

Preparation and Distribution of Agreements

August 15, 2019

Unilateral Subaward Modification Agreements

Once you have received PI approval, you are ready to fully execute the subaward modification.

Preparing Agreement for Signature

Open the subaward agreement, print only the signature page and the Task Summary page in ERA, and then paper clip the pages to each other with the Task Summary on top.

| November 2010 FDF | | |
|---|-------------------------------------|---|
| Research Subaward Agreement | | |
| Institution/Organization ("Prime Recipient") | | Institution/Organization ("Subrecipient") |
| Name: Arizona Board of Regents for and on behalf of Arizona State University | | Name: Education Development Center, Inc. |
| Prime Award No.: DRL-103426 | Subaward No.: 12304 | CFDA # (FTE): |
| Awarding Agency: National Science Foundation | Amount Forward This Award: \$71,365 | Total Total (If Incrementally Funded): \$ |
| ORSP#; Box #18091, Tempe, AZ 85287-6811 | | |
| Subaward Period of Performance: Budget Period: From: 08/01/2012 To: 04/30/2013 | | Estimated Project Period (If Incrementally Funded): From: To: |
| Project Title: COMPUTERS Scale Up | | |
| Reporting Requirements (Check box if applicable): <input checked="" type="checkbox"/> See Attachment A <input checked="" type="checkbox"/> FFATA (Attachment B) <input type="checkbox"/> APRA Funds (Attachment A) | | |
| Terms & Conditions | | |
| 1) Prime Recipient hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are (check one): <input type="checkbox"/> As specified in Subrecipient's proposal dated _____ or <input checked="" type="checkbox"/> as shown in Attachment B in its performance of the subaward work. Subrecipient shall be an independent entity and not an employee or agent of Prime Recipient. | | |
| 2) Prime Recipient shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but, if a reviewer shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. Invoices that do not reference Prime Recipient's Subaward Number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachments 3A & 3B. | | |
| 3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to Prime Recipient's Financial Contact, as shown in Attachments 3A and 3B, NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Subrecipient's final financial report. | | |
| 4) All payments shall be considered provisional and subject to adjustment within the time estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient. | | |
| 5) Matters concerning the technical performance of this Subaward shall be directed to the appropriate party's Principal Investigator, as shown in Attachments 3A and 3B. Technical reports are required as shown above, "Reporting Requirements". | | |
| 6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts stated in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachments 3A and 3B. Any such changes relate to this subaward agreement require the written approval of each party's Authorized Official as shown in Attachments 3A & 3B. | | |
| 7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law. | | |
| 8) Either party may terminate this subaward with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachments 3A & 3B. Prime Recipient shall pay Subrecipient for termination costs as allowable under OMB Circular A-21 or A-122 or 45 CFR Part 74 Appendix E, "Procedures for Determining Costs Applicable to Research and Development Under Grants and Contracts with Hospitals" as applicable. | | |
| 9) No-cost extensions require the approval of the Prime Recipient. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachments 3A & 3B, not less than thirty (30) days prior to the desired effective date of the requested change. | | |
| 10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment B. | | |
| 11) By signing below Subrecipient makes the certifications and assurances shown in Attachments 1 and 2. Subrecipient also assures that it will comply with applicable statutory and regulatory requirements specified in the Research Terms & Conditions Appendix C for all applicable subawards. | | |
| By Authorized Official of Prime Recipient: | | By Authorized Official of Subrecipient: |
|  | |  |
| Assistant Director, Research Administration | | Director, OEP Graduate Programs |

Preparation and Distribution of Agreements

August 15, 2019

Solution for Predictive Physical Modeling in CDTE and Other Thin-Film PV Technologies

SMU0000053

Subaward Modification Unilateral

With Internal Parties

Edit Task Request
Printer Version
View Differences

My Current Actions

- Reassign Owner
- Unassign Owner
- Move to External Parties
- Move to Negotiating
- Move to Signature Process
- Copy Task Request
- Generate Agreement
- Suspend Task
- Cancel Task

