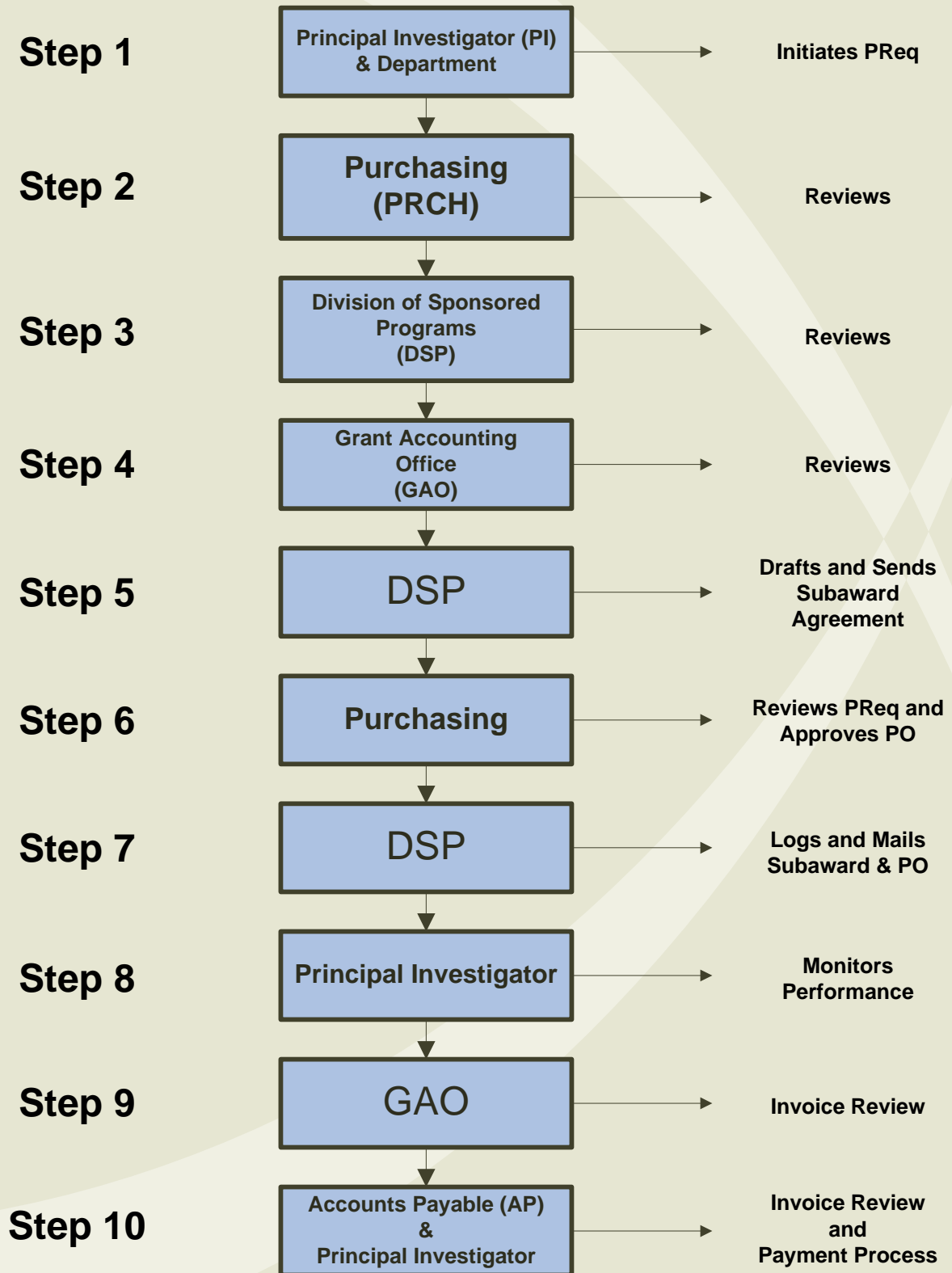


Outgoing Subaward Overview Process

Please click on the boxes below to see each departments' responsibilities related to outgoing Subaward Agreements for the University of Iowa.



Step 1

Principal Investigator/
Department Initiates PReq

PI/Department
Initiates PReq

Select
Vendor

Email Purchasing Vendor File
Team (VFT) with
Vendor Name, new address,
phone, contact person
purchasing-vendor@uiowa.edu

VFT verifies info with
Vendor

VFT notifies department when
Vendor address is ready

If Vendor is in
Database, but
new address
needed

If Vendor is
New

Send link or
fax Vendor Application
Form (VAF) to
Vendor

Department or Vendor
Routes VAF to Vendor
Team

VFT notifies department when
Vendor # is ready

Department Completes PReq

Accompanying Documents:

- Statement of Work*
- Budget*
- Subaward Sole Source Form (Required for Preqs over \$10K)

*If replacing existing PO, provide PO# the PI should negotiate the scope of work and budget with the subawardee before submitting the PReq. Initiating the PReq assumes that the principal investigator has verified that the proposed subaward costs are reasonable to the nature of the work to be performed and including the terms of the prime award.

