Subaward Invoices and Workflow
Why....

UNIFORM GUIDANCE RULES

30 Day Deadline

Monitoring Responsibilities
How....

Workflow

What will the communication look like?
From: workflow@unm.edu [mailto:workflow@unm.edu]
Sent: Thursday, July 23, 2015 12:07 PM
To: Department Administrator Name <xxxx@unm.edu>
Cc: PI Name <xxxx@unm.edu>
Subject: New Subaward Invoice for Review

**WORKFLOW GENERATED EMAIL. DO NOT REPLY**

Dear xxxx,

A new subaward invoice has been submitted for approval. Invoice details are found below.

Grant: 2RDK4
Subawardee: Sub Arizona State University
Invoice #: 7
Invoice Date: 23-Jul-2015 12:04:14 PM
Amount: 415
Principal Investigator: xxxxxx
Fiscal Monitor: xxxxxx

Login to workflow to review the scanned invoice and approve/disapprove.

1. Click on the link https://workflow.unm.edu
2. Login to Workflow using your NetID & password.

Thank you
The University of New Mexico

LoboWeb

What is LoboWeb?
LoboWeb is the place for employees to view/update personal information, benefits and deductions, pay information, tax forms and more.

Enter LoboWeb

LoboWeb is unavailable Saturday 7:00 pm - 8:30 pm.

What's New in HR

Employee and Organizational Development

UNM Business Applications
Transaction and Real-time Query Systems
- Apply Yourself AppReview
- Internet Native Banner (INTG)
- LoboWeb (INTG)
- LoboAchieve
- LoboMart
- LoboTime
- UNMJobs
- Workflow

Report
- E-Print
- Enterprise Metrics Reporting (EMR)
- HR Reports (INTG)
- Hyperion (will be retired. more info)
- MyReports (Int)

Banner Resources
- Banner Authorization Requests (INTG)
- Report a Duplicate Person/ Non-person
- Search Class Schedule (INTG)
- Search Course Catalog (INTG)
- Electronic Forms
<table>
<thead>
<tr>
<th>Organization</th>
<th>workflow</th>
<th>Activity</th>
<th>Priority</th>
<th>Created</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNM</td>
<td>2RCJ2, 889416, Sub West Virginia Univ Rsrch Corp</td>
<td>Dept Approval</td>
<td>Normal</td>
<td>05-Aug-2013 04:32:53 PM</td>
</tr>
</tbody>
</table>
Approval Options

The Department Administrator will be responsible for approving in Workflow.

The PI is responsible for approving the invoice.
Three options

1. Print Subaward invoice, PI manually signs
2. Electronic signature of the PI on the Subaward Invoice Approval Form
3. Attach Email approval from PI
Subaward Invoice Approval Form

<table>
<thead>
<tr>
<th>Sponsor Name and Grant Title</th>
<th>[Fill in] Centers on General Medical Sciences, [Repeat] centers on mental health research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Encumbrance Number</td>
<td>[Fill in] 000356</td>
</tr>
<tr>
<td>Grant Index Account Code</td>
<td>[Fill in] 664663777</td>
</tr>
<tr>
<td>Approved Amount</td>
<td>[Fill in] 905551</td>
</tr>
<tr>
<td>Financial Services Approval</td>
<td>[Fill in] Fiscal Monitor Name/Date</td>
</tr>
</tbody>
</table>

Is this the Final Invoice?  Yes ☐  No ☒

As PI, I certify the following:

1. All expenditures on the subaward invoice (through the date of the invoice) are allowable, allocable, reasonable, complete and within the period of availability.
2. All work for the invoice attached has been completed satisfactorily and the work is acceptable, including all progress, technical reports and/or deliverables.
3. All required progress reports, technical reports and/or deliverables due through the date of the invoice have been received, reviewed and accepted.
4. If this is the FINAL Invoice, I certify that I have received all work required, all required reports and all deliverables as required by the contract.

Certified: __________________________

Date: __________________________

Note: Monitoring of the subrecipient must include:

Reviewing financial and programmatic reports as required by UNM. It is the responsibility of the PI to ensure the programmatic requirements are met prior to approving invoices.

