Purpose

Subcontract processing documents the work that the University of Colorado Boulder subcontracts to other research institutions as part of the overall work done on a research grant or contract. A project must include subcontracts as a line item in the proposed budget. When the award is received, award increments are created for each subcontract.

The procedures described in this document take place during the subcontract review stage performed by a subcontract officer.
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I. Retrieve & Review Cognos Reports

For instructions on accessing Cognos, pulling reports, and creating shortcuts to your most commonly accessed reports, visit the Cognos Learning Resources page on the University Controller’s website at http://www.cu.edu/controller/cognos-reporting-system-training.

1) Boulder Workflow Data Report

The Boulder Workflow Data reveals where items are within the workflow in eRA. If there is a sub on an award that has been modified or created, the award will automatically be routed to subs. This report can show which awards have been routed to the subs team.

The Boulder Workflow Data report is located in CU Reporting > eRA > CU Boulder > Live Reports.
1) For Functional Role, select **Subcontract Review**.

2) For Subcontract Officer, select your name for tasks assigned to you *(or SubOff for all items in the workflow)*.

3) Click **Finish**.

Review the report to determine if the action that occurred on the main award affects the subaward and, if so, in what way.

- If no action is necessary for the subaward, update the award status in AT to **Sub Review Complete. (Step 7)**
- If actions are necessary, open the main award in eRA and update the sub’s short form accordingly. *(Steps 2-)*
2) Subcontract Status Report

The Subcontract Status Report pulls information from the short forms in eRA. It indicates the current status of an subaward.

2-1

The Subcontract Status Report is located in **CU Reporting > eRA > CU Boulder > Proposal and Award Tracking**.

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Scroll Down
1) Select your name.
2) Click Finish.

Any mods on the workflow report that is not on this detailed status report will have to be logged on the sub’s short form.

- All subawards with a “Logged” status will show on this report.
- An “Action Complete” status removes it from this report.
II. Review & Update Subaward Details

For instructions on logging in to eRA and accessing proposals and awards, review the Boulder eRA Familiarization Guide available at [http://www.colorado.edu/era/user-guides-and-documentation](http://www.colorado.edu/era/user-guides-and-documentation).

<table>
<thead>
<tr>
<th>1) Open the Award Increment in eRA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-1 Open the Proposal.</td>
</tr>
<tr>
<td>1-2 Open the Awards folder.</td>
</tr>
<tr>
<td>1-3 Open the applicable Award Increment (refer to mod # on the Cognos reports).</td>
</tr>
<tr>
<td>1-4 Open the Detail folder of the award increment.</td>
</tr>
</tbody>
</table>

![Diagram showing the structure of a proposal in eRA](diagram1.png)

<table>
<thead>
<tr>
<th>2) Review the Award Increment Type.</th>
</tr>
</thead>
</table>

![Diagram showing the Award Increment Type](diagram2.png)
Based on award increment/mod type, determine actions that need to be taken.

**Award Increment Types**

- **Initial** is used for new awards. For a PT record there will only be one Initial designation.

- **Funding & Extension** is used when the award increment is increasing the authorized funded amount, AND increasing the authorized period of performance. Funding is used when the award increment is increasing the authorized funded amount.

- **Extension** is used when the award increment is increasing the authorized period of performance.

- **POP Reduction** is used when the award increment is decreasing the authorized period of performance.

- **Deobligation** is used when the award increment is decreasing the authorized funded amount.

- **Carryforward** is used when the sponsor is authorizing funding from one period to move into another.

- **Supplement** is used for awards that are being funded by a supplemental proposal. (See proposal documentation for additional information).

- **Key Personnel Change** is used for award increments where the sponsor has approved a change in key personnel i.e. change in PI/ Co-PD/PI.

- **Admin** is used for all administrative actions and any other sponsor initiated action not previously defined. Examples are a change in contact personnel, change in reporting or a change in estimated funding.

- **Internal: Correction** is used for correcting errors
  - **Internal: Transfer** is used for moving funds from one account to another
  - **Internal: PI/CO-I Change** is used for PI / CO-I changes on awards
  - **Internal: Change Department** is used to change the department that a PI is in
  - **Internal: Other** is used for any other internal mod changes

- **Converted** is used for the initial start of using eRA. It symbolizes the move from Filemaker to eRA. After going live, all pre-existing projects are identified by this label.

Review any comments on the Awards page provided by the Grant or Contract Officer to explain changes.

