# Welcome to the Tri-University Research Administration Conference.

Your session will begin shortly. While you wait, please review the following reminders:

## Zoom Troubleshooting

**Issues with Audio**
Turn off headset/computer speakers and call in by phone for audio

**General Issues**
Log off and log back in using SSO

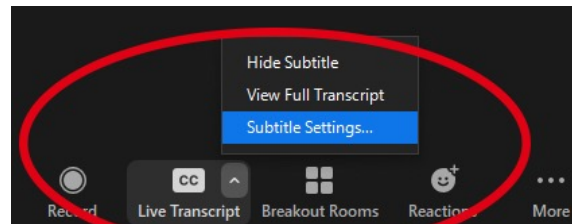**Technical Support**
Call 480-965-9065 Ext 1.

## About this Session

**Recording**
Today's session is being recorded and will be made available for later viewing

**Closed Captioning**
The Closed Caption/Live Transcript feature has been enabled. You can show/hide the CC via your meetings controls located at the bottom of your screen.



## We'd Love Your Feedback!

To help us plan next year's Tri-University Research Administration Conference, we would love to get your feedback.

If you want to provide feedback for the presenters of today's session, make sure to complete the survey you will receive via email at the end of the day.

# ASU's Subaward Invoicing Process: Do's, Don'ts and Why the Process Matters

Nicholas Petersen

# Systems

# Process Owners

**Proposal**
- Unit - Create subaward budget
- Unit - Provide supporting documents

**Grants**
- AMT - New Award: Create subaward account
- AMT - Modification: Modify subaward account end dates or funding
- AMT - Trigger task to Subawards Team

**Agreements**
- Subawards Team – New Award: Confirm supporting documents, draft subaward agreement, obtain PI approval, coordinate signatures, create purchase order (SCON)
- Subawards Team – Modification: Draft subaward agreement, coordinate signatures, update purchase order.

# ERA Awards

- Subawards Tab
  - List all subawards, active and expired
- List of accounts
  - Shows all accounts associated with the award.

Summary list of all Subawards/Subcontracts associated with Award:

| Subaward/Subcontract Totals: | | Obligated | Anticipated |
|---|---|---|---|
| | Totals: | $291,077.00 | $0.00 |

| ASU Subaward Contract # | Subrecipient | State | Obligated Start Date | Obligated End Date | Anticipated End Date | Current Obligated Amount | Anticip... |
|---|---|---|---|---|---|---|---|
| ASUB00000711 | AZ Space Technologies, LLC | Active | 10/28/2020 | 10/27/2024 | | $38,061.00 | |
| ASUB00000712 | Planetary Science Institute | Active | 10/28/2020 | 10/27/2024 | | $64,453.00 | |
| ASUB00000713 | Qwaltec, Inc. | Active | 10/28/2020 | 10/27/2024 | | $60,000.00 | |
| ASUB00000714 | Catholic University of America | Active | 10/28/2020 | 10/27/2024 | | $5,000.00 | |
| ASUB00000715 | KinetX Aerospace, Inc. | Active | 10/28/2020 | 10/27/2024 | | $123,563.00 | |

## Accounts

| Account | Account PI First | Account PI Last | Name |
|---|---|---|---|
| GR39304 | Craig | Hardgrove | SC - Catholic University of America - Lunar Polar Hydrogen Mapper - Part 2 LunaH-Map Phase E and F |
| GR39305 | Craig | Hardgrove | SC - KinetX Aersospace Inc - Lunar Polar Hydrogen Mapper - Part 2 LunaH-Map Phase E and F |
| GR39300 | Craig | Hardgrove | Lunar Polar Hydrogen Mapper - Part 2 LunaH-Map Phase E and F |
| GR39301 | Craig | Hardgrove | SC - AZ Space Technologies LLC - Lunar Polar Hydrogen Mapper - Part 2 LunaH-Map Phase E and F |
| GR39303 | Craig | Hardgrove | SC - Qwaltec Inc - Lunar Polar Hydrogen Mapper - Part 2 LunaH-Map Phase E and F |
| GR39302 | Craig | Hardgrove | SC - Planetary Science Institute - Lunar Polar Hydrogen Mapper - Part 2 LunaH-Map Phase E and F |

