TEXAS A&M SYSTEM
Sponsored Research Services

Subrecipient Monitoring Group Desk Manual

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Approver: Michele Lacey, Director

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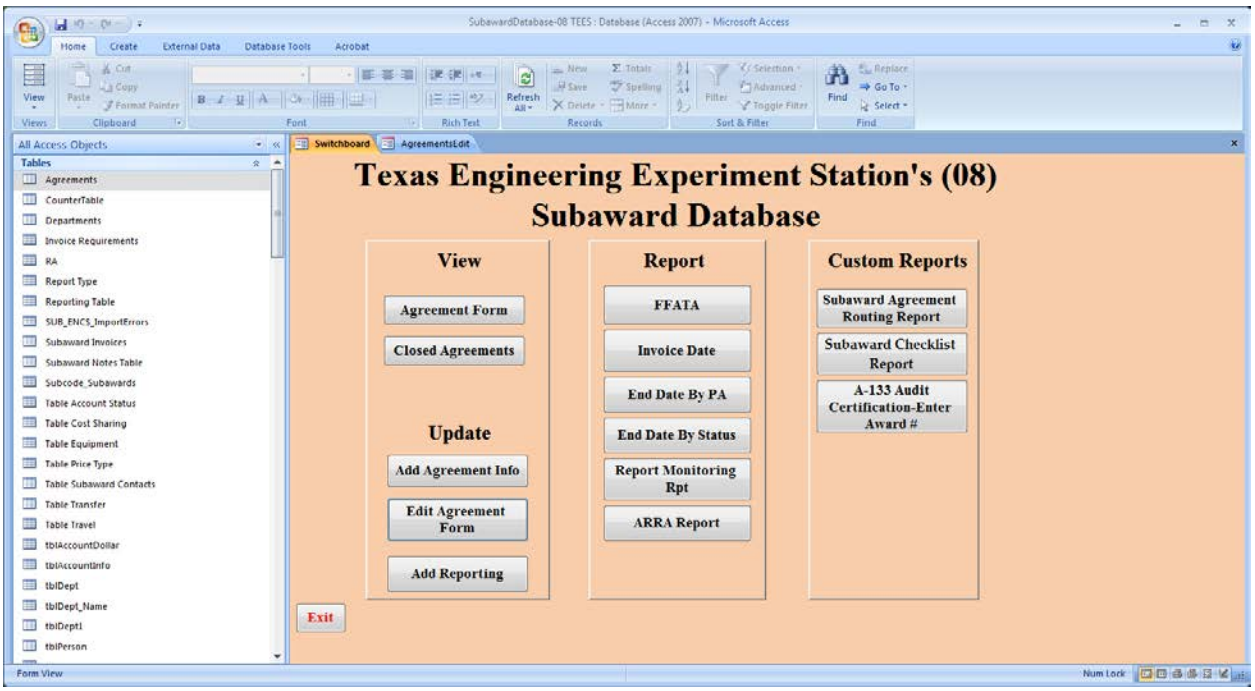
Setting Up a New Subaward

The Project Administrator will do the following in Maestro:

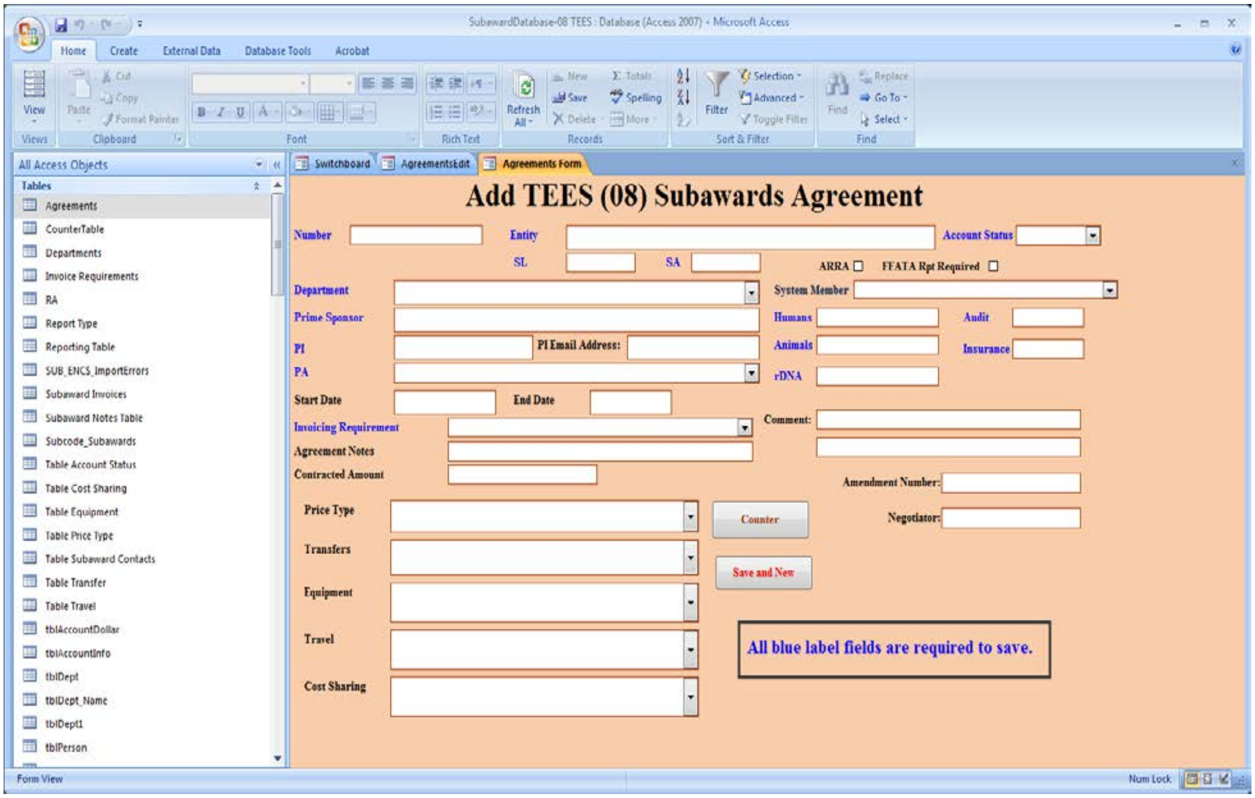
1. Project Administrators (PA) will create a Child from the Parent M#.
2. PA will enter Instrument Type, Start and End Date, Funding Type, Administrator and Subaward Name. (If Subaward name is not in Maestro please enter in Other and task SMG to add the Subawardee's Name.)
3. PA will enter the Subaward SL/SA accounting from the dropdown on the Billing Project on the left side.
4. PA will enter in the dollar amount under the Funding Period.
5. PA will Task SMG to let SMG know a new subaward is in process.

- ✓ Enter Subaward information on Access Database located at K:\Contracts and Grants\Subawards\SUBAWARDS\Database, then the system part for the Subaward.
- ✓ At the Switchboard tab, click on Add Agreement Info.



Go to your Desk Manual for New Subaward #'s, then to the correct System Part and highlight the next Subaward Number in the sequence. Example: Prairie View, 05-S130509.

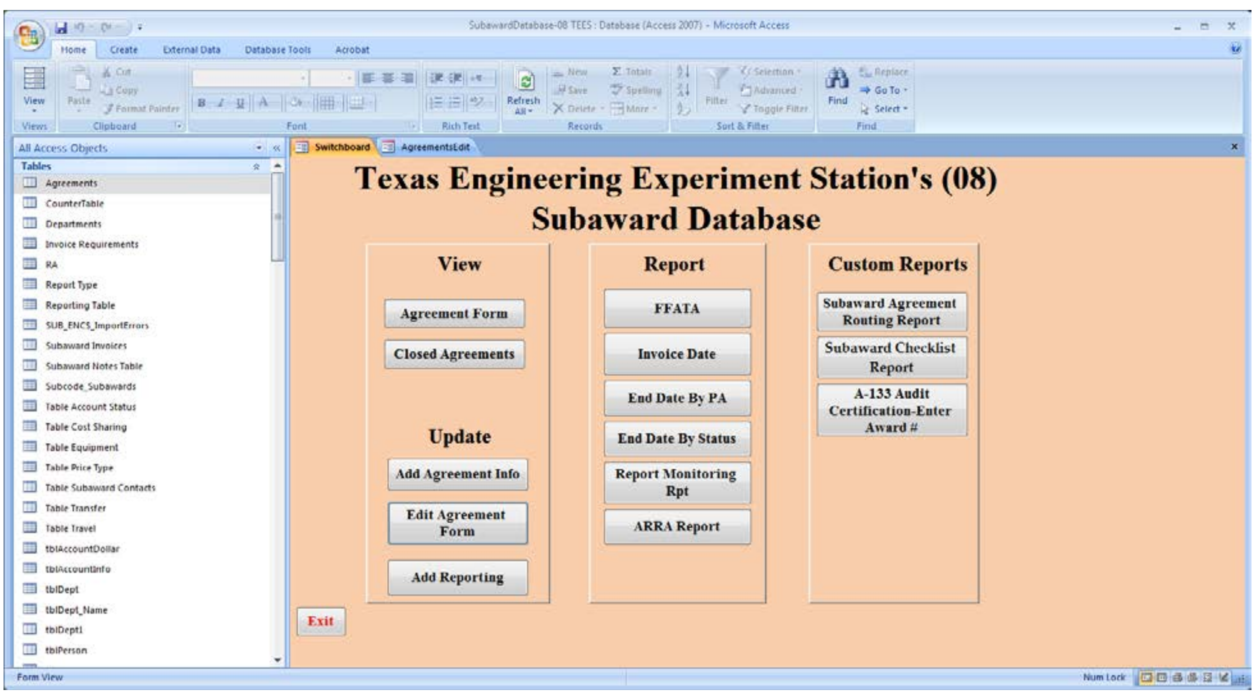
If the new Subaward is RF 99, then scratch through the System Part on that highlighted Subaward Number and write 99. Example: Prairie View, 99-S130509.



Number – Enter Subaward Number assigned from your Desk Manuel for New Subaward #'s
Entity – Name of Subaward
Account Status – In Progress
SL – Account / Project Number
SA – Support Account Number
ARRA –ARRA Funds if you have the info, otherwise leave blank at this time
FFATA –FFATA Funds if you have the info, otherwise leave blank at this time
Department – Our Principal Investigator's Department or Department listed. If not given – look on screen 850 in FAMIS under Principal Investigator's name, then x next to the name, enter, curser on Dept name, F2 will give the full name.
Prime Sponsor – Name of Prime Sponsor
PI – Our Principal Investigator's Name
PI Email Address – Our Principal Investigator's Email address
PA – Project Administrator; if not given – look on screen 8 or 52 in FAMIS under the account#
Start Date – Start Date of Subaward
End Date – End Date of Subaward
Invoicing Requirements – TBA if not given, otherwise use dropdown to best match
Agreement Notes – Put the M# in Maestro for the subaward
Contracted Amount – Enter Contract Amount
Price Type – Use dropdown if you have the info, otherwise leave blank
Transfers – Leave blank at this time
Equipment – Leave blank at this time
Travel – Leave blank at this time
Cost Sharing – Leave blank at this time
System Member – Use dropdown for system member part

Humans – Put an X at this time
Animals – Put an X at this time
rDNA – Put an X at this time
Insurance – Put an X at this time
Audit –

If we have an A-133 in Audit File on K:\Contracts and Grants\Subawards\SUBAWARDS, then open the most recent Audit File – Example: Audit 2013. Locate the Subaward Name. If there, then type that year. Example – 2013.
If we have an A-133 in Audit File on K drive, Contracts & Grants, Subawards, SUBAWARDS, then open the most recent Audit File and locate the Subaward Name. If there and the Audit has > $500,000 checked off at the bottom, then type >500K and year. Example: >500K2013.
If Fixed Price Agreement – Type Fixed Price
If Subawardee is Non US – Type Non US
If Subawardee is Federal – Type Federal
If Consultant Agreement – Type Consultant
Otherwise, If you do not know what type of Agreement and do not have an A-133 Audit, put an X at this time.
Comment – Leave blank at this time
Amendment Number – New
Negotiator – Subaward Negotiator's Name
All Blue label fields are required in order to save.
Click Save and New.



✓ A-133 Audit: Search the following locations for current year audit.
K:\Contracts and Grants\Subawards\SUBAWARDS Audit (current year). Example Audit 2013. Look to see if Subaward name is listed. Print PDF Audit for folder, change the year on "Audit" in Access and upload onto Maestro.
If not on file above, then check the Federal Audit Clearinghouse for the current fiscal year audit.

Go to http://harvester.census.gov/sac/
Click “Search The Single Audit Database” then click on “Find Audit Information” at the top of the page.
Click “Entity Search” and enter the entity name or EIN number in the box at the top of the page.
Locate the correct Audit year report and click on the link.
Save the document to Maestro under the subaward M# and to K:\Contracts and Grants\Subawards\SUBAWARDS Audit (current year).
If the entity or EIN cannot be found, print that page that says 0 records were found.

If we need an A-133 Audit, then at the Switchboard tab, Under Custom Reports, Click on A-133 Audit Certification – Enter Award #
Enter Subaward Number – Example 05-S130508. Click OK twice.
Email the Audit Certification form to the Sub Negotiator or Subawardee.

- ✓ Complete the Sub Risk Assessment Form for this new subaward and upload into Maestro.

- ✓ Go to ENTERING A SUBAWARD IN MAESTRO in your desk Manual to enter the New Subaward in Maestro.
  Upload Sub Risk Assessment, A-133 Audit (if you have it), and set-up documents (Sams page, Vendor Compliance, Texas Debarred List and Vendor Hold) in Maestro under Initial Documents.

