Subaward Online Invoicing Process Frequently Asked Questions

1. *How can I tell how long I have to approve the invoice to ensure compliance with the 30-day payment requirement?*
   a. The review and approval screens have a receive date listed.
   b. The final certification should take place within 29 calendar days of the receive date listed to ensure compliance. This allows for payment to be released within the 30 days.

2. *Is it ever appropriate to pay an invoice outside the 30-day payment requirement:*
   a. Yes
   b. If the invoice is not accurate and complete, a hold should be placed on the invoice pending resolution.
   c. Notification must be sent to the entity to notify them of the invoice hold and necessary action required to resolve the issue and release the payment.
   d. Once resolution is reached and an accurate and complete invoice is received, the invoice should be approved to ensure prompt payment.
   e. If there are no issues with the invoice, it must be released for payment within the 30-day window.

3. *What if the department/PI receives an invoice for a subaward once the online payment system is live?*
   a. Do not submit the invoice for processing.
      i. Submitting an invoice either in paper or directly to the UK email address on behalf of a subawardee for a PO included in the pilot can lead to duplicate invoice processing. Only external entities should submit invoices directly to Accounts Payable Services (APS).
   b. Respond to the email received with the following invoicing instructions:
      i. Please submit invoices associated with UKRF Subaward No: 3XXXXXXXX-XX-XXX/Purchase Order No: 78XXXXXXX via email to APPOinvoices@uky.edu. Neither hard copies nor invoices submitted to an email address other than the address listed above will be processed for payment. Please ensure Purchase Order No: 78XXXXXXX is included in the subject line of the email going forward. Please resubmit the invoice and verify the following information is included: [insert information listed under question 4]

4. *What information should be included on the invoice from the subrecipient?*
   a. Unless detailed otherwise in the subaward agreement, invoices should include the following:
      1. Purchase Order Number
      2. UKRF Technical Representative
      3. Invoice Number
      4. Invoice Period
      5. Invoice Date
      6. Project Budget Period
      7. Categorical Breakdown of Current and Cumulative Expenses
      8. Cost Share Expenditures (if applicable)
      9. Certification Statement
         a. Specific statement is required for awards under federal Uniform Guidance. Per [UG section 200.415](), "To assure that expenditures are proper and in accordance with the terms and conditions of the Federal award and approved project

budgets, the annual and final fiscal reports or vouchers requesting payment under the agreements must include a certification, signed by an official who is authorized to legally bind the non-Federal entity, which reads as follows: *"By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)."*

10. Signature of Signing Official
11. Remit to Information

5. ***Is the Subaward Invoice Reviewer (SIR) designation in SAP required?***
   a. No
   b. The system will move to the certification step for the PI if no SIR responsibility type is listed on the responsibilities tab of the grant to which the purchase order is associated.
   c. Though it is recommended practice for the department to support the PI by conducting a financial review of the document, the SIR review is not required by the University.

6. ***If an SIR designation is in SAP for the grant, can the PI certify the invoice without the SIR approval?***
   a. No
   b. The invoice will remain in the task list for the SIR to take action.
   c. Once the invoices is reviewed and approved, it will move to the PI task list and notification will be sent via email.

7. ***Can a department have more than one SIR designation on a single account?***
   a. Although the system will allow for the designation on GMGRANTD, the workflow can only support a single designation for the notification email.
   b. Since the acknowledgement is based on the level of review defined by the department, the system will allow a workflow delegate of the SIR to review and approve the invoice.

8. ***How do I add an SIR to a grant account in SAP?***

   a. Contact the [Collaborative Grants Services](#) (CGS) person assigned to the specific WBS element on the GMGRANTD t-code Responsibilities tab.

9. ***Can the PI workflow delegate certify the invoice?***
   a. No
   b. A delegate may review the information, but if they try to click yes on the certification statement and they are not listed as PI on the grant they will receive an authorization error.
   c. At that point, the workflow will reset the task and will reside in the PI task list.
   d. No additional notifications will take place.

10. *Who can certify the invoice other than the PI?*
    a. The institution is required to relate financial data to performance accomplishments of the subaward and must monitor activities to ensure the subaward is used for authorized purposes, in compliance with relevant guidelines, and performance goals are achieved.
    b. The PI is generally responsible for these areas as they have firsthand knowledge of the scope of work and programmatic progress of the subrecipient.
    c. It would not be appropriate to delegate this task to someone without that knowledge.
    d. Administrative staff would generally not be appropriate for this delegation.
    e. If a CO-I listed on a project has firsthand knowledge as described above or suitable means of verifying the information, a substitution, called the Subaward Invoice Delegated Approver (SIDA), may be completed for this process. Contact subwards@uky.edu with this request.

