# ASRSP & Cost Studies Semi-Annual Event

**June 24, 2020**

## *House Keeping Notes*

- **Please use the Q&A function to send your questions; use the Chat feature only for saying hello to everyone**
- Please stay muted and do not share your video/files (Thank you!)
- The slides are posted on the ASRSP Training -> Semiannual Networking Events webpage. See the announcement in Chat or go to **https://www.northwestern.edu/asrsp/training/semiannual-networking-events.html**
- If your internet connection becomes unstable, you can disconnect from Zoom and open the slides locally. Then, dial in: Phone: 312.626.6799. See your confirmation email for additional details
- If zoombombing occurs, we will immediately shut down the webinar and reschedule
- If your question does not get answered due to time limit, please send your questions to **jmitchell@northwestern.edu** and we will address after the webinar

# Agenda

- **Federal Regulations and ASRSP Staffing Updates -** Mike Daniels
- **COVID-19 Costing – ASRSP and Office of Cost Studies Update -** Jennifer Mitchell
- **Tools in Cognos and Research Portal to Monitor Invoices and Payments from Sponsors -** Felice Patterson
- **Subaward PI Approval Workflow -** Kathy Watson
- **Q&A**

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# Federal Regulations and ASRSP Staffing Updates

Semi-Annual Event
June 2020

*Mike Daniels - Executive Director, Research Financial Operations*

# Federal Regulations Update

# Federal Regulations Update

- National Institutes of Health (NIH) Office of Inspector General (OIG) Work Plan
- U.S. Government Accountability Office (GAO) Studies
- NIH Multi-Year Awards
- Dept. of Health and Human Services (HHS) / Payment Management System (PMS) Portal
- Section 117 of the Higher Education Act

# Federal Regulations Update

- NIH OIG Work Plan
- New initiative – review of risk areas at institutions concerning NIH awards
- Review of:
  - Inappropriate charges
  - Level of Financial Conflict of Interest
  - Deficiencies in Internal Controls
  - Foreign threats to medical, research and intellectual property

# Federal Regulations Update

- GAO Review of Universities:
  - Internal university processes to monitor conflicts of interest
  - Best practices to mitigate threats from foreign entities
  - Opportunities to strengthen conflict of interest policies
  - Review of requirements at institutional levels

# Federal Regulations Update

- GAO Review of Universities:

➢ Meeting with PIs that have received federal research grants from DOE, DOD, NASA, NIH and NSF

➢ Questions on policies for the disclosure of foreign professional appointments, financial support, and financial conflicts of interest

# Federal Regulations Update

- GAO Review of Federal Agencies:
  - GAO will be looking at how NIH and other agencies have managed COVID-19 guidance
  - Gain understanding of how institutions have used the OMB flexibilities over the past 3 months

# Federal Regulations Update

- NIH Multi-Year Awards
- FY21 – NIH is exploring 3 year awards with all funds paid up front
- 3 year project period – puts more money up front so PIs can ramp up quicker
- Project period extensions would be available
- Less Administrative Burden

*Announcement coming soon from NIH*

# Federal Regulations Update

- HHS/PMS Federal Financial Report (FFR) Portal
- Phase 1 – FFRs will no longer be submitted via NIH Commons, rather through the new PMS Portal
- Phase 2 - Phase out of quarterly Federal Cash Transaction Report (FCTR) - Transitioning to Certification of Draw Down of Funds

# Federal Regulations Update

- Section 117 of the Higher Education Act

# Federal Regulations Update

- Section 117 of the Higher Education Act

➢ Proposed Section 117 foreign gift and contract information emergency collection request withdrawn by Dept. of Education – plan is to issue new request for public comment

# Federal Regulations Update

- Section 117 of the Higher Education Act

➢ Scrutiny of universities receiving foreign gifts and contracts

➢ Education officials said enforcement efforts of Section 117 led to $6.5 billion in previously undisclosed foreign money since July 1, 2019

# ASRSP Updates

# ASRSP Staff Updates

- Welcome to ASRSP!
  - Vicenta Arroyo, Senior Accounting Representative

# ASRSP Staff Updates

- Promotions in ASRSP:
  - Elizabette Rischall, Assistant Director
  - Juan Jimenez, Senior Grant & Contract Financial Administrator

# ASRSP Staff Updates

- Thank you for your service:
  - Howard Ventura, Assistant Director

    *"35 Years of Service to Northwestern"*
  - Nilkanthray Dave, Senior Accounting Representative

    *"25 Years of Service to Northwestern"*

# ASRSP Staff Updates

- Thank you for your service:
  - Sara Baciak, Senior Grant & Contract Financial Administrator

    *“11 Years of Service to Northwestern”*

Thank you!

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# COVID-19 Costing - ASRSP and Office of Cost Studies Update

Semi-Annual Event
June 2020

*Jennifer Mitchell - Associate Executive Director, Research Financial Operations*

# Where Were We?

## Government

COVID-19 Public Health Emergency retroactive to January, 2020

- DHHS declares a public health emergency for the entire United States in responding to the 2019 novel coronavirus
- NIH allows pre-award costs retroactive to January 20 (NOT-OD-20-086)
- IL Stay-at-Home Order began on March 21

## Northwestern

**March 19**

Northwestern moved to essential personnel only onsite

NU COVID-19 website; Guidance from Federal agencies:

- OMB M-20-11 (3/9)
- **OMB M-20-17 (3/19)**
- OMB M-20-20 (4/9)
- OMB M-20-21 (4/10)
- **NIH NOT-OD-20-086 (3/12)**
- **NSF Implementation to M-20-17**
- DOD
- Others

## ASRSP

**April 3**

COVID-19 Cost Flexibilities for Sponsored Projects Policy, guidance, tools

- ✓ **Amendment to Charging Sponsored Projects: Policy for Sponsored Projects Impacted by COVID-19**
- ✓ **FAQs (6 pages)**
- ✓ Guidance and 3 Justification Forms:
  1. **Payroll**
  2. **Stipend**
  3. **Other Direct Costs**

