

Cost Studies and ASRSP Topics

Interim Expenditure Review
Audit Update
FY17 F&A Proposal Update
Status of Research Portal Salary Display

Semi-Annual Networking Event
June 2018

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AUDIT STATUS UPDATE

Audit Status Update

- NIH Subrecipient Monitoring Audit
 - Scope: NIH incoming and outgoing subawards in 2015 and 2016
 - Preliminary report received: NO cost disallowances
 - Improvement on Risk Assessment before issuing a subaward
- NSF Audit
 - Scope: July 1, 2013 through June 30, 2016 (3 years)
 - Required documentation submitted; awaiting auditor's response
- FY18 Annual Single Audit
 - Northwestern is required to conduct an annual single audit per Uniform Guidance (2 CFR 200)
 - New external auditor starting FY18: KPMG
 - Kick-off meeting held; intense work estimated to start in July



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STATUS OF FY17 F&A PROPOSAL

FY17 F&A Proposal

- Proposal with Projections submitted by February 28, 2018 (on time submission)

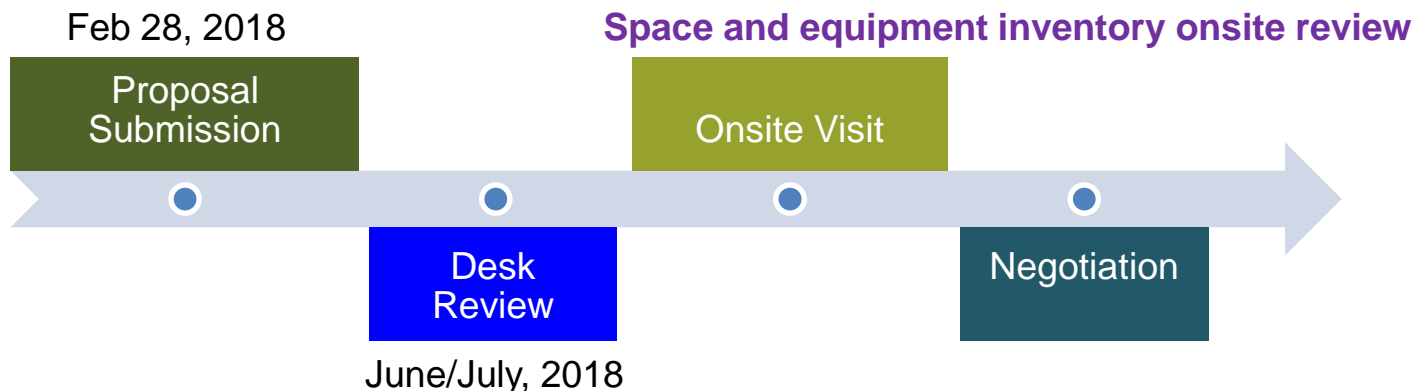
	FY17 Proposed Rates
Facilities	
Building	10.35
Equipment	3.57
Interest	3.96
Operations & Maintenance	15.3
Library	1.84
Subtotal Facilities:	35.02
Add Utility Allowance:	N/A*
Administrative	26.00
Total:	61.02

FY17 F&A Proposal is subject to Uniform Guidance:

- Utility Cost Allowance 1.3 is removed from the rate under Uniform Guidance
- Administrative rate remains capped at 26%

FY17 F&A Proposal

- Projected building expenditures in addition to the proposal
 - Mudd renovation and addition
 - Tech A/B wing infill
 - Simpson Querrey Biomedical Research Building
- Next steps and tentative timelines:





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STATUS OF RESEARCH PORTAL SPONSORED SALARY DISPLAY

What's Coming in August?

- Faculty will see staff and students paid from their projects
 - Salary information in Research Portal
 - Payroll dollars by month including journals
 - Percent of base salary
 - Look at a project and see listing of people
 - Look at a person and see listing of projects
- Faculty will not see salary data of other faculty
- Staff who have InfoEd proposal creation rights will see all sponsored projects/people

Viewing a Project

[BACK TO WILDCAT'S PORTFOLIO](#)

Community Engagement for Early Recognition and Immediate Action in Stroke (CEERIAS) (Project ID: 42490833)