Invoices must be paid within 30 calendar days after receipt of the billing, unless UNM reasonably believes the request to be improper.
## Subaward Invoice Approval Form

<table>
<thead>
<tr>
<th>Sponsor Name and Grant Title</th>
<th>NCI Institute of General Medical Sciences: &quot;A Spatially coarse-grained, rule-based framework&quot;</th>
</tr>
</thead>
<tbody>
<tr>
<td>Encumbrance Number</td>
<td>E0002109</td>
</tr>
<tr>
<td>Grant/Index/Account Code</td>
<td>2RC12/889416/87W7</td>
</tr>
<tr>
<td>Approved Amount</td>
<td>5925.91</td>
</tr>
<tr>
<td>Financial Services Approval</td>
<td>Fiscal Monitor Name/Date</td>
</tr>
<tr>
<td>Is this the Final Invoice?</td>
<td><img src="image" alt="Yes" /> <img src="image" alt="No" /></td>
</tr>
</tbody>
</table>
As PI, I certify the following:

1. All expenditures on the subaward invoice (through the date of the invoice), are allowable, allocable, reasonable, complete and within the period of availability.
2. All work for the invoice attached has been completed satisfactorily and the work is acceptable; including all progress, technical reports and/or deliverables.
3. All required progress reports, technical reports and/or deliverables due through the date of the invoice have been received, reviewed and accepted.
4. If this is the FINAL Invoice, I certify that I have received all work required, all required reports and all deliverables as required by the contract.
Adding documents to a PDF File
* Approval
  - [ ] Approve
  - [x] Disapprove

If disapproved, please provide a reason. This will be emailed to the Fiscal Monitor.

Reason for Disapproval: Current progress report has not been received. WVURC will re-submit invoice when the report is sent out.

[Complete] [Save & Close] [Cancel]
REMEMBER

30 Day Deadline

Document Legitimate Delays

Keep Authorization Documentation
How to setup a proxy to approve Subaward invoices
### User Information

**Logon ID:** kcharles  
**Last Name:** Charleston  
**First Name:** Kathryn  
**Middle Name:**  
**Email:** KCharleston@salud.unm.edu  
**Effective From:** 12-May-2011 01:08:43 PM  
**Effective To:**  

#### Notifications

#### Launching

**Save User Profile**  
**Reset**

### My Roles

<table>
<thead>
<tr>
<th>Organization</th>
<th>Role Name</th>
<th>Effective From</th>
<th>Effective To</th>
<th>Type</th>
<th>Proxy Assignment</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNM</td>
<td>All Workflow Users</td>
<td>06-Feb-2013 06:29:07 PM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
<tr>
<td>UNM</td>
<td>Contract &amp; Grant Workflow Owner</td>
<td>03-Oct-2012 09:42:15 AM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
<tr>
<td>UNM</td>
<td>Contracts &amp; Grants Admin</td>
<td>03-Oct-2012 09:40:31 AM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
<tr>
<td>UNM</td>
<td>Department Administrator</td>
<td>03-Oct-2012 09:41:00 AM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
<tr>
<td>UNM</td>
<td>Final HSC Contracts and Grants</td>
<td>03-Feb-2013 12:12:31 PM</td>
<td>07-Jun-2013 11:59:42 AM</td>
<td>Primary</td>
<td>Add Proxy</td>
</tr>
<tr>
<td>UNM</td>
<td>Fiscal Monitor</td>
<td>03-Oct-2012 09:42:42 AM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
<tr>
<td>UNM</td>
<td>Principal Investigator</td>
<td>03-Oct-2012 09:41:26 AM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
<tr>
<td>UNM</td>
<td>Restricted Accounting HSC Accountants</td>
<td>03-Oct-2012 10:13:12 AM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
<tr>
<td>UNM</td>
<td>Supervisor for Sec App</td>
<td>15-Apr-2013 01:50:23 PM</td>
<td>Primary</td>
<td>Add Proxy</td>
<td></td>
</tr>
</tbody>
</table>

### My Proxies

No proxy assignments found.
### My Roles

<table>
<thead>
<tr>
<th>Organization</th>
<th>Role Name</th>
<th>Effective From</th>
<th>Effective To</th>
<th>Type</th>
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</thead>
<tbody>
<tr>
<td>UNM</td>
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<td>06-Feb-2013 00:29:07 PM</td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
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<td></td>
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<td></td>
<td>Primary</td>
<td>Add Proxy</td>
</tr>
<tr>
<td>UNM</td>
<td>Supervisor for Secr App</td>
<td>15-Apr-2013 01:58:23 PM</td>
<td></td>
<td>Primary</td>
<td>Add Proxy</td>
</tr>
</tbody>
</table>

### My Proxies

- **User**: REGOMEZ
  - **Role**: Department Administrator
  - **Organization**: UNM
  - **Confidential**: No
  - **Non-Confidential**: Yes
  - **Effective From**: 04-Sep-2015 01:55:18 PM
  - **Effective To**: 30-Sep-2015 01:55:47 PM

**Delete Selected Proxies**

### I am Proxy For

No proxied users found.

### Change Password

Changing password has been disabled in Workflow. Changes must be done on your external authentication server.
90-Day End Date
Notice Grant Closeout/Extension Workflow Training
Why....

