Central Receipt of Subaward Invoices
Brown Bag Luncheon Series
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Agenda

- Purpose
- Receipt of Invoices
- Yale Shared Services Role
- Department and Business Support Unit’s Role
- Subaward Invoice Process Flow
- Processing Items That Fail Validation
- Common Subaward Validation Failures
- GCFA Role in Subaward Set-up
- Questions and Answers
Purpose

To gain an understanding of:

- How to efficiently and effectively process invoices via AP
- How invoices are processed by AP when received
- The Business Office and Business Support Units role in invoice processing
- How to resolve invoices that fail validation
- When GCFA can help
Receipt of Invoices

Subrecipients should no longer send invoices to the research coordinator at YSM FinOps or FRMS (those e-mail boxes will only be monitored until January 31, 2013)

As of Dec. 3rd, ALL Subaward Invoices are to be sent to one place:

Yale Shared Services

All subrecipients have been notified by mail of the change. Subawards include new instructions.
There are two ways subaward invoices are sent from the subawardee to Yale:

1. **Electronically by email to:** yss.subcontracts@yale.edu
   - YSS email address must be in the TO: line of the email
   - Place other addresses in the CC: line of the email
   - Invoices must be formatted as .pdf or .tiff
   - One invoice per attachment; but an e-mail may have multiple attachments

   **OR**

2. **By US Mail to:**
   - Yale University
   - c/o Yale Shared Services-Sub K Invoices
   - P.O. Box 208383
   - New Haven, CT 06520-8309

**Electronic receipt is the preferred method**
• If an invoice is sent by US Mail: Yale Printing and Publishing Services receives and scans invoices into the AP system (previously performed by an outside vendor).

• If an invoice is received electronically: Invoice is automatically uploaded into the AP system (less steps, faster and will result in quicker payment).

• There are controls in the Oracle system to flag duplicate invoices if sent both by US Mail and Email:
  – Standard functionality flags invoices with the same vendor number and invoice number
  – Custom functionality flags invoices with same invoice number, invoice date, and same amount even if the vendor numbers are different

• AP reviews all invoices flagged as “duplicates” to determine if they were flagged correctly.
• A system generated e-mail is sent to the subrecipient when an electronic invoice is received confirming receipt or to request a correction

• AP processes subaward invoices each day. AP will:
  – Review information scanned and auto-digitally inputted into system against invoice for accuracy
  – Input missing information or correct data errors that may have occurred during the scanning process

• Each night processed invoices are routed to department’s AP worklist
• Review worklist regularly to process invoices for payment
  – Subaward invoices are not segregated from other invoices on worklist

• Review worklist information for accuracy
  – Input correct PTAEQ (default is department suspense PTAEQ, with Subaward organization)
  – Print invoice for PI and business office signature
  – Add initiator name (PI) – indicates PI approval was received
  – Email signed invoices to yss.subawards@yale.edu for attachment to invoice payment record

**NOTE:** This is a different e-mail address than the e-mail address used for the receipt of invoices from the subawardee

• Do not “release” the invoice from the department worklist until the P.I. has approved the invoice
• Process invoices immediately after P.I. approval to ensure expense is posted to GL on a timely basis and to minimize collection inquiries.
• Subaward payment template is only needed if invoice is not processed within the AP worklist (i.e., department received invoices directly)

• Templates should be e-mailed to: yss.subcontracts@yale.edu.

• Split charging must be processed as two invoices (generally only required for Center or Program Project awards)
  – Dept must reject invoice on worklist and ask AP to process invoice as many times as there are PTAOs (e.g., if there were 3 PTAOs to be charged the invoice would be processed three times)
  – The total of the split charges must add up to the invoiced amount.
Subaward Invoice Process Flow

Sub K Process - Effective December 3rd, 2012

Vendor
- Start
  - Send invoice to YSS
  - Process invoice to departments worklist (incl entering of SubK #)
    - SubK number listed on invoice?
      - YES: Reprocess invoice to attach image to corresponding ORACLE transaction
      - NO: Process payment and pushes to GL

YSS AP
- Process an OK-to-Pay invoice (see separate process)
- Print invoice and collect PI's signature (to verify receipt and appropriateness)
  - Scan invoice and email to yss.subawards@yale.edu
  - Add PTAEO and Initiator Name (PI)
    - PTAEO: Vendor, Sub K Funding are valid?
      - YES: Approve SubK Invoice
      - NO: Department contacts GCFA

Department
- Resolve issue

 GCFA

Assumptions:
1. Department is responsible for sending signed copy of invoice to AP
2. AP processes invoice in house
3. Department is responsible to make sure signed invoice is visible online before discarding paper copy
GCFA will no longer have its own worklist for subaward invoices

All invoices are routed to department AP worklist

Department updates PTAE0, adds authorizer, and submits the invoice to AP, at which point it is validated.

If invoice passes validation it is paid using standard AP process

If the invoice fails validation for:

- Expenditure Item Date (does not fall within the reporting period of the PTAE0); reject the invoice and request EID date correction (must coincide with dates of service on invoices)

- For assistance with other validation failures contact Dennis Titley in GCFA: Dennis.Titley@yale.edu or (203) 785-3174
1. Vendor name and or Vendor site code failed validation when attempting to release from department hold list (AP transaction fields did not match same fields in SMS)

**Action:** Send screenshot of error message with request for assistance to Dennis.Titley@yale.edu

2. Invalid PTAEO (PTAEO identified is not included in the list of PTAEOs associated with the subaward number in SMS; Award in PTAEO has expired)

**Action:**
- Ensure PTAEO used to release invoice from worklist is correct. If a different PTAEO is desired to release the transaction, contact Dennis.Titley@yale.edu for assistance.
- In general, if a change of PTAEO is needed at the beginning of a new grant year, notify GCA and the GCFA setup group at OGMsetup@yale.edu
3. Insufficient funds to release invoice (invoiced amount over subaward total, or anticipated funding amendment not fully executed and/or recorded in Subaward Management System)

**Action:**
- If subrecipient’s invoice exceeds the amount of the subaward total, contact GCAT team coordinator to determine if there are pending amendments, then if necessary, contact the subrecipient directly to request a corrected invoice.
- If an amendment to increase funding for the period being invoiced is not fully executed (and therefore not in SMS), check IRES regularly for updates and follow-up with the GCAT team coordinator.
- The invoice will remain on the department worklist until issue is resolved.

4. Expired subaward (invoice received after expiration of the subaward and was not included in the Final Financial Report to the sponsor)

**Action:** Contact Dennis.Titley@yale.edu for assistance.
• Enters subaward start and end dates into Oracle’s SMS during the set-up process.
  – Departments should review associated PTAEO and all other set-up information on SMS set-up report to ensure accuracy and to minimize invoice processing errors.

• Assist department business office when subaward commitment is incorrect on the monthly Account Holder report due to the improper assignment of the primary PTAO in SMS. Contact GCFA OGM set-up unit at ogmsetup@yale.edu to add or revise the PTAO information in SMS.

• Assist department business office with invoices that fail validation.
Questions & Answers