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DOCUMENT TITLE: Task Assignment and Verification of Subaward Tasks	DEPARTMENT: Subawards	EFFECTIVE DATE: April 1, 2021

Task Assignment and Verification of Subaward Tasks

Student Worker / GCO will review all incoming subaward tasks in the <u>subawards@asu.edu</u> box, once the email is categorized under a GCO's name. The email will request for the student to create an ERA Agreements task, and assign the task based on email categorization. Student Worker / GCO will perform the following steps:

1. An email request for ERA task creation will be sent to the <u>subawards@asu.edu</u> inbox and categorized under a GCO's name, indicating that the task is ready for ERA task creation and verification. The same GCO should be assigned all of the tasks under the same prime award.

Thu 5/31/2018 4:0	IO PM	
noreply@	asu.edu	
Request Suba	award modification for 16-977	
subawards@asu.edu		
Emily		
If there are problems with how	this message is displayed, click here to view it in a web browser.	
MC Knowledge	e Enterprise T A Enterprise Research	
HJU Developm	ent 🛛 🔤 🖌 Administration System	
Award ID:	AWD00029678	
Award Status:	Active	
Award Sponsor:	NASA: Goddard Space Flight Center	
Funding Proposal ID:		
Title/Brief Description:	Cosmic Dawn with WFIRST	
Subrecipient Name:	Texas A&M University (TAMU)	
Award Subaward ID:	16-977	
Internal PI Name:	James Rhoads / 480/727-7133 / D150 Earth and Space Exploration, School of (SESE)	
Current RA Listed:	Teresa Robinette / 480/965-4935	
AMT GCO:	Michael Padden / 480/965-6237	

 AMT GCO named above recently requested a Subaward modification for the above referenced Award Subaward.

AMT Notes/Comments:

5/31/18 MP: Mod revises end date of the award to 3 years from effective date (5/2/19. All other T&C remain unchanged. PI approval is on hand. Ready for activation.

2. Click on the Award ID and Subaward ID linked in the email to view information on the prime award and subaward. Check existing tasks in ERA Agreements to ensure that a duplicate is not created. Create a Task Request in ERA Agreements.

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- 3. Input the ERA Awards information into the ERA Agreements task request fields (it's best to have both systems open on separate screens in order to perform this function)
 - a. Select the "Agreement Type" first (additional fields will show once the agreement type is selected).
 - i. For Agreement Types Subaward Agreement for New or Pending, Subaward At Risk, or Subaward Other enter the Funding Proposal Reference Number (only when Proposal Number starts with FP########), Award Number, PI, RA, Agreement Type, AMT GCO, Subrecipient, Sponsor/Outside Party, and Prime Sponsor.
 - ii. For Agreement Types Subaward Modification Bilateral and Subaward Modification Unilateral enter the Funding Proposal Reference Number (only when Proposal Number starts with FP########), Award Number, PI, RA, Agreement Type, AMT GCO, Subrecipient, Sponsor/Outside Party, Prime Sponsor, ASU Subaward Contract Number, and the Modification Number.
 - 1. When determining if a subaward modification should be unilateral or bilateral, check the original agreement, which can be found in ERA.
 - a. If this is not in the agreement, that means the subrecipient did not agree to unilateral amendments, and bilateral agreements will be used. The previous modifications will also indicate whether unilateral (SMU) or bilateral (SMB) will be used.

7. The PTE may issue non-substantive changes to the Period of Performance and budget Unilaterally Unilateral modification shall be considered valid 14 days after receipt unless otherwise indicated by Subrecipient when sent to Subrecipient's Administrative Contact, as shown in Attachment 3B. 9.0 Please indicate if request is needed by a specific time frame:
🛍 🛛
10.0 Attach any Sponsor provided emails/documents:
Name Version There are no items to display
11.0 Notes/Comments:

4. Click

Continue »

. This will take you to the Task Confirmation page, once there Click

Finish

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5. Locate the task created in ERA Agreements Unassigned and click "Assign Owner" to assign yourself and to initiate the verification process.