Include:

Use Category Code 99990000-Subawards

Project Period if more than 1 year

Indirect and direct cost figures for the subaward period.

Example: Project period Oct. 1, 2004 – Sep. 30, 2009. Subaward period Oct. 1, 2006 – Sep. 30, 2009

Department routes thru
departmental workflow

After the last
departmental workflow
approval, PReqs totaling
\$5,000 or more are
automatically routed to
Purchasing

Step
2

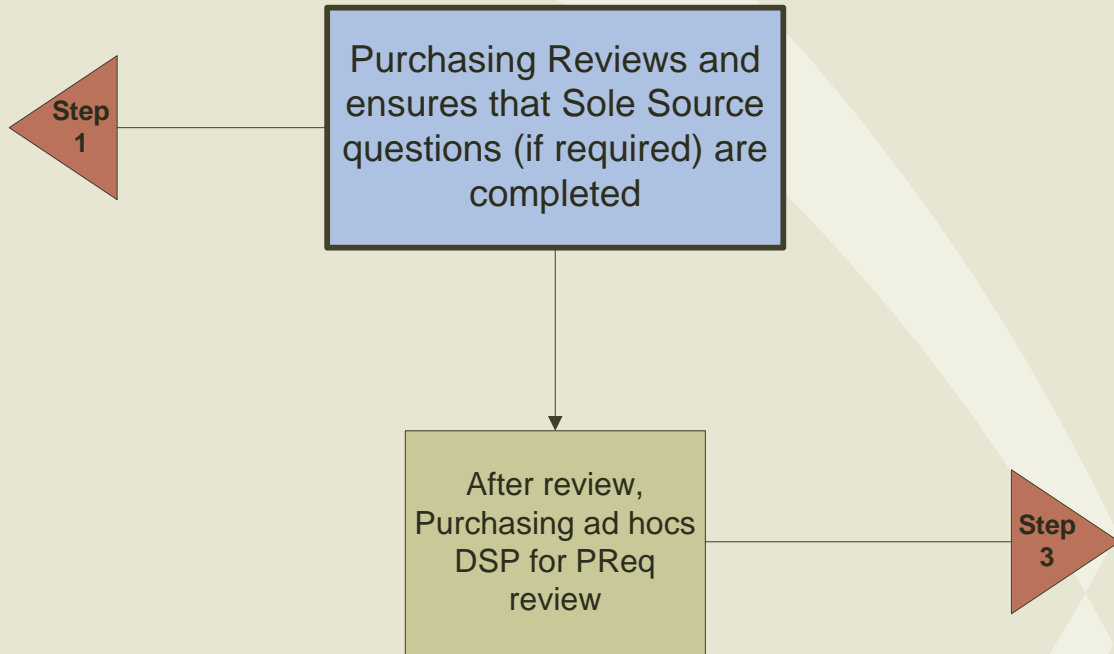
Subaward PReqs Totaling Less than \$5,000

Regardless of the subaward dollar amount, enter \$5,000 as the PReq dollar amount. Include an internal comment stating the correct subaward PReq amount. The PReq will now automatically route to Purchasing, who will in turn lower the dollar amount to the amount specified in the internal PReq comments before approving the PO in PeopleSoft.