## ASRSP

**April, 2020**

Updated guidance, webinars, training

- ✓ **Analysis of Cost Flexibilities per Sponsor Guidance**
- ✓ **Guidance on "Idle Time"**
- ✓ **Webinars**

# Where are We Now?

May and June of 2020

- OMB M-20-26 - Extension of two COVID-19 flexibilities
- Guidance on Charging of Personal Protective Equipment (PPE) to Sponsored Projects
  - Northwestern Phased Return to Campus Following an Expiration of Stay-at-Home Orders
- Ongoing payroll/stipend idle time and non-personnel costs documentation for awards impacted by COVID-19
- Consideration for NIH FAQs Update

# What's Next?

- Uncertainty
  - Clarification on COVID-19 cost flexibilities in OMB M-20-26
  - NIH FAQS: Idle time documentation in RPPR?
  - Audit implication
    - Equipment re-inventory/tagging?
    - FY2020 KPMG Single Audit on R&D?
    - Agency audits?
  - Update on Effort Attestation statement starting Q3 of 2020

- July: Q3 of 2020 Effort Report Release
  - Consideration for Effort certification

# COVID-19 Cost Flexibilities per OMB M-20-26

- Extension: Allowability of salaries and other project activities through Sept 30, 2020
- Appendix A – Administrative Relief Exceptions for COVID-19 Crisis
  - All cost flexibilities expire Sept 30, 2020
  - Agencies may allow salaries/benefits and other costs necessary to resume activities supported by award
  - Awarding agencies **must** require recipients to maintain appropriate records and documentation to support the charges
  - Cannot be reimbursed again via other Federal programs (e.g., CARES Act, FEMA)
  - Uncertainty: "Recipients should retain documentation of their efforts to exhaust other funding sources and reduce overall operational costs"?

# COVID-19 Cost Flexibilities per OMB M-20-26

Except Item 6 and 13 in M-20-17, M-20-17 and M-20-20 are rescinded (expire June 16, 2020), M-20-11 expires July 26, 2020:

**M-20-17 Highlights**

- Allowability of costs normally not chargeable to awards
- Cancellation of events, travel, and other activities
- Prior approval requirement waivers
- Extension of currently approved indirect cost rates
- Extension of closeout

**M-20-20 Highlights**

- Donation of medical equipment
- Other resources such as labor, supplies, and contract services funded under Federal assistance programs to support COVID-19 emergency response activities

**Uncertainty**

- **Agency prior approval strongly recommended for above Items after June 16, 2020**

# NIH FAQs and RPPR

| Then: April 17 | Now as of June 14 |
| --- | --- |
| If work is stopped or is disrupted because of COVID-19, how will NIH assess progress at the time of Research Performance Progress Report (RPPR) submission? | How should recipients submit details on how COVID-19 has delayed or affected the progress of research activities on NIH-funded grant projects? |
| NIH understands the potential effects of COVID-19 on the progress of NIH supported research. Recipients **must contact the funding IC to alert them of any effects on the NIH funded research.** NIH is committed to working with its applicants and recipients during this public health emergency. In addition, NIH recognizes that there may be delays in submission of RPPRs and other reports. See NOT-OD-20-086 for details on late submission. | NIH understands the potential effects of COVID-19 on the progress of NIH supported research. **Recipients must report on any effects on the NIH funded research in their next RPPR submission. Recipients are not to submit standard letters, but rather report on these details within the RPPR.** The funding IC will consider the effects that are reported by the recipient when reviewing and approving the RPPR. NIH remains committed to working with its applicants and recipients during this public health emergency. In addition, NIH recognizes that there may be delays in submission of RPPRs and other reports. See **NOT-OD-20-086** for details on late submission. |

# Charging of Personal Protective Equipment (PPE) to Sponsored Projects

- Designed to protect employees from serious workplace injuries or illnesses resulting from contact with chemical, radiological, physical, electrical, mechanical, or other workplace hazards
- Standard PPE
  - Continues to be direct charged the award during or after COVID-19 If required for the award
- **Additional (beyond standard) PPE during COVID-19 period (expires on Sept 30, 2020 per M-20-26)**
  - Needed to create a safe environment for the return of research if no PPE for that experiment was considered necessary prior to COVID-19
  - Uniformly charged to the benefiting activities, regardless of sponsored or non-sponsored awards

# Charging of Personal Protective Equipment (PPE) to Sponsored Projects

- Donated PPE
  - Per NIH, if project-purchased PPE (or other lab supplies) were donated during the pandemic for clinical or first responder use, then the grant may re-purchase PPE and charge those costs to the grant. Agency prior approval required per M-20-26
- Allocation of costs when multiple projects are involved
  - If PPE charges are made to multiple sponsored projects or to a combination of sponsored projects and institutional fund sources, the costs must be allocated based on proportional benefit
  - Use Multiple Project Allocation Form to document justification on the benefiting awards
- Cost Transfers (journals)

# Reporting "Idle Time"

- Applicable to Federal grants, cooperative agreements (except DOE and OJP), AHA (first 60 days)
- Prior approval/notification needed: Federal contracts, DOE & OJP cooperative agreements, and most non-Federal sponsors (few have disallowed cost flexibilities)
- Not Allowed: See ASRSP Cost Flexibilities per Sponsor Summary
- See Guidance for Use of "Idle Time" for more details
- **Extension of cost flexibilities for Idle Time expires Sept 30, 2020 per M-20-26**

| Justification Needed | Justification Not Needed |
|---|---|
| • No work can be performed by the employee on the project from an off-campus location<br>• Work has stopped because it requires access to a lab temporarily unavailable<br>• Work has stopped because it requires access to equipment/technology not accessible to the employee<br>• Donation of time/effort to support COVID-19 emergency response activities, instead of working on the sponsor-funded project; agency prior approval required | • Incidental sick or vacation leave per HR policy (must be recorded as sick or vacation leave)<br>• Working remotely (e.g., home or off-campus location)<br>• Work on data analysis, manuscript, progress/technical report, new or existing protocol<br>• Remote training on new techniques or analyses benefiting the project<br>• Training directly benefiting the project |