Information · GCO Notes · Deliverables · Modifications · Funding Allocations · Personnel & External Contacts · Subawards
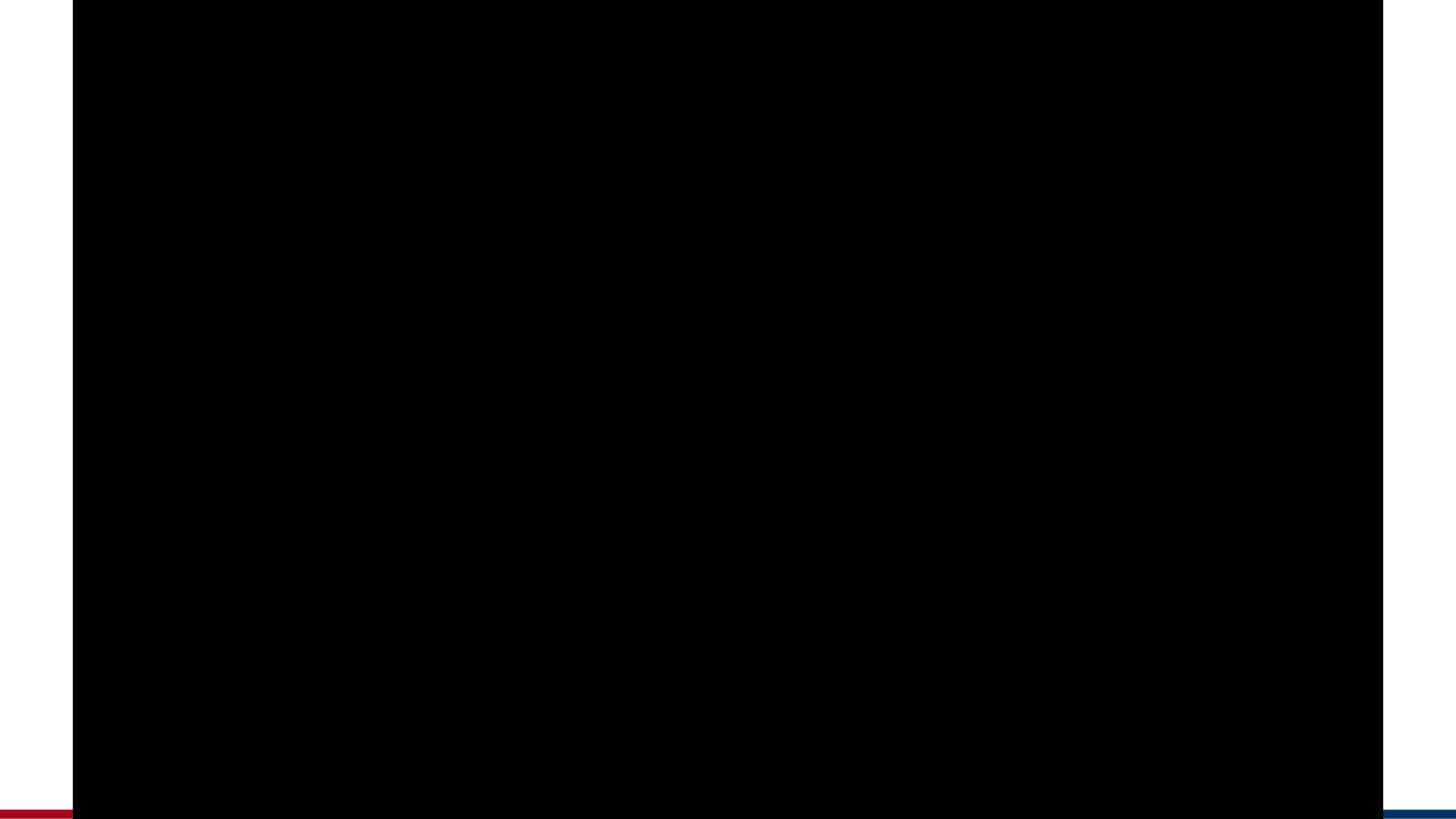
# Subawards Module