Project Sponsor: Patient-Centered Outcomes Research Insti
 Originating Sponsor: -
 ASRSP GCFA: -
 Primary PI: -
 Research Administrator: -
 Department: -
 Award ID: -
 Sponsor Reference Award #: AD-1310-07237
 Project Dates: Oct 1, 2014 to Nov 20, 2018
 Total Payments Applied: \$2,096.42
 Current F&A Rate: 40
 Chart String: 424-4233082-42490833

Carry Over: Yes
 Last Update Time: Mon May 21 2018 10:05:36 GMT-0500 (Central Daylight Time) (Complete)

EX DOWNLOAD .XLSX

✉ EMAIL TRANSACTION AND SALARY DETAILS

- [FINANCIAL OVERVIEW](#)
- [PROJECT TEAM](#)
- [COST SHARE DETAIL](#)
- [PAYMENTS](#)
- [SUBCONTRACTS](#)

PEOPLE EVER PAID FROM PROJECT (5)

[PREV](#) | Aug | 2015 | [NEXT](#) |

Name	Fund Code	Account Code	Jun 2015	Jul 2015	Aug 2015
	620	60101 Professional Exempt	\$ 0.00	\$ 0.00	\$ 0.00
	620	60011 Faculty Salaries, Regular	\$ 0.00	\$ 21,703.42 (42%)	\$ 0.00
	192	60011 Faculty Salaries, Regular	\$ 4,923.42 (42%)	\$ 0.00	\$ 0.00
	620	60104 Technical-Paraprofessional	\$ 0.00	\$ 11,509.42 (42%)	\$ 11,813.42 (42%)
	620	60101 Professional Exempt	\$ 0.00	\$ 0.00	\$ 0.00

Note: Demo data only (no actual data are displayed)

New “People” Tab

The screenshot shows the Northwestern Research Portal interface. At the top, the user is logged in as Klara Mueggenburg. The navigation menu includes 'INVESTIGATORS', 'PROJECTS', and 'PEOPLE', with the 'PEOPLE' tab highlighted in a red box. Below the navigation, the user profile for Willie Wildcat is displayed. A callout box points to the 'PEOPLE' tab with the text: 'People who were paid from Professor Wildcat's active projects'. Below this, a table titled 'PEOPLE PAID FROM MY ACTIVE PROJECTS (18)' is shown. The table has columns for First Name, Last Name, Job Title, and Department. The first two columns are currently blank, while the last two contain demo data.

First Name	Last Name	Job Title	Department
		Post Doctoral Fellow (Trainee)	MED-Neurology
		Professor	MED-Neurology
		Res Proj Mgr	MED-Neurology
		Res Proj Mgr	MED-Neurology
		Adjunct Asst Professor	Office of the Provost
		Temporary Student	[Not identified]
		Clinical Research Associate	MED-Ctr for Community Health
		Assoc Professor	MED-General Internal

Questions? Contact Klara Mueggenburg at k-mueggenburg@northwestern.edu

Note: Demo data only (no actual data are displayed)