# Documenting "Idle Time" for 3Q2020 Effort Reporting

- 3Q2020 Effort Reports
  - Period
    - Chicago: March 1 to May 31
    - Evanston: March 1 to June 15
  - Expected release: Week of July 20th
  - Documentation for "Idle Time"
    - Consistency between justification forms and Effort Reporting
    - Suggested Template: "This report includes payroll affected by COVID-19 (list project #s). Detailed documentation is provided by the department for each impacted Award # (list SP Records)"

# Summer Effort

- Effort certification for the period beyond Northwestern appointments (e.g.,9-month academic appointment) should reflect only the activity for which the faculty member is responsible and earning salary in that period
- Must be prepared to certify that effort was expended on those projects during the summer period in at least the same proportion as the summer salary charged to those projects
- Effort expended during the academic year does not satisfy a commitment related to the receipt of summer salary
- Faculty with 12-month appointments do not have summer effort

# Equipment Re-inventory/Tagging Taking COVID-19 into Consideration

- FY2019 KPMG Single Audit Finding
  - Equipment disposal not reported and updated in the system (one item)
  - Equipment Tagging (two items)
- FY2020 Chicago Re-Inventory/Tagging
  - On campus: Aim to complete inventory by 8/31
  - Off campus: Complete inventory upon return, as feasible
  - If new equipment tags are needed, please contact equipment@northwestern.edu

# Additional Pay and Effort Reporting

- Recap of Additional Pay Key Points
  - Additional Pay is Not included and certified in Effort Reporting and Monitoring
  - Typically provided for non-recurring activity performed outside the scope of the individual's existing appointment(s).
    - "Non-recurring" is defined as a duration of less than six months; when activity outside the scope of the individual's existing appointment(s) has a duration of six months or more, a separate/additional appointment should be established and pay for that activity should be provided as regular pay, which then, in most instances, becomes part of the salary base
- Additional Pay Justification Form
  - Enhanced questions and guidance to facilitate decisions
  - Uniform Guidance cost principles apply
  - Available on the Human Resources -> Forms page:
    - Search: Justification for Additional Pay from Sponsored Projects
  - Base Salary Rate or market competitive rate should be considered when requesting additional pay; see Additional Pay Calculator for reference

Thank you!

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# Tools in Cognos and Research Portal to Monitor Invoices and Payments from Sponsors

Semi-Annual Event
June 2020

*Felice Patterson - Assistant Director, ASRSP*

# Tools

## Cognos

- GM097 - Sponsored Project Actuals Balance Report
- GM045 - Sponsored Project Budget Statement
- GM091 - Sponsor Payments Received

## Research Portal

# How to Use These Reports?

**GM097 – Review projects in your department on a Monthly or at least Quarterly basis**

- Compare the following sections on the GM097 for discrepancies (e.g., >50,000)
  - Expenses vs. Invoiced amount
  - Invoiced vs. payments received
  - Award has expenses but no invoices

**When issues are observed, the following reports/tools may be of assistance for a more thorough review**

- GM045: Sponsored Project Budget Statement
- GM091: Sponsor Payments Received
- Research Portal

**Contact GCFAs if you have a question**

- GM097: Sponsored Project Actuals Balance Report in Cognos Analytics (overview)
- GM045: Sponsored Project Budget Statement
- GM091: Sponsor Payments Received
- Contact GCFAs if you receive a notification from sponsor

# GM097 - Sponsored Project Actuals Balance Report

Contract End Date

**Cash Received**

**Total Invoiced**

**Total Expenses & Encumbrances**

Sponsored Project Actuals Balance Report
For Fiscal Year 2020
As of Accounting Period 10 - June 2020 (Open)

| ASRSP GCFA | Contract Start Date | Contract End Date | Contract Type | FA Rate % | Cash Received for Award | * Total Invoiced for Award | Invoiced less Cash Received | Project Budget Total | Direct Cost Expenditures | Direct Cost Encumbrance | F&A Expenditures | F&A Encumbrance | Available Balance |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Damon | 3/1/19 | 3/31/21 | INV | 58.00% | $183,852 | $216,429 | $32,576 | $393,490 | $146,680 | $26,896 | $85,075 | $15,600 | $119,239 |
| Felice Patterson | 6/8/15 | 6/7/20 | INV | 56.50% | $2,253,127 | $2,526,017 | $272,890 | $3,026,017 | $141,823 | $1,957,598 | $37,119 | $709,481 | $179,996 |
| Colleen Hull | 11/1/19 | 10/31/21 | SCH | | $0 | $0 | $0 | $1,441,891 | $0 | $0 | $0 | $0 | $1,441,891 |

***The 'Total Invoiced for Award' amount reflects the current invoiced total regardless of the FY and accounting period selected. All other amounts reflect the period.**

GCFA Contact

Award Type determines if invoice is necessary

Available Direct and F&A

**Comparison:**

- Cash Received vs. Total Invoiced
- Total Invoiced vs. Total Expenditures
- Contract End Date vs. Total Exp+Encumbrances (burn rate)

# Possible Scenarios

- Cash Received appears to be up to date
  - Continue to review at least quarterly to assure more payments have arrived
- Sponsor has not paid for more than 3 months?
  - Deliverables/Milestone reports have not been submitted
  - Award is overspent and expenses should be removed to facilitate invoicing
  - Sponsor has no record of receiving invoices
- Award has not been invoiced
  - On Hold due to FCOI
  - Expenses have not posted
  - Award set up incorrectly
  - Award type is SCH (scheduled) and invoices are not required
  - Award is a Clinical trial so invoices are submitted by the department and forwarded to ASRSP

# GM045 - Sponsored Project Budget Statement

Northwestern

## Sponsored Project Budget Statement

For Fiscal Year 2020

As of Accounting Period 9 - May 2020 (Closed)