- **If you see a change that doesn't make sense to you, review the budget and statement of work in the Attachments folder.**

In the attachments folder you may find a PSC (Peoplesoft compare report). This will tell you what has changed on the award with this new increment.

- **This will only work for mods not new awards.**
3) If Necessary, Verify Allocated Funds in the Budget

3-1 Open the award increment’s **Detail** (i.e. budget) folder.

3-2 Review the **Subaward** section below the main budget.
3-3 Open the award increment’s F&A folder.

3-4 Verify that the appropriate F&A was taken on the sub’s funded amount.
4) Review/Attach Documentation

4-1 Open the main **Attachments** folder.
   - This can be confusing because there are **TWO** attachment folders. Open the **SECOND** folder farther down the list.

In the Attachments there are 5 subfolders: Proposal, Award, Sub Documents, Reports, Closeout. Additional folders will need to be created under the **Sub Documents** folder.

4-2 Click **Folder Maintenance**.

4-3 Click **Add Folder**.

Parent Folder
   - **Attachments**
Create the folder according to these parameters:

- For **Folder Name**, enter the Name of the Sub.
- For **Folder Parent**, select **Sub Documents**.
- For **Folder Sequence**, enter the number in which you want this folder listed within the **Sub Documents** folder.

Click **Save** and then click **Close**.

Repeat for any additional subs.

**Under Attachments > Sub Documents**, the new folders created for each sub is visible.

Click on the attached document to move into the appropriate subcontractor’s folder.

Change the folder in the **Folder** drop-down menu to the appropriate sub folder that was just created.

Click **Save**. The document will be moved into that folder.
Review the documents for each of the subcontractors to determine what is missing – use the checklists below.

- Send an email to the Department Admin. and PI requesting any missing information.

### Paperwork Required for a New Sub

- [ ] Statement of Work
- [ ] Budget
- [ ] Budget Justification
- [ ] Sole Source Justification
- [ ] Subcommitment Form
- [ ] Sub Review Form
- [ ] Human or Animal Subjects Approved Protocol (if applicable)
- [ ] SPO Requisition in Filemaker
- [ ] Indirect Cost Rate Agreement

### Paperwork Required for Modifications

- [ ] Marked Up PO
- [ ] Budget (if applicable)
- [ ] Statement of Work (if applicable)
- [ ] Sub Review Form (if new budget)
5) Update the Short Form for the Subaward(s)

5-1 Within the PT record, open the **SubContracts** subfolder.

![Diagram of PT record subfolders]

- Submissions (1)
  - New
  - Summary
  - Sponsor
  - Personnel (17)
  - Admin Staff
  - Budget
  - Agreements (0)
  - SubContracts (16)
  - Communications (0)
  - Attachments (72)
  - Approvals (1)
  - Alerts/Reminders (0)
  - Status History (1)
  - Snapshot
- Add New PT
  - Awards (2)
  - Financials (16)
  - Approvals (1)
  - Related Proposals (0)
  - Deliverables (0)
  - Keywords (0)
  - Communications (0)
  - Attachments (72)
The screen will look like this. There should be one short form for each sub.

5-2 Find the Subcontract that needs to be Processed.
- Click the “Short Form” Button right above it on the right.
Update the fields according to the definitions provided below.

**SHORT FORM FIELDS**

1) **Subaward Institution number.** This number is assigned by eRA. We won’t be changing this number; it affects nothing.

2) **Start date of the sub.** The sub doesn’t have to have the same period of performance as the main; it will be within the main’s period of performance though.

3) **End date of the sub.** A sub can have the same period of performance as the main award but it doesn’t have to, it could be a shorter period as long as the start and end dates are within the main award’s period of performance. To help with closeout of awards within 90 days, the subcontract team will begin to end a subs 30 to 60 days before the end date of the main award with the PI’s permission.

4) **Contract Number.** The main award number.

5) **Subcontract Type.** The sub can be logged as any of the following:
   - CRADA
   - Letter of Understanding
   - Subaward Agreement
   - Subcontract-Cooperative Agreement
   - Subcontract-Cost-Reimbursable
   - Subcontract-Cost Reimbursable –Advance Pay
   - Subcontract- Cost Plus Fixed Fee
   - Subcontract- Fixed Price
   - Subcontract- Time and Materials
   - Task Order
6) **Final invoice.** Yes/No indicates if a final invoice will be required for closeout.

7) **Audit.** Yes/No indicates if the subcontractor is subject to the Uniform Guidance audit, formerly the A-133 audit.