Agreements													
Create Task Request	Unassigned	Suspended	Canceled	All									
	Filter by 😧 Tas	sk ID 🔹	sub%		Q + Add Fi	lter 🗙 Clear All						Export	
	Task ID FF	D Brief De	scription		Sponsor	Prime Sponsor	Agreement Type	PI (Last)	Lead Financial Unit	RA (Last)	Created By (Last)	Modified Date	
	SUB00000616	test			100,000 Strong In The Americas	VA: Carl T. Hayden Veteran's Administration Medical Center	Subaward Agreement for New or Pending	Aannestad	Osher Lifelong I Learning Institute (OLLI)		Gates	12/5/2018 Assign 3:07 PM Owner	

6. Once the task is assigned to you, it will appear in your ERA Inbox in a "Verification State."

My Inbox	Verification Ve	gotiating	Internal	Externa	al Signa	ture Process	Executed/Awa	rded	All	Suspended	Canceled	L		
Filter by 🕜 👔	Name 🔹 Enter t	ext to search for		٩	+ Add Filter 3	Clear All								
Name		✓ Days in Agreements	Task ID	FP ID	ASU Subaward Contract Number	Modification Number	Sponsor	Prime Sponsor	Subrecipient	Sponsor / Outside Party Reference No.	Award No.	PI (Last)	RA (Last)	Last Modified
XS-Shredder: A Removing Code	Cross-Layer Framework for Bloat in Web Applications	0.00	SUB00000631	FP00010921			DOD-NAVY: Office of Naval Research (ONR)					Doupe	Sadauskas	1/8/2019 11:13 AM

Edit Task Request

7. Click on the associated task to open it up and then click on

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8. Review the Agreement Task Request page to ensure it includes all relevant information then select the "Subaward Project Information" page from the Jump To: Field. Input the information found in ERA Awards onto this page. At a minimum, Subaward Attributes "Child Agency/Org Account(s)," "ASU Subaward Contract Number," "Current Obligated Amount," and "Subaward Period of Performance" should be completed. The Child Agency/Org Account(s) corresponds to the ACC# provided in ERA.

2.0 Subaward Attributes:	3.0 Subaward Modification Attributes: (Reserved)
a. Payment basis:	4.0 Primary Place of Performance: Foreign:
D. Child Agency/Org Account(s):	Yes No clear
,	Address Line 1:
C. ASU Subaward Contract Number:	Address Line 2:
d Current Obligated Amount: (Currulative from all previous subaward obligations)	Address Line 3:
e. Anticipated Amount: (Estimated Total if incremental funding applies)	City:
f. Cost Share?	State:
O Yes O No <u>Clear</u>	Zip Code + 4:
g. Subaward Period of Performance:	
End Date:	Congressional District:
h. Anticipated additional years for Project Period: (If incremental funding applies) Anticipated End Date: (Estimated Project Period End Date if incrementally funded)	 5.0 Project has Capital Equipment >\$5K included in budget: Yes O No <u>Clear</u> 6.0 FFATA: Yes O No <u>Clear</u>
I. Carry forward allowed? Ves O No <u>Clear</u>	7.0 Vendor Number: (Vendor Number that matches remit to address)

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Continue >>

9. Click

and input the following fields in the Negotiation Information page: **2.0** Brief Task Status – copy and paste the AMT comments in the email.

- 9.0 & 11.0 Attach all relevant documents located in ERA Proposal Module or task email.
 - i. From the Task Summary Page, open the ERA Proposal Module if there is an FP Number.
 - 1. Right click on the FP Number on the Task Summary Page and select "Open in New Tab."

Task Summary	FP00010921 Awarded
	-

- ii. On the Project Information tab click.
- iii. Review the attachments and, if applicable and available, save the Budget, Budget Justification, Statement of Work, Cost Price Analysis, Institutional Signed Commitment Form, IRB Approval, and IACUC Approval to the Negotiation Information Page of the subaward task you have created

Attachments

11.0(a) Attach Visual Compliance *See instructions below*

11.0 Compliance Documentation:					
a. Visual C	Compliance:				
[None]	1 Upload				

10. For new subawards, check if the Workday Supplier ID is listed in the Master Store. Note the result in the task.

Edit External Organization Details	
Master ID: S5266	Is Active: 🖉
ASU ID: 5266	Is Publicly Traded:
Date Created: Tuesday, March 19, 2013 10:5	51:57 PM Date Modified: Tuesday, September 04, 2018 4:26:37 PM
Interface Details:	
Workday Supplier ID:	
Grantor Code:	50001692
Name and Category Information:	
Name:	Texas A&M University (TAMU)
424 Name/Legal Name:	Texas A & M University
	The 424 Name is only used on Federal Sponsors that accept grants.gov proposals and it MUST BE the EXACT same spelling as the agency name on Grants.gov.