Sub Risk Assessment Forms

The Subrecipient Risk Assessment form is to be filled out for all new subawards except for intra system subawards.

Fill in Subaward Name, Proposal # (TEES is the Contract #), Project/Agreement # (TEES is the Project number only), and Maestro # above the Project/Agreement #.

Fill in Total Award (FAMIS Screen 9 or Actions in Maestro under Award; TEES on parent Project Epik)
Subaward Total and FY (current Fiscal Year)
Below use the drop down arrow to fill in 1 through 10.

1. Amount of Subaward (Low is < $500K, High is > or equal to $500K)
2. Percentage of Award Subawarded (Low is < 50%, High is > or equal to 50%)
3. Foreign or Domestic (Low is Domestic, High is Foreign)
4. Organization Type (Low is State, Federal, University, Medium is Non-Profit, High is Industry)
5. Cost Sharing (Low is No, High is Yes)
6. Research Compliance on Subaward (Low is No, High is if any are checked: Human, Animal, Biohazards, and Hazardous Chemicals)
7. Export Controls (Low is No, High is if either is checked: ITAR/EAR, Foreign Nat’l Restrictions)
8. State of Texas Vendor Hold https://cpafmprd.cpa.state.tx.us/tpis/search.html and Visual Compliance https://www.visualcompliance.com/logon.html. Restricted Party Screening, enter Subawardee Name for Fuzzy Level 4. Print screen: https://www.sam.gov/portal/public/SAM/. Enter Subawardee Name, check to see if “Has Active Exclusion?” For the State of Texas Debarred Vendor List. http://www.window.state.tx.us/procurement/prog/vendor_performance/debarred/; check to see if Vendor Name is on the list.
9. Print screen (Low is No for all, High is Yes for any)

10. Audit Report (Low is A-133 contains No Findings, Medium if either are checked :A133 contains findings related to SRS Project or just contains finding, High is No A-133 Audit Report)
11. Program Complexity (High any are checked: ARRA Award, Advanced Payments, or Federal Sponsor, Low if none are checked)

Completed by: Subaward Monitoring Group personnel
Date: date completed
Reviewed by: Subaward Negotiator
Date: fate reviewed

Issues: Type any issues there may be with this subaward
Follow-up: Type how to follow-up for High Risk and how it will be managed

If Overall Risk is Low 0-30, then Subaward Negotiator signs
If Overall Risk is Medium 31-50, then Director signs
If Overall Risk is High 51-66, then the Director signs and gives to the system member for signature.

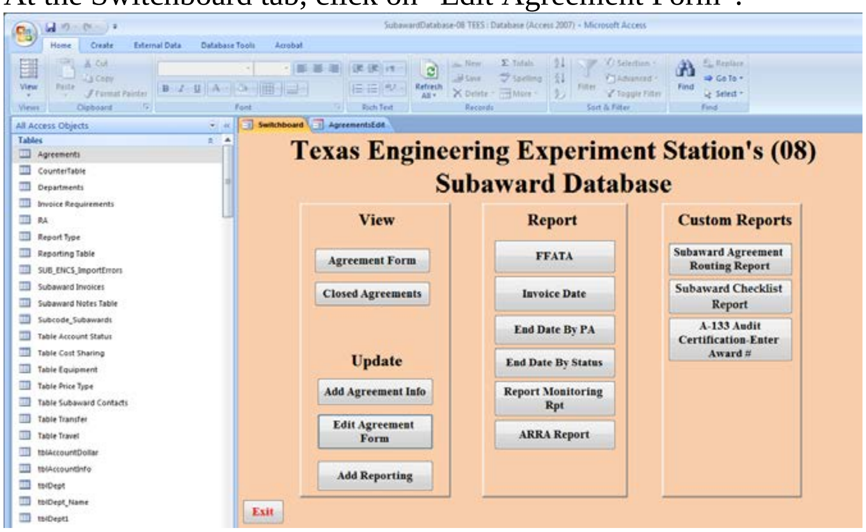
Upload into Maestro under Negotiation Documents, Subaward Risk Assessment as document type.

Setting Up An Amendment to a Subaward

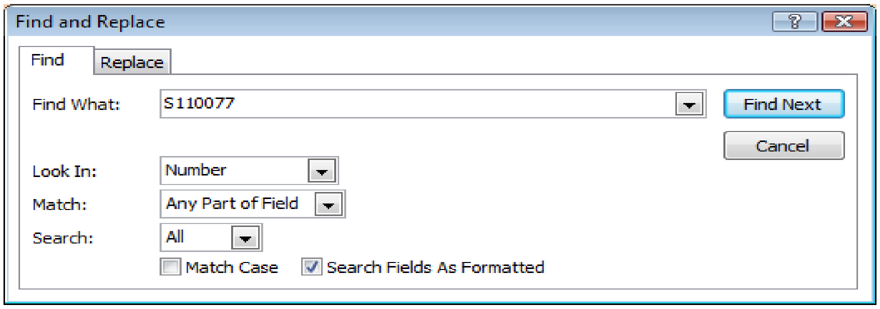
Upon notification from the Project Administrator via task on Maestro:
Pull Subaward folder from file room.

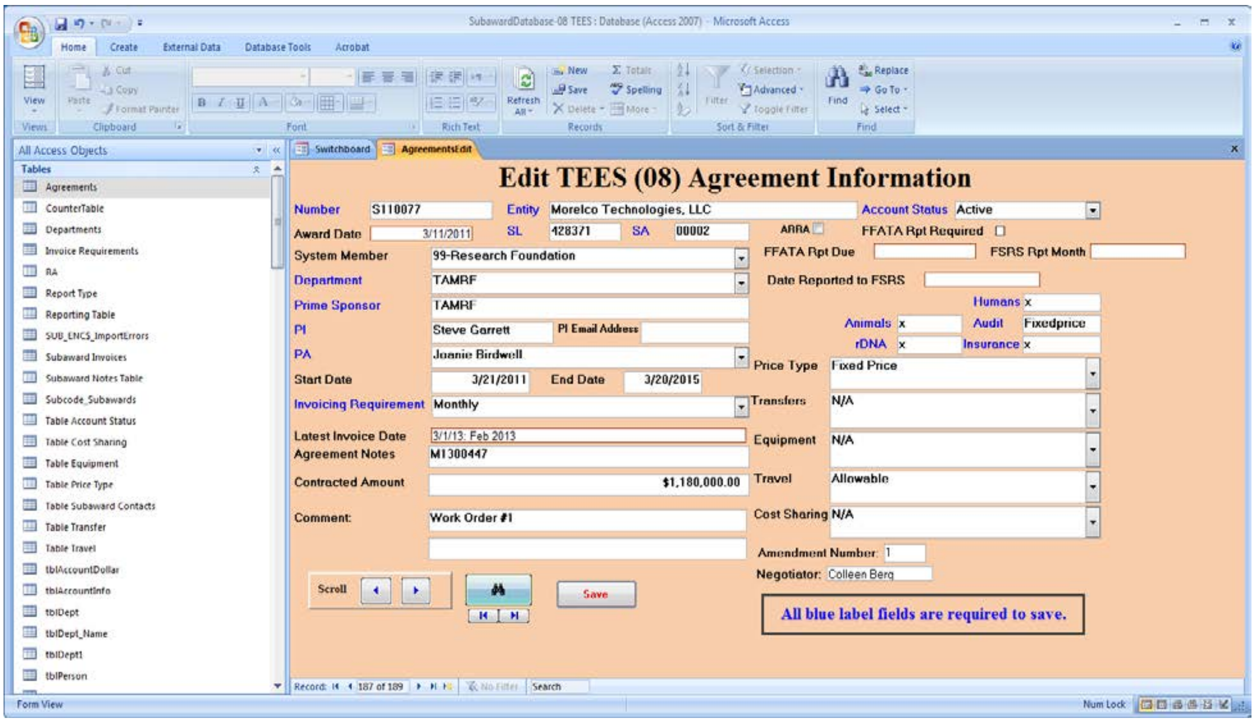
Enter Subaward information on Access Database located at [K:\Contracts and Grants\Subawards\SUBAWARDS\Database]() then the system part for the Subaward.

At the Switchboard tab, click on "Edit Agreement Form".



Put the curser on Number field. Use the binoculars to search for Subaward number amending. Example Subaward S110077. Click Find Next. Close window.





Change Account Status to “Amend in Process”. Agreement Notes type “Amend” and date. For example: Amend 5/1/13.

Change Amendment number to the next in sequence. For example: If New, change to 1.

Click the Save button and close the “Edit Agreement Form”.

Check to see if A-133 Audit is current by the following steps:

- K:\Contracts and Grants\Subawards\SUBAWARDS\ Audit (current year). Example Audit 2013. Look to see if subaward name is listed. Change the year on ‘Audit’ in Access and upload into Maestro.

If not above, then check the Federal Audit Clearinghouse for the current fiscal year audit.

- Go to http://harvester.census.gov/sac/
- Click “Search The Single Audit Database” then “Retrieve Records.
- Click Entity Search and enter the entity name or EIN number in the box at the top of the page.
- Locate the correct Audit year report and click on the link. Upload in Maestro and on K:\Contracts and Grants\Subawards\SUBAWARDS Audit.

- Send copy to Intermediate Accountant for review.

If the A-133 Audit is needed, the go to Switch Board, under Custom Reports, click “A-133 Audit Certification-Enter Award #”. Enter Subaward Number, click OK, click OK again and email to Subawardee.

Go to ENTERING A SUBAWARD IN MAESTRO in your desk Manual to enter the Amendment in Maestro.

Upload any emails to start up this Amendment to the Subaward that you may have in Maestro.

Task to the Subaward Negotiator in Maestro.

Suspense Reporting

Once the Subaward has been emailed to the Subawardee by the Negotiator:

- Go to K:\Contracts and Grants\Subawards, Suspense Reporting
- Under the department tab, input the sub number, account, subawardee name, date, sent via (email, mail, call) and the email address, mailing address or phone number.
- Sub Negotiator will enter “Sent for External Signature” in Maestro Negotiation/Review History.

When first Suspense, put 2 weeks later date under the date sent in Suspense Reporting – this will let you know to contact the subawardee if you do not receive the signed contract prior to then.
After contacting the subawardee in 2 weeks, contact the subawardee weekly either by email and/or call.

Go to Maestro under Negotiation/Review History each time and add status “Status Check (w/in suspense).”

If a partially executed agreement is not received by the third time contacting the Subawardee, then let the sub negotiator and see what the sub negotiator wants to do next.

Go to Maestro under Negotiation/Review History and add status “Status Check (w/in suspense)”.

Once you receive a signature from the Subawardee, look over the agreement to make sure that the Subawardee did not change anything on the agreement. If any changes were made, give the agreement to the Sub Negotiator to look over. If no changes, go to Suspense Reporting and put “PE to (Director)” under the account number/Subawardee name and date received.

Go to Maestro under Negotiation/Review History and add status “Sent for SRS/System Member Signature”. Description should be File to Director’s name.

Email the appropriate Director for signature using the following format: Please sign the attached Partially executed agreement. Once signed, please forward the fully executed agreement to srssubawards@tamus.edu. Attach the partially executed agreement and routing sheet.

Once returned from the Director with a Fully Executed Agreement, in Suspense Reporting put "Fully Executed" and date. Move the Subawardee record under the Completed tab for the current fiscal year in Suspense Reporting.

Go to Maestro under Negotiation/Review History and add status "Fully Executed". Description should be "email PI, PA, SN and Subawardee".

Example:

Suspense Reporting

Sub	Account	Subawardee	Date	sent via	
12-S120008	600451-00001	Texas Southern University	9/12/2012	email	brucece@tsu.edu
			9/27/2012	email	brucece@tsu.edu
			10/4/2012		

Example Completed:

Suspense Reporting

Sub	Account	Subawardee	Date	sent via	
12-S120008	600451-00000	Texas Southern University	9/12/2012	email	brucece@tsu.edu
	File to Michele 10/1/12		9/27/2012	email	brucece@tsu.edu
	Received Signed agreement	10/2/2012			

Return of Fully Executed Subaward

Suspense Reporting File, Access Database, Maestro and Excel Encumbrance Spreadsheet will need to be updated.

Suspense Reporting File on K:\Contracts and Grants\Subawards, Suspense Reporting file go to the correct system part tab. Under that system part tab, look for the subaward number and put "Fully Executed" and date. Cut and paste the subawardee record under the Completed tab for the current fiscal year in Suspense Reporting. Reference "**Suspense Reporting**" instructions in desk manual.

Scan the Fully Executed Subaward Agreement to your email. Save as a PDF. Email the Scanned Agreement as an attachment with the following form letter to the subawardee copying the Project Administrator, Sub Negotiator and Principal Investigator:

Subject: FE to Subawardee

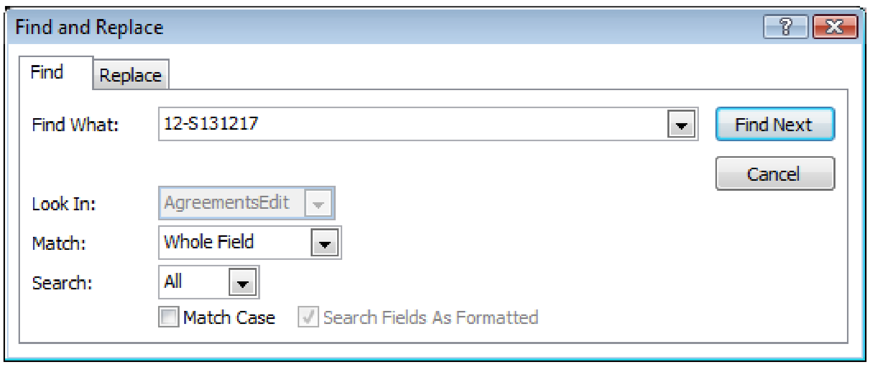
Attached for your records, please find fully executed Research Subaward Agreement S________, between The Texas A&M _______and _________.