8) **Performance Period.**
   - For **Account Number**, enter the project number of the sub.
   - For **PO Number**, enter the PO number issued by CU Marketplace.
   - Ignore **Date Received**, **Date Sent**, **Date Paid** fields.

9) **Subawardee.** Enter the legal name of the subcontractor and their address.

10) **Principal Investigator.** The subcontractor’s PI.
   - The technical contact Box 14 and the PI box 10 are the same and only need to be entered in box 10. Box 14 will be left blank.
   - You can either select the PI from an existing list by clicking **Select** or enter a new PI by clicking **Edit**.

11) **Title.** The award title of the main award from the PT>Summary screen.
   - If it doesn’t match, correct it to match the main award’s project title.

12) **Associated Department.** The sub’s PI’s department information. This box is not used or updated.
13) **Main Contact.** Name and contact information of the person authorized to negotiate the subcontract (i.e. the subcontract officer’s counterpart at the subcontractor).

- To edit, click **Select**.

  
  ![Select](image)

  Either select a contact from the drop-down list or add a new contact by clicking **Add New**.

14) **Technical Contact.** *Same as PI (#10) – Leave blank.*

15) **Administrative Contact.** *Same as Main Contact (#13) – Leave blank.*

- The Administrative Contact box (#15) and the Main Contact box (#13) are the same and only need to be entered in box 13. Box 15 will be left blank.
Once you have updated the top part of the short form scroll down the page.

- The first thing you encounter as you scroll down is the Agreement Summary; IGNORE THIS we do not use it.

Then you will see Status History with an Expand box.
- IGNORE THIS – we do not use it.

Next you will see Performance Sites with an Expand box.
- Only logged by RSAs for FFATA.

Next is a Comments box.
- In this area, enter what paperwork is needed or any notes about this particular sub that we will need to know.

Next you will see Budget with an Expand box.
- IGNORE THIS – we do not use it.

Next you will see Upload Documents.
- IGNORE THIS – we do not use it.
Next is the **Department Contact** box.  
- This is where you enter who in the Department you are working with on the Sub.

**Other Subcontract Details**

<table>
<thead>
<tr>
<th>Dept Contact</th>
</tr>
</thead>
</table>

Now you will see the rest of the short form are **User Defined Fields (UDFs)**. We did this so that we could gather more information about our subs and be able to run reports off of them.

In the **Subcontract Officer** field, select yourself.

**Animal Subject UDFs** are used when the Sub-PI is conducting a project that involves Animals.  
- A protocol must be approved and present for each year of a project.

**Conflict of Interest UDFs** are used to document whether CU’s PI has a Conflict of Interest and if so, what is the nature of the COI and is there a management plan in place. This will be checked using the DEPA database.
The **Cost Share UDFs** are used when the Subcontractor is expected to commit cost share to the project. If there is Cost Share it is important that we know either the amount of money promised or the percentage of the project funds that have been promised and also what is the cost share type that has been committed.

There are six options or types:

- 3rd Party In-kind
- AY Cost Sharing
- Equipment Cost Sharing
- Forfeited indirect cost
- GRA Cost Sharing
- Other

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### Cost Share User-Defined Fields

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost Share?</td>
<td>( )</td>
</tr>
<tr>
<td>Cost Share Amount</td>
<td>15 digit max including 2 decimal places.</td>
</tr>
<tr>
<td>Cost Share Percentage</td>
<td>%15 digit max.</td>
</tr>
<tr>
<td>Cost Share Type</td>
<td></td>
</tr>
</tbody>
</table>

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### Compliance User-Defined Fields

<table>
<thead>
<tr>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment/Fab</td>
</tr>
</tbody>
</table>

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### FFATA Report Required?  This is to notate whether the Sub is subject to the Federal Funding Accountability and Transparency Act.

<table>
<thead>
<tr>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>FFATA Report required?</td>
</tr>
</tbody>
</table>

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### FFATA Reports Details, this is the area where the Research Services Assistant will keep track of the FFATA reports that are submitted to fsrs.gov. There should be a report for every modification to the sub.

<table>
<thead>
<tr>
<th>Field</th>
</tr>
</thead>
<tbody>
<tr>
<td>FFATA Report Submitted Date</td>
</tr>
<tr>
<td>FFATA Mod#</td>
</tr>
</tbody>
</table>
5-18 Human Subjects is where the PI at the Sub is conducting research with Human Subjects. They are required to have an approved protocol every year of the project.