Task Summary | Task Statistics

Task Summary

AWD00030712 Active
FP00006389 Awarded

| | | | |
|-------------------------|---|-----------------------|---|
| Internal PI: | Dragica Vasilevska 480/965-6651 B1310 Electrical Engineering | Date Created: | 7/31/2018 2:10 PM |
| RA Contact: | Joelina Peck 480/965-8913 | Created by: | Yuhong Su |
| GCO Reviewer: | Lindsey Bosak 480/965-7874 | Last Modified: | 9/4/2018 1:23 PM |
| GCO Agreement Reviewer: | Darci Parsley - | Subrecipient: | San Jose State University Foundation S4666 |
| Prime Sponsor: | DOE: Office of Energy Efficiency and Renewable Energy (EERE) | Subrecipient Contact: | William Yabumoto 408-924-1434 william.yabumoto@sjsu.edu |
| Sponsor Contact: | | Subrecipient PI: | Daniel Brinkman |
| AMT GCO: | Britt Williams 480/727-2593 | | |

Brief Task Status | History | Snapshots | Attachments | Email History

Give set of documents to one of the following positions who commonly have signature authority:

- Assistant Director
- Associate Director
- Executive Director

Once you have received the fully executed subaward modification, move to the **Subaward Finalization and Distribution** section.













Bilateral Agreements (Initial Subaward or Bilateral Modification)

Once the PI has provided approval, you will need to partially execute the subaward agreement or modification.

Partially Execute the Agreement

To partially execute the agreement, the Subawards GCO will need to send the agreement to the subrecipient for signature. On the ERA Task Summary page in the action's box, click on the "Email" activity.

My Current Actions

-  Reassign Owner
-  Unassign Owner
-  Move to External Parties
-  Move to Negotiating
-  Move to Signature Process
-  Copy Task Request
-  Generate Agreement
-  Suspend Task
-  Cancel Task
-  **Email**
-  Finalize Agreement
-  Create Snapshot

In this window, select the Subrecipient POC Email as the To address and copy the GCO Agreement Reviewer assigned and the RA.

Preparation and Distribution of Agreements

August 15, 2019

a. * To:

- GCO Agreement Reviewer assigned
- GCO Reviewer
- AMT GCO
- FOT (Fiscal Oversight Team)
- PI
- RA
- ORIA
- Subrecipient POC Email

Subrecipient POC Email on record: william.yabumoto@sjsu.edu

Add External 'To' Email Addresses:

(Example: test1@test.com;test2@test.com;test3@gov.gov)

Add other 'To' recipients:

| Last | First | Title | College | Department Name |
|-------------------------------|-------|-------|---------|-----------------|
| There are no items to display | | | | |

b. Copy:

- GCO Agreement Reviewer assigned
- GCO Reviewer
- AMT GCO
- FOT (Fiscal Oversight Team)
- PI
- RA
- ORIA

Under number 3: Email Body, Select Email Content “For External Review / Signature” to prefill the Email Message with the recommended text.

Select Email Content:

- For External Review / Signature
- Distribute Fully Executed
- FOT Audit Risk
- Request SC from Purchasing
- Request PI Approval

[Clear](#)

* Email Message:

Attached find subaward for project noted above with your principal investigator Daniel Brinkman.

Please review and either: (a) email a signed copy to my attention within 10 business days, or (b) email a version with comments to be discussed further.

Once ASU receives your signature then a fully executed copy will be obtained and returned for your files. If you should have any further questions please feel free to contact GCO Agreement Reviewer listed above.

Follow up with the subrecipient every 5 business days to obtain a partially executed agreement from the subrecipient.

Fully Execute the Agreement

Once the partially executed agreement is received from the subrecipient, follow the steps under **Preparing Agreement for Signature**.

Subaward Finalization and Distribution

1. Scan fully executed signature page of subaward agreement or modification and save file to temporary local folder (desktop or other).
2. Replace the signature page of the partially executed subaward agreement or modification with the fully executed signature page.
3. Subawards GCO will upload a copy of the fully executed subaward agreement or modification (including all attachments) to the ERA task under the Finalize Subawards Task Request drop-down, Section 2.0 **Attach Fully Executed Subaward Agreement**.
4. Via the ERA Agreements "Email" activity, the Subawards GCO will distribute the fully executed agreement to the Subrecipient POC, copying the PI, RA and GCO Agreement Reviewer assigned. Use the **Select Email Content**: Distribute Fully Executed radio button to prefill the Email Message with the appropriate content.

Create Supplier Contract / Create Supplier Contract Amendment in Workday

Follow the steps in the [Subaward Work Instructions for Workday](#) work instructions to create a new supplier contract or amend an existing one.