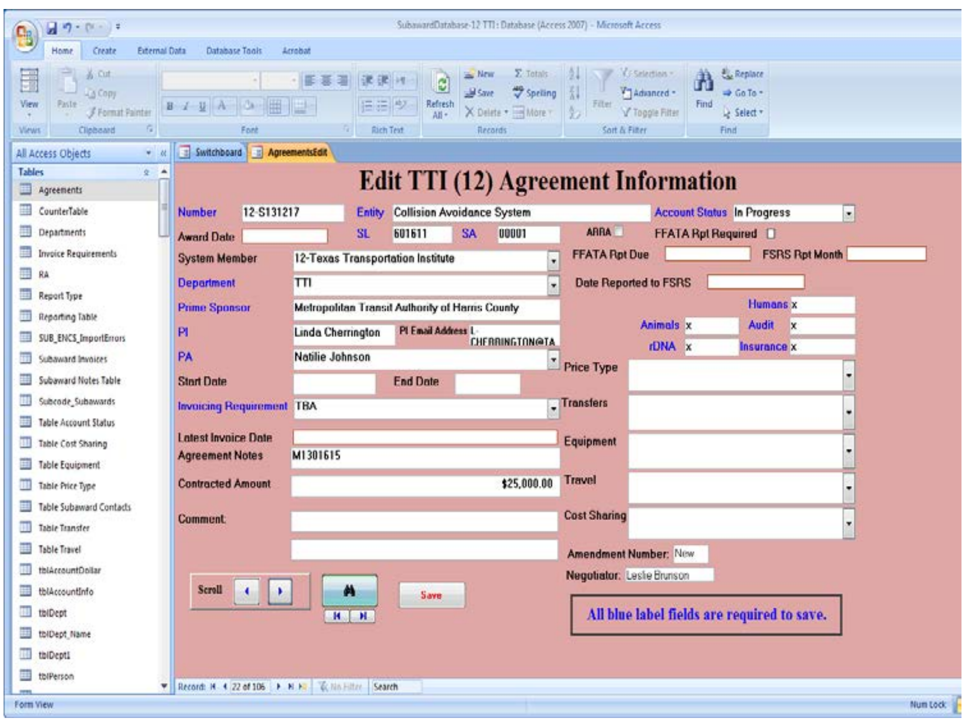
Project Title:

Should you have questions, please reply via this e-mail.

Have a wonderful day,

In the **Access Database** on [K:Contracts and Grants, Subawards, SUBAWARDS, Database, SubawardDatabase](), system part, click on Edit Agreement Form.
Search for the Subaward number by positioning the curser on the “Number” Box and clicking on the binoculars, entering Subaward number, and click search. Then close the search box.





Change the Account Status to Active.

Enter Award Date – this is the last signed date on the Subaward Agreement.
Make sure the SL and SA are correct.
Look at the Terms and Conditions under Subawards inMaestro to see if the following are required:

FFATA reporting required. If required, click the box next to FFATA. Fill in the following fields-

FFATA Rpt Due is the end date of the following month and FSRS Rpt Month is the following month.

Humans, Animals, rDNA protocols from the Subawardee. In Maestro, check PI Compliance which the Subaward Negotiator would have filled out. If one is marked 'Yes,' then go to Compliance in Maestro and make sure the Status is Active (by compliance) and a protocol has been uploaded.

For example, Animals put end date (6/30/15) that is listed on the protocol. IF required but no paperwork, contact the Subaward Negotiator to get the paperwork. **DO NOT PAY** invoices until received paperwork and Compliance has put Active status in Maestro.

Insurance required from the subawardee. Email a copy of the Insurance Certificate to rms-insurance@tamus.edu.

Look at the Fully Executed Subaward Agreement for updating Access Database on the following:

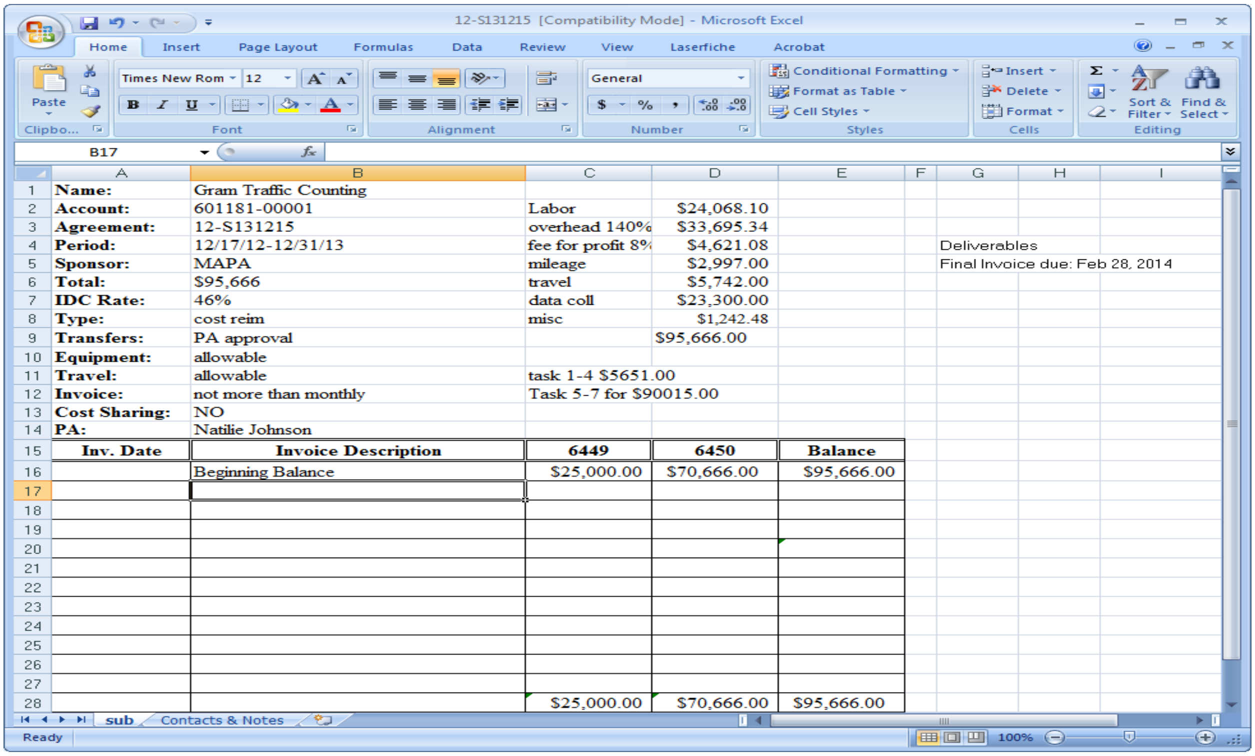
Start and End Date, Invoicing Requirement, Contracted Amount, Price Type, Transfers, Equipment, Travel, and Cost Sharing.

Click Save.

Start a new **Excel Encumbrance** sheet on the K drive, Contracts and Grants, Subaward, SUBAWARD, Encumbrances, system part, click on 000-Template.
Enter the following information from the subaward and FAMIS:

- Name: Name of Subaward
- Account: SA and SL
- Agreement: Subaward number
- Period: Start and End date of the Subaward
- Sponsor: Sponsor Award Name
- Total: Total dollar amount of Subaward
- IDC Rate: Indirect Cost Rate %
- Type: Cost Reimbursable or Fixed Price
- Transfers: Allowable, restrictions
- Equipment: Allowable, restrictions
- Travel: Allowable, restrictions
- Invoice: Period of invoicing. For example, Not more than monthly
- Cost Sharing: How much or None
- PA: Project Administrator

Enter the Final invoice due: example, Final Invoice due 60 days after end date.
Put the correct object codes and dollar amounts. Put the Budget at right top of Excel form. (If Modular Budget – means no budget is required). Add Cost Share Column if applicable. List deliverables on the right side of the Excel form. Above the Budget, enter M# from Maestro.



	A	B	C	D	E	G
1	**Name:**	Gram Traffic Counting				
2	**Account:**	601181-00001	Labor	$24,068.10		
3	**Agreement:**	12-S131215	overhead 140%	$33,695.34		
4	**Period:**	12/17/12-12/31/13	fee for profit 8%	$4,621.08		Deliverables
5	**Sponsor:**	MAPA	mileage	$2,997.00		Final Invoice due: Feb 28, 2014
6	**Total:**	$95,666	travel	$5,742.00		
7	**IDC Rate:**	46%	data coll	$23,300.00		
8	**Type:**	cost reim	misc	$1,242.48		
9	**Transfers:**	PA approval		$95,666.00		
10	**Equipment:**	allowable				
11	**Travel:**	allowable	task 1-4 $5651.00			
12	**Invoice:**	not more than monthly	Task 5-7 for $90015.00			
13	**Cost Sharing:**	NO				
14	**PA:**	Natilie Johnson				
15	**Inv. Date**	**Invoice Description**	**6449**	**6450**	**Balance**	
16		Beginning Balance	$25,000.00	$70,666.00	$95,666.00	
28			$25,000.00	$70,666.00	$95,666.00	

Save as the Subaward number. Example: 12-S131201

Go to the Subaward Agreement Routing form and do the following:

Initial and date by Document Signed and Subaward Agreement Fully Executed: check off Update Maestro; Copy of Final Agreement Sent to Principal Investigator, PA, SN and Sub; and File with Insurance Certificate to Henry Judah (if applicable).

Initial and date by Subrecipient Awards Processor: check off Database; Deliverables; Encumbrance Sheet, Proof Scanning; and W-9/Non US Citizen Forms and CCR registration to Charlotte Salas. (Follow the "**W-8'and W-9's**" instructions in the desk manual.)

Initial and date if applies by For Intra System Subs- email fully executed to Awards Processing to start setup. Put the following note with the copy of the fully executed agreement: "Please establish a new Intra System account under system part (Subawardee side) for this subaward system part (initiating the subaward). Subaward PI and Dept: (list PI name and dept)."

Go to **Maestro** under Negotiation/Review History for that subaward and add status "Fully Executed". Description should be "email PI, PA, Sub and SN". Reference "Entering a Subaward in Maestro" instructions in the desk manual.

Check General page, Personnel, Sponsor Contact, PI Compliance Statement, Compliance, and Terms & Conditions to make sure everything was entered correctly.

Upload the Fully Executed Agreement under Fully Executed Documents, Document Type is Contract and Document Description is Fully Executed Agreement.

Scan and Upload the following Documents in Maestro under Initial Award Related Documents and label accordingly:

Document Type: Other; Description: Documents for FE to PI, PA and Sub email

Sams page, Visual Compliance, Vendor Hold and Texas Debarred; Set up Documents.

Document Type: Subrecipient A-133 Audit; Description: Audit and year.

Document Type: FCOI Investigator List; Description: FCOI

Document Type: Correspondence; Description: Correspondence
Negotiations letters, emails and correspondence.
Document Type: Subrecipient Risk Assessment; Description: Sub Risk Assessment

W-8's and W-9's

For Prairie View, TTI, HSC, Agrilife and Other System Parts

Email W-8's and W-9's received for Prairie View system part 05 to Alicia Thomas at arthomas@pvamu.edu to be set up in FAMIS on system part 05.

Email W-8's and W-9's received for TTI system part 12 to Donna Harrell at d-harrell@tti.mail.edu to be set up in FAMIS on system part 12.

System part 23 W-8's and W-9's go to Joyce Porch in Accounts Payable to be set up in FAMIS.

System part 06 ,07, and 20 W-8's and W-9's are uploaded into Laserfiche. See "**Importing PDF's W-9 or W-8's into Laserfiche**" in desk manual.

System parts 01, 02, 10, and 99 W-8's and W-9's go to Charlotte Salas to be set up in FAMIS.

System part 08 W-8's and W-9's go to adrienneP@tamu.edu to be set up in Epik. Fill out and email the W9 TEES form with the W8 or W9.

Importing PDFs W-9 or W-8's Into Laserfiche

For Texas AgriLife Research and Texas AgriLife Extension Service

1. Go to Work in Progress – OSRS
2. DISB Approval Pending
3. Subrecipient Monitoring
    a. Import PDF document in TIF format (see below)
    b. Right Click to Cut
4. Work in Progress – Disbursements
    c. Either TCE or TAES depending on which system part uploading
5. Vender Request
    d. Paste W-9 or W-8

TIF Format:
With Laserfiche open, select Tools>Options>New Documents>Settings. On this screen in the importing PDFs section, check the "Generate Laserfiche pages" block and also check the "Preserve PDF annotations on Laserfiche Pages" block. Leave the "Keep original PDF files" block unchecked. Also make sure the radio button for "Make each file a separate document" is selected.

To Import:

With Laserfiche open, select File>Import and browse to and select the file you want to import then click on “Import”. On the screen that pops up, be sure it is importing to the correct folder, that the Volume indicated “DEFAULT” and that the “Generate searchable text” and “Generate Laserfiche Pages” are checked. Then click OK. The document is then imported into Laserfiche as a TIF Format file.

