

Subaward Project Management

From PTA to Closeout

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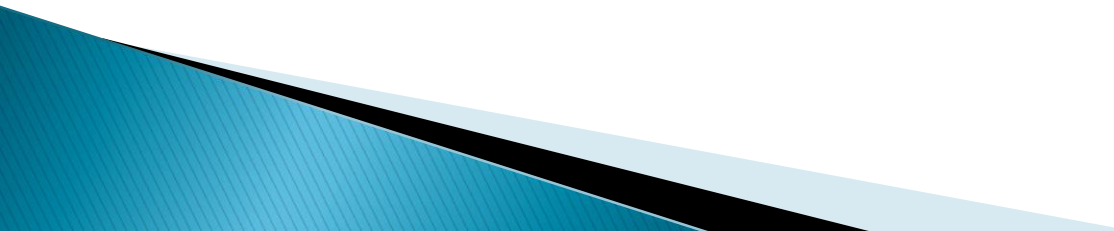
PTA Setup

- ▶ Request a separate task for each subaward
 - Allows for easier financial management and a separation of subaward expense
 - Simplifies reconciliation and makes it easier to spot errors in the award reports and FFIT
- ▶ Request a new task for each subaward annually if carryforward is restricted
 - Makes it easier to manage carryforward and ensure that invoices post to the allowable period
(Make sure that tasks are end dated so outstanding invoices will have time to post)

Carryforward

- ▶ Can be restricted to the subrecipient even if we have carryforward approval
 - Can be used to free up funding at the end of each year to meet Stanford's project goals
 - Make sure your OSR officer is notified to include this in the subaward agreement
- ▶ If carryforward is restricted from the prime and you want to give your subrecipient carryforward to the next period, make sure you obtain sponsor approval and attach it to your Change Order requisition.

When to submit a Change Order requisition

- ▶ Any changes that alter dates or dollars to the existing subaward agreement
 - Deobligation
 - Early Termination
 - No Cost Extensions
 - Adding time or money
 - Carryforward
 - ▶ Any movement of funds within the PO
 - ▶ Any changes to the PTA
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The Requisition

- ▶ Make sure that lines are added and not split
- ▶ Select expenditure type 54710 to apply IDC and 54720 for non-IDC
 - If you are not sure about the indirect cost allocation contact your Institutional Official in OSR or RMG
- ▶ If granting a NCX only, with no additional funding, put \$.01 under “Quantity”
- ▶ You will need to submit a requisition for any PTA changes and movement of funds to track the request in Oracle

The Requisition

- ▶ When granting the subrecipient carry forward of funds:
 - If you are:
 - (a) requesting a carry forward amount to be moved from a prior line, or
 - (b) Approving a specific dollar amount to be carried forward
 - Then:
include the dollar amount and the lines to move the carry forward from and to in the Description field. Do NOT include the carry forward amount in the Funding amount.
- ▶ If you want carry forward moved from a prior line, ensure that:
 - the amount to be carried forward is still available
 - the line is not closed for invoice
 - the task and award are still open

Help Speed up Contracting

- ▶ For New subawards attach the budget, budget justification, scope of work, OSR Form #33
- ▶ For Change Orders that provide additional funding, include a budget that matches the incremental amount on the requisition
- ▶ Obtain IRB, APLAC, carry forward approvals as soon as possible and make sure the subrecipient is listed as a “collaborating site” under Stanford’s IRB.
- ▶ All subs will need a DUNS number and for all Federal awards the sub must be registered in SAM
 - Frequently an issue for foreign subrecipients

Checking Subaward Progress

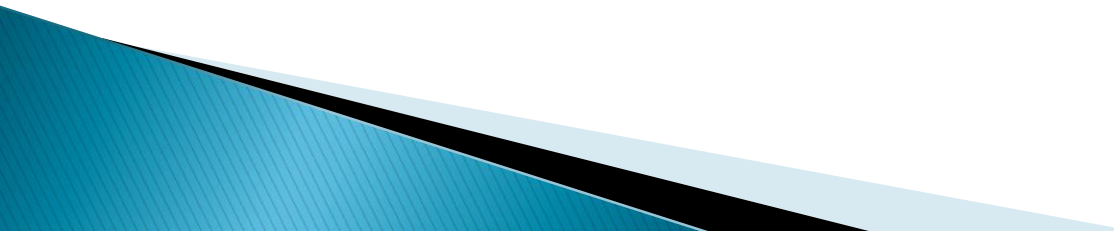
- ▶ In SeRA: Search by the SPO or Oracle Award
Provides detailed transaction details
 - Open subaward transactions are listed under Open Transactions
 - Click on the “Trans ID” link to go to the Subaward Transaction
 - View the details to see who has it and where it is in the process. Will also display any comments the Officer has noted on the transaction

- ▶ In iProcurement: Check the PO inquiry screen
Provides PO-level approval details
 - Use this to see the Oracle details of the subaward and whether it has been approved
 - The approver name in PO Inquiry is not the person working on the transaction. Must go to SeRA to see this.

