The definition of an OSR Subaward and qualifying distinctions between an OSR Subaward and a Procurement Purchase Order can be found at the following link:


When initiating a Subaward using the iProcurement requisition system, there are a few important aspects to keep in mind:

1. Does the work being performed by the Subrecipient involve substantial intellectual involvement?

2. Is the issuance of this Subaward explicitly approved by the Prime Sponsor?

3. Does the Prime Sponsor have any accounting limitations/requirements regarding the collection of IDC on Subawards?

4. Does the carry over of funds between budget periods require prior approval from the Prime Sponsor, and is Stanford applying this term to the Subrecipients use of the funding?

The Office of Sponsored Research handles a considerable number of Subawards under standard Federal Grant prime awards. While these grants may make up the majority of Subaward transactions, there are also many Subawards under Foundation, Federal Contract, and Prime Subcontract awards. Due to the variety of prime terms and conditions, there are many caveats and exceptions regarding the iProcurement procedure. The below step-by-step process is only for STANDARD FEDERAL GRANT PRIME AWARDS. Be sure to familiarize yourself with the terms of the prime award in order to better manage the administrative requirements of the Subaward process. Note that Subawards under other types of agreements may require that Prime-award specific information be entered, as needed.

Remember, Expenditure Type (ET) 54710 is used when funds being issued to a Subrecipient are subject to IDC from Stanford's Sponsor. ET 54720 is used for all funds that are not subject to IDC from Stanford's Sponsor. This is especially important to remember when having to create two explicit billing "lines" within the Requisition.

If you have any questions or concerns regarding the terms of the prime award, the specifics of the proposed Subaward, or the processing of the Purchase Order, please be sure to contact your OSR Pre-Award representative.
Select the "SU Internet Procurement" folder to begin.
Select the "Non-Catalog Request" tab.
Under the "Request Type" dropdown, select "STANDARD SUBAWARD" to begin creating a new Subaward Agreement requisition.

To amend or modify an existing Subaward Agreement, please jump ahead to Slide 29.
Complete all the required fields with the appropriate Subaward information. For Subawards under Federal Grant prime awards in excess of $25,000, please be sure to create this first line using the first $25,000 of the total Subaward amount.

Click the Query icon to look-up the corresponding Subrecipient profile. Slides 6 and 7 will outline the selection process.

Click "Add to Cart" when all fields have been completed. This will be your first "Line."

* Please be sure to provide any specific detailed terms or conditions of the award/study that will be flowed down to the Subrecipient.

** For OSR Subawards, this field should always be marked "Yes." See Slide 33 for Questionnaire.
To select the appropriate Subrecipient entity, enter the full Subrecipient name in the supplier field above. Click "GO" to search.

NOTE: for wildcard searches, a "%" symbol should be entered after the searchable text.

If the Subrecipient is not listed within the supplier database, click "Cancel" and return to your requisition. There you will be able to select the "Request New Supplier" hyperlink, where you can submit a request to add the new Subrecipient to the Procurement system.
Select the appropriate Subrecipient supplier address from the results. Click "Select" to continue.

* Be sure to use the Subrecipient address listed within the Subrecipient supplied Proposal documents or the OSR Form #33, "Subrecipient Commitment Form."
Note that the first $25,000 has been added to the cart as the first "Line."
While still on the same page, update the Amount field with the balance of the Subaward in excess of the initial $25,000. In this example $75,000 is added to the initial $25,000 for a total Subaward of $100,000 to UCSF. Update the “Item Description” to reference the amount now being applied to Line 2.

Click "Add to Cart."
The second "Line" of $75,000 has been added to your cart. Click "View Cart and Checkout" to continue.
This screen is a view of what is in your shopping cart. Select "Checkout" to continue.
Fill in and complete all fields.

Select and enter the applicable Sponsored Research PTA information that you wish to issue the Subaward under.

These are searchable fields. Be sure to work with your DFA if you have any questions or concerns regarding the correct information.

* iProcurement does not automatically update the Expenditure type for OSR Subawards. Please use 54710 for the first line of $25,000 under standard Federal Grants.