Federal Funding Accountability and Transparency Act (FFATA) Procedures

Required for recipients of federal grants and/or contracts to disclose information about their first tier sub-recipients and sub-contractors.
Information is published on http://usaspending.gov/.
Reporting required on all 1st Tier Subawards written on federal prime awards with an obligation date (signature date) of 10/01/10 or later. NO 2nd tier subs included.
Only pertains to Subawards greater than or equal to $25,000.00. Only Federal Sponsors.
Vendor reporting not required on prime grants (only prime contracts).
ARRA grant awards are not reported on both https://www.fsrs.gov/ and http://www.recovery.gov/arra/FAQ/Pages/RecipientReporting.aspx (contracts are reported on both).
Must be reported no later than the end of the month following the month of obligation (last signature date).
Information reported on https://www.fsrs.gov/.
Prime awardees are required to register in SAMS, subawardee are not.
Information to be reported:

> Subawardee DUNS number, Name, Address, Amount of award, Obligation date, NAICS code or CFDA code, Program source, Subawardee primary place of performance, and Subawardee number.
> Top 5 highly compensated officials if:
> More than 80% of annual gross revenues are from the Federal Government, and those revenues are greater than $25M annually; and
> Compensation information is not already available through reports filed under section 13(a) or 15(d) of the Securities Exchange Act or section 6104 of the Internal Revenue Code.

Award title descriptive of the purpose of each funding action.

When setting up the subaward, determine whether or not the subaward is subject to FFATA reporting. If so, check the FFATA report required box in the Access Database and mark the Subaward folder with FFATA stamp.
After receiving the fully executed Subaward, determine the date the FFATA report is due and enter the due date box in Access Database .
Look through the Subaward and make sure all required information has been received including 3B page 1 and page 2. If not, request required information from the subawardee.
Logon to https://www.fsrs.gov/, then find the prime award, and click Create a Report.
Fill out the report in its entirety.
Review the report to ensure accuracy.
Submit the report.
Print the report and the report submission confirmation, file in Subaward File
Scan into Maestro, Document type – Other, Description – FFATA and the date
Enter date reported in Access Database in the “Date Reported to FSRS” box.

Each time an amendment is done (either giving more funds or taking funds away) go into the FSRS report and reopen to edit it. Change the award date and amount awarded and resubmit the report. Print the report and the submission confirmation page. Get a 2nd person to review; initial and date. Scan into Maestro, Document type – Other, Description – FFATA and the date
Update the date in Access Database.

If Grant award is not on "Worklist" tab, find Grant under Grants Not Added and add to worklist Subaward Description – Title.

Requesting A-133 Audit and/or Financial Report Information

On an annual basis, SRS will take the following actions with respect to each subrecipient active agreement:
Each year, an Audit Certification form is emailed to each subrecipient. When the form is received, the database is updated to reflect that the current year's audit report has been received. Upload in K:\Contracts and Grants\Subawards\SUBAWARDS\Audit FY and Maestro/Epik under that subaward. Follow up every 90 days with any subrecipient that does not return the signed form.
If after 3 requests, the subrecipient fails to respond or provide a corrective action plan, SRS may determine that subsequent invoices from such subrecipient should not be paid until such actions are taken. In the event a subrecipient' s audit has reportable findings or material weaknesses, the Intermediate Accountant will review the audit and determine if further action is needed.

The following subrecipient types are not required to submit an audit:
Vendors
Consultants
Non US Entities
Fixed Price Agreements

Classing Invoices

Stamp all invoices we receive with the date stamp.
Review the invoice for the following information:

- Subaward number and Account number – if missing write on invoice
- Total current expenses
- Total agreement amount/obligated amount/ retention/ budget categories
- Period of performance
- Certification as to truth and accuracy of the invoice
- Back-up documentation if required by the subaward agreement
- Cost Sharing if required by the subaward agreement

If information is missing or incorrect on the invoice, contact the subawardee and request a correction and resubmission of the invoice.

Check the received date stamp on the invoice to make sure it is within the contract requirements of when the final invoice should be received.
If the received date stamp is past the contract requirement, then forward invoice to the Director Michele Lacey for approval to pay the invoice or reject the invoice.

Use Circular A-21 section J as a guide for receipts and charges on invoices for allowable expenses.

Request receipts for subawards that require receipts in the agreement if not provided with the invoice. Make sure the expense is allowable. Document if unable to get receipts. If the amount is in material and unable to get receipts, then document receipts not required for in material amount.

On the invoice, check the budget column against the current expenses column to ensure that they are charging according to the project budget.

Add the current expenses column and calculate the indirect charges to ensure that the math was calculated correctly on the invoice.

Add the total current amount to the total budgeted amount and subtract the balance from the encumbrance sheet. Verify this number matches the cumulative amount on the invoice.

If there are any discrepancies in the math or budget, contact the subawardee and request a correction and resubmission of the invoice, or provide an explanation as to why the invoice is correct.

If the invoice is correct, add it to the Access Database and Encumbrance sheet.

Select the system member Access Database search the subaward number and enter the invoice date and period at "Latest Invoice Date".

On K:\Contracts and Grants\Subawards\SUBAWARDS\Encumbrances \system part, subaward number to enter the following information:

- Invoice Date
- Invoice Description (invoice number and period of performance)
- Dollar amount of invoice under the correct object code
- Print Encumbrance sheet and put behind the Original classed invoice

Check screen 62 or 69 of the appropriate account in FAMIS to ensure the encumbrance sheet is correct.

Write the correct object classing code on the invoice, sign and date it. Enter Maestro number, S# and Account on invoice. Copy invoice for student worker to upload into Maestro.

Check to make sure the invoice was correctly saved in Maestro

The original classed invoice will go to Subaward Invoice box in Accounts Payable.

If FINAL invoice is received, follow the same procedures above and add Final in Access and Excel Encumbrance sheet FINAL next to the invoice period. Delete Final Invoice deliverable in Maestro.

Approving AgriLife Invoices in Laserfiche

Go to: TAMUS-AgriLife\Work in Progress - OSRS\DISB Approval Pending\Subrecipient Monitoring
Double click on the invoice you want to open. It will open in another window.
You will class the invoice as usual.
If it is okay to pay:

- Add your approval stamp
- Close the document
- Move the document to: TAMUS-AgriLife\Work In Progress - Disbursements-OSRS\Return from OSRS (for OSRS DISB)

If there is a problem with the invoice:

- Add a note to the document and/or email Jason Engledow or Airlene Hayes
- Close the document
- Move the document to: TAMUS-AgriLife\Work In Progress - Disbursements-OSRS\Return from OSRS (for OSRS DISB)

Object Class Code / Accounting Corrections

Changes can only be made for Current Fiscal Year.

On the "TAMUS Sponsored Research Services Journal Entry / Cost Transfer" form you can request from Accounts Payable. The following data will need to be entered:
Questions 1-4 and Purpose of the Journal Entry
Originated by:
Approval if Required: for >90 days old
Voucher #
Invoice #
Debit Account / to Account: Correct Account SL, SA, and Object Code
PO No: Subaward number SXXXXXX
PO Enc Obj:
Date:
Description/ Vendor Name: Subawardee Name
Amount: $
Credit Account / From Account: Incorrect Account SL, SA, and Object Code

Put a copy with Subaward.
Give form to Geraldine Royder once complete. If Director signature is required, get signature first then give to Geraldine Royder.

Past Due Invoices

Each month the Subaward Monitoring Group will go to ACCESS in [K:\Contracts and Grants\Subawards\SUBAWARDS\Database](K:\Contracts and Grants\Subawards\SUBAWARDS\Database)\system part.

Click **Invoice Date** button, print Invoice Date Report.

Look at the Latest Invoice Date column on far right hand side on report.

If the Subaward Invoice Requirement is Monthly or Not more often than monthly AND the Latest Invoice Date is earlier than the previous month, contact the Entity for an invoice.

If the Subaward Invoice Requirements are At least quarterly AND the Latest Invoice Date is more than 4 months prior, contact the Entity for an invoice.

If the Subaward Invoice Requirements are Upon job/task completion AND the Latest Invoice Date is more than 2 months prior, contact the Entity for an updated status of invoicing.

Note on Excel and Access file under Latest Invoice Date the email or contact date and info for invoice so it will show up on the report.

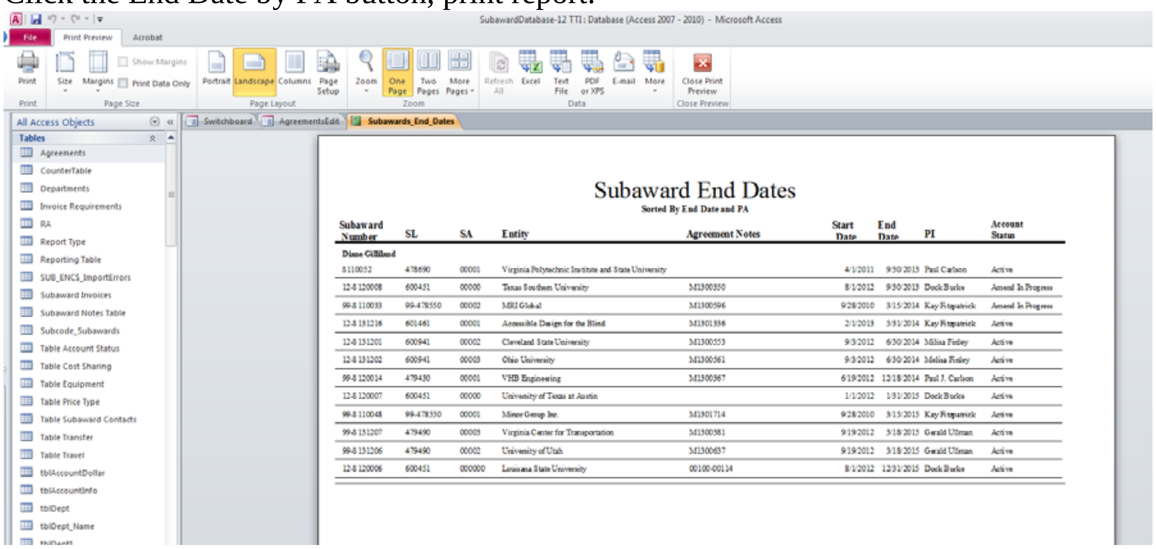
End Date By Project Administrator Reports

Each month run End Date by PA report on K:\Contracts andGrants\Subawards\SUBAWARDS\Database \system part.

This is a report for the Project Administrators that tells them basic information about the subawards that are associated with their projects. It lets them review all of their subawards to check if amendments need to be made or if any subawards need to be closed, etc.

This report is to be distributed once a month.

Click the End Date by PA button, print report.



Highlight the end dates of current month and older end dates.

Clip cover letter onto each PA's report and distribute to the appropriate PA. Example of what the cover letter should state:

Attached is a list of subawards associated with your projects. Please check the list carefully to see if any amendments need to be made or if any subawards need to be closed.
Please notify me of changes that need to be made to any of these subawards.
Thanks,
Gina Greig
ggreig@tamus.edu
458-5907

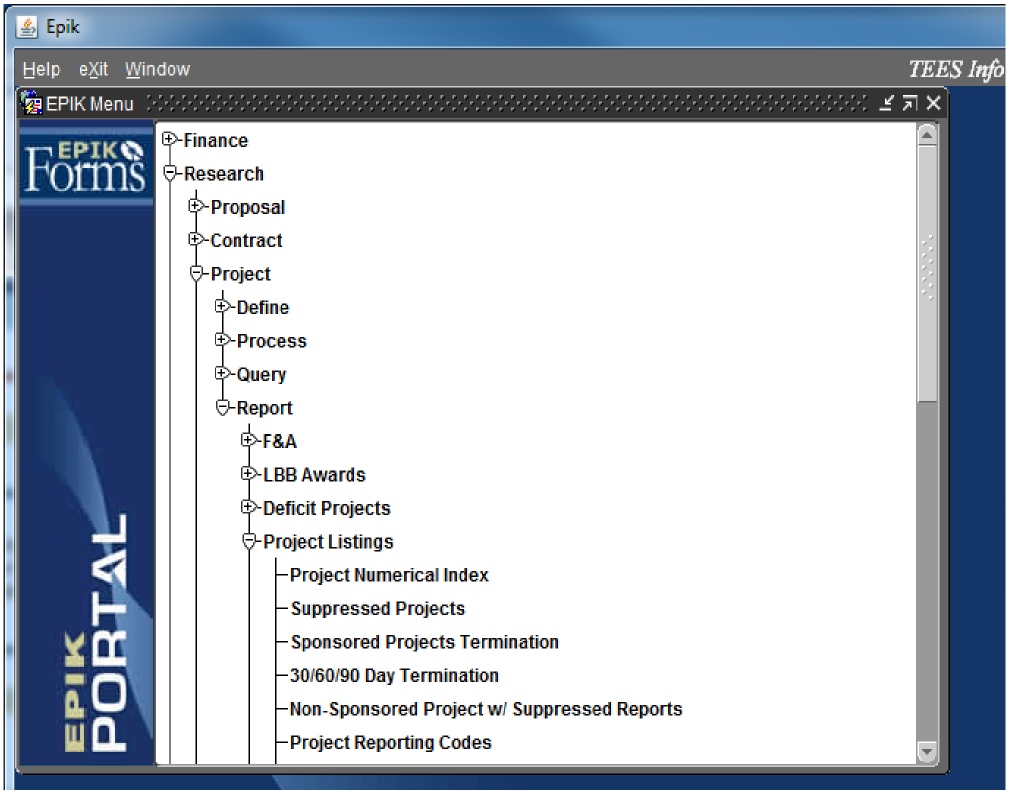
When report is returned, follow the instructions given by the PA.