• Increase efficiency in the close out process
• Comply with Uniform Guidance Documentation Rules
• Enhance communication, tracking, and accountability during various stages of the process
90-Day End Date Notice

• Workflow runs nightly and checks for Funds ending in 90 days.
• E-mail is sent to the Principal Investigator Financial Manager on FTMFUND
• Account Administrator Position 004 on the “Personnel” screen of FRAGRNT
### Grant Reconciliation

#### Contract or Grant Close-Out Reconciliation

<table>
<thead>
<tr>
<th>Project Year-to-Date Amounts as of</th>
<th>Adjustments (Additions/Subtractions)</th>
<th>Final Total of Expenses</th>
<th>Explanation of Adjustments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Act Code</td>
<td>Description</td>
<td>A</td>
<td>B</td>
</tr>
<tr>
<td>2000</td>
<td>Faculty Salaries</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>2020</td>
<td>Admin Salaries</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>2640</td>
<td>Technician Salaries</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>20A0</td>
<td>GA TA RA PA Salaries</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>20F0</td>
<td>Housestaff Salaries</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>20I0</td>
<td>Student Salaries</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>20L0</td>
<td>Federal Work Study</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>20F6</td>
<td>Temporary Salaries</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>21E0</td>
<td>Tuition Waiver</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>2130</td>
<td>Other Benefits</td>
<td>$ 0.00</td>
<td></td>
</tr>
<tr>
<td>3100</td>
<td>Office Supplies</td>
<td>$ 0.00</td>
<td></td>
</tr>
</tbody>
</table>
Grant Reconciliation Required Certification

“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).”
FTMFUND - PI
FRAGRNT – Acct Admin
Initial Workflow e-mail to AA(1)
Initial Workflow e-mail to PI(14)

Mail: From: workflow@umn.edu

File Edit New Actions Tools Accounts Window Help

Mail Properties Personalize Message Source

From: workflow@umn.edu
To: Randall Whelan
Subject: (14) Fund Ending in Next 30 Days for Grant 25012, Fund 20120, PI: Whelan

5/6/2008 2:11 PM

According to our records, the following award will be ending 31-May-2008 12:00:00 AM. Your Account Administrator Randall Whelan has also been notified. If you have any questions regarding this notice, please contact the Account Administrator.

Grant: 25012
Fund: 20120
PI: Whelan
Index: 893005

Sponsor: Department of Transportation
Title: Nevada Border Initiative
Budget Period of Fund: 01-May-2008 12:00:00 AM to 31-May-2008 12:00:00 AM

31
Extend or Close Fund
Fund is already extended in Banner e-mail to A/PI(12)
Pending e-mail to AA(13)
Fund Extended e-mail to AA/PI(11)
Extension not approved e-mail to FM(9)
Extend or Close Fund
Close-out e-mail to AA(4)

Attached is the close-out reconciliation form for your grant #35512, Fund #20120. Please complete and return it to the appropriate Post Award office by the due date. All adjustments identified on the reconciliation must be moved on/off the fund by the due date specified on the reconciliation.

Post-award will close the fund after the due date regardless of whether the reconciliation has been returned and/or charges moved on/off Fund in order to be compliant with OMB Circular A-110. Please see below.

If you have a pending No Cost Extension request filed through Pre-award, please let us know as this due date can then be extended.

Closing Funds within 90 days of their Budget Period End Date is a Federal requirement under OMB Circular A-110 Section D.71. In order to be compliant with Federal requirements, we need to have reconciliation forms returned and charges moved within the established time frames. Please note that if this reconciliation is not returned by the due date, the final amount will be taken from Banner.

Additional Comments: Comments entered by Fiscal Monitor.

Workflow Instructions:
2. Login to Workflow using your NID & password.
3. Two activities per grant should appear on your workflow: CompleteRecon & ProgressReport.
4. When you complete the CompleteRecon, Workflow will send an email notification to the fiscal monitor who will approve the Recon to Banner.

If you have any questions or problems, please contact the UNM Service Center by phone at 277-8280 or by submitting an Ask A Question at http://askinfo.unm.edu.
AA Workflow for Close Out
AA Close out
Close the Fund e-mail to AA/PI(7)
Progress Report
Extension with Carryforward Request

• As part of the Federal Financial Report (FFR) in the Remarks section we document that a carryforward request will be completed at a later date

• It is the Department’s responsibility to complete the carryforward request.
Things to remember

• Emails are processed thru Workflow
• Workflow utilizes Banner for information
  • FRAGRNT
    • Fiscal Monitor
    • Account Administrator
• Notify Fiscal Monitor of errors / updates
  • In advance if possible
  • As identified
• Grant Reconciliation is required to be returned to C&G
Questions

Kate Charleston 505-272-8047

Jason Galloway 505-272-0163