11. *Which web browser should I use?*
    Processing subaward invoices does not require a specific web browser. Google Chrome, Internet Explorer and Firefox are popular web browsers. MyUK and uky.edu in general tends to work better in Google Chrome and based on user responses, processing invoices in Google Chrome tends to have fewer issues. Some users find one works better than other. If you are unable to view attachments or process the invoice, please try another web browser. If you are still unable to process the invoice, please contact subawards@uky.edu.

12. *What do I do if the PI receives the following message when trying to certify an invoice?*
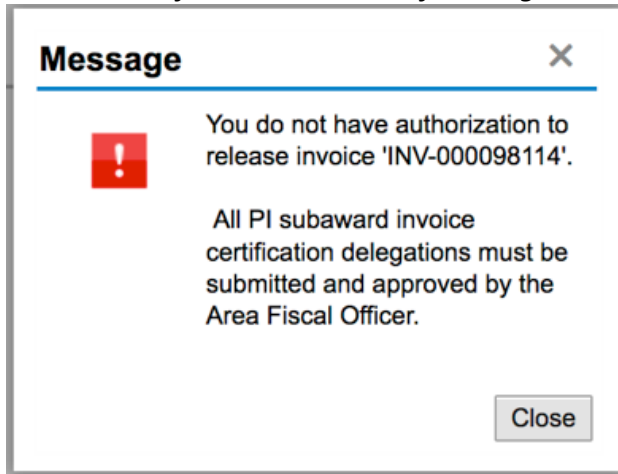
    a. The above referenced message occurs when the person approving the invoice does not have the appropriate role to authorize an invoice in SAP, which is R3P_PI_CAMPUS.
    b. This role is restricted to PI and CO-I responsibilities in SAP.
    c. If the person certifying is the PI or CO-I listed on the grant, contact subawards@uky.edu for assistance in adding the role.

13. *How is the documentation attached?*
    a. All subaward invoices should have an attachment for review.
    b. If you click on the attachment and the attachment does not appear for review, you may have pop-ups blocked as part of your settings. Please see #13 for resolution.
    c. Documentation saved as an email is the most common format. Open the email, then click on the attachment from the Subawardee.

    d. Documentation saved as a PDF is another format. In these insistences, there may be more than one attachment; the email received from the Subawardee and the invoice. If additional information is uploaded, these are saved as PDFs.

    e. If no documentation is attached, check if you are using Microsoft Office365 to view emails. If so, log out of Office365 and log into Microsoft Outlook. Then retry processing the invoice.

    f. If any of the above suggestions do not resolve the issue, please contact subawards@uky.edu.

14. *What if I receive a message about pop-up blocks?*
    a. If using Google Chrome:
        i. Click on the icon with the box and red X on the right hand side of the URL box

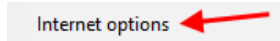   ii. Select always allow pop-ups
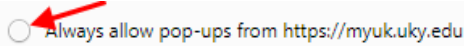
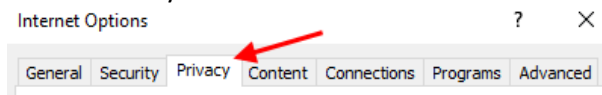   iii. Re-click to open the attachment
    b. If using Internet Explorer:
        i. Click on the icon that looks like a gear in the upper right hand side
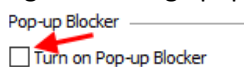

        ii. Select Internet Options

        iii. Select Privacy tab

        iv. Uncheck Turn on Pop-up Blocker. Another option is to keep the box checked, click on settings and change pop-up block to low.