Closing A Subaward

Upon notification from the Project Administrator to close a subaward:

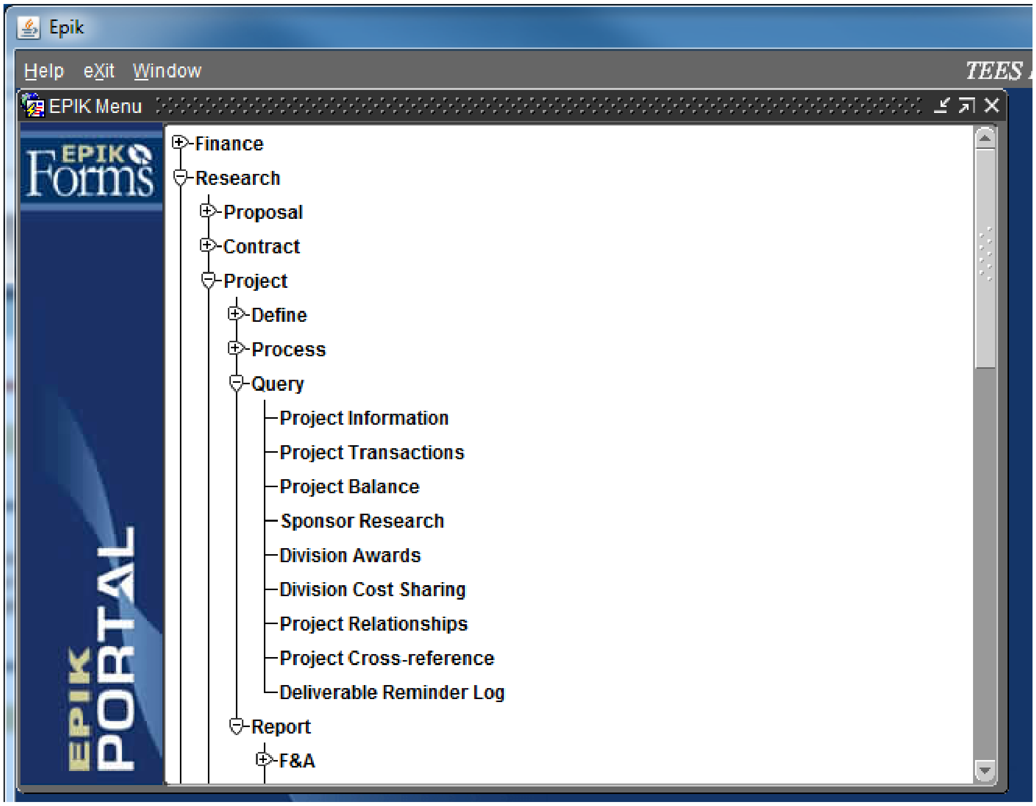
1. Pull subaward file from the File Room – student worker will do.
2. Open the Checklist for Closing a Subaward in K:\Contracts and Grants\Subawards\Checklist for Closing a Sub.doc
3. Enter the Agreement Number, Maestro Number, Account Number, Subawardee, Project Administrator, and Principle Investigator on the form.
4. Student worker will email the PI the following:
   Good Morning/Afternoon,
   The subaward with XXX on TAMUS Project XXX is currently being closed. I need to confirm for our records that all reports were received and work was satisfactorily performed.
   The remaining balance is $xx.xx.
   Please let me know via return email.
   Thank you for your time.
5. If audit report is due, email the subawardee and request a current audit. Update the database when received.
6. Check FAMIS screen 63 and the encumbrance sheet to ensure that the final invoice has been paid. If not, hold the closeout until it has been paid.
7. Check FAMIS screen 62 to ensure no encumbrances for this subaward remain. If an encumbrance still remains, email the PA to release the encumbrance. Student Worker will do this step.
8. Follow the instructions on the Checklist and check each box as the action is completed.
9. After completing the Checklist, scan the documents into Maestro as Other Documents, Comment "Closing documents". Student Worker will do this.
10. On General Screen of Maestro, change Project Status to Terminated. Student Worker will do this.

If the subaward is TEES, then add the following process to the instructions above:
Go to Epik under to Research, Project, Report, Project Listings



This will give a list by year and month of all accounts including Subawards that are closed in Epik. Either X, C or Z means the account is closed.

Email Arely Torres at arelytorres@tamu.edu the Project Balance report for the subaward closing. This report is in Epik, Research, Project, Query, Project Balance.



Add the statement to the email "Please transfer remaining balance back to the source project" "32577-B7390" when attaching the pdf of the Project Balance to the email.
If there are no funds left, then add the statement "The balance is zero for 32577-B7390"
Include the Subaward project number, and Maestro number on the Subject line. "Closing Subaward B7391, C13-00511"

If the subaward is canceled, then the PA needs to move the term date on the subaward up in order to close the subaward.

Agreement Number: ______________________________

Account Number: ______________________________

Subawardee: ______________________________

Project Administrator: ______________________________

Principle Investigator: ______________________________

Checklist for Closing a Sub-Award

☐ The Final invoice has been paid

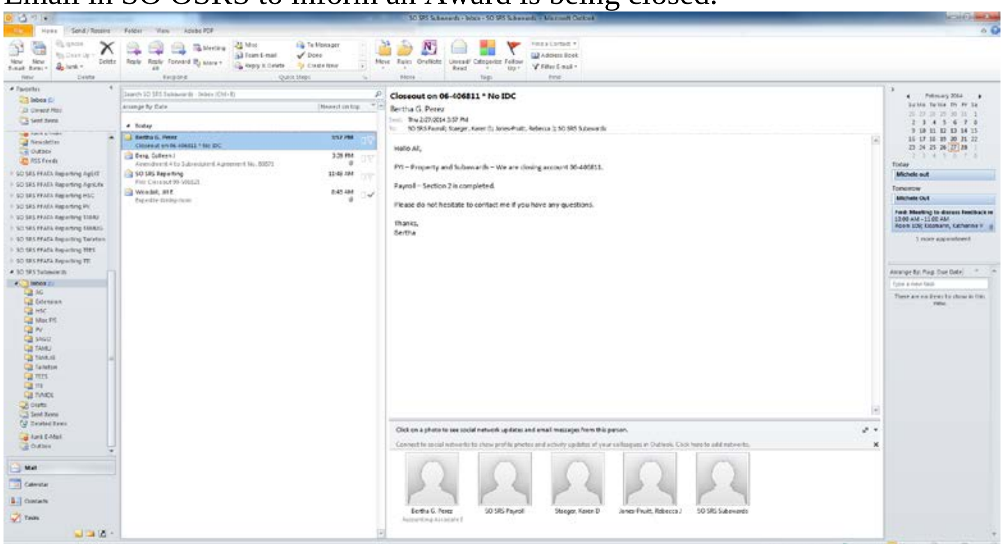
☐ All deliverables have been received – clear Deliverables screen in Maestro

☐ Email TAMUS PI to check for satisfactory performance and deliverables received

- [ ] All reports have been received per TAMUS PI email
- [ ] Check FAMIS screen 62: encumbrance should be zero
    - [ ] Ask PA to decrease encumbrance amount
- [ ] Change status in Sub-Awards Table to “CLOSED” in Access
- [ ] Print encumbrance sheet in Excel
- [ ] Move encumbrance sheet to Closed subs in Excel
- [ ] Write “CLOSED” on outside front of file
- [ ] Change Project Status to Terminated in Maestro
- [ ] Scan documents into Maestro
- [ ] File Sub Folder in Closed section in file room

Closeout Prime accounts

Email in SO OSRS to inform an Award is being closed.



Open FAMIS, SPR, check screen 154 to see if sub awards. Look in Access and Maestro to see if any subawards.

If no subsawards or subawards which are closed, then move email to appropriate folder.

If there are subawards which are not closed, go to Maestro parent M#, enter the problem in notes. Once the subaward is closed, go to Maestro parent M#, enter subaward is closed.

Protocol Approvals

SO OSRS Compliance Mailbox – open the email and PDF attachment.
Go to FAMIS screen 850 and enter the PI name which the email is to. Example Dr. Thomas Ficht
Make note of home campus code (CC) on FAMIS screen 850 of the PI.

Go to FAMIS Screen 142 and type in SPR – start with CC 99 on FAMIS screen 882. Check Maestro under the PI – enter PI name, search for any awards under that PI to get PA's name to email.
Search FAMIS screen 142 for the exact title which is on the PDF attachment. (Go to other CC if you do not find the title on 99 CC – start with home CC if you do not find on 99 CC).
Title of IRB and AUP on the PDF attachment must match exactly with the title on FAMIS. IBC protocols are issued by PI and cover all work of the PI, so the title does not need to match.

Once the title is located, make note of the project (account) for the Excel Protocol Compliance spreadsheet located in K:\Contracts and Grants\Subawards\Protocol Compliance.xls.
F5 or FAMIS screen 112 to locate the PA (Project Administrator) listed. The PA will also need to be entered on the Excel Protocol Compliance spreadsheet.
Enter PA, PI, Project/Proposal, Protocol Number, Project Title, Expiration Date, and Compliance Type on the Excel Protocol Compliance spreadsheet.

Next, forward the email from SO OSRS Compliance Mailbox to the PA. Move the email to Sent Items.

If not active projects (accounts):
Go to FAMIS Screen 32 (first in CC 99, then in PI's home CC and all others)
Search for proposals by PI. Look at PDF to see Fund Source – this will be the companies you will look under for the title.
Once the correct proposal is located, forward the email approval notice to Helen Wise and request the approval to be uploaded to CC-proposal number. Example 99-1234567

Expired Protocols
Locate the project (account). If the project end date has also expired, send to the Project Administrator and ask them to confirm that the project is over. Copy Michele Lacey.
If project has not expired, send to Michele Lacey with the correct project number.
If the expired protocol is IBC, locate all active project (account) numbers and send to Michele Lacey with the numbers.
If the project closed in the same month that the protocol expired and you can verify that from 124, you do not need to notify the PA

If unable to locate Project (account) and Proposal
Search IRIS or Maestro
Forward email to the following asking for a copy of the Proposal or proposal number:
Animal Welfare – Tennille Lamon
Human Subjects – Catherine Higgins
Export Control – Bradley Krugel
Biosafety – Christine McFarland
Quality Assurance – David Bridges

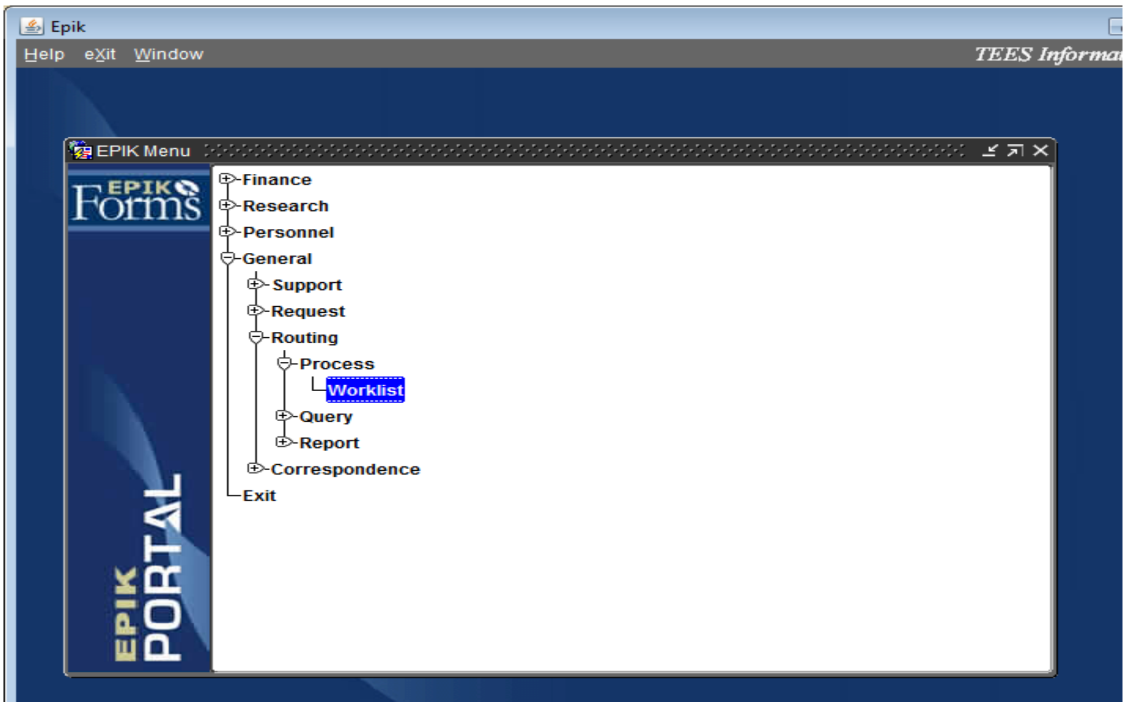
Once they reply with the Proposal document, send to Michele Lacey. If you get a proposal number, look up in FAMIS to forward to Betty Rabe and Michele Lacey.