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11. Go into Visual Compliance and click on "Restricted Party Screening"



12. Insert the name of the Subrecipient in the "Company" field. If the Subrecipient is not a University or if they are a foreign entity, you must also insert the name of their PI in the "Name" field. If the Subrecipient is a foreign entity, a Visual Compliance screening must be conducted for their bank as well. If a foreign entity, combine the bank and entity Visual Compliance screenings into a single PDF document and attach the single document to 11.0 (a).

Name:	
Company:	
Address:	
City:	State:
Country: Select	country if applicable

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13. Click on the radio button "Fuzzy Level" and choose 1 then click on "Screen".

Exact Phonetic Fuzzy Level SCREEN Stemming Thesaurus Field Specific Weighted
ECCN for country controls check: Select ECCN V
 Export Sanctions GSA Police PEP/OIG International Reset Defaults GSA data is updated in full every business day direct from SAM/EPLS. Fuzzy searches including GSA are automatically limited to level 2. Business endings is not selectable when already set as your profile default.
Fuzzy or phonetic search with thesaurus often produces erratic results.

14. If there are findings that appear in the search, please contact <u>research.integrity@asu.edu</u> and attach the Visual Compliance report for further instructions. If there are no findings, right click on the image and scroll down to "print" choose "Adobe PDF" and click on "print".

Compliance	RESEARCH	EDITION						eCustor	ms
	CCL/ECCN	ITAR/USML	Inventory	RPS	Regulations	Schedule B	Resource	es Home	
	NO MATCI Your search database fa	of the Visual	Compliance R	estricted Party	Screening	Search keyword	same Is again	New Search	
Search criteria:	Name:	n/a							
	Company:	Clark Univ	ersity						
	Address:	n/a							
	City:	n/a							
	State:	n/a							
	Country:	n/a							
Search type:	For Fuzzy Field Specifi [Export, Sau <i>GSA data is</i>	[1] matches. c on, Business nctions, GSA, I updated in ful	words remov Police, PEP an <i>I every busine</i>	val d Internationa ess day direct	l data groups.*; from SAM/EPLS]			
Date of search:	Thursday,	November 7	, 201 3						
Time of search:	06:05 PM E	ST							
	PDF	PRN THESE RESUI	.TS						

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15. Save the pdf to your desktop and name it according to the appropriate naming convention (e.g. ACC#-01--VC) and then attach it in ERA Agreements to:



Please put a note in Negotiation Comments box if any search returns a result & inform a Grants & Contracts Officer

- 16. If the subaward is being issued from ASU, when performing verification, go into the ERA Master Store to ensure subrecipient data is available.
 - a. Go to ERA Agreements, click on "My ERA," then "Maintenance." Select "External Organizations."

	ASU	Cnowledge Developme	e Enterprise ent		E7	A Enterpris	se Research ration Syste	em		
\rightarrow	My ERA Maintenance	COI	Grants	Agreen	nents					
	Maintena	ince							um seconda	
			Divisions	Exter	nal Org	ganizations				
			Filter by 🥝 🛛	Name			~			Go
			Edit ID	ASU ID	DUNS	Name	Company Category	Sponsor Grouping	Sponsor Type	City
			Edit MID0001389	7840		VA: Carl T. Hayden Veteran's	Sponsor	Federal	Other Federal	

b. Search for the subrecipient by filtering by name. Place "%" before keywords search bar to ensure that more results pop up. After finding the correct subrecipient name, click "edit."

Filter by	0	Name		✓ Col	orado State	e University	Go	Clear Advar
Edit ID	ASU ID	DUNS	Name	Company Category	Sponsor Grouping	Sponsor Type	City	State/Prov
Edit S1972	1572	785979618	Colorado State University	Sponsor	Other	Domestic Non- ABOR University	- Fort Collins	со
1 items						↓ page 1 of	1 0	

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- c. Scroll to the bottom of the window that pops up, to "Subrecipient Financial Audit and Risk Assessment Data." Check to ensure that the current fiscal year audit is completed. If the fiscal year audit is outdated or missing, make a note in "Brief Task Status" on the ERA task negotiation information page.
 - i. In this example, the fiscal year audit has been completed for the current fiscal year (FY17).