    c. Reach out to your area's IT Technical Support for additional solutions.
15. *What if there is a problem with the invoice entered?*
    a. If the amount is incorrect
        a. Place the invoice on hold with reason "Invoice amount in question".
        b. Add a detailed note why the amount is incorrect (optional).
        c. Contact the Subawardee (cc subawards@uky.edu) for one of the below solutions:
            i. Ask for a debit or credit memo to be submitted to APPOinvoices@uky.edu. Once the invoice for the difference is received, the approver will approve both invoices at the same time. **Note:** Credit memos need to be approved first, then the original invoice to ensure the net of the two are paid.
            ii. If the Subawardee is unwilling to provide a debit or credit memo as needed, advise them to include the correction on their next invoice. Once the next invoice is received, the approver will approve both invoices at the same time.
    b. If the amount is correct but other information is not correct or missing
        a. Place the invoice on hold with reason code from the drop down box relating to the issue.
        b. Add a detailed note why the invoice is on hold (optional).

      c. Contact the Subawardee (cc subawards@uky.edu) for a correcting invoice reflecting the change needed
          i. Examples could be UG statement missing, signature missing, correcting invoice period, cost share missing or incorrect, etc.
          ii. Ask for the correcting invoice to be emailed to you (SIR, PI and/or department support staff).
          iii. Ensure only the requested information has been changed on the invoice.
          iv. Upload the correcting invoice as supplemental documentation (QRC on uploading documentation)
          v. Approve invoice
    c. Note: Only the initial invoice should be sent to APPOinvoices@uky.edu. SAP identifies duplicate invoices. Accounts Payable Services is not able to change invoice amounts, therefore, revised invoices are not accepted. APS do not review documentation for changes when invoices are resubmitted.

16. *How can I tell if the invoice has been paid?*
    a. The invoice will post to the ledger in SAP once it is processed by APS; however, it will not pay until approved by the SIR (if applicable) and certified by the PI.
    b. The QRC for reviewing for payment information is found on the APS website at https://purchasing.uky.edu/sites/default/files/2020-07/qrc_how_find_check_info.docx.

17. *How do I find a copy of the invoice after it has been approved?*
    a. Invoices are attached to the accounting document in SAP and accessible to be viewed by anyone with access.
    b. T-codes available to access documents include but not limited to are ZECM_FIDOCS, ME2K and FB03.

18. *When does the subaward invoice show as an expense to my grant account?*
    a. Once APS enters an invoice, the invoice is posted as an expense on the general ledger. At that point, it can be reported and invoiced to the sponsor. Invoices approved, pending, or on hold are all treated the same.
   b. If the award has an LOC draw, funds for the invoice cannot be drawn until the invoice is paid.

19. *When I get a PI notification email, can my staff be notified as well?*
    a. The system is not able to cc additional recipients, however, the PI may consider setting up auto forwarding in their email software
    b. Using Outlook, click on a PI email notification
    c. Select "Home" tab
    d. Select "Rules"
    e. Select "Create Rule"
    f. Check "Subject contains"
    g. Enter "Please review Invoice" next to the "Subject contains" field
    h. Click "Advanced Options"
    i. The 2nd option will be checked
    j. Select "Next"
    k. Select "Forward it to people or public group"
    l. In the bottom box, select the underlined hyperlink "people or public group"
    m. This will open the Outlook directory where you can select who you want to forward a copy of the email to
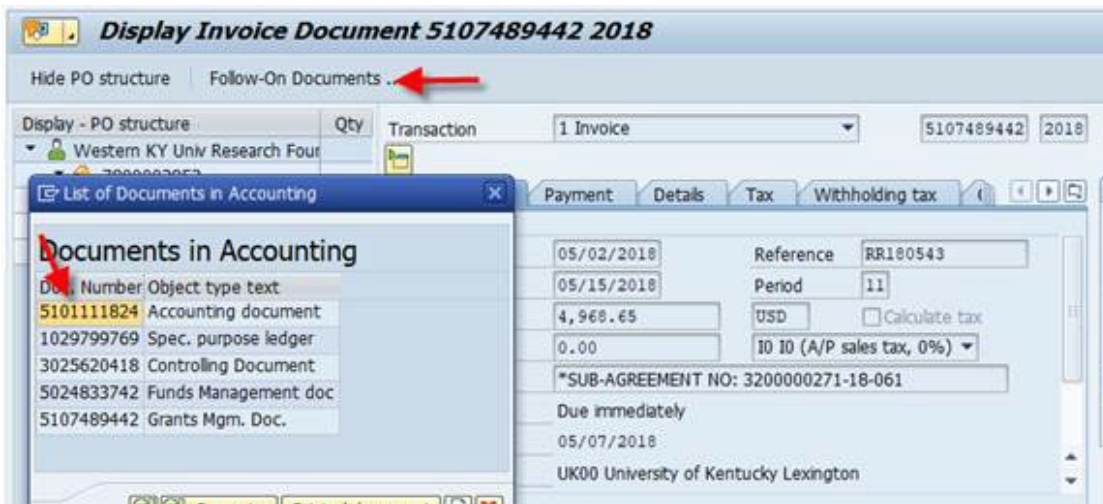   n. Select "Finish"