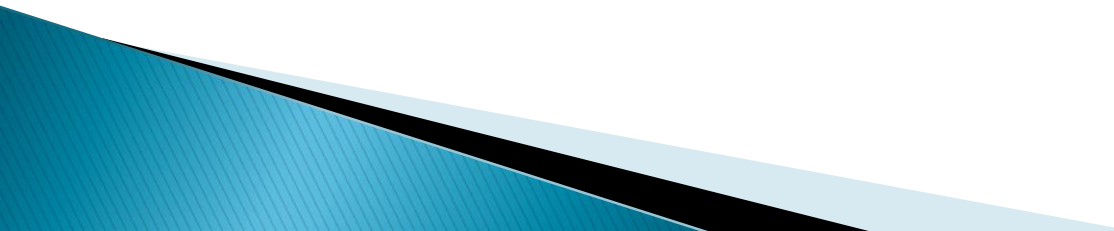
Uploading Invoices

- ▶ Make sure the PI has signed and the required stamp language is included on the invoice

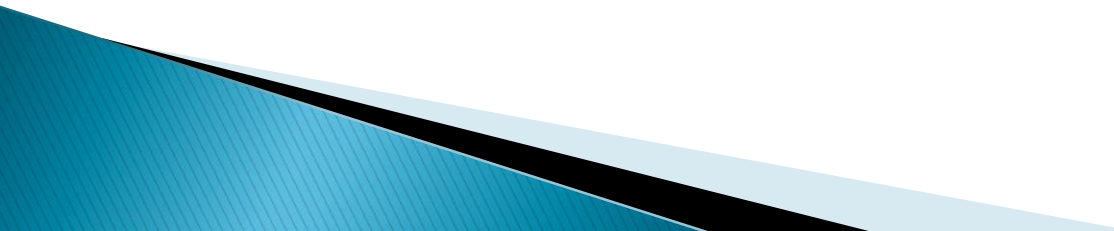
“In signing below I approve payment of this invoice and attest that the charges appear reasonable, and progress to date on this project is satisfactory and in keeping with the statement of work”

- ▶ Include the line or lines that you want the invoice applied to and the amount
 - ▶ Make sure that the task and award that you are invoicing against are not closed
 - ▶ Make sure to apply payment to the required IDC (54710) lines first before invoices are applied to non-IDC lines
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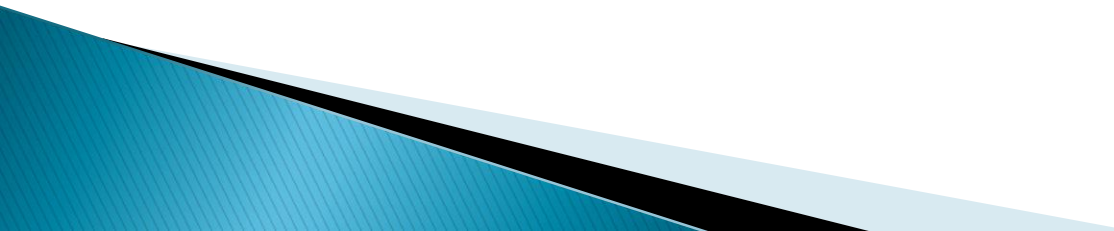
Uploading Invoices

- ▶ If possible, upload any outstanding invoices prior to submitting a requisition under that PO
 - ▶ Due to current Oracle limitations, invoices cannot be paid while a PO is open. Therefore, if you uploaded an invoice while a change order is in process, the invoice will be held by the system until the Officer has finalized the agreement and the PO is reviewed and approved.
 - Once approved the PO will automatically route to Accounts Payable for processing
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Help Make Closeout Easier

- ▶ Make sure you have uploaded the last invoice marked “Final” by the contractual end date
 - Usually 45–60 days for subrecipients
 - ▶ Track the number of invoices uploaded
 - If the final invoice is #15 there should be 14 invoices already uploaded
 - This can also help prevent the uploading of duplicate invoices
 - ▶ Be aware of both award and task end dates that may prevent the payment of invoices
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PO Issues–What to do?

- ▶ Subaward Journals – Should only be done if Award and subaward are in closeout
 - ▶ Untimely receipt and upload of invoices
 - ▶ Uploading invoices to closed tasks and awards
 - When those invoices hit your department accounts
 - ▶ If your invoice gets paid incorrectly
 - ▶ Line suppressions
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Who to contact

- ▶ Subaward Contracting in process –
 - OSR Contract & Grant Officer
 - RMG CT Officer if subaward is issued under an Industry Sponsored Clinical Trial
 - ▶ Closeout/reporting–OSR Accountant
 - ▶ Requisition Processing/Requisition Questions–Angel Chan
 - ▶ PO Approval/PO Questions–Laura Register
 - ▶ Payment of Submitted Invoices–Accounts Payable
 - ▶ Help tickets will be routed through FMS or FSC and the appropriate party will be contacted
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Questions?



Copies of these slides can be found at:

<https://doresearch.stanford.edu/research-offices/office-sponsored-research-osr/more-about-osr>