Total Payments Received

ASRSP GCFA: Felice Patterson — **Total Payments Applied: $183,852.46**

Clinical Trial: No

**Activity ID: 01 Budget Period Ending 1/31/21**

F&A Rate and Base: 58.00% MTDCN

| | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **60010 Academic Personnel** | 610 | 5111500 | 01 | $183,157.00 | $7,650.00 | $68,700.00 | $110,128.57 | $30,600.00 | $0.00 | $42,428.43 | 23.17% |
| **60180 Fringe Benefits** | 610 | 5111500 | 01 | $47,987.00 | $2,050.20 | $18,411.60 | $29,265.89 | $8,200.80 | $0.00 | $10,520.31 | 21.92% |
| **73000 Supplies** | 610 | 5111500 | 01 | $1,000.00 | $0.00 | $895.00 | $895.00 | $0.00 | $0.00 | $105.00 | 10.50% |
| **73901 Library Materials, Restricted** | 610 | 5111500 | 01 | $0.00 | $0.00 | $0.00 | $105.58 | $0.00 | $0.00 | ($105.58) | 0.00% |
| **75000 Services** | 610 | 5111500 | 01 | $7,900.00 | $0.00 | $410.00 | $410.00 | $0.00 | $0.00 | $7,490.00 | 94.81% |
| **76761 Travel, Domestic** | 610 | 5111500 | 01 | $9,000.00 | $0.00 | $1,012.45 | $5,875.31 | $0.00 | $0.00 | $3,124.69 | 34.72% |
| | | **Total Direct:** | | $249,044.00 | $9,700.20 | $89,429.05 | $146,680.35 | $38,800.80 | $0.00 | $63,562.85 | 25.52% |
| **78700 F&A** | 610 | 5111500 | 01 | $144,445.52 | $5,626.12 | $51,868.88 | $85,074.64 | $22,504.46 | $0.00 | $36,866.42 | 25.52% |
| * 78710 Indirect Cost - Sponsored | | | | | $5,626.12 | $51,868.88 | $85,074.64 | $22,504.46 | $0.00 | | |
| **Total Direct & F&A:** | | | | $393,489.52 | $15,326.32 | $141,297.93 | $231,754.99 | $61,305.26 | $0.00 | $100,429.27 | 25.52% |
| **Total for Sponsor Direct, Indirect & Restricted:** | | | | $393,489.52 | $15,326.32 | $141,297.93 | $231,754.99 | $61,305.26 | $0.00 | $100,429.27 | 25.52% |
| **Total for Activity 01** | | | | $393,489.52 | $15,326.32 | $141,297.93 | $231,754.99 | $61,305.26 | $0.00 | $100,429.27 | 25.52% |
| **Total for Project 6009999** | | | | $393,489.52 | $15,326.32 | $141,297.93 | $231,754.99 | $61,305.26 | $0.00 | $100,429.27 | 25.52% |

*** Excluded from F&A Calculation**

Current Expenses will usually correspond with invoice.

- When current expenses and actual invoice totals are different, review and discuss with GCFA

# Review **Current Period Expenses** – Possible Scenarios

- Expenses are invalid and cannot be invoiced
- Award is over expended
- Expenses are outside of budget period
- F&A Correction
- Mid month invoicing (budget period end 15th)
- GM045 and GM097 query should be run for the same budget period

# GM091 - Sponsor Payments Received

| Sponsor | Sponsor Award Number | Deposit Date | Posted Date | Invoice | Payment ID | Amount |
|---|---|---|---|---|---|---|
| National Institutes of Health | HHSN268201800003I | 6/21/2019 0:00 | 6/25/2019 0:00 | NU00407038 | 101036158806802 | 7,833.42 |
| National Institutes of Health | HHSN268201800003I | 6/27/2019 0:00 | 7/24/2019 0:00 | NU00409363 | 101036155818640 | 15,121.52 |
| National Institutes of Health | HHSN268201800003I | 9/12/2019 0:00 | 9/13/2019 0:00 | NU00415827 | 2545042409TC | 14,954.70 |
| National Institutes of Health | HHSN268201800003I | 9/12/2019 0:00 | 9/13/2019 0:00 | NU00413031 | 2545042407TC | 17,324.70 |
| National Institutes of Health | HHSN268201800003I | 9/16/2019 0:00 | 9/17/2019 0:00 | NU00419266 | 2591310080TC | 14,954.70 |
| National Institutes of Health | HHSN268201800003I | 11/14/2019 0:00 | 11/15/2019 0:00 | NU00423540 | 3172433889TC | 19,327.92 |
| National Institutes of Health | HHSN268201800003I | 12/20/2019 0:00 | 12/23/2019 0:00 | NU00428074 | 3539521798TC | 15,965.90 |
| National Institutes of Health | HHSN268201800003I | 1/24/2020 0:00 | 1/27/2020 0:00 | NU00432902 | 0237820376TC | 15,326.32 |
| National Institutes of Health | HHSN268201800003I | 1/24/2020 0:00 | 1/27/2020 0:00 | NU00432903 | 0237820378TC | 15,326.32 |
| National Institutes of Health | HHSN268201800003I | 2/27/2020 0:00 | 2/28/2020 0:00 | NU00439584 | 0570419931TC | 15,326.32 |
| National Institutes of Health | HHSN268201800003I | 4/3/2020 0:00 | 4/6/2020 0:00 | NU00444896 | 0937726658TC | 15,326.32 |
| National Institutes of Health | HHSN268201800003I | 4/3/2020 0:00 | 4/6/2020 0:00 | NU00444898 | 0937726660TC | 17,064.32 |
| | | | | | | 183,852.46 |