When all fields have been completed, select "Save."
This is a Confirmation notice that the requisition has been saved. Click "Continue with Checkout" to proceed.
After you have saved your progress, you will be returned to Step 1 of 3. Click "Edit Lines" to update the Lines of the requisition.
Select Line 1 and click "Update" for detailed Line information.
Be sure that the first $25,000 of the Subaward is under Expenditure Type 54710.

Update the Description to specifically reference that this is Line 1 and add the Requisition number. Oracle will automatically merge the two lines if there is no difference in the Description. For invoicing purposes, it is important to reference the difference in the description between the lines.

Click "Apply" to continue.
Select Line 2 and click "Update" for detailed Line information.
Change and update the Expenditure Type of the additional amount to 54720.

Be sure to change the Description to identify that this is Line 2 and add the Requisition number.

Click "Apply" to continue
The two Lines have been updated. Click "Apply" to continue.
Note that the Expenditure Type now reads "Multiple." This is in reference to 54710 and 54720 being used for the single PTA.

Click "Next" to proceed to Step 2.
Select the "Manage Approvals" button to add appropriate Department Approvers.
In this example, Angel Chan is added as an approver after Teresa Hirst.

Please note, you will **not** need to explicitly add OSR as an Approver, the system will automatically route the Requisition to OSR for review and final approval.

Click "Submit" to continue.
Continue to add the appropriate Approvers in your Department, i.e. DFA's, as needed.

Select the "Add Attachment" button to attach any documents or correspondence to the requisition.

BE SURE TO REGULARLY SAVE YOUR WORK IN PROGRESS
Title and name each separate attachment as appropriate. 

Remember that OSR requires:

- A detailed budget for the Subrecipient's funding,
- A budget justification,
- A Statement of Work specific to the Subrecipient, and
- A completed OSR Form #33.

- If the Prime Award to Stanford is a Federal Contract, OSR will also need a completed OSR Form #45 from the Subrecipient as well.

Select "Browse' to search and upload the document to the requisition.

Add additional attachments as needed.

Select "Apply" when done adding attachments and to continue with the requisition process.
Add additional Attachments as applicable. Select “Next” to proceed to Step 3.
This is an overview of your order before it is submitted. Be sure to review all information to ensure the requisition does not have to be returned for edits.

Please note the tax for OSR Subawards should always read "0."

Click "Submit" to finalize and process the requisition set up.
This is a confirmation that the requisition has been created and routed for initial approval.

Click "Continue Shopping" to return to the home page.
According to "My Requisitions," the requisition is for $100,000 to UCSF and its status is "In Process."

Please be sure to check the requisition status for future reference.
When creating a Subaward Amendment/Modification to an existing approved Subaward, proceed to the iProcurement>Shop>Non-Catalog Request home screen, similar to the process outlined on Slides 2-3.

You may only submit an Amendment requisition against an active Subaward PO. The system will not allow Amendment requisitions to be submitted against pending PO's, i.e. while the Subaward is still being processed by OSR.

Also, please be aware that invoices cannot be applied to an "open" Purchase Order. This means that while OSR is negotiating and processing a Subaward Amendment, invoices cannot be paid to the Subrecipient from the Subaward PO.
From the drop down box, select "Standard Change Order - Subaward" to begin creating the Subaward Amendment requisition.
Complete all the required fields with the appropriate Subaward information. For Subawards under Federal Grant prime awards, remember that only the first $25,000 of each competitive segment of the Subaward is subject to ET 54710. Once the initial $25,000 is reached, all costs above that amount are subject to ET 54720 for the remainder of the competitive segment, including Amendment transactions.

Click the Query icon to look-up the corresponding Subrecipient profile.

*Enter the Original Purchase Order number. The system will automatically attach this change order to the original PO.

Once all the required fields have been completed, click "Add to Cart" and proceed with the same steps as used for the New Subaward process. Note that after the first $25,000 has been funded, Amendment requisitions will only have one line of ET 54720.
For Subaward Amendments such as No-Cost Extensions, or explicit Carry Forward approval, use the amount of $0.001. The system does not recognize an absolute zero amount.

Once all the required fields have been completed, click "Add to Cart" and proceed with the same steps as used for the New Subaward process. You will still need to use the appropriate ET code for the $0.001 amount when processing "no funding" amendments.
This Contract Questionnaire helps determine if a requisition needs to be processed as an OSR Subaward or as a Procurement Standard Services Purchase.