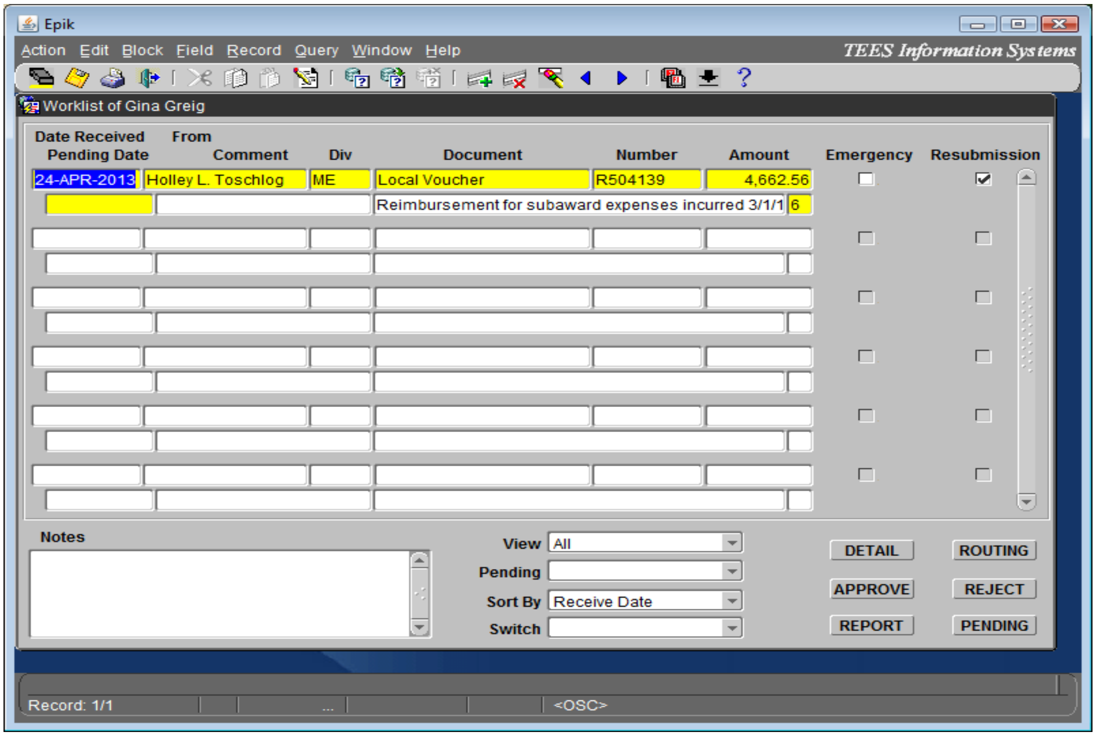
TEES – EPIK Approval of Invoices

Sign onto Epik daily

Login and click on the Epik Forms disk at the top right hand corner.

Work list for invoices that need approval are located by clicking on the following:
General, Routing, Process, Worklist – (double click on Worklist)

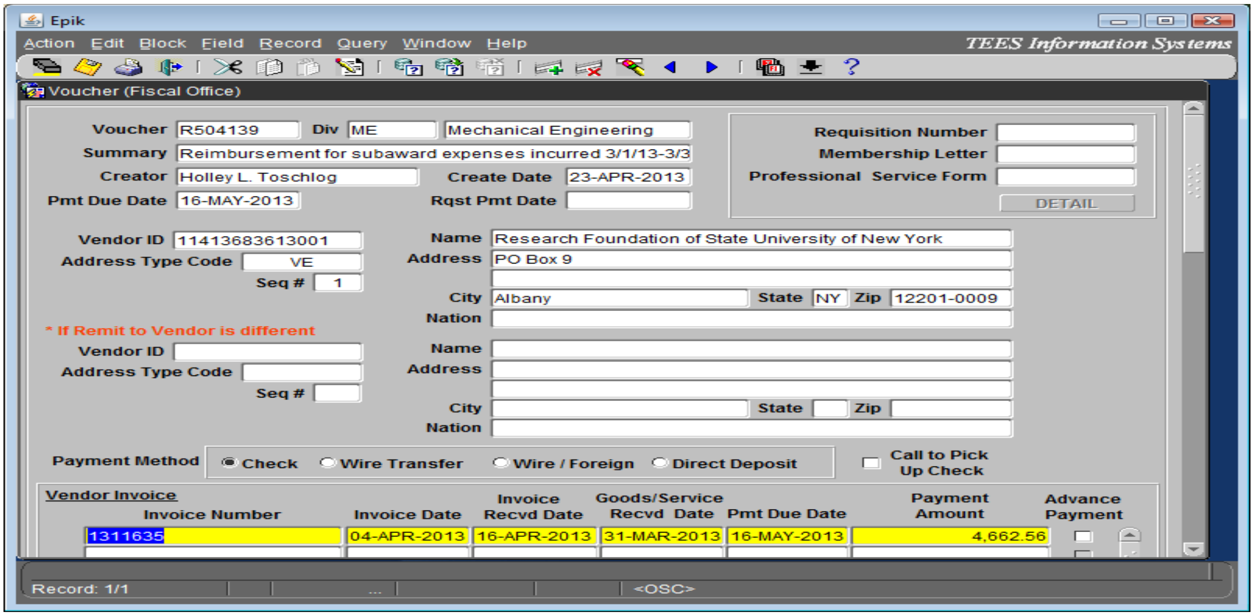




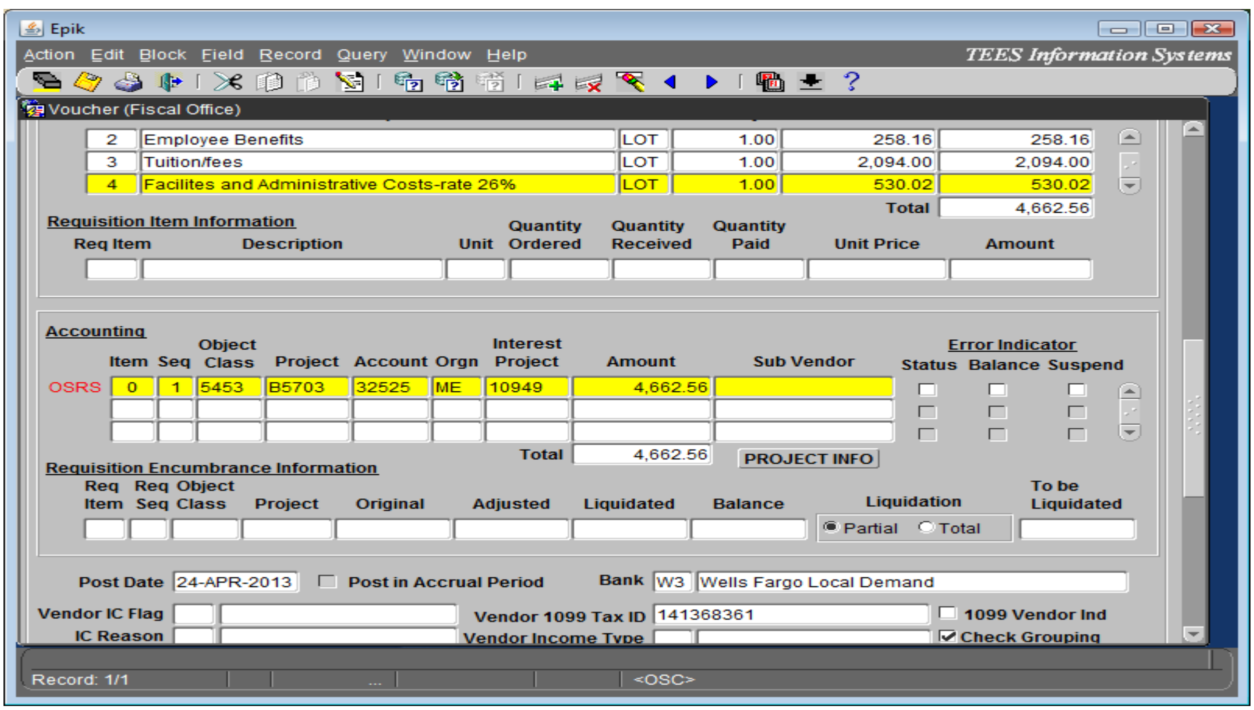
The above screen will populate. For the Intermediate Accountant backup - At the bottom center of the screen, use the dropdown next to Switch to change the name to Gina Greig.

Detail – Gives you the detail information on each voucher. Use this button for every voucher.
Approve – If the voucher is correct with Object Codes, Project Numbers, Budget, PI approval, and backup information is correct this will Approve the voucher.
Report –Generates a Report of this worklist.
Routing – Will show how the voucher has routed. Check this screen if the PI did not sign the voucher to see if the PI electronically signed the routing.
Reject – Returns voucher to Department when there is not enough information, wrong object code, not enough in budget. – Be sure to type why returning in **Notes** to the left and highlight the voucher rejecting prior to clicking this button.
Pending – For Vouchers you are still working on. After putting comments in the Comments field under detail, initial and date, click Save, return to worklist and highlight voucher and click Pending.

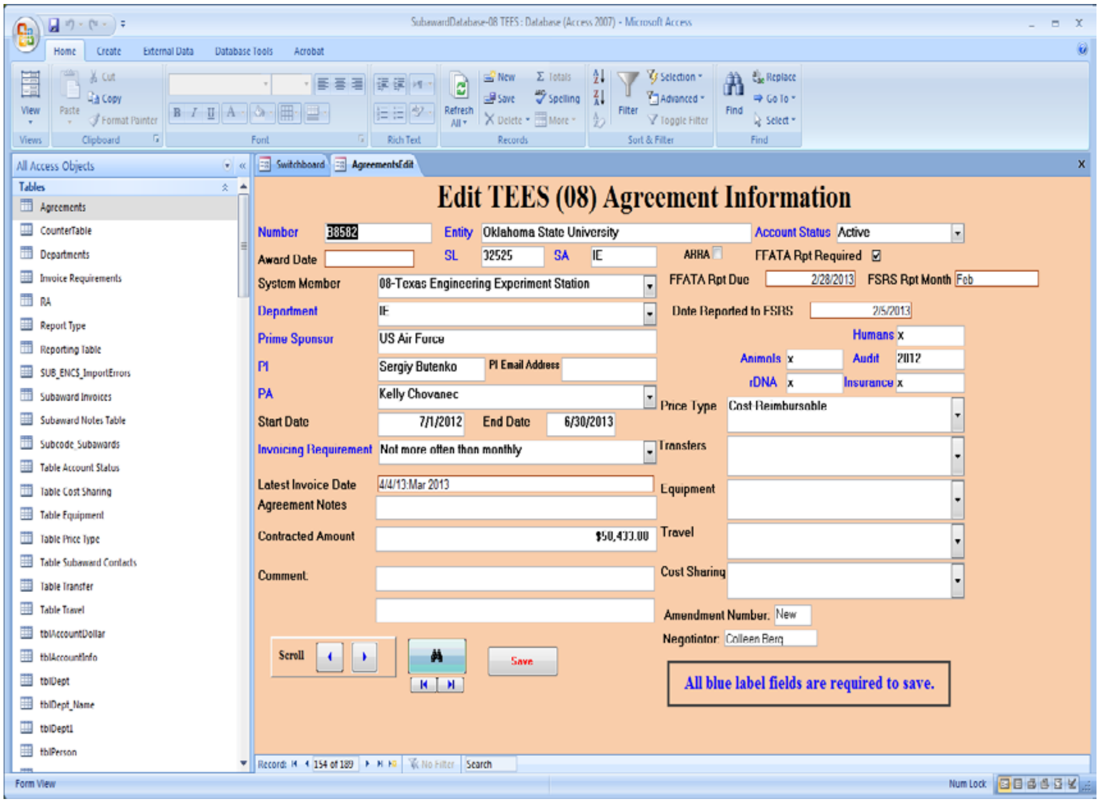
Highlight the voucher by clicking on it then click Detail. Detail screen will populate and an image of the invoice will populate.

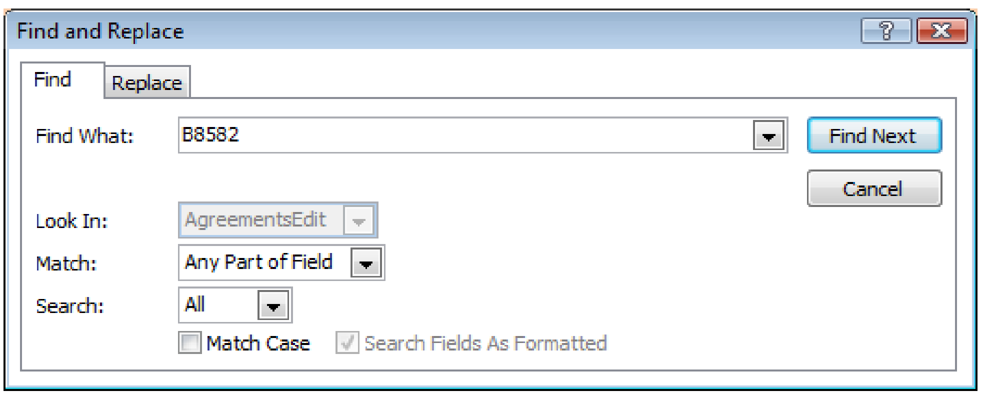


Look for the Subaward number on the invoice or Detail Screen scroll down to Accounting – Project.



