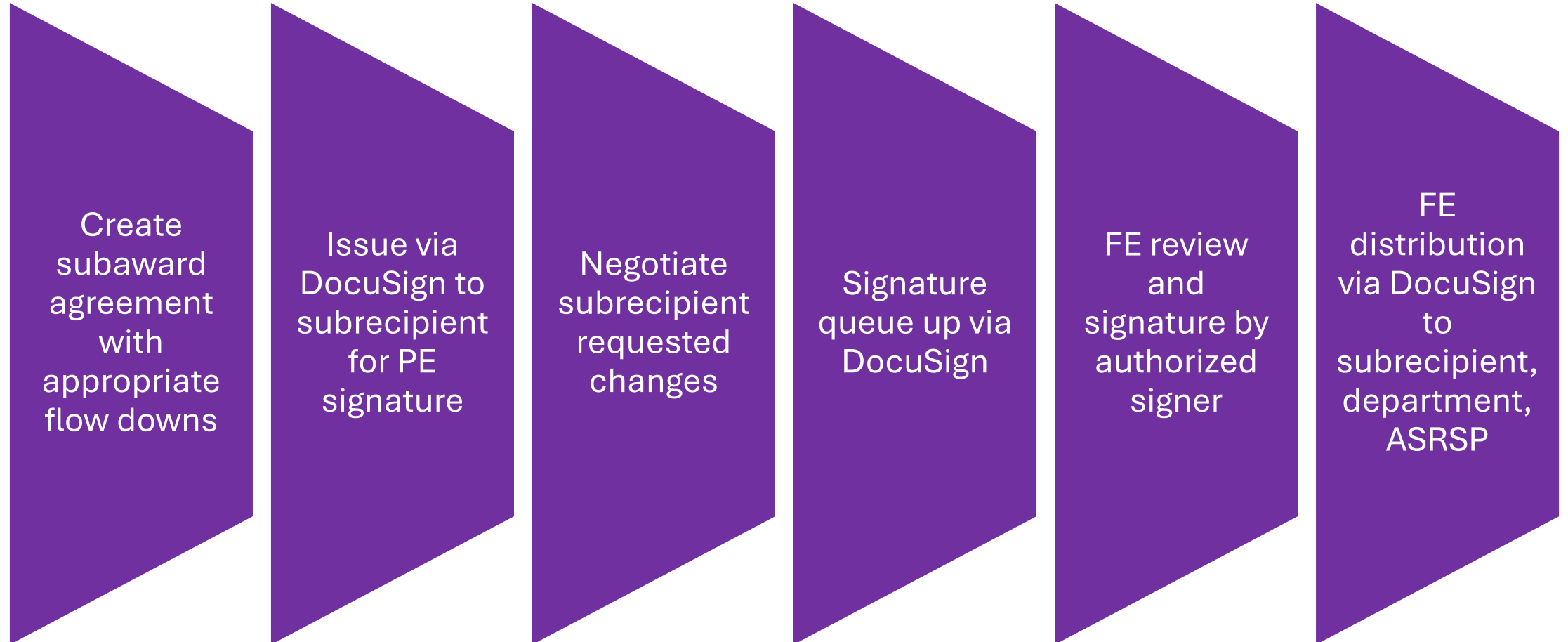


Preliminary review of
request form and
supporting docs

Subcontracts Review Process – Review



Subcontract Review Process - Issuance and Execution



Subcontract Review Process - Post Execution (SR)

The diagram illustrates the Subcontract Review Process - Post Execution (SR). It consists of two main components, each represented by a light purple rounded rectangle with a dark purple border. The left component is labeled 'FFATA reporting' and the right component is labeled 'Complete CERES SUBaward data entry'. Both components are connected by a dark purple line that forms a continuous loop around them, suggesting a sequential or interconnected process.