20. How can I view the invoices for a Subaward if I cannot get them to open through the notification email?

    a. Open transaction code: ME23N

    b. Click on the material document #
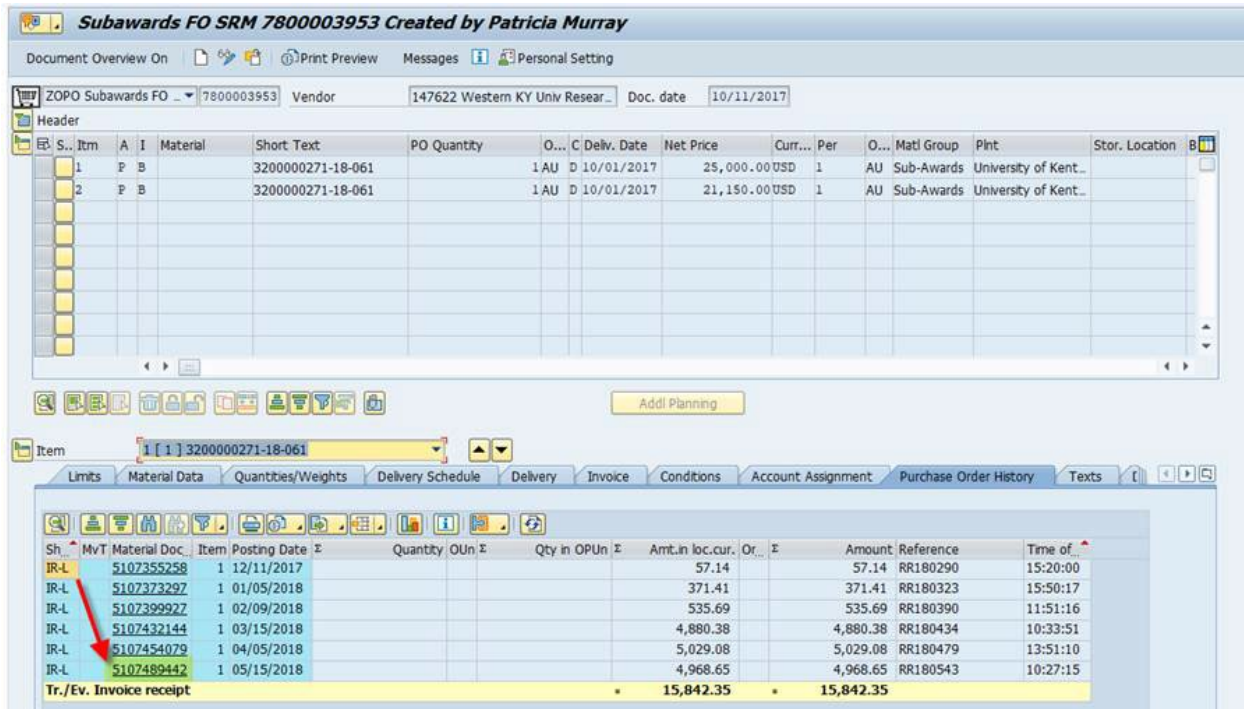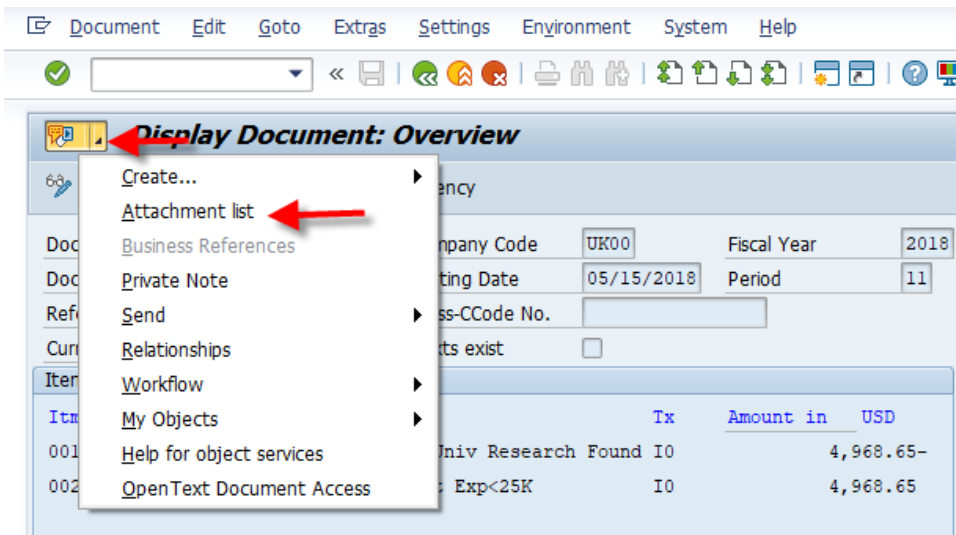