Subrecipient Financial Audit and Risk Assessment Data:

Contract Infor

Add						
	Fiscal Year	Status	Risk Assessment	Date Certification Received	Last Modified	
View	2017	Complete - Findings	Low	3/30/2018	8/15/2018	Delete
View	2016	Complete - No Findings	Low	6/30/2017	9/15/2017	Delete

ii. In this example, the fiscal year audit has been completed for 2016. This one would need to have an audit requested for the current fiscal year (FY17).

Subrecipient Financial Audit and Risk Assessment Data:										
Add										
	Fiscal Year	Status	Risk Assessment	Date Certification Received	Last Modified					
View	2016	Complete - Findings	Low	3/21/2017	9/5/2017	Delete				
1										

d. To ensure that the SAM registration data is current, look for "Subrecipient Data" on the same window and click "update."

Add	1110.							
	Туре	Name	Phone	Email	Last Update			
Update	Subaward Administrative Contact	Vincent "Bo" Bogdanski	970-491- 5574	bo.bogdanski@colostate.e	du 2/27/2017 Delete			
Subreci	pient Data:	Public/State	e Controlled In	stitution of Higher Educatio	Update Delete			
Date Created:		11/30/2016	11/30/2016					
Date Modified:		2/14/2018	2/14/2018					

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e. Scroll down on the Subrecipient Data window that appears and look for "SAM." Look for the SAM Expiration Date.

3. 9	SAM: www.sam.gov				
	Registered in SAM:	⊙Yes ○No	<u>Clear</u>		
<	SAM Expiration Date:	11/16/2018			
	Save current and previous year SAM docume	ents for Audit purp	ooses:		
	Name			Description	
	Upload Revision WAS0139-C2-CSU SAM R	EG TO 12-7-17.pd	f		Delete
	Upload Revision CSU-SAM Exp 11162018.	odf			Delete

f. If the SAM Expiration Date has passed, go to the SAM website to find the updated

information. Go to SEARCH RECORDS, located near the top of the page, and look for the subrecipient through the DUNS Number Search. The DUNS can be found in the ERA Master Store.

								QUICK SEARCH:	
Filter by 🎱 🛛	lame		✓ Cold	orado State	University	Go C	lear Advar	Enter your specific search t	erm
Edit IC ID	DUNS	Name	Company Category	Sponsor Grouping	Sponsor Type	City	State/Prov	(Example of search term i	includes the entity's name, etc.)
Edit S1572 1572	785979618	Colorado State University	Sponsor	Other	Domestic Non- ABOR University	Fort Collins	со	DUINS Number Search: CAGE Code Search:	Enter DUNS number ONLY Enter CAGE code ONLY
1 items				<	page 1 of	1 👂		SPARCH	Need Helo?

g. Click on "View Details."

TOTAL RECORDS: 1 Result page 1 of 1	Sort by Modified Dat	Save PDF Export Re	suits Print ending V
FILTER RESULTS	Your search returned the follows	ing results	
By Record Status	Easity COLORADO STATE	UNIVERSITY	Status: Active 🕒
Artime	DEDER: TROOTOGAN	CAGE OMM: 4/R/25	(marked
Institute	Has Active Exclusion?: No	DoDAAC:	View Details
By Record Type	Expiration Date: sa/s6/2008 Purpose of Registration: All Awards	Debt Subject to Office?	No
 Entity Registration 			
M Exclusion			
Apply Filters			

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h. Download the information page as a PDF and upload it under SAM documents on Subrecipient Data in ERA.

COLORADO STATE UNIVERSITY DUNS: /diggyg018 CAGE Code: 405/5 Status: Active Enginetism Date: 11/10/2018 Purpose of Registration: All Awards	ien 3 Hones № Fan Dalina, CD, Soyn-38ay , UNTRED STATES
Entity Overview	
Entity Registration Summary	
Name: COLORADO STATL UNIVERSITY Doing Business As: Spontored Program Rusiness Type: 113 State Generation	
Last Updated By: David Daty Registration Status: Active Activation Date: u/d/corr	
Expiration Date: m/c6/bor8	
Exclusion Summary	
Active Exclusion Records? No	

17. Once this information has been captured, select "OK" on the Subrecipient Data window. This will close the Subrecipient Data window. Click "OK" on the "Edit External Organization" window. This will close the External Organization window and bring you back to ERA Masterstore.