FFATA reporting

Complete
CERES
SUBaward data
entry

CERES Navigation for Subcontracts

CERES Navigation for Subcontracts

Definitions & Acronyms

- **CERES Grants Module:** Subk-related AMRs; SUBawards (and the subrecipient risk assessment is housed here)
- **CERES Agreements Module:** Outgoing Subaward smart form
- **CERES Agreements Module:** Dashboard, Reports, and SUBK Agreements

CERES Navigation for Subcontracts - Definitions & Acronyms

CERES Definitions and Acronyms

- **CERES:** Central Electronic Rearch System
- **AWD or SP:** Award ID for the parent award in the CERES Grants Module
 - NOTE:** Award ID numbers will have...
 - Prefix SP for awards created prior to CERES Go-live
 - Prefix AWD for award created after CERES Go-live
- **AMR:** Award Modification Request in the CERES Grants Module
- **SUBaward:** Subaward ID in the CERES Grants Module
 - NOTE:** SUBaward ID numbers will have...
 - Prefix PROJ for SUBawards created prior to CERES Go-live
 - Prefix SUB for SUBawards created after CERES Go-Live
- **SUBK:** Subcontract ID in the CERES Agreements Module
 - NOTE:** Subcontract ID numbers will have...
 - Prefix PROJ for requests created prior to CERES Go-live
 - Prefix SUBK for request created after CERES Go-live

CERES Navigation for Subcontracts - Definitions & Acronyms

Teams, Roles, Offices

ASRO: Associate Sponsored Research Officer (subcontracts)

ASRSP: Accounting Services for Research and Sponsored Programs

BA: Business Administrator

BSO: Business Systems & Operations team

ECIC: Export Controls and International Compliance

GCFA: Grant and Contract Financial Administrator

IACUC: Institutional Animal Care and Use Committee (reviews projects involving animal subjects)

IRB: Institutional Review Board (reviews projects involving human subjects)

NU: Northwestern University

NUCOI: Northwestern University Conflict of Interest Office

PreAM: Pre-Award & Award Management team

RA: Research Administrator

SR: Sponsored Research

SRO: Sponsored Research Officer (subcontracts)

SM: Subcontracts Management team

CERES Navigation for Subcontracts - Definitions & Acronyms

Other Research Administration related

CF: Carry forward or carry over

COI: Conflict of Interest

DCAA: Defense Contract Audit Agency

DFAR: Defense Federal Acquisition Regulations

DUNS: Data Universal Numbering System

F&A rate: Facilities and Administration rate

FAC: Federal Audit Clearinghouse

FAR: Federal Acquisition Regulations

FCOI: Financial Conflict of Interest

FDP: Federal Demonstration Partnership

FE: Fully executed

FFATA: Federal Funding Accountability and Transparency Act

G&A: General and Administrative expense

IAA: Institutional Authorization Agreement

NCE: No-cost extension

IAA: Institutional Authorization Agreement

NCE: No-cost extension

NOA: Notice of Award (sponsor award to NU)

NSF: National Science Foundation

NE: Not executed

NU Financials: Northwestern University Financials

ODC: Other direct costs

PAS: Project Account Summary

PE: Partially executed

PHS: Public Health Service

PI: Principal Investigator

RTC: Research Terms and Conditions

SAT: Simplified Acquisition Threshold

SOW: Scope of work (or statement of work)

UG: Uniform Guidance (2 CFR 200)

CERES Navigation for Subcontracts

CERES Grants Module: SUBawards

- ✓ Once the award action is completed on the parent award, the SUBaward is created for new subaward, or set to update for existing subaward
- ✓ This triggers the SR initiated SUBK agreement smart form to be sent to the unit primary contact

CERES Navigation: Grants Module

Dashboard

Agreements

Grants

Funding Proposal

Complex Projects

Awards

Reports

Help Center

Grants > Awards

Awards

Quick search option

Search

Awards

Active Awards

Advance Account

Draft Awards

Subawards

Award Modifications

...

Filter by ?

ID

AWD00002013

+

Add Filter

×

Clear All

⚙

ID	Name	SmartForm	State	Award PI	Reviewer	Award Approver	Direct Sponsor	Sponsor Award ID	Specialist	Responsible Department
AWD00002013	NUCATS CTSA UM1 at Northwestern University	[Edit]	Active	D'Aquila		Krentz	National Center for Advancing Translational Sciences	5UM1TR005121-02	Roth	NU-Cats Parent Account

1 items returned

◀ page 1 of 1 ▶

25 / page

Northwestern | RESEARCH

CERES Navigation for Subcontracts (Grant Module)



Modifications	Totals	Funding Allocations	Deliverables	Subawards	Child Awards	Related Projects	Reviewers	Correspondence	History	Attachments	Change Log	...
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Cumulative Subaward Totals