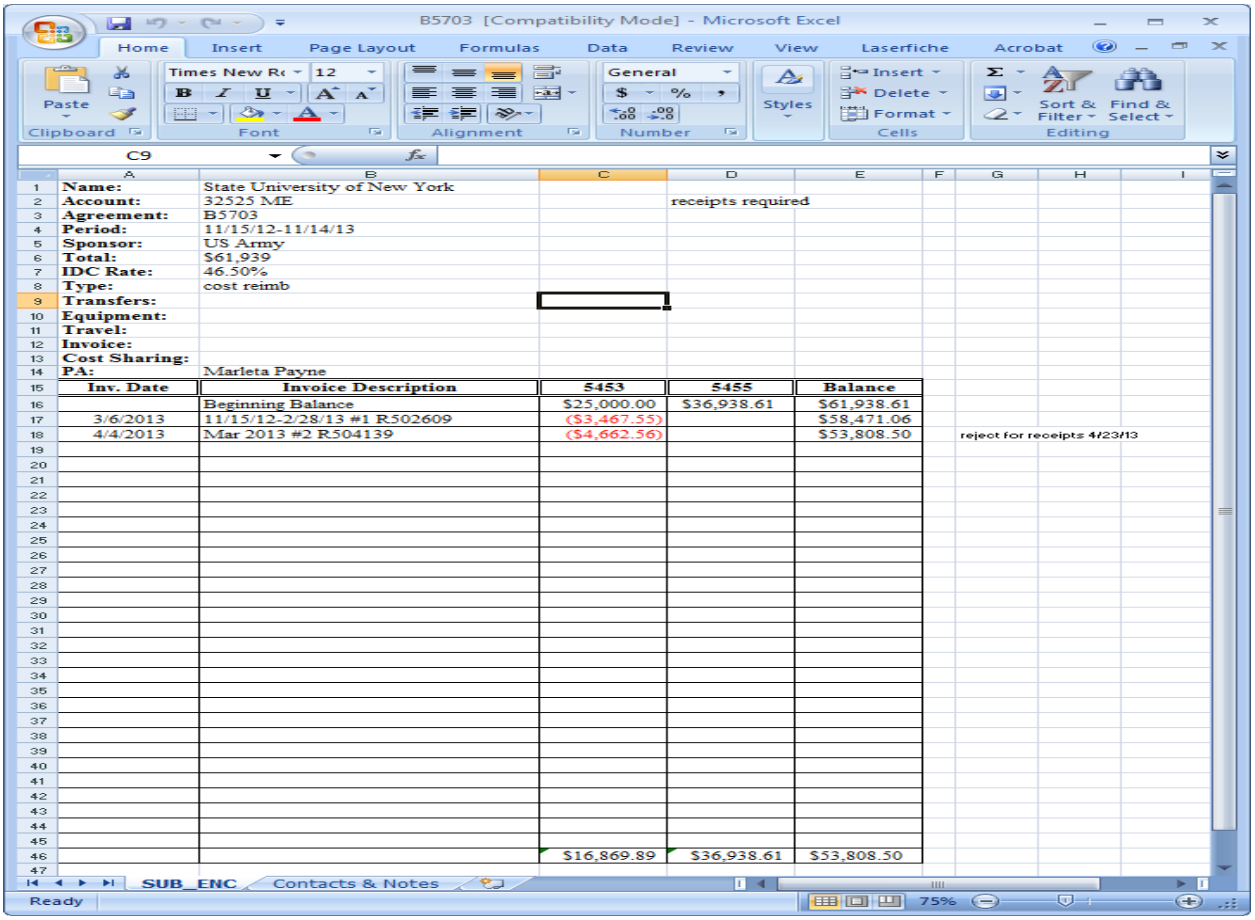
Open [Access Database](#) for TEES.





Click on Edit Agreement Form on Access, click on binoculars to search, enter Subaward Number at Find What:, click Find Next, then Cancel.
At the Latest Invoice Date – type in the Date of Invoice : Date the invoice is paying through.
Click Save.

Open Excel Spreadsheet [K:\Contracts and Grants\Subawards\SUBAWARDS\Encumbrances]() and click on the Subaward Number.

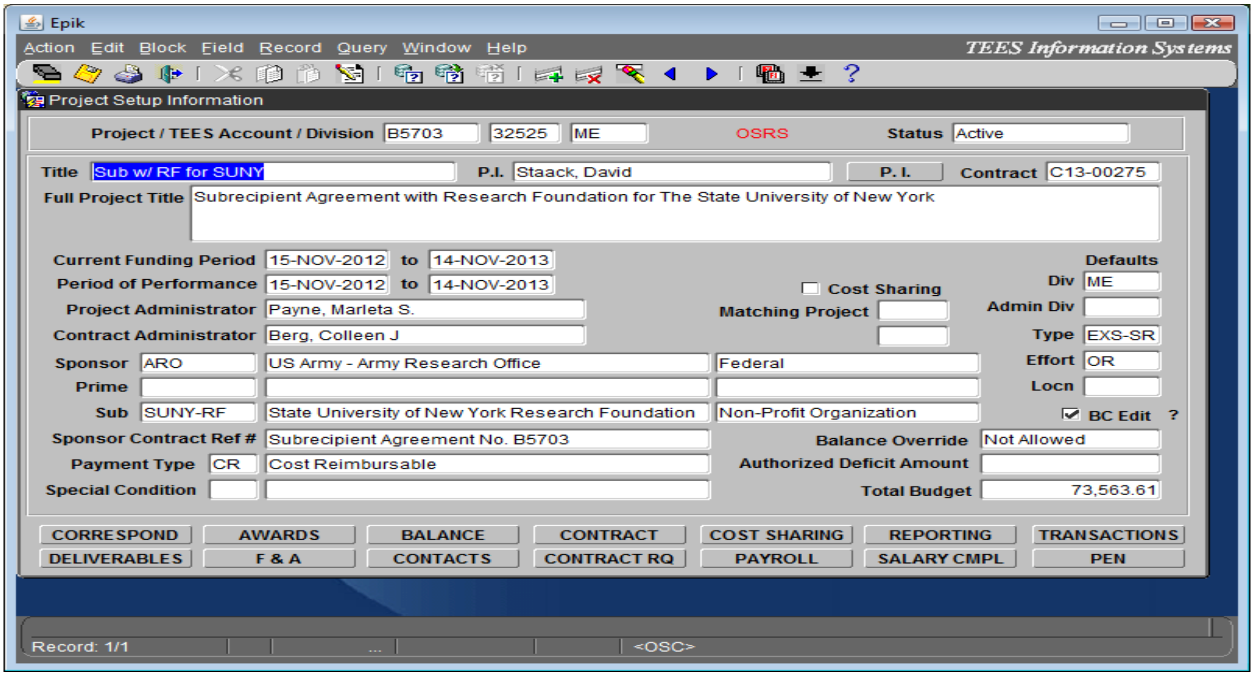


B5703 [Compatibility Mode] - Microsoft Excel

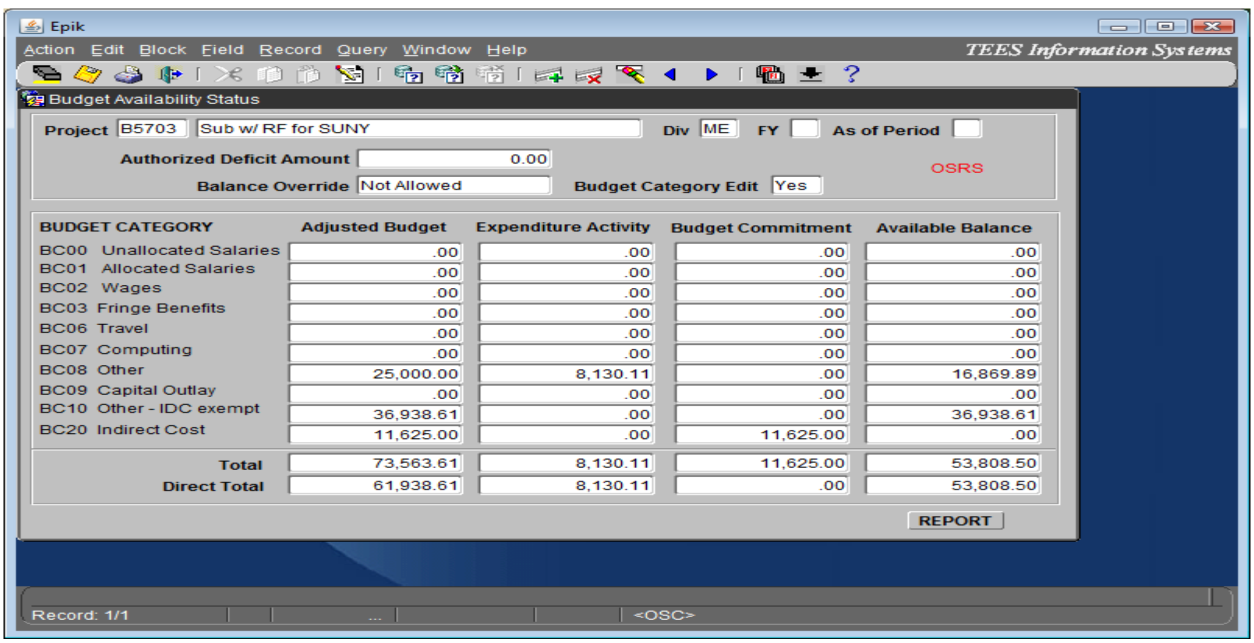
	A	B	C	D	E	F	G
1	**Name:**	State University of New York					
2	**Account:**	32525 ME		receipts required			
3	**Agreement:**	B5703					
4	**Period:**	11/15/12-11/14/13					
5	**Sponsor:**	US Army					
6	**Total:**	$61,939					
7	**IDC Rate:**	46.50%					
8	**Type:**	cost reimb					
9	**Transfers:**						
10	**Equipment:**						
11	**Travel:**						
12	**Invoice:**						
13	**Cost Sharing:**						
14	**PA:**	Marleta Payne					
15	**Inv. Date**	**Invoice Description**	**5453**	**5455**	**Balance**		
16		Beginning Balance	$25,000.00	$36,938.61	$61,938.61		
17	3/6/2013	11/15/12-2/28/13 #1 R502609	($3,467.55)		$58,471.06		
18	4/4/2013	Mar 2013 #2 R504139	($4,662.56)		$53,808.50		reject for receipts 4/23/13
46			$16,869.89	$36,938.61	$53,808.50		

SUB_ENC | Contacts & Notes

Inv. Date – Enter invoice date
Invoice Description – Enter invoice time period, voucher number in Epik, and invoice number.
Put the invoice amount under the proper Object code.
Save. Look to see if Receipts are required or not. Make sure this is on the comments section of the Detail screen in Epik.
At the Detail screen in Epik, half way down this screen is a Project Button under Accounting. Click it.
On this Project Screen below that populates from Project Button, Click Balance.



This will give you the Balance in the Project after the including the current Invoice you are approving.

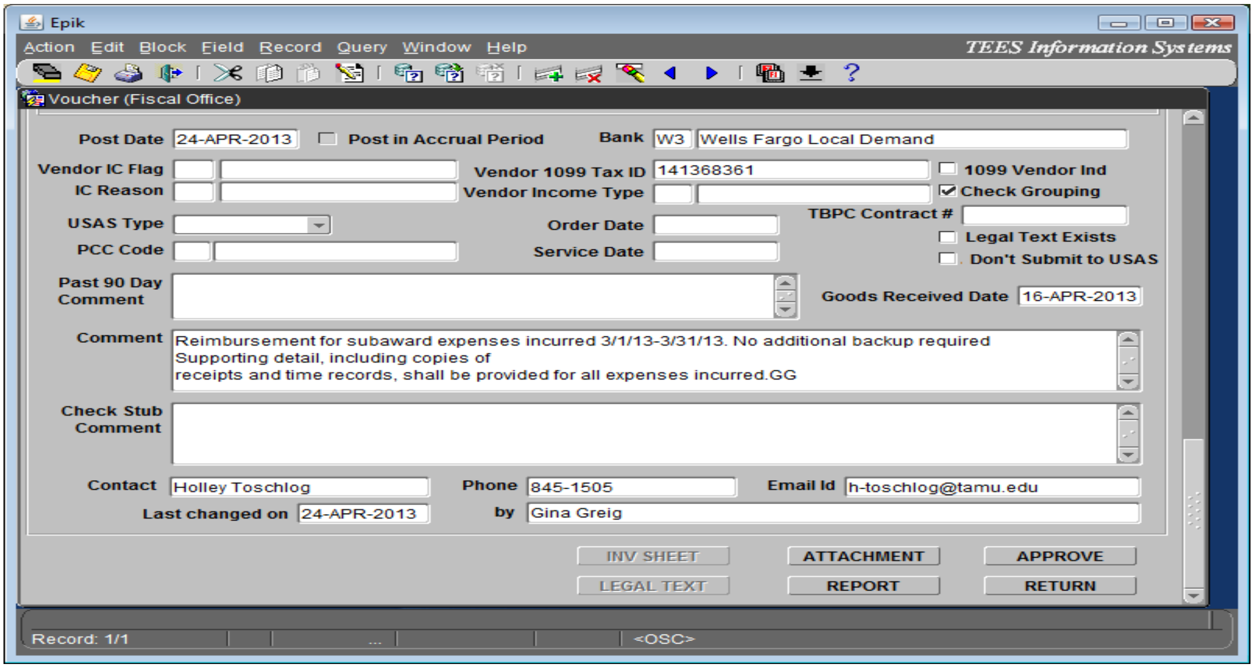


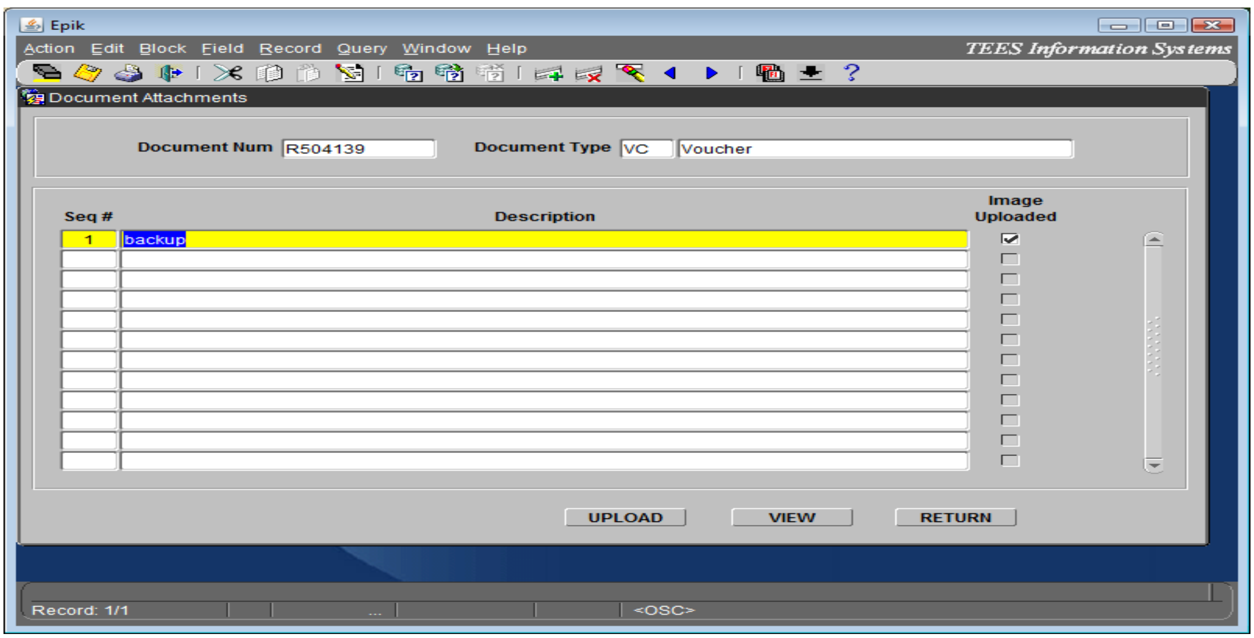
BUDGET CATEGORY	Adjusted Budget	Expenditure Activity	Budget Commitment	Available Balance
BC00 Unallocated Salaries	.00	.00	.00	.00
BC01 Allocated Salaries	.00	.00	.00	.00
BC02 Wages	.00	.00	.00	.00
BC03 Fringe Benefits	.00	.00	.00	.00
BC06 Travel	.00	.00	.00	.00
BC07 Computing	.00	.00	.00	.00
BC08 Other	25,000.00	8,130.11	.00	16,869.89
BC09 Capital Outlay	.00	.00	.00	.00
BC10 Other - IDC exempt	36,938.61	.00	.00	36,938.61
BC20 Indirect Cost	11,625.00	.00	11,625.00	.00
Total	73,563.61	8,130.11	11,625.00	53,808.50
Direct Total	61,938.61	8,130.11	.00	53,808.50