Divisions	Exter	nal Or	ganizations									
Filter by 🔍	Name	_	×	98 Clear	Advanced							Expert
Cáit ID	ASU 10	DUNS	Nerre	Company Category	Sporsor Grouping	Spansor Type	City	State/Province	Country	la Activa	Modified Date	Revenue Code
Edit MID000138	9 7840		VA: Carl T. Hayden Veteran's Administration Neclical Center	Sponsor	Federal	Other Federal				00	Thursday, December 21, 2017 6:20:04 PM	5310
Edit MID000358	2		**DO NOT USE, DUPLICATE ** referide school district R-1	Other External Organizations	State	Non-Arizona State Gevenment	relluride	co	USA	00	Thursday, August 10, 2017 12:00:57 PM	5340
Edit MID000196	8 8230		**DUPI ICATE-CRDE Global	Sponsor	Kenpreth	Domestic Organization	Arlington	404	USA	no	Thursday, December 21, 2017 6:26:28 PM	5340
Edit MID000020	3		"DO NOT USE	Other External Organizations	Federal	Air Force	Tempe	47	USA	no	Wednesday, Jugust 03, 2016 4:45:21 PM	5310

18. Select "Agreements" near the top of the window and go to "All" to search for the task that you just created.

Ny ERA COI IRB C	na la Agreementa									
Agreemente										
Page for Yohong So									Company	PIC 5
Create Task Request										
Shortcuts	Pty Index Verific	ation Megotiating	Internal	External	Signature Process	Executo	d/Awarti			acrided
Unassigned	tiller by 🐵	×	Gu	lear Advanced						
AI Reports	Task ID FP ID	Drief Description	Spansor (M Inc	anear anually Prime put) Sponsor	Subrecipient S	ete	GCO Reviewer (Last)	GCD Agreement Reviewer (Last)	PT (Last)	Lead Finan Unit
	CON0000001 FP00000020	NST Nanosystems CRC for Off-Orid Nanotechnology Frabled Water Treatment	Rice University	National Science Foundation (NSP)		accubad/Averanciad	Wright	Fairdoth	Westerhoff	Civil and Environme Engineerin

Income States S	Page 12 of 12				
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19. Click on the task and you will be brought to the Task Summary page.

Verification	Task functions Task flatness	Gougleteness		
Full Tech Respond	Task Summary		11100010821 Amerikant	
Printer Version	Internal Pit	Adam Despo	Date Created:	1/02018 11:12 / M
Value Differences	Di Costort	Pressive Salarian Additional Repressing	CHARMON	Dard Palitiky
Mr. Connect Lations	GCD Sevener:	Sett Exter distance - 400 - 27 Film	LastModified	16/2018 11/21 AM
my current sectors				
Esection Current	GCD Spreak Reviews	Dana Presey -	Salaracipiant	Eastine University 04085
e +	Prime Spore or		and a state of the local state of the	
D Energian Current	Spensor:	DOD-MWYY. Office of Havail Presser (* 2058)	Searching of the second	
More to Esternal Parks	Aparente Conta 2		Note exagened Ph	
March 10000 Paths	ANT GCO:			
Make to Hogetoing				
Copy Tack Request				
P Conscio Agrosment				
💠 Support bak	Refer Task Status Rates	Snapshots Attachments Email Noticey		
O Conecil Taole				
Drei				
O Create Straughof				

20. Go to the "Negotiation Information" section and update the "Brief Task Status" with the date, your initials, indicating that you created the task and completed verification, as well as the assigned GCO Agreement Reviewer

(ex: 6/4/18 ES: Created task, completed verification, uploaded G210 and VC. Assigned to KM).

Reassign Owner	
21. Click on	and select the correct GCO (as indicated through email
categorization) as the "GCO /	Agreement Reviewer."

- 22. Once verification is complete, go to the original task email in the subawards inbox and forward the email to the assigned GCO.
- 23. Categorize the task email as "Recently Completed" in the subawards inbox.