Subaward Totals: (Included in the initial award totals above)	Totals:	Proposed \$741,572	Awarded \$165,971
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Subawards

Name	Subrecipient Organization	Risk level	Effective Date	State	Start Date	End Date	Date Awarded	Proposed	Awarded
60069332 LCH A02 (AWD00002013) PI-McColley	Ann & Robert H. Lurie Children's Hospital of Chicago			Active	8/1/2025	7/31/2026	11/22/2024	\$657,524	\$21,546
60069332 RIC A01 (AWD00002013) PI-Jayaraman	Rehabilitation Institute of Chicago			Active	9/1/2024	7/31/2026	6/23/2025	\$84,048	\$144,425

Subaward Monitoring Summary

ID	Name
▶ SUB00000978	60069332 LCH A02 (AWD00002013) PI-McColley
▶ SUB00000979	60069332 RIC A01 (AWD00002013) PI-Jayaraman

CERES SUBaward Space (Grants Module)

 CERES

Hello, [Bethany Ekes](#)

Dashboard

Agreements

Grants

Funding Proposal

Complex Projects

Awards

Reports

Help Center

Grants > [NUCATS CTSA UM1 at Northwestern University](#) > [60069332 LCH A02 \(AWD00002013\) PI-McColley](#) [? Help](#)

Subaward Review/
Update Required

Next Steps

- View Subaward
- Printer Version

60069332 LCH A02 (AWD00002013) PI-McColley

SUB00000978

Subaward

Subrecipient Organization:	Ann & Robert H. Lurie Children's Hospital of Chicago	Start Date:	8/1/2025
Direct Sponsor:	National Center for Advancing Translational Sciences	End Date:	7/31/2026
Originating Sponsor:		Date Awarded:	11/22/2024
Parent Award:	NUCATS CTSA UM1 at Northwestern University		

Risk Level:

FDP Link:

<https://fdpclearinghouse.org/organizations/416>

Subaward Totals:		Proposed	Awarded
Totals:		\$657,524	\$21,546

History

Deliverables

Terms and Conditions

Documents

Correspondence

Change Log

Filter by ?

Activity

Enter text to search

Q

+ Add Filter

✕ Clear All

⚙

Activity

Author

Activity Date

↶

Updated Subaward

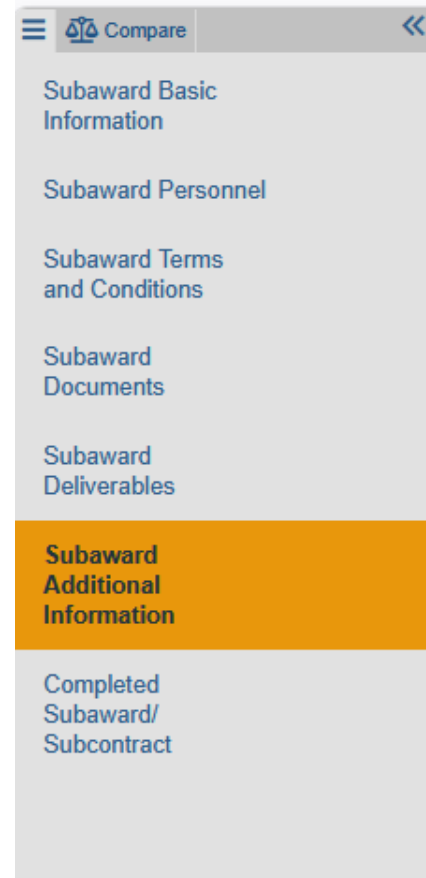
Darville-Layne, Tyra

7/28/2026 8:35 AM

pre-set for subs webinar

CERES Navigation for Subcontracts

- Crosswalk from Grants Module to Agreements Module
- Move from SUB0000XXXX to SUBK0000XXXX identifiers



Subaward Additional Information

1. *** Select the chartstring that funds this subaward:**
Element B + Subcontracts
2. **Select the subaward budget that is associated with this subaward:**
3. **Select the outgoing subaward agreement that is associated with this subaward:**
SUBK00001153

Completed Subaward

Click Validate at the top of the navigation pane to verify that the forms are complete. Update any errors or incomplete sections.

