Outgoing Subawards

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Sponsored Projects Services
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Session Overview

- New Processes and Procedures
- Subaward Management & Monitoring
- Subaward Module
New Process and Procedure
Current Process Proposal

• Award is proposed that includes subawards
  
  • Department obtains the following from the subrecipient:
    
    • Statement of work
    
    • Budget and budget justification
    
    • Subrecipient F&A rate agreement (if applicable)
    
    • NASA Assurance of Compliance (if applicable)
  
  • Department completes the following:
    
    • Sole source justification
    
    • Budget negotiation
Current Process Award

• New award or modification comes in

• Department completes the following:
  • Subaward initiation/modification form to include the DUNS, subrecipient contact information, etc.
  • Initiates a requisition or purchase order amendment (POA)

• Subaward Team begins compliance checks and draft of award agreement or modification

• Once compliance checks and negotiations are complete, Subawards obtains signatures and then approves pending Financials document
Issues?

• No form in place to gather information from subrecipient

• Principal Investigators are not always familiar with the process of issuing a subaward

• If there is a Purchase Order Amendment (POA) in process invoices cannot be paid
New Process Proposal

• Award is proposed that includes subawards
  • Department obtains the following:
    • Subrecipient commitment form
      • Statement of work
      • Budget and budget justification
      • Subrecipient F&A rate agreement (if applicable)
      • NASA Assurance of Compliance (if applicable)
  
• Department completes the following:
  • Sole source justification
  • Budget negotiation

External Document to be provided to the subrecipient for completion!
New Process Award

- New award or modification comes in

- Subaward Team creates a subaward and negotiation record in UAccess Research (UAR)

- Subaward Team sends “Welcome Letter” to PI with a cc to Fiscal Officer or other business office contact

  - Explains the process and procedure to the PI along with next steps and required documents to be sent to the Subaward Team via email or campus mail

    - Proposal documents – commitment form, scope of work, budget, NASA Assurance, sole source, budget analysis

    - Subaward initiation form
New Process Award

• Subaward Team begins compliance checks and draft of award agreement or modification when requested documents are received

• Approval from department

• Negotiations

• Partially signed agreement
New Process Award

- Once we have a partially signed agreement, department initiates requisition or POA

- Requisition or POA is routed to Subawards, **subaward documents** will be **attached** to the **Financials** eDoc and the **UAR** Subaward record

- Subaward Team obtains UA Authorized Official’s signature

- Subaward Team approves requisition or POA

- Procurement and Contracting Services (PACS) assigns PO or completes PO amendment

Document is not pending while negotiations are underway
Subaward Management & Monitoring
Subrecipient Monitoring

• UG §200.328 – The non-Federal entity (UA) is responsible for oversight of the operations of the Federal award supported activities.

• UG §200.331 – All pass-through entities (UA) must . . . (d) Monitor the activities of the subrecipient as necessary to ensure that the subaward is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the subaward; and that subaward goals are achieved.
Management & Monitoring Overview

- Communication
- Technical progress
- Invoice payment
- Reports
- Desk audits
- Site visits
Subaward Invoice Language

• ARIZONA shall reimburse SUBCONTRACTOR for services rendered and costs incurred by SUBCONTRACTOR up to but not to exceed $100,000 to be paid *monthly*, upon submission of invoice and detailed system-generated financial reports during the period January 1, 2015 thru December 31, 2015

• ARIZONA will not pay SUBCONTRACTOR invoices that are not accompanied by detailed system-generated financial reports
• Each invoice, annual and final financial report is subject to Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards 2 CFR 200.415 - Required Certifications and MUST include or be accompanied by a certification, signed by an official who is authorized to legally bind the SUBCONTRACTOR, which reads as follows:

“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).”

• Within thirty (30) days after receipt of an invoice, ARIZONA shall notify the SUBCONTRACTOR in writing of any disallowed expenses
Management & Monitoring
Invoice Review

• Invoice review
  • Review for standard invoice elements as required (e.g. cumulative costs, billing period, certification, etc.)
  • Review for financial accuracy (e.g. budget categories, cumulative expenses recalculated, fringe costs, F&A calculation, etc.)
• Subrecipient payment and performance certification
Management & Monitoring
Invoice Review In-depth

• What is wrong with invoice #1?

• What is better about invoice #2?
Management & Monitoring
Invoice Review Continued

• What should you do if an invoice is problematic?
  • Request a revised invoice if data elements are missing or if calculations are not correct
  • No invoices?
  • Continuing issues?
Subaward Module
Subaward Module – UAccess Research

- Subaward
- Financial
- Custom Data
- Medusa
Questions/Comments?

Contact us!

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