- Subaward Change History
  - Shows you the original subaward agreement and all modifications.
  - Clicking Task ID takes you to ERA Agreements module
    - SUB – Original Agreement
    - SMU – Unilateral Modification
    - SMB – Bilateral Modification

| | History | Subaward Change History | Invoices | Closeout | |
|---|---|---|---|---|---|

| Line No. | Task ID | Modification Number | Effective Date ▼ | Purchase Order # | Amount Obligated/Deobligated this action | Total Obligated Amount | Obligated End Date | Total Anticipated Amount |
|---|---|---|---|---|---|---|---|---|
| | SMB00002136 | 05 | 2/22/2021 | SCON-21-00000057 | ($52,920.00) | $22,447,215.00 | 7/5/2021 | $22,447,215.00 |
| | SMB00002108 | 04 | 2/2/2021 | SCON-21-00000057 | $12,210,135.00 | $22,500,135.00 | 7/5/2021 | $22,500,135.00 |
| | SMB00002098 | 03 | 1/11/2021 | SCON-21-00000057 | $5,040,000.00 | $10,290,000.00 | 7/5/2021 | $10,290,000.00 |
| | SMB00002087 | 2 | 1/4/2021 | SCON-21-00000057 | $2,500,000.00 | $5,250,000.00 | 7/5/2021 | $5,250,000.00 |
| | SMB00002046 | 1 | 12/18/2020 | SCON-21-00000057 | $1,250,000.00 | $2,750,000.00 | 7/5/2021 | $2,750,000.00 |
| | SUB00001193 | 00 | 7/16/2020 | SCON-21-00000057 | $1,500,000.00 | $1,500,000.00 | 7/5/2021 | |

Navigation Demo

# Roles and Responsibilities

## Award Management Team

- Subaward account setup
- Seek approval from sponsor for changes to scope of work or budget
- Seek approval to issue a subaward that was not included in the proposal
- Subaward invoicing
- Subaward closeout

## Subawards Team

- Review subrecipient commitment form
- Request subaward documents and sole source justification
- Draft Subaward Agreements
- Draft Subaward Modifications

## PI/RA

- Ensure that the subaward objectives/scope of work is proceeding as planned and described to the sponsor.
- Monitor the quality of work being submitted and identify issues that arise in a timely manner.
- Facilitate review of invoices for reasonableness, allowability and allocability.
- Review technical reports and other deliverables submitted by the subrecipient.
- Before providing approval to process an invoice, it is critical that the PI has received the required results and deliverables. This is the only opportunity to hold the other institution responsible for the work they were subcontracted to do.

# Award Management Team

## Subaward Invoicing Steps

- Subrecipient sends invoice to [awards.management@asu.edu](mailto:awards.management@asu.edu)
- AMT reviews invoice to determine is all information is included
  - First Invoice Review
    - Confirm that we have sponsor approval to issue subaward
    - Review subaward agreement to determine whether backup documentation is required
  - Confirm that certification statement is included on invoice per 2 CFR 200.415(a)
  - Confirm there are no accounting errors on invoice (current and cumulative expenses)
  - Final Invoice Review
    - Confirm closeout documents received
  - Submit invoice to accounts payable