To complete the Subaward setup process, click the Finish button and execute an activity in the Subaward's workspace.

CERES Navigation: Review all activity for a specific subcontract

- Subaward Basic Information
- Subaward Personnel
- Subaward Terms and Conditions
- Subaward Documents
- Subaward Deliverables
- Subaward Additional Information

Subaward Additional Information

1. *** Select the chartstring that funds this subaward:**
Element B + Subcontracts
2. **Select the subaward budget that is associated with this subaward:**
3. **Select the outgoing subaward agreement that is associated with this subaward:**
SUBK00001153

Tips & Tricks:
Manage Access from the Agreements Module (A00 record) since it will not auto-update when the Primary Admin Contact is updated

All Agreements										
Unassigned										
New										
Active										
Evergreen										
Archived										
Tableau										
In Progress										
Filter by ?										
ID										
SUBK00001153										
+ Add Filter X Clear All										
Export to CSV										
ID	Name	Agreement	Agreement Type	PI (First)	PI (Last)	Contracting Party	State	Owner (First)	Owner (Last)	Modified Date
SUBK00001153AM3	Amendment for 60069332 LCH A00 (AWD00002013) PI-McColley 3		Outgoing Subaward	Richard D'Aquila		Ann & Robert H. Lurie Children's Hospital of Chicago	Pre-Submission			7/28/2026 8:36 AM
SUBK00001153AM1	60069332 LCH A01 (AWD00002013) PI-McColley	60069332 LCH A01 (AWD00002013) FE.pdf(0.04)	Outgoing Subaward	Richard D'Aquila		Ann & Robert H. Lurie Children's Hospital of Chicago	Approved	Danielle	Giddens	3/9/2026 4:10 PM
SUBK00001153	60069332 LCH A00 (AWD00002013) PI-McColley	60069332 LCH A00 (AWD00002013) PI-McColley FE.pdf(0.02)	Outgoing Subaward	Richard D'Aquila		Ann & Robert H. Lurie Children's Hospital of Chicago	Active	SUZAN	ZAROUR	7/28/2026 8:35 AM
SUBK00001153AM2	60069332 LCH A02 (AWD00002013) PI-McColley	60069332 LCH A02 (AWD00002013) FE.pdf(0.03)	Outgoing Subaward	Richard D'Aquila		Ann & Robert H. Lurie Children's Hospital of Chicago	Approved	Danielle	Giddens	7/1/2026 12:05 PM

CERES Navigation for Subcontracts

CERES Agreements Module: Outgoing Subaward smart form

- ✓ Unit primary contact receives the SUBK agreement smart form in their CERES dashboard/my inbox and the state (status) = Pre-Submission
- ✓ The unit primary contact (or assignee) will review each tab of the agreement smart form and edit, update, complete, attach documents, then submit
- ✓ The submitted agreement smart form will be received by the BSO Subs Coordinator, who will assign the request to the appropriate Subs SRO/ASRO
- ❖ The unit primary contact can reassign the agreement to another member of their team by navigating to the original agreement record and click “manage access”

CERES Navigation for Subcontracts

 CERES

Hello, **Bethany Ekesa**

Dashboard

Agreements

Grants

Page for Bethany Ekesa

Create ▾

Recently Viewed

RecentPinned

AWD00002013: NUCATS CTSA ...n University

SUB00000978: 60069332 LCH... PI-McColley

AWD00002013-MOD001: Rebudget to ... the funding

My Inbox

Assignments

In Process

My Inbox

Filter by ? ID ▾ Enter text to search 🔍 + Add Filter ✕ Clear All ⚙️

ID	Name	Date Created	▼ Date Modified	State	Coordinator
 SUBK00001154AM2	Amendment for 60069332 RIC A00 (AWD00002013) PI-Jayaraman 2	7/28/2026 8:37 AM	7/28/2026 8:37 AM	Pre-Submission	
 SUBK00001153AM3	Amendment for 60069332 LCH A00 (AWD00002013) PI-McColley 3	7/28/2026 8:35 AM	7/28/2026 8:36 AM	Pre-Submission	

- Pre-submission records appear in Dashboard/My Inbox after SR's BSO/ Subs Coordinator initiates SUBK smart form after award/SUBaward setup