5-19 Reports is the area where we keep track of reports that the sub has submitted. These include A-133 audit reports, Progress Reports, and Technical Reports.

5-20 Small Business Qualification. This area captures two different pieces of information:
   - The first is whether or not the sub is classified as a small business and what type of small business they are.
   - The second piece of information is whether or not the sub is required to submit a small business subcontracting plan.
A sub that is classified as a small business is not required to submit a small business subcontracting plan. The small business subcontracting plan is required under a federal contract where the total funding exceeds $650,000. The plan outlines how the subcontractor will try to buy and sub to small businesses.
5-21 Travel, this area is designated to show whether the sub is going to be traveling, if there will be foreign travel and whether they need approval for that either CU’s or the Sponsor’s.

5-22 Other is the area where the miscellaneous information is collected. The DUNS number of the sub, what the Sub’s Entity type is, if it is a Federal Contract what is the DPAS rating, and what the purpose of the funding from the federal government is.

The Sub Entity types are:
- Associations and Foundations
- Federal
- Industry
- International
- State and Local Government
- University
- The CFDA # and Title have also been included under Other.
For each section that is applicable to the sub, you will select the add button and enter the information.

Next you will see the **Subcontract Status History**.
- This is where you will hit the add button and add each step of your status for each new and modification action on the sub.

Under that you will see the **Total Anticipated section. (This is the total amount the sub should be for, i.e. the total estimated cost.)**
Next is the Total Authorized Area.
- This is where we keep track of every modification to the sub.

<table>
<thead>
<tr>
<th>Total Authorized</th>
<th>Amount</th>
<th>Total</th>
<th>Notes</th>
<th>Date</th>
<th>Edit</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>12,000.00</td>
<td>12,000.00</td>
<td></td>
<td>10 Feb - 2014</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. Now you will complete for new subs the checklist, risk analysis, and cost/price analysis, and attach them in the Attachments folder under the sub and mod that you created.
   - For mods, you will might need to do a cost price if there is a new budget. Make sure you attach all of the paperwork in the attachments folder under the sub you are working on.
2. Run SAM.
3. Draft the subcontract in the Z: drive, working files, and send it out to the subcontractor.
4. Update the status history in the short form.
5. Once you have negotiated it and gotten it back and signed, complete marketplace on the sub and then update the short form status history.
III. Update the Workflow

1. Click on Awards

2. Click on the Blue Award File

3. Click on the Blue Award Increments Folder
4. Click on the Mod you are working on

5. Click on the middle of the page, Award Increment Status History

6. In the drop down box click **Sub Review Complete**.
Non-Routine Procedures

**Edit the Contact Information for a PI or Institution**

1. From the eRA dashboard, click **My Contacts**.

2. Click **Search Contacts**.

3. From the drop-down menu, select **Entity Name**.
   - *This should be the default search parameter.*

4. Enter the name of the subcontractor exactly as it appears on the short form.
   - *Or enter a portion of the name enclosed by wildcards (e.g. “penn*” to search for all subcontractors with “penn” somewhere in its name).*

5. From the search results, click the edit icon [ ] of the desired contact record.
A new window with a list of all contacts associated with the subcontractor will appear.

6. If not already selected, click on the desired contact in the list.

7. Click **Edit Profile**.
   - If this button does not appear in the contact box:
     a) From the “Show [contact]’s…” menu, select any other option (e.g. Contact History). Allow the screen to load.
     b) Then, from the same drop-down menu, select Business Card.
Edit and save the form.
Closeout Procedures

1. Open the **Attachments** folder.

2. Click **Add Components**.

3. Check the box for **CloseOut_CheckList**.
4. Click Add.

Add Initial Application Components

<table>
<thead>
<tr>
<th>Form Name</th>
<th>Type</th>
<th>Add</th>
</tr>
</thead>
<tbody>
<tr>
<td>CloseOut_CheckList</td>
<td>Conditional Use</td>
<td>✔</td>
</tr>
</tbody>
</table>

5. Open the CloseOut Checklist that has been added to the Attachments folder.


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SubContracts

Required ?

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7. Check the Required box – this will expand an area for the subs.

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SubContracts

Required ?

List of Subcontracts

<table>
<thead>
<tr>
<th>SubContract Number</th>
<th>PO Number</th>
<th>Sub CloseOut Check List</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Subcontract CloseOut_checkList</td>
</tr>
</tbody>
</table>

8. Enter the Sub Project Number and the PO Number for each sub on the award.