Return to
Main
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Step 2

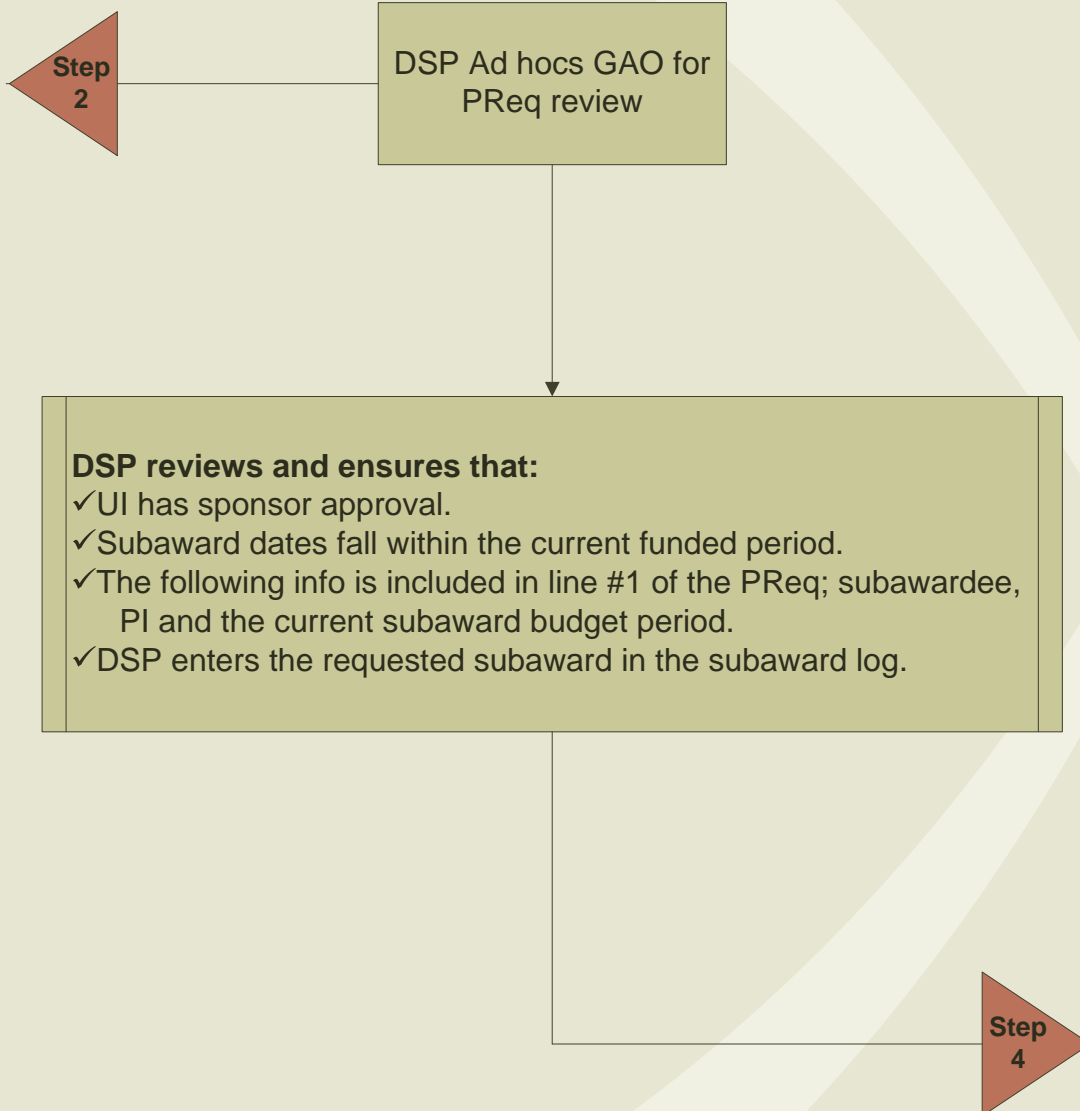
Purchasing Reviews



The Ad hoc workflow feature is used to route the PReq to DSP staff listed below. Route the PReq a "Permitted" status to:
(DSP Program Assistants Jessica R. Stroud, Tracy Titus, and Professional Department Assistants Molly Dennis, Amanda M. O'Neill, and Leslie Weatherhead)

Step 3

DSP Reviews



Step 4

GAO Reviews

Step
3

GAO reviews to:

- Verify budget
- Match budget to original budget included in prime award (if applicable)
- Verify assignment of accounting master file key (MFK) including verifying institutional account 6230 or 6231

GAO returns PReq to DSP

Route the PReq using the Ad Hoc workflow feature as "Permitted" to DSP members listed below.
(DSP Program Assistants Jessica R. Stroud, Tracy Titus, and Professional Department Assistants Molly Dennis, Amanda M. O'Neill, and Leslie Weatherhead)

Step
5

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Main
Page

Step 5

DSP Drafts and Sends Subaward Agreement

Step
4

DSP:

- ✓ Selects the appropriate subaward template and prepares the agreement.
- ✓ Enters the date sent to the subawardee and the UPS tracking number in the Subaward Log. This triggers an automatic e-mail to the PI and department with a link to the subaward draft. At this stage the PI should review the draft to assure that it meets the PI's expectations. The PI should notify dsp-contracts@uiowa.edu if changes are needed.
- ✓ Sends a cover letter, two copies of the agreement, and the A-133 Audit Questionnaire to the subawardee via UPS or sends pdf via email.

Subawardee and DSP negotiate subaward agreement terms and conditions.
DSP consults with the department
Once agreed upon, Subawardee signs and returns both original subaward agreements to DSP.