CERES Navigation for Subcontracts

PRE-SUBMISSION RECORD

Agreements > 60069332 RIC A00 (AWD00002013) PI-Jayaraman > Amendment for 60069332 RIC A00 (AWD00002013) PI-Jayaraman 2

SUBK00001154AM2

Amendment for 60069332 RIC A00 (AWD00002013) PI-Jayaraman 2

Pre-Submission

Primary contact: Bethany Ekesa
Manager/PI: Richard D'Aquila
Owner:
Created: 7/28/2026 8:37 AM
Received:
Modified: 7/28/2026 8:37 AM
Effective:
Expires:

Agreement:
Final agreement:
Contracting party: Rehabilitation Institute of Chicago

Agreement type: Outgoing Subaward
Office: Subcontracts
Responsible Department/Division/Institute: NU-Cats Parent Account
Description: 60069332 RIC A00 (AWD00002013) PI-Jayaraman
Amendment description: pre-set for subs webinar

Next Steps

Edit Amendment

Printer Version

View All Correspondence

Submit



OnBase Message Center

Status:
Link: no link vet

PRE-SUBMISSION

- 1 & 2: Defaults to prior amendment financials (enter current budget period amounts; enter zero if NCE, CF, or other non-funded action)
- 3: Auto-populates
- 4: Cumulative to date (enter the amount including this action)
- 5 & 6: Projected totals (subject to change)

	DC	IDC	Total
A00	\$ 50,938	\$ 33,110	\$ 84,048
A01	\$ 36,592	\$ 23,785	\$ 60,377
A02	\$ 36,965	\$ 24,027	\$ 60,992
	\$124,495	\$ 80,922	\$205,417

A. SENIOR/KEY PERSONNEL		YEAR 1	YEAR 2	YEAR 3	YEAR 4	YEAR 5	YEAR 6	YEAR 7	
Name	Project Role	YEAR 1: Funds Requested	YEAR 2: Funds Requested	YEAR 3: Funds Requested	YEAR 4: Funds Requested	YEAR 5: Funds Requested	YEAR 6: Funds Requested	YEAR 7: Funds Requested	TOTAL
PI NAME	Consortium PI (D1 & D3)	33,088	33,088	33,088	33,088	33,088	33,088	33,088	231,616
NAME	HLT Member	13,787	13,787	13,787	13,787	13,787	13,787	13,787	96,509
NAME	SGIG Member	5,515	5,515	5,515	5,515	5,515	5,515	5,515	38,605
SENIOR/KEY PERSONNEL SUBTOTAL		52,390	52,390	52,390	52,390	52,390	52,390	52,390	366,730
B. OTHER PERSONNEL									
OTHER PERSONNEL SUBTOTAL		-	-	-	-	-	-	-	-
TOTAL SALARIES, WAGES & FRINGE BENEFITS		52,390	52,390	52,390	52,390	52,390	52,390	52,390	366,730
H. TOTALS									TOTAL
TOTAL DIRECT COSTS		52,390	52,390	52,390	52,390	52,390	52,390	52,390	366,730
MTDC		52,390	52,390	52,390	52,390	52,390	52,390	52,390	366,730
INDIRECT COSTS (@ 65%)		34,054	34,054	34,054	34,054	34,054	34,054	34,054	238,375
TOTAL REQUESTED		86,444	86,444	86,444	86,444	86,444	86,444	86,444	605,105

Validate
Compare

Amendment Information
Agreement Upload
General Information
Outgoing Subaward Setup Questions
Outgoing Subaward Agreement Information
Outgoing Subaward Regulatory Compliance
Negotiation Information
Completion

You Are Here: Amendment for 60069332 RIC A00...

Editing: SUBK00001154AM2

Outgoing Subaward Agreement Info

1. * Current budget period direct costs: ?

\$36,965.00

2. * Current budget period indirect costs:

\$24,027.00

3. * Current budget period total costs: ?

\$60,992.00

4. * Cumulative costs:

\$205,417.00

5. * Project period direct costs: ?