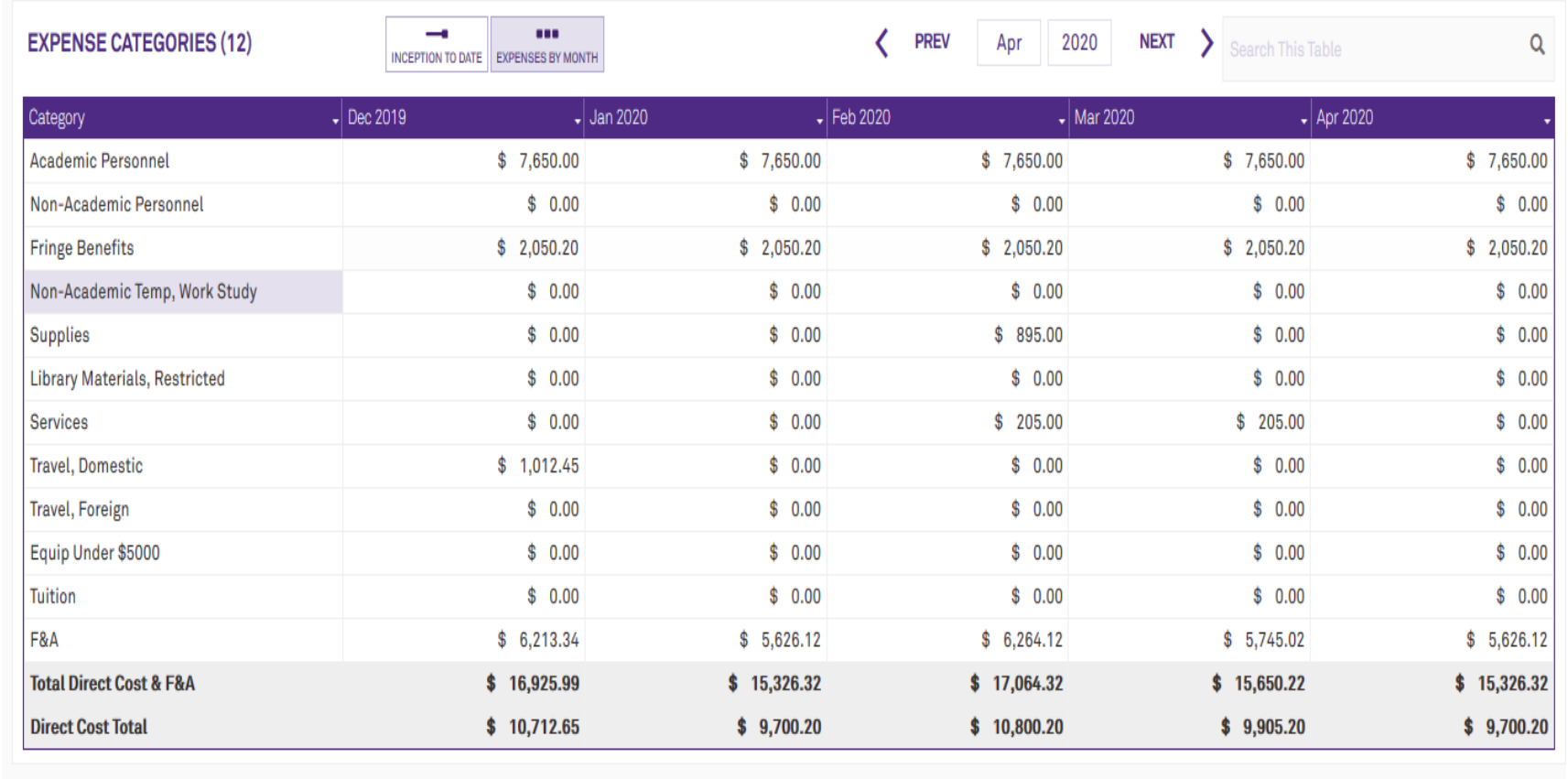
- Payments are itemized with detailed information
- Will not show invoices that have been submitted
- Will not show outstanding payments

If you have questions regarding these Cognos reports, contact the assigned GCFA of the award

# Appendix - Research Portal

- https://researchportal.northwestern.edu
- The research portal is another tool that a researcher or administrator can use to obtain information.
- From the research portal you will be able review monthly expenses and access helpful Cognos reports for monitoring invoicing and payments.
- The monthly expense total is normally the total invoiced by ASRSP.

# Monthly Invoice Expenses



EXPENSE CATEGORIES (12)

INCEPTION TO DATE | EXPENSES BY MONTH

PREV | Apr | 2020 | NEXT

Search This Table

| Category | Dec 2019 | Jan 2020 | Feb 2020 | Mar 2020 | Apr 2020 |
|---|---|---|---|---|---|
| Academic Personnel | $ 7,650.00 | $ 7,650.00 | $ 7,650.00 | $ 7,650.00 | $ 7,650.00 |
| Non-Academic Personnel | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 |
| Fringe Benefits | $ 2,050.20 | $ 2,050.20 | $ 2,050.20 | $ 2,050.20 | $ 2,050.20 |
| Non-Academic Temp, Work Study | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 |
| Supplies | $ 0.00 | $ 0.00 | $ 895.00 | $ 0.00 | $ 0.00 |
| Library Materials, Restricted | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 |
| Services | $ 0.00 | $ 0.00 | $ 205.00 | $ 205.00 | $ 0.00 |
| Travel, Domestic | $ 1,012.45 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 |
| Travel, Foreign | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 |
| Equip Under $5000 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 |
| Tuition | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 | $ 0.00 |
| F&A | $ 6,213.34 | $ 5,626.12 | $ 6,264.12 | $ 5,745.02 | $ 5,626.12 |
| **Total Direct Cost & F&A** | **$ 16,925.99** | **$ 15,326.32** | **$ 17,064.32** | **$ 15,650.22** | **$ 15,326.32** |
| **Direct Cost Total** | **$ 10,712.65** | **$ 9,700.20** | **$ 10,800.20** | **$ 9,905.20** | **$ 9,700.20** |

# Payment Detail

PAYMENTS (12)