The balance from Epik should match the balance in Excel File.
Click the 4th icon of Green door twice to get back to the voucher.

Compliance to Check for on Invoices

Make sure the Principal Investigator has signed either the invoice or Epik Routing. Access Database will have the Project Investor listed. If the Principal Investigator has designated another person, that email must be in attachments with the voucher. Click Attachment and view the backup.





Make sure that Receipts are attached in Epik if Receipts are required. The Excel Encumbrance Sheet will state Receipts require or No Receipts required. In Epik, click Attachment and view the backup.

Make sure the Invoice Number, Invoice Date, and Goods/Services Recvd Date matches the invoice at the Vendor Invoice section in Epik.

Make sure the Object Class is correct to Excel Encumbrance at the Accounting Section in Epik.
Make sure the Project is correct to the invoice at the Accounting Section in Epik.
Make sure the Account and Org is correct to Access Database at the Accounting Section in Epik.
Make sure the Dollar Amount is correct to the invoice at the Accounting Section in Epik.

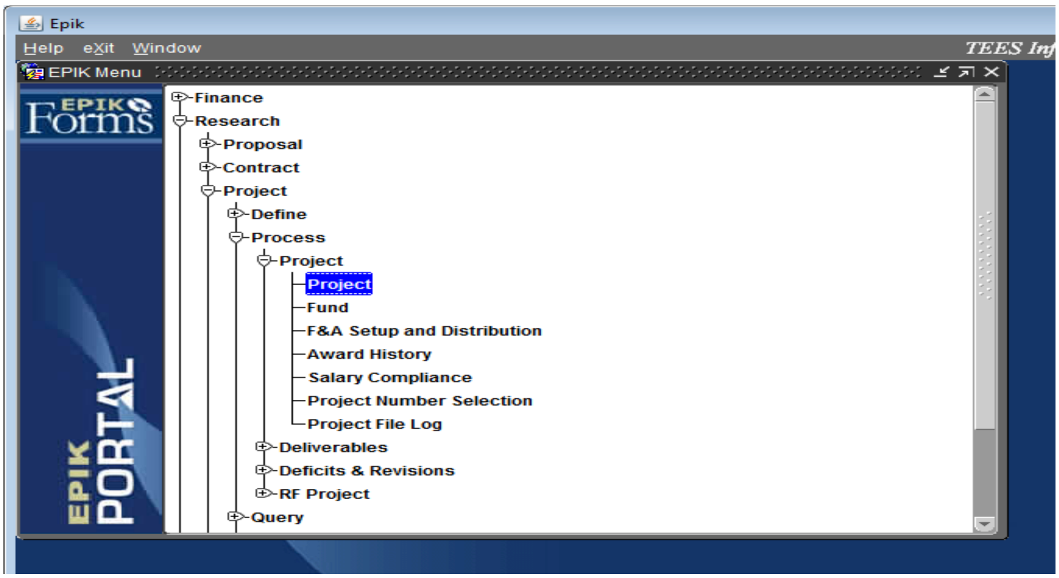
Make sure Receipts Required or No Receipts Required are in the Comment Section in Epik.

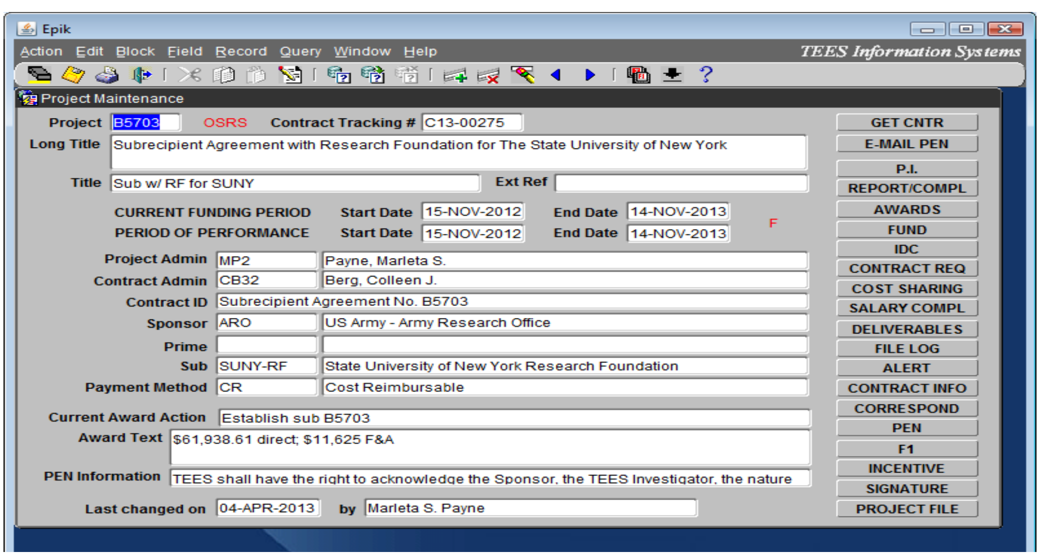
Once everything is good, then you can click the **Approve** Button.
If a problem with any compliance, state the problem and initial in the Comment Section in Epik. Click Save at top. Click Return.

> If **Reject** – state the problem in notes, save, click Reject.
> If **Pending** – click Pending. Save. The Worklist screen will then show the Pending Date for that voucher.

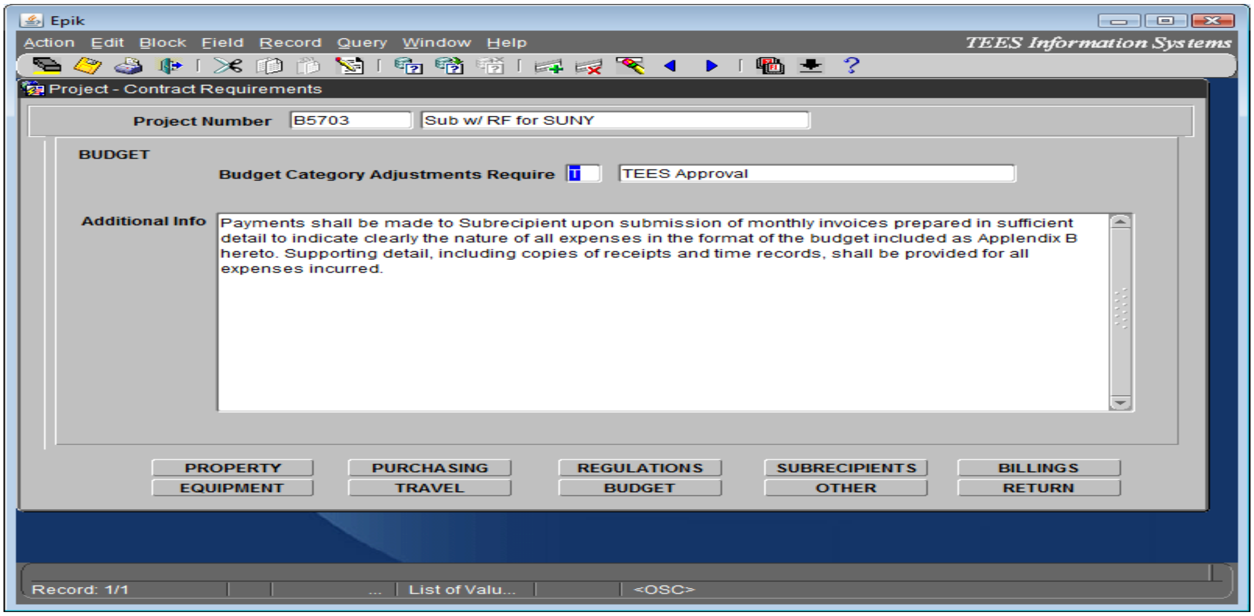
Find Principal Investigator and Invoicing Requirements in EPIK

In Epik, Research, Project, Process, Project, then Project. Enter Project number, click on 2nd ?

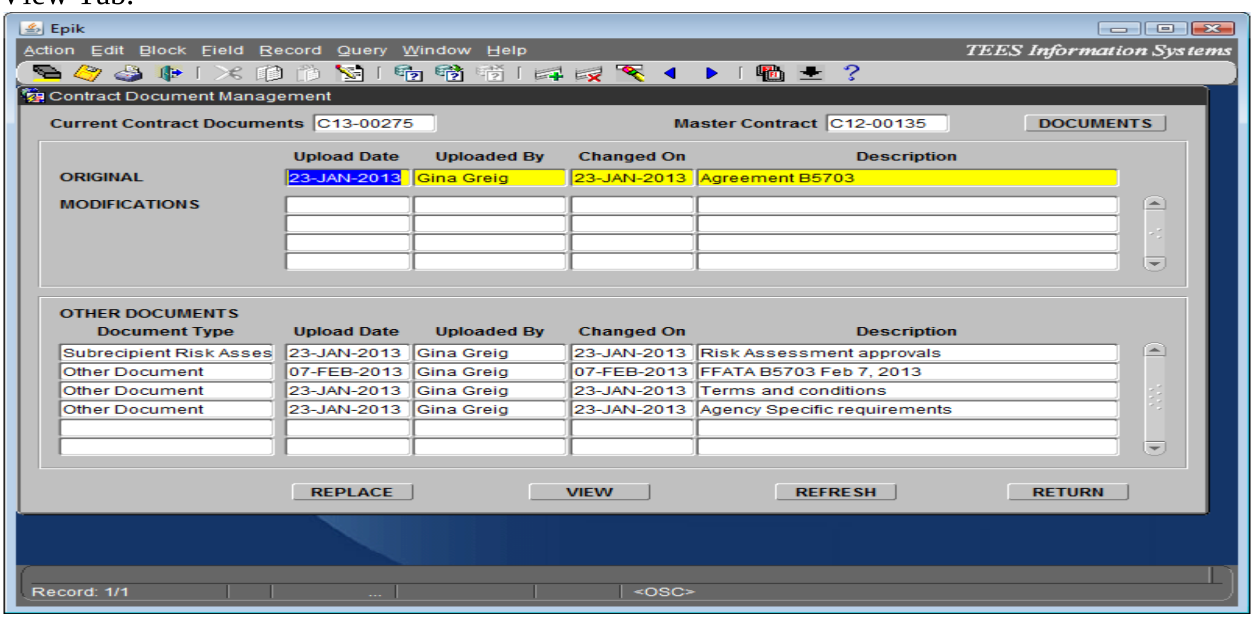




The PI button to the right will list the Principal Investigator for this Project.
The Contract Req. button to the right will get you to the Budget Tab which will list invoicing requirements.



If you do not find the invoicing requirements are not listed on the Budget tab, then you can view the Agreement by clicking the Contract Info tab. Click the Documents Tab on the Right side. Then click View Tab.



Other Screens in EPIK

Voucher All Fields Query – can be used to query vouchers; regardless of voucher status.
Path – Finance, Payables, Query, then Voucher All Fields Query

Returned Online Vouchers by Division – can be used to produce a report of Rejected or Submitted Vouchers. Put R for reject, S for Submitted. Run Report.
Path – Finance, Report, Voucher, then Returned Online Vouchers by Division

Project Transactions – will produce a list of transactions that have been made to a Project.
Put Project number, you can put Fiscal Year or leave blank for Inception, leave Period blank, Activity Type are as follows:
Budget Income, Estimated Income, Expenditures, and Transfers
Budget Category are as follows:
BC06 – Travel, BC07- Computing, BC08 – other, BC09 Capital Outlay, BC10- Other (IDC Exempt), and BC20 – Indirect Cost
Path – Finance, General Accounting, Query, then Project Transactions

Project Balance – can be used to look at the Project Budget, Expenditure and Available Balance. If you leave the FY blank, this will be from inception.
Path – Finance, General Accounting, Query, then Project Balance