\$366,730.00

6. * Project period indirect costs:

\$238,375.00

7. Estimated total costs:

\$605,105.00

CERES generated notices

GO TO AGREEMENTS MODULE TO TAKE ACTION

Outgoing subcontract agreement ready for department action

Outgoing subcontract amendment ready for department action

SUBK0000#### has expired

PROJ00XXXXX-1AM3: Aging subaward request

Pre-submission status will **not generate a CERES e-mail but happens after receipt of a NOA and after “SUBK0000XXXX has expired” notifications for outyear amendments*

Subcontract Monitoring Report: Cognos GM092 Tips & Tools

Award ID ***	Contract Status	Direct Sponsor	Sponsor Award Number	FAIN	FDP/ RTC	Automatic Carryforward to NU	Award PI	Project PI	Award Begin Date	Award End Date	Fund	Primary Project Department	Primary Project Department Name	Project *	SUBKAD (SubK Admin)	RADM (Research Admin)	LOC ID	Bill Source	GFCA	GO
AWD00002013	ACTIVE	National Center for Advancing Translational Science	SUM1TR005121-02	UM1TR005121	Yes	No	D'Aquila,Richard	D'Aquila,Richard	9/1/24	7/31/31	610	5430000	NU-Cats Parent Account	60069332	Malone,Nicholas Sanchez,Maria Smith,Brent	Ekese,Bethany	6455P-NIH	CHICAGO	Milagros Banos	Nsa Druinaud
AWD00002013	ACTIVE	National Center for Advancing Translational Science	SUM1TR005121-02	UM1TR005121	Yes	No	D'Aquila,Richard	D'Aquila,Richard	9/1/24	7/31/31	610	5430000	NU-Cats Parent Account	60069332	Malone,Nicholas Sanchez,Maria Smith,Brent	Ekese,Bethany	6455P-NIH	CHICAGO	Milagros Banos	Nsa Druinaud
AWD00002013	ACTIVE	National Center for Advancing Translational Science	SUM1TR005121-02	UM1TR005121	Yes	No	D'Aquila,Richard	D'Aquila,Richard	9/1/24	7/31/31	610	5430000	NU-Cats Parent Account	60069332	Malone,Nicholas Sanchez,Maria Smith,Brent	Ekese,Bethany	6455P-NIH	CHICAGO	Milagros Banos	Nsa Druinaud

- Specifies carryforward restrictions
- SUBKAD – Approves invoices in NUFin (update via ASRSP Asst GCFA)
- RADM – Handles CERES actions re: subcontract with SR
- CERES SUB # matches “Subaward Monitoring Summary” identifier

CERES Subrecipient	CERES Vendor ID	PS Subrecipient	PS Vendor ID	CERES Subrecipient EIN	CERES Subrecipient DUNS	CERES Subrecipient UEI	CERES SUB **	CERES Executed	CERES Subk Begin Date	CERES Subk End Date
		SHIRLEY RYAN ABILITYLAB	0000016133							
Ann & Robert H. Lurie Children's Hospital of Chicago	0000021511	ANN & ROBERT LURIE CHILDRENS HOSP	0000021511	36-2170833	07-443-8755	XJ7MMPHBMGM7	SUB00000978	6/18/26	8/1/25	7/31/26
Rehabilitation Institute of Chicago	0000164569			36-2256036	06-847-7546	XAJWT43U55A3	SUB00000979	4/22/26	9/1/24	7/31/26

Subcontracts: Cognos GA501 Tips & Tools

Primary Contact	Primary Contact EmplID	Agreement ID	Agreement Type	Amendment Y/N	Create Date	Agreement Fully Executed or Discarded Date	Fiscal Year of Fully Executed or Discarded Date	Agreement State	Associated Subaward Number	Associated Award ID	Contracting Party Name
LAST NAME, RA	1091233	SUBK00000128AM4	Outgoing Subaward	Y	07/09/2026			Pre-Submission		SP0074384	University of Minnesota
LAST NAME, RA	1091233	SUBK00000996AM3	Outgoing Subaward	Y	01/16/2026			Clarification Requested		AWD00001662	University Hospital Erlangen
LAST NAME, RA	1091233	SUBK00000997AM3	Outgoing Subaward	Y	01/16/2026			Clarification Requested		AWD00001662	University Hospital of Bonn
LAST NAME, RA	1115089	SUBK00001471AM1	Outgoing Subaward	Y	05/13/2026			External Signature		AWD00002889	Cook County Health and Hospital System
LAST NAME, RA	1115089	SUBK00001472	Outgoing Subaward	N	05/07/2025			External Signature	SUB00001275	AWD00002889	Chicago Association for Research and Education in Science
LAST NAME, RA	1094763	SUBK00000331AM3	Outgoing Subaward	Y	06/26/2026			Pre-Submission		AWD00000511	Loyola University Chicago
Northwestern INFORMATION TECHNOLOGY											
- 4 -											