    c. Click on Follow-On Documents…
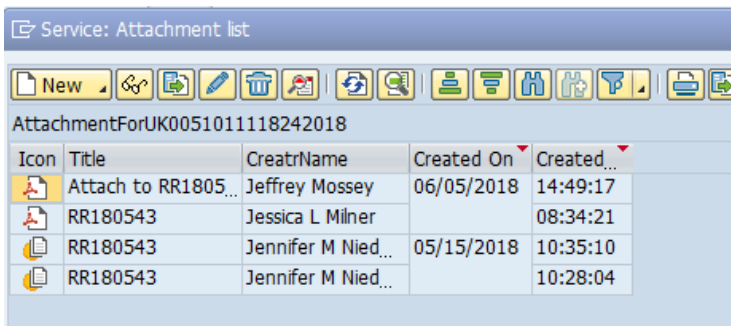
    d. Double click the Accounting Document Number

    e. Click on the arrow next to Display Document: Overview

f. To see any current attachments, click on Attachment list

g. Double click on any attachment to open

21. ***Where can I locate all invoices awaiting certification?***
    a. Transaction ZMM_BSI_RPT shows all invoices currently awaiting certification
    b. This report can be generated by purchasing document, department, vendor, etc. to isolate data, or with no parameters to generate all invoices that currently need to be certified

    c. Once an invoice is certified, it will no longer appear on this transaction
    d. Helpful column descriptions:
        a. **Creation Date** & **Posting Date**: Date invoice was entered in SAP by Accounts Payable
        b. **Received Date**: Date invoice was received via email to appoinvoices@uky.edu
        c. **Invoice Date**: Date on invoice
        d. **Days**: Number of days between the date the report was generated and the invoice received date
        e. **WI Status**:
            i. Ready – invoice has not been opened by SIR/PI
               Reserved – invoice has been opened by SIR/PI, but not approved
            ii. Completed – approved and moved to next level in workflow

22. ***Is there a way to see what invoices have been certified in the past?***
    a. Yes
    b. Transaction ZMM_SUBAWARD_INV_HIS is a Subaward Invoice History Report
    c. This report can be generated by purchasing document, department, vendor, etc. to isolate data, or with no parameters to generate all subward invoice history

23. *What if a refund is due after the Purchase Order ends?*
    a. If the PO has closed but the Subawardee's final invoice has not been approved and paid
        a. Please refer to FAQ 15 for a credit memo in lieu of a refund check
    b. If the PO has closed and the Subawardee's final invoice has been paid
        a. Before the refund check is issued, ask the Subawardee for sufficient documentation to explain and show what is being refunded and why (i.e. a revised final invoice)
        b. Review the documentation for correctness. Contact the Subawardee for any additional documentation support needed.
        c. Once the refund amount is agreed upon, ask for the refund to be mailed to your department along with the documentation
        d. If the refund was sent without notification, review the documentation for correctness. Request of subawardee any needed documentation as per item a. If the amount is insufficient, work with the Subawardee on issuing additional payment and deposit the current check per treasury services BPM E-2-1. If the amount is more than needed, communicate with subawardee to return the refund for a replacement check with the correct amount, or destroy the check. Continue communication with subawardee until the correct payment is received and deposit accordingly.
        e. If the amount is correct, your department needs to process a check transmittal using the grant associated with the PO
        f. Accounts Receivable will process the check transmittal and inform the RFS Financial Administrator
        g. If the grant has closed and a final invoice or report was submitted, the RFS Financial Administrator will resubmit a revised final invoice/report