Search This Table

| Invoice # | Amount Paid | Deposit Date | Posted Date | Payment ID # |
|---|---|---|---|---|
| | $ 17,064.32 | Apr 3, 2020 | Apr 6, 2020 | |
| | $ 15,326.32 | Apr 3, 2020 | Apr 6, 2020 | |
| | $ 15,326.32 | Feb 27, 2020 | Feb 28, 2020 | |
| | $ 15,326.32 | Jan 24, 2020 | Jan 27, 2020 | |
| | $ 15,326.32 | Jan 24, 2020 | Jan 27, 2020 | |
| | $ 15,965.90 | Dec 20, 2019 | Dec 23, 2019 | |
| | $ 19,327.92 | Nov 14, 2019 | Nov 15, 2019 | |
| | $ 14,954.70 | Sep 16, 2019 | Sep 17, 2019 | |
| | $ 14,954.70 | Sep 12, 2019 | Sep 13, 2019 | |
| | $ 17,324.70 | Sep 12, 2019 | Sep 13, 2019 | |
| | $ 15,121.52 | Jun 27, 2019 | Jul 24, 2019 | |
| | $ 7,833.42 | Jun 21, 2019 | Jun 25, 2019 | |

Thank you!

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# Subaward PI Approval Workflow

Semi-Annual Event
June 2020

*Kathy Watson - Subcontract Manager, ASRSP*

# Subcontract Invoice Approvals

- Currently accepting the following forms of PI approval:
  - Wet signature
  - Digital signature (e.g. Adobe, Docusign)
    - Note: digital is password protected
    - Example:

# PI Workflow Certification Process

# Process Overview

- Subcontract invoices will be routed to department personnel and PIs electronically.
- The process runs through NUFinancials just like other transactions such as REQs, PRQs, Expense Reports etc.
- In this new process, a Voucher transaction is routed for approval (or denial).
- The subrecipient's PDF invoice is attached to the transaction so it can be reviewed.
- Once the Voucher transaction receives an approval, it then routes to the next person for approval.
- The routing process is:

  ASRSP > **Department Personnel > PI** > ASRSP > Accounts Payable, which is the same as the current email process.

# Process Highlights

- No need for wet signatures!
- No need for Receipts. One less step!
- Approvals can be done from anywhere NUFinancials can be accessed
- Turnaround time is significantly faster
- Queries will allow ASRSP to track the status of approvals and provide follow-up reminders
- NetID approvals are captured electronically for audit purposes
- A few schools are already using this!
- Job Aid available at: https://www.northwestern.edu/asrsp/expenses/subcontracts.html

# Process Roles

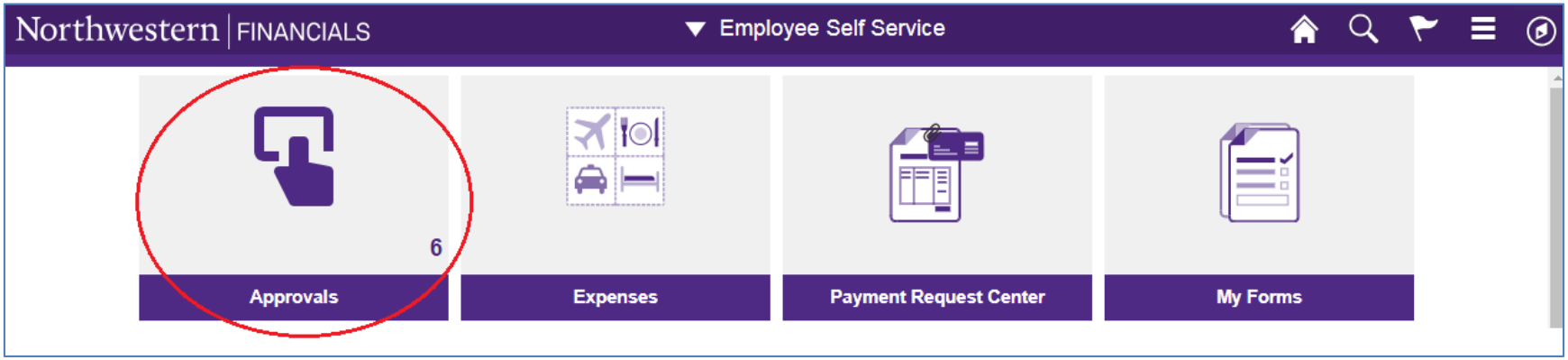
- Process utilizes roles defined on the Project Team page in NUFinancials
- Roles are defined per Project ID number
- A new role has been created called SUBKAD (subk administrator)
- Notifications are sent:
  - To both RADM and SUBKAD, but only 1 person needs to approve the voucher
  - To the PI

# Process Transactions

- **REQ/PO** is setup by department
- **Voucher** is created by ASRSP for each invoice
- **PDF** invoice is attached to Voucher
- **Receipt** no longer needs to be processed by the department. ASRSP will create the Receipt as part of the Voucher process.