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Proposal Detail

JIT Detail

AMR Detail

Outgoing Subaward Agreement Det

Agreement Detail

Award Detail

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- Run “In Process Items” by RA, PI, or Department
- Automated reports weekly help monitor SUBK, AMR, and other CERES-based activity status
- Hyperlink to Agreement ID links directly to CERES

CERES Navigation for Subcontracts: Tips & Tools

Subcontract invoice & Purchase Order (PO) tracking

PAYEE:								Notes:						
PROJECT TITLE:														
CHARTSTRING:														
CERES NO:														
AGENCY:														
NAME OF PI:														
DEPT :														
CONTACT:		CC												
GCFA:		cc:												
		FROM	TO	BUDGET	PUR NO									
Project Period:								Total Invoiced: \$0.00						
YR01 budget period/\$:	Agreement					Subcontract to \$25,000: \$0.00								
YR02 budget period/\$:	A01					Subcontract over \$25,000: \$0.00								
YR03 budget period/\$:	A02					Overall Balance: \$0.00								
YR04 budget period/\$:	A03													
YR05 budget period/\$:	A04													
Total		\$0.00												
INVOICE DATE	INVOICE NUMBER	PERIOD COVERED	INVOICE AMOUNT	BALANCE LEFT	CUMULATIVE TOTAL	PAID FROM 8640	PAID FROM 8650	PUR NO	SENT TO ASRSP	SENT TO DEPT	RECEIPT	VOUCHER NO	DATE PAID	
Year 01				\$0.00										
				0.00	0.00									
				0.00	0.00									
		TOTALS	\$ -	0.00	0.00	\$ -	\$ -							
Carry forward balance from Year 01				0.00										
1st amendment				0.00										
Total funds for Year 02				0.00										
				0.00	0.00									
				0.00	0.00									

CERES Navigation for Subcontracts: Subcontract-related AMRs

- ❖ AMRs are requested from the CERES Grants module on the parent award by the unit/RA (e.g. new subcontract that requires prior approval or mid-year amendment)
- ❖ All AMRs are initially system-assigned to the PreAM ASRO by capsule
- ❖ AMR assignment remains with the PreAM ASRO if the AMR is subcontract-related and requires sponsor prior approval, or requires a re-budget across chart strings within a sponsored project
- ❖ All other subcontract-related AMRs are assigned to the director of the subs team by the PreAM ASRO
- ❖ If/when ASA action is required and the AMR is deemed acceptable for approval/processing typically to create or set to update the SUBaward record or re-budget funds to the subk lines within the chart string (PreAM ASRO or director of subs team assigns the AMR to the ASA by capsule)
- ❖ If no ASA action is required for director reviewed AMRs, the director creates or sets to update the SUBaward record; the director also adds non-NU FCOI personnel on the parent award for sub sites that follow NUCOI policy

NOTE: SR-initiated subcontract agreement requests are triggered by the SUBaward creation or SUBaward set to update. Subcontract agreement requests are initiated by the BSO subs coordinator.

Questions



POLLS

1. On scale of 1 to 5, rate your confidence in navigating subcontract processing (1= not at all; 5= extremely)
2. On scale of 1 to 5, rate your confidence in explaining subcontract processing to others (1= not at all; 5= extremely)

RESOURCES

td-layne@northwestern.edu

lora.zygman@northwestern.edu

[SPARC Research Repository](#)

- ❖ <https://osr.northwestern.edu/agreements/subcontracts>
- ❖ <https://services.northwestern.edu/TDClient/30/Portal/KB/Article/2267/CERES-Complete-and-Submit-an-Outgoing-Subaward-Agreement>
- ❖ <https://services.northwestern.edu/TDClient/30/Portal/KB/?CategoryID=2>
- ❖ <https://www.northwestern.edu/asrsp/expenses/subcontracts.html>
- ❖ [Find my Department's Capsule](#) (includes Subs SRO/ASRO contact)

CERES Navigation for Subcontracts

CERES Live Demonstration