# Grant Manager and Principal Investigator

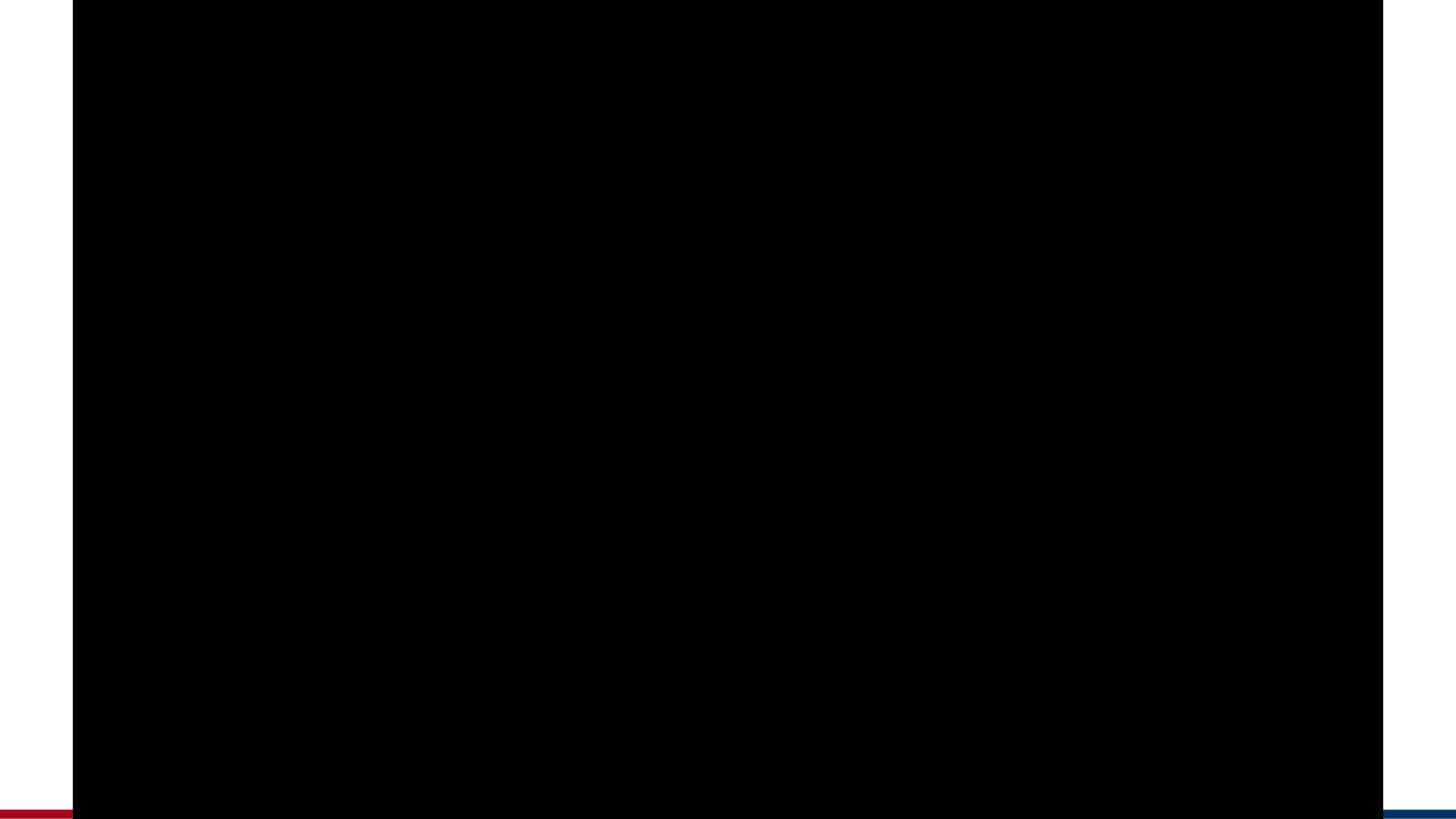# Subaward Invoicing Steps

- Grant Manager
  - Approval for payment serves as verification of the following:
    - The grant account is correct
    - The amount being reimbursed is correct

- Principal Investigator
  - Approval for payment serves as verification of the following:
    - The charges being requested are reasonable and allowable
    - The charges being requested fall within the subaward budget and statement of work
    - The required deliverables have been received (e.g., progress reports, equipment, technical reports, etc.)
    - Progress to date is satisfactory
  - If invoice should not be approved, use the Send Back button and add a note on why it is being rejected

# Tracking Subaward Invoices

- Workday Report - Subaward Supplier Invoice Tracking
  - Search by Award, Grant, Cost Center, Grant Hierarchy
  - Search for Approved or In Progress
  - Search for invoices during a specific period
  - Review approvals pending and days outstanding
- ERA Subawards

# Navigation Demo

# Best Practices

- Check Subaward Supplier Invoice Tracking report monthly

- Monitoring subaward expenses during monthly reconciliations
  - Identifying subawards where invoices have not been received
  - Reviewing burn rates
    - Is a modification needed for incremental funding?
    - Will there be a substantial budget balance?
  - Tracking cost share commitments
  - Review questionable expenses in coordination with PI

- Notify AMT if you see irregularities
  - Subrecipient Monitoring Risk Assessment
  - Modify subaward invoicing or reporting terms

Questions?