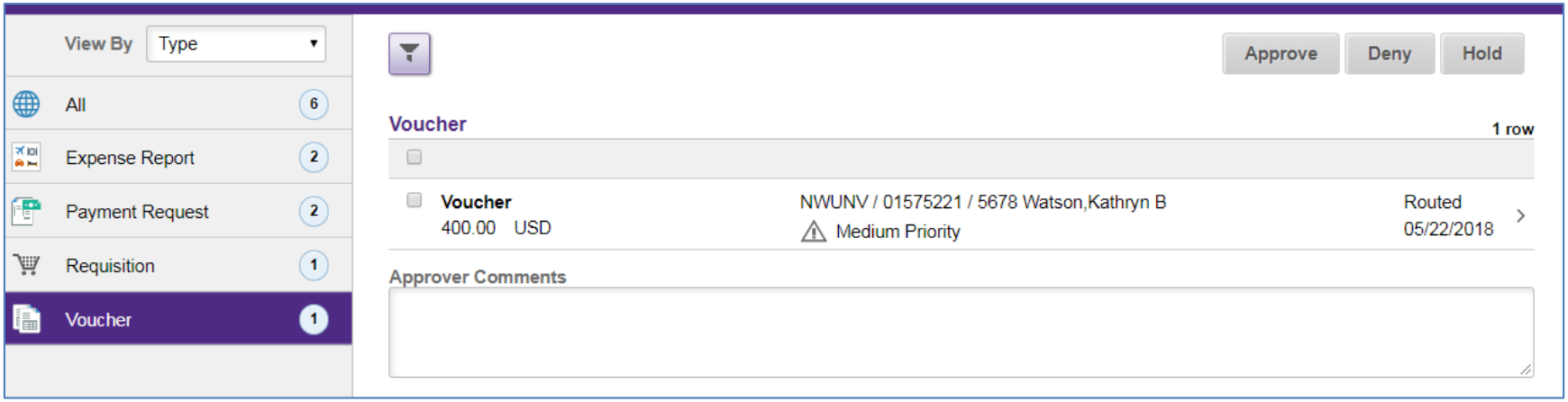
# Subcontract Invoice PI Certification

- Approvals will be applied via NUFinancials Workflow
- A system-generated email notification will be sent to the next approver

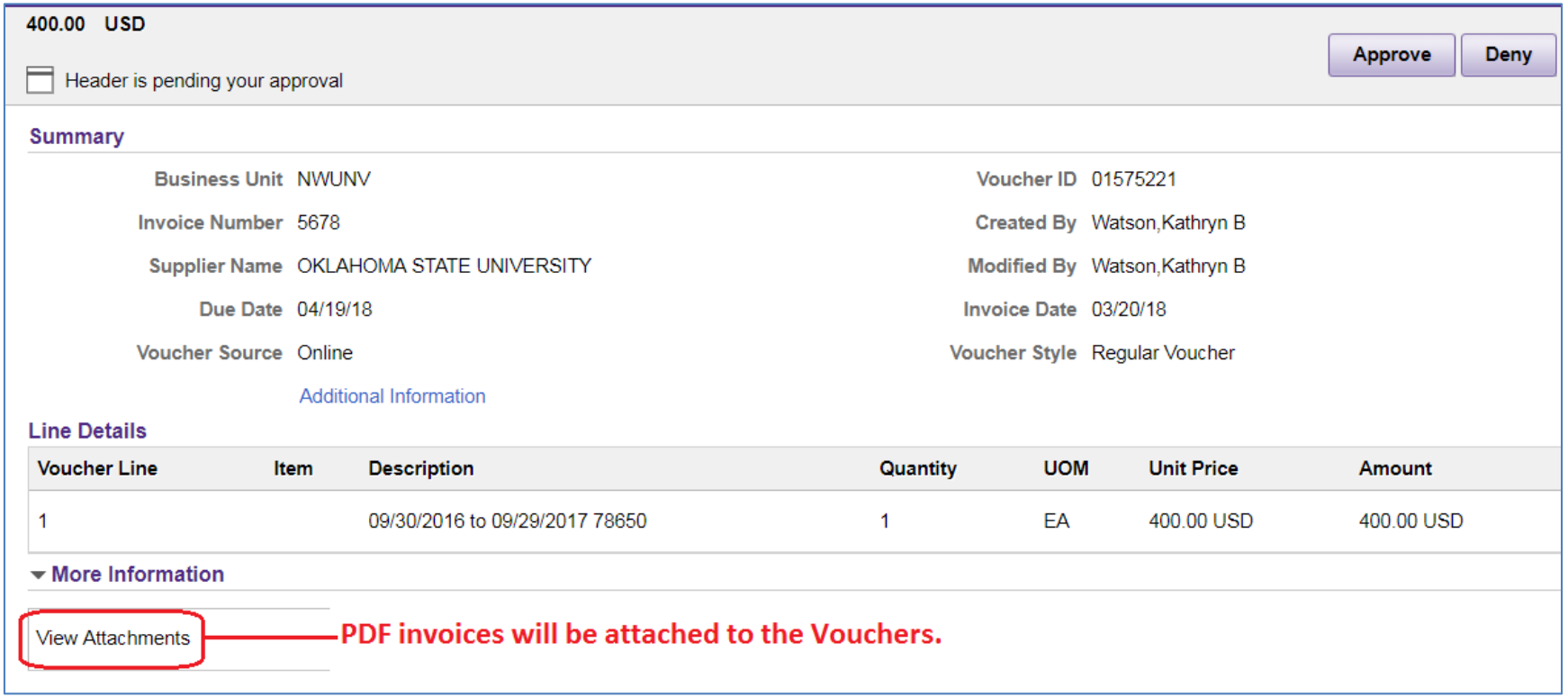


# Subcontract Invoice PI Certification

- Invoices will be processed as a Voucher transaction



# Subcontract Invoice PI Certification



STANFORD UNIVERSITY
Office of Research Administration
Sponsored Receivables Management
Tax ID Number 94-1156365

INVOICE

Award Number: PCLIR
TO: Date 08/31/2019 Invoice Number: 1339-2001234-5
Billing Period: 08/01/19 - 08/31/19
Sponsor Ref No: SP0028000 60098765
Payment Terms : 30 NET

NORTHWESTERN UNIVERSITY
ATTN: JANET MAHER
ACCOUNTING SERVICES FOR RESEARCH AND SPONSORED PROGRAMS
750 NORTH LAKE SHORE DRIVE, 7TH FLOOR
CHICAGO, IL 60611-4579 US

SUBMIT PAYMENT WITH INVOICE NO. TO:
Stanford University
P.O. Box 44253
San Francisco, CA 94144-4253

PI: Smith, John
Award Title: Therapy to Reduce the Risk

| Stanford University Expenditure categories | Approved Budget | Cumulative Expenditures | Current Expenditures | Unexpended Balance |
|---|---|---|---|---|
| SALARY | 0.00 | 3,573.00 | 885.00 | -3,573.00 |
| STAFF BENEFITS | 0.00 | 1,043.00 | 258.00 | -1,043.00 |
| UNALLOCATED | 16,000.00 | 0.00 | 0.00 | 16,000.00 |
| OTHERS | 0.00 | 2,385.00 | 35.00 | -2,385.00 |
| Total Direct Costs | 16,000.00 | 7,001.00 | 1,178.00 | 8,999.00 |
| Total IDC | 5,046.00 | 1,385.00 | 343.00 | 3,662.00 |
| IDC Type/Rate: MTDC/0.300 | | | | |
| Total | 21,046.00 | 8,386.00 | 1,521.00 | 12,660.00 |

CURRENT AMOUNT DUE: $1,521.00
PAST DUE AMOUNT: $0.00
TOTAL AMOUNT DUE: $1,521.00

I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)

THE BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSITY

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729–3730 and 3801–3812).

