Vanderbilt University

Sub-Award and Sponsored Billing Agreement Post-Award Checklist

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Step 1 – Initial Steps

- ☐ Determine who will be the **Requisition Creator: Departmental Personnel** or **Designate.**
- ☐ Determine who will be listed as the **line level requester**: **Principal Investigator (PI)** or **Designate**.
    - ▪ **Note**: **Line level requester** must have completed training in Oracle to receive procurement requestor privileges.
- ☐ The supplier must be registered with **Vanderbilt University (VU)**.
    - ▪ **Note**: New suppliers must be sent an invite to register via the **Supplier Portal** in **Oracle.**
- ☐ Determine whether a **new requisition** or **PO amendment** is required.
    - ▪ **New requisitions** are needed when:
        - • New sub-award
        - • New contract for existing sub-award
        - • New project
            - ○ In most cases, carryforward is not allowed. If approved, the new PO will include carryover funds and new funds.
        - • All training grants are assigned a new project and therefore receive a new requisition/PO (carryover is not allowed in this case.)
    - ▪ **PO Amendments** are needed when:
        - • Total billing amount is changed
        - • Dates are extended
        - • Funding source is changed

Step 2 – Creating the Requisition

- ☐ Once the award is active in **VERA**, the departmental personnel or designate will create a **Subcontract** requisition in **Oracle** to generate a **purchase order (PO)**.
    - ▪ **Note**: Only the **PI** or **designate** should be listed as the **line level requester** in the requisition.
- ☐ The **subcontracts smart form** with the **sub-award commodity code** should be used.
    - ▪ **Note**: A **Research Finance (RF)** analyst will then be assigned as the buyer based on the project number.
    - ▪ **Item Description** should be the supplier's name and subaward number (e.g., UNIV1234)
    - ▪ **Supplier site** should be noted on the agreement under payment address.
        - • For a new supplier or supplier site contact supplier records.
    - ▪ **Item/Part Number** = N/A
    - ▪ **Start and End Date** should correlate with the Subaward Period of Performance (budget period) dates.
    - ▪ **Supplier Selection Justification** is not needed for subawards.
    - ▪ **Justification** is **"**To perform work activities related to the scope of the sponsored grant"
    - ▪ If you receive a funds check warning, click "Okay".
    - ▪ **Deliver-to location** should include a room number otherwise the requisition will fail.
    - ▪ **Requested Delivery Date** field is the end date of the contact and cannot be a date that has already passed. If the end date for the subcontract has already passed this should be left blank.
    - ▪ **Note to Supplier** box, should list the Subaward #, PI, and end date in that order.
    - ▪ **Note to Buyer** box should say "Payment terms should be immediate".
- ☐ For **sub-award** costs **under $25k**, use requisition line **#1** and expenditure type **SubConOH**.
    - ▪ SubConOH will generate **Indirect Costs (IDC).**
- ☐ For **sub-award** costs **exceeding $25k**, use requisition line **#2** and expenditure type **SubConNOH.**
    - ▪ SubConNOH will not generate **IDC**.
- ☐ For **sponsored billing agreements (SBAs)**, use one requisition line and expenditure type **SvsOth**.
    - ▪ SvsOth (SBAs) will not generate **IDC**.
- ☐ The subaward agreement should be added as an **attachment**.

- ☐ Requisition will route through workflow
    - ▪ Requisitions **<$10k** route to the **Financial Unit Manager (FUM)**
    - ▪ Requisitions **$10k to $1M** route to the **(BEA)**
    - ▪ Requisitions **>$1M** route to the **Vice Chancellor (VC)** and **Chancellor**
- ☐ Once the PO is **approved** by RF, **Oracle** will issue and send the PO to the awardee, including information regarding how to invoice. Agreements executed with SPA will also note invoice requirements.
    - ▪ If the PO is **rejected**, **RF** will provide the **creator/entered by** with guidance on what needs to be corrected.

Step 3 – PO Amendments

- ☐ The **PO creator** may **edit** existing lines in the requisitions.
    - ▪ **Note**: If new lines are needed, requester should reach out to the **buyer (RF).**
- ☐ The **PO creator** may also request **Change Orders**.
    - ▪ **Note**: When submitting a change order request, the **requester** listed should be amended to reflect the **PI** or **Designate**.
    - ▪ A **distribution line change** (e.g., COA) routes to the **FUM** for approval.
    - ▪ **Requester change** or including **additional attachments** is automatically approves.
    - ▪ Amount change of **+/-$250** routes to the **FUM** and **buyer** for approval.
    - ▪ Amount change of **+/-$10k** routes to the **BUE** for approval.
    - ▪ Amount change of **+/-$25k** routes to the **sourcing officer** for approval.
    - ▪ Amount change of **+/-$100k** routes to the **Procurement Director** for approval.
    - ▪ Amount change of **+/-$1M** routes to the **Controller**, **VC Finance** and **VC for respective Entity**, and **Chancellor**.

Step 4 – Invoicing

- ☐ **Awardee** will provide services prior to sending an invoice to VU at invoices@vanderbilt.edu
- ☐ The **line level requestor** will receive an email notification from Oracle that there is an invoice ready for review and approval.
    - ▪ **Invoice review** should include:
        - • Correct PO number used
        - • Correct subaward/SBA number is used
        - • Invoice period
        - • Billed amount is within PO limits
        - • Current and cumulative costs (including cost sharing)
            - ○ Burn rate (financial progression vs. POP progression, as appropriate)
        - • Breakdown by major cost category
        - • Certification statement, signed and dated
    - ▪ The PO requester may forward invoice email notification to other parties for offline review and approval if necessary as a pdf of the invoice is included in the email.
- ☐ If invoice is **approved**, VU will send payment immediately as Uniform Guidance requires invoices be paid within 30 days.
- ☐ If invoice is **rejected**, the requester is responsible for reaching out to the supplier to fix the invoice. RF will be available to assist as needed.

Step 5 – Purchase Order Cancellation and/or Closure

- ☐ The **PO creator/entered by** can request the requisition be **cancelled** via **Oracle**.
    - ▪ **Note**: **RF** also has the rights to cancel a requisition.
- ☐ **Once all invoices are received and paid in full close the PO.**
    - ▪ Note: Subrecipients have 60 days from the end date of the contract to submit a final invoice.

Definitions:

Creator/Entered by: Person who submits the requisition in Oracle. This role could be received by reassignment from the Shopper.

Requester: Person requesting the requisition for goods or services. This person will receive invoice approval notifications.

Designate: Individual whom the PI has designated for subrecipient invoice approval responsibility and who has first-hand knowledge of the PI's sponsored award(s) and programmatic progress of the subrecipient.