

PURPOSE

The purpose of this Job Aid is to provide guidance regarding the award setup and administration for grants received through the ASU Foundation. This job aid assumes an understanding of the existing Work Instructions and ASU policies. See the research admin site, [Working with ASUF](#), for more details.

PAYMENTS PROCESS

Charitable grants are awarded directly to ASUF and are administered by OKED via an email from ASUF to notifications@asu.edu.

Payments for ASUF awards are received directly by the Foundation. Once a payment is received and available in the ASUF financial system, CMT will access the ASUF account to draw cash and post it on the ASU Workday grant. Once the payment has been moved to the ASU Workday grant, CMT will create a journal to post F&A expenses on the ASU Workday grant, which will provide the ASUF with the allowable percentage for their fee, up to 5% TDC of the payment received.

F&A PROCESS

The F&A rate for the project is the total amount determined allowable by the sponsor's published rate in conjunction with ASUF. The rate is typically 11% TDC, but can vary depending on the sponsor. F&A on ASUF awards is shared between the Foundation and KE. ASUF receives the first 5% of allowable F&A and KE receives any amount above the first 5% up to the allowable rate.

- Example 1:
 - KE receives an award from ASUF with a total F&A rate of 11%.
 - ASUF receives 5% of the TDC recovered as F&A
 - KE receives 6% of the remaining allowable TDC recovered as F&A
- Example 2:
 - KE receives an award from ASUF with a total F&A rate of 3%.
 - ASUF receives 3% of the total direct costs recovered as F&A.
 - KE receives 0% as the allowable F&A rate does not exceed 5%.

COMMUNICATIONS

Most communication regarding ASUF awards will go through the prime sponsor unless otherwise directed by the Foundation. However, ORSPA should not contact some sponsors directly. Please see the list of restricted donors below and contact the

Foundation at OCFRgrants@asu.edu with any questions regarding correspondence with the sponsor.

List of Donors to be contacted by ASUF Directly:

- Helios Education Foundation

- Kemper and Ethel Marley Foundation
- Bob and Renee Parsons Foundation
- Virginia G. Piper Charitable Trust
- Wallace Foundation

AWARD SETUP

The notice of award documentation may arrive in the form of a sponsor letter, sponsor email, or correspondence directly from ASUF in place of a traditional grant or contract. If there are no terms and conditions included with the NOA, defer to the proposal information located in ERA. Special instructions for setting up ASUF awards:

Documenting the Award in ERA Grants Awards:

- SF 1.0 **Sponsor**: Always use "Arizona State University Foundation (ASUF)".
- SF 1.0 **Sponsor Point of Contact**: Include any prime sponsor contacts in addition to Shaun Benton at ASUF with the email OCFRgrants@asu.edu.
- SF1.0 **Originating / Prime Sponsor**: List the donor providing the funding to ASUF.
- SF1.0 **Originating Award Number**: List the donor's award number. If none provided, match the Sponsor Award Number below.
- SF 1.0 **Sponsor Award Number**: List the ASUF Financial System account number. (ex. G09166-300)
- SF 2.0 **Comments**: State the total F&A rate, ASUF F&A rate and the ASU F&A rate. List the total ASUF F&A dollar amount for each account.
- SF 2.1 **ASUF Foundation IFAS Number**: Enter the ASUF Financial System account number. (ex. G09166-300)
- SF 5.0 **Authorized Award Budget Allocations**: Enter the full F&A rate so ERA will use the full rate for calculations on the SF 6.0 Award / Authorized Budget Reconciliation.

Documenting the Account in ERA Grants Awards:

- SF 1.0 **P.O. Number**: List the ASUF Financial System account number.
- SF 1.0 **Payment Basis**: Select Cost Reimbursement only if stated in the sponsor documents (NOA, Funding Announcement or Terms & Conditions.) Default to Fixed Price if cost reimbursable is not stated by the sponsor, since many donors do not want any refunds.
- SF 3.0 **Rate Agreement**: Select the rate for ONLY the ASU portion of the F&A. This is the rate Workday uses to post the ASU F&A as expenses are recorded.

Creating the Workday Billing Schedule:

- **Billing Type**: Always use Installment, so CMT can draw lump sum payments from ASUF.

- **Schedule Type:** Select Sponsored Other for fixed price awards; select Sponsored Prepaid CRB for cost reimbursable awards.
- **Invoice Type:** Select Sponsored Scheduled Payments.
- **Billing Method:** Select Custom.

AWARD CHANGE PROCESS

Some unrestricted grants may be extended without prior approval from the sponsor, provided there are no terms and conditions preventing such action. Many donors do not wish to receive refunds on their unrestricted charitable grants, and therefore do not place time restrictions on their funding. Please contact the academic unit to confirm that the PI is still continuing the Scope of Work. If so, determine a new extended POP end date, recommending a six-month to 2 year extension from the current POP expiration date. Please notify OCFRgrants@asu.edu when a signed modification is needed per the terms of the agreement. ASUF is required to sign any bilateral modifications issued under ASUF awards.

INTERIM ACCOUNT MONITORING, FINANCIAL REPORTING AND INVOICING

Typically, unless mandated by the sponsor via the NOA, there are no interim invoicing, reporting requirements, or F&A reconciliations necessary. The information provided at award setup will allow CMT to draw down cash payments and distribute F&A accordingly. Please review the NOA to determine if any interim reporting is required by the donor. Interim technical reports may be required from the unit.

When preparing F&A Reconciliations, financial reports, and invoices, use the sponsor approved F&A rate, which is the total of the KE and ASUF rates combined.

Do not process interim F&A adjustments. All F&A is adjusted only at the end of the award.

FINAL INVOICING, REPORTING, AND AWARD CLOSEOUT

Complete a final F&A reconciliation including the ASUF Only section. If the award is an unrestricted grant, there are no terms governing the period of performance, and there is a balance remaining left to spend, contact the unit to determine if a no-cost extension is desired to continue the scope of work. If an NCE is not requested by the unit and all payments have been received, review any applicable terms and conditions or contact the donor (prime sponsor) and/or the Foundation to determine if a refund is required.

Process any required final adjustments to KE F&A. Notify CMT to process final payment transfers and ASUF fee adjustments, if any.