This approval also indicates acceptable progress by the subrecipient on the award.

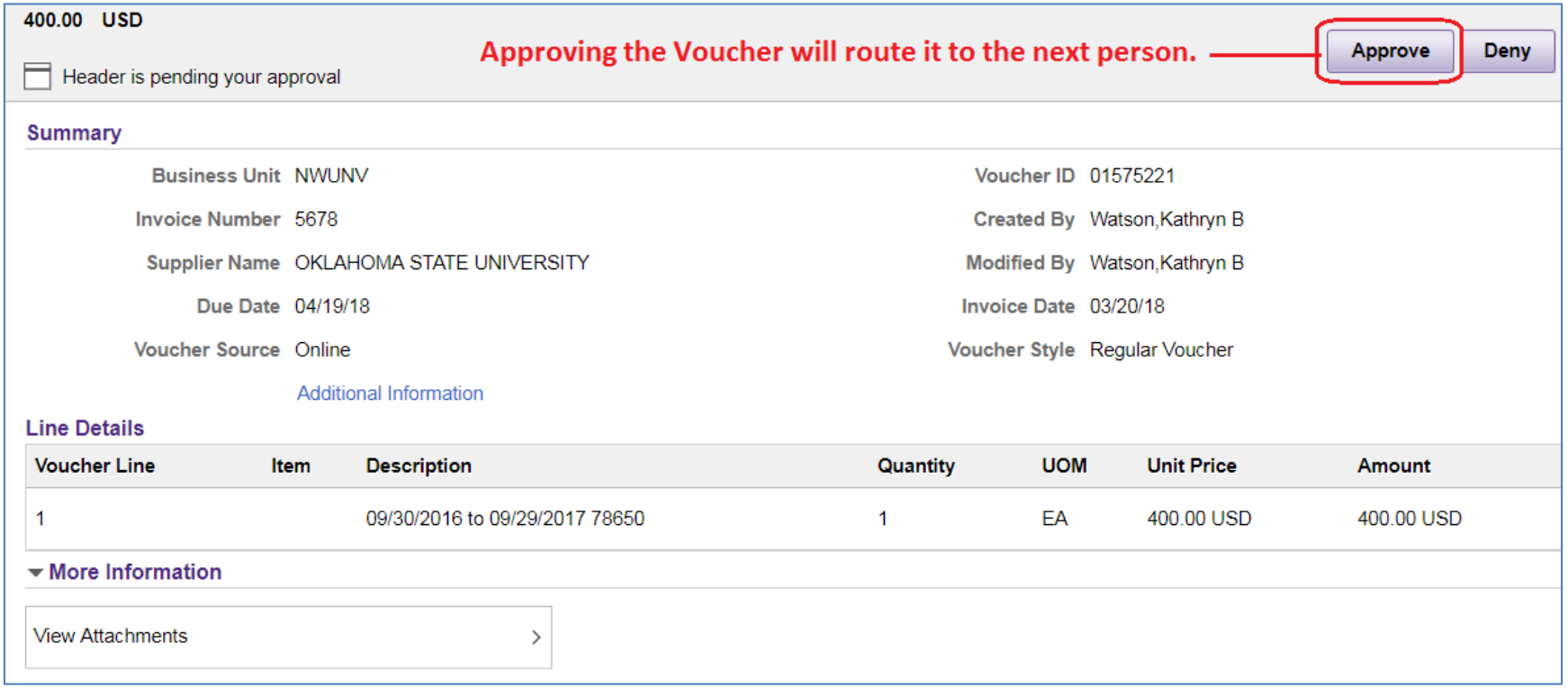
Purchase Order: PUR1358700
Voucher: 02076403
Chart String: 610-4703000-60098765

PI Signature: Electronic approval by the PI for this payment request is recorded by use of NetID in Northwestern University's financial system.

Natalia Antanavage
Director of SRM

# Workflow Routing

ASRSP > Dept. Contact > PI > ASRSP > Accounts Payable



# PI Workflow Certification

- Currently Deployed:
  - McCormick School of Engineering
  - NUIT
  - NU Library
  - University Research Institutes & Centers
  - School of Education & Social Policy
  - School of Communication

# PI Workflow Certification Project Schedule

- Completion of Evanston campus: July ’20
- Chicago campus schedule by department range:

| Month '20 | NU Dept Range Start | NU Dept Range End | ASRSP Senior Accounting Representative (SAR) | ASRSP Project Manager |
|---|---|---|---|---|
| July/August '20 | 5326000 | 5999999 | Sonya Roy-Singh | Jarrod Routh |
| July/August '20 | All Lurie Children's Hospital subcontracts | | Sonya Roy-Singh | Jarrod Routh |
| August/September '20 | 5250000 | 5325999 | Renee Stokes | Jarrod Routh |
| November '20 | 5000000 | 5249999 | Vicenta Arroyo | TBD |

  - Schedule is dependent on ASRSP Subcontract team remaining fully staffed through Dec ’20

# GM092 Cognos Report

- GM092 – Subrecipient Monitoring Report
- New fields coming!
  - NUFin RADM (Research Administrator)
  - NUFin SUBKAD (Subk Administrator)
  - NUFin SPONSOR
  - Federal EIN – data source InfoEd
  - DUNS and new UEI (Universal Employee Identifier) – data source InfoEd

Thank you!