DSP monitors the subaward log monthly to follow up with the subawardee if a signed agreement is not returned to DSP within a month.

DSP:

- ✓ Confirms subaward has been completed and signed
- ✓ Enters the date received from the subawardee in the Subaward Log
- ✓ Prepares and gives the agreements to DSP Director for signature
- ✓ Scans and uploads the fully signed agreement to the Subaward Log
- ✓ Adds the date signed by UI to the Subaward Log
- ✓ Attaches fully executed subaward to the Preq
- ✓ If the mailing address is different than indicated on the Preq, DSP adds a note to the internal comments box on the Preq.
- ✓ Forwards Preq and subaward to Purchasing in Workflow

Step
6

Return to
Main
Page

Step 6

Purchasing Reviews PReq & Approves PO

If over \$25K, the PReq is reviewed and approved by Purchasing Director.

Step 5

Purchasing Agent (PA)* reviews the PReq, checks contract detail of Subaward and makes approval in PReq. At the final PReq approval, a PO number is assigned, but not yet approved.

*Purchasing Agents assigned to Subaward and Subaward Amendment duties are Brenda Bang and Gary Snyder

**At this point, invoices can be processed against the PO*

The PReq is loaded into PSoft, the PA makes the final changes and approves the PO. Each night the PO dispatch processes run and the following business day, a PO is printed.

Each morning, Purchasing electronically routes original PO documents to DSP

Step 7

Return to Main Page

Step 7

DSP Logs and Mails Subaward Agreement & PO

Step
6

DSP:

- ✓Matches the PO with the fully signed subaward
- ✓Hand writes the PO number on the two original subaward agreements
- ✓Adds the PO number to the pdf subaward and saves it to the Subaward Log
- ✓Prepares a cover letter
- ✓Enters the date sent and UPS tracking number in the Subaward Log. This triggers an automatic e-mail to GAO, PI, and Department Contact with a link to the fully signed subaward agreement. At this stage the PI should confirm the terms of the subaward. The PI should notify dsp-contracts@uiowa.edu if changes are needed.
- ✓Sends one fully executed original, the cover letter, and the PO to the subawardee via UPS
- ✓Keeps one fully signed original in DSP file

Step
8

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Main Page

Step 8

Principal Investigator
Monitors Performance

The Principal Investigator monitors the subawardee's performance of the work.
If the PI has concerns regarding performance or if the subaward needs to be revised for any reason, the PI should notify dsp-contracts@uiowa.edu

Step
7

**If invoices should be held due to performance issues,
GAO should be contacted immediately*

Step
9

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Main Page

Step 9

GAO Reviews Invoice

If department, AP, or DSP receives invoice, forward to GAO

Subawardee submits invoices to GAO. Invoices should reflect PO number.

GAO cannot approve an invoice for payment until a fully executed subaward agreement has been received.

Step 8

GAO reviews to:

- Verify required information has been included on the invoice
- Verify total cumulative expenses do not exceed authorized budget
- Verify invoice period is within subcontract period
- Determine if 25K threshold has been met
 - If over threshold, notify Purchasing to change IAcct to “not subject to F & A”
- If final invoice, GAO will scan and send via email to department for approval

GAO approves invoice for payment and routes to AP for processing.

Step 10

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Step 10

AP/PI Review Invoice and Payment Process



AP receives an "approved to pay" invoice from GAO

Accounts Payable schedules payment based on the PO payment terms and the invoice date.

Subaward PO payment terms are generally "N30" meaning the payment is scheduled to pay 30 days after the date of the invoice.
For example: an invoice dated 8/01/07 with payment terms of "N30" would pay 8/31/07.

If a past due invoice is received by AP, the payment will be scheduled to pay 7 days from receipt of the invoice.
For example: an invoice dated 8/01/07 is received on 9/05/07, AP will schedule the payment on 9/12/07. If the 7th day falls on a weekend or holiday, the payment will be scheduled the day before the weekend/holiday.

The PI or their delegate is **responsible** for reviewing invoices for consistency with the subaward budget, the subawardee's performance of the work, and compliance with the terms of the prime award. The PI should **immediately** contact GAO with questions about invoices.

The PI or their delegate is responsible for **immediately** contacting AP if an invoice payment should be placed on hold.

Invoices less than 10K and not equipment

Invoices greater than 10K or equipment

Payment is processed automatically based on AP's scheduled payment date.

Check is cut/mailed or ACH'd to Vendor

Payment is not processed until a signed voucher report is submitted to AP by the department.

Note: The Department and GAO must confirm that a subaward PO is completed and ready to close before Purchasing will close the PO. This is to ensure no further invoices or subaward amendments are pending.

Process Complete
Return to Overview Process