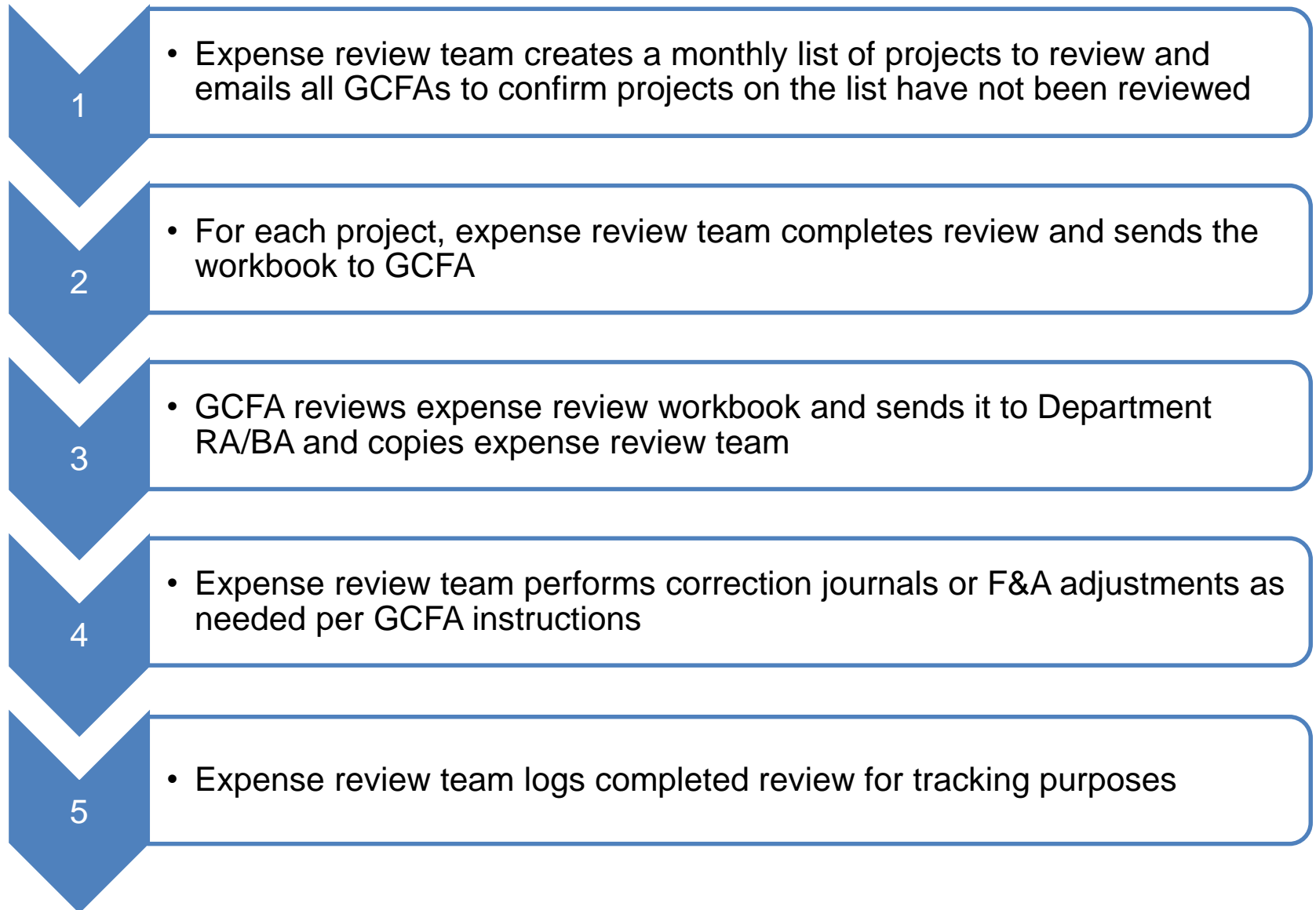
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INTRODUCTION OF INTERIM EXPENDITURE REVIEW

How did it get started?

- Recommendation from Program Review
 - Expenses were reviewed during award closeout. If not allowable, the department does not have sufficient time to manage available funds
 - Departments would like more time to review expenses
- Goals
 - Proactively review expenditures and overall financial award activity to allow departments adequate time to respond, correct errors, and utilize all available funding prior to the end of an award
 - Over time, reduce expense review burden during award close-out for both departments and GCFAs
- Fulfilling the Promise
 - Pilot program was successful in 2017
 - New program adjusted to account for current staffing constraints
 - Communication with departments started in May 2018
 - Awards ending in precisely 6 months will be reviewed first

Workflow



Email Example

As part of the interim expense review program, we have reviewed the expenses and activities for the Award SP0012347 up to 4/30/18. Attached is the Interim Expense Review workbook. Please review Tab 1, **Expense Review**. This report highlights the expenses that need justification and/or the expenses that are considered unallowable. Please provide justification in column W for the transactions highlighted in yellow. Those highlighted in red are considered as unallowable per Uniform Guidance and should be transferred off the award. I am happy to assist or discuss if you have questions regarding the above.

Please **respond by <xx/xx>** to ensure we are resolving all issues in a timely manner. Your prompt response is greatly appreciated!

The rest of the worksheets provide helpful information that we hope can facilitate your award management (they do not require your input). Please see below the additional tabs for your references.

Budget Justification – Provides expense review guidance by showing the budget sections from the Notice of Award (NOA) or proposal.

Summary – This is a dashboard showing expenses vs. budget for all expense categories, project to date.

Burn Rate Dashboard – This is a dashboard showing current expenses vs. the time remaining on the award or project period.



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EXPENDITURE REVIEW WORKBOOK DEMO

[See Excel workbook demo](#)

Thank You