Subcontracts

Semi-annual Networking Event
November 2017

Kathy Watson
Subcontract & Transaction Processing Manager
ASRSP Subrecipient Monitoring

1. Request for Single Audit
2. Review Single Audits
3. Determination of Risk Level
4. Management Letters Sent
5. Request for Backup Documentation for Select Invoices
6. Determination of Risk after 1 YR
Cognos GM092 Subrecipient Monitoring Report

• Located: School> Sponsored Programs Management

• Filters include:
  – Project PI
  – Award Number
  – Award End Date
  – Department ID
  – Active, Pending, or Closed status
GM092 Subrecipient Monitoring Report

- Data returned includes:
  - Subrecipient Name
  - Vendor/Supplier ID
  - Total Funded
  - Total Disbursed
  - % Disbursed

<table>
<thead>
<tr>
<th>Award ID ****</th>
<th>Contract Status</th>
<th>Sponsor Award Number</th>
<th>FAIN</th>
<th>FDP/RTC</th>
<th>Automatic Carryforward to NU</th>
</tr>
</thead>
<tbody>
<tr>
<td>GM092</td>
<td>ACTIVE</td>
<td>5041GM101112</td>
<td>5041GM101112</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Award PI</th>
<th>Project PI</th>
<th>Award Begin Date</th>
<th>Award End Date</th>
<th>Fund</th>
<th>Project Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>Smith, Kevin</td>
<td>Smith, Kevin</td>
<td>9/1/15</td>
<td>6/30/20</td>
<td>610</td>
<td>8237700</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Project Department Name</th>
<th>LOC ID</th>
<th>Bill Source</th>
<th>GCFA</th>
<th>GO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Science Department</td>
<td>60040862</td>
<td>EVANSTON</td>
<td>Jennifer Knutel</td>
<td>Lisa Gabrielle</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IE Subrecipient</th>
<th>IE Vendor ID</th>
<th>PS Subrecipient</th>
<th>PS Vendor ID</th>
<th>IE PROJ **</th>
<th>IE Executed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eastern State University</td>
<td>0000021334</td>
<td>EASTERN STATE UNIVERSITY</td>
<td>0000021334</td>
<td>PROJ0001527</td>
<td>9/29/16</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>IE Subk Begin Date</th>
<th>IE Subk End Date</th>
<th>IE Cumulative Funded Amt</th>
<th>PS PO Total</th>
<th>PS Funds Disbursed ****</th>
<th>PS % Disbursed</th>
</tr>
</thead>
<tbody>
<tr>
<td>9/1/15</td>
<td>6/30/17</td>
<td>$120,000.00</td>
<td>$120,000.00</td>
<td>$36,000.00</td>
<td>30.00%</td>
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</tbody>
</table>
GM092 Subrecipient Monitoring Report

- Guide is available in myHR Learn
- Assists departments and ASRSP in monitoring timely setup of Purchase Orders
- Identifies awards requiring a **Final** subcontract invoice receipt, so that review and payment may occur in a timely manner; this will allow FFRs (Final Financial Reports) to be submitted on time by Grant & Contract Financial Administrators (GCFAs)
- Provides departments a single comprehensive source to monitor the expenditure rate of a subcontract at the beginning and end of an award
- Subcontracts executed prior to Sept. 1, 2017 may have 2 or more rows returned with partial data for one subcontract
Subcontract Invoice Review

ASRSP reviews the following items on invoices received from the subrecipient:

- Subrecipient name matches ASRSP spreadsheet
- Invoice date
- Invoice number – should be sequential
- Performance period for the expenses – should fall in line with previously submitted invoices
- Compare invoice expense period to open amendment period – MUST be within amendment period
- Review the cumulative balance
- Check for signed certification from sub Authorized Official
- If agreement indicates additional supporting documentation is required, then documentation must be included with invoice for department review
- Reasonableness of the expenses
- Verify there are enough funds to cover the entire invoice
Updates and Reminders

• Subcontract Requisitions must include Single Source Justification

• Subcontract Invoice PI Certification Workflow is in development

• Incoming (non-CT) subcontract invoices must be sent to the ASRSP department email account as specified in the subcontract agreement. The department can be CC’d.

  ASRSP-subk-EV@northwestern.edu
  ASRSP-subk-CH@northwestern.edu
Thank You