Spotlight on Subaward Invoices
By Nguyet Sin, OSR Associate Director, Post-Award

OSR is cracking-down on late subaward invoices. Allowing for exceptions to extend Oracle Award or Task end dates will no longer be an option. This includes iJournaling when you discover many months later that your subaward invoice posted to your suspense account or a wrong account.

Why the crack-down? There are many reasons. Subaward expenses are no exception to the financial terms of the award. In typical federal grants, expenses must be incurred during the performance period, and must be accounted and paid for within 90 days of the end date. This 90 day period aligns with the project closeout requirement to submit a certified final financial report to the sponsor.

Stanford Subrecipients are contractually required to submit final invoices, clearly marked as “Final”, typically within 45-60 days of the end date. What about projects where carryforward between budget periods is restricted and the project is not technically ending? Even in these instances, expenses must be accounted and paid for within 90 days of the budget period end date. This aligns with the requirement to submit an annual financial report to Stanford’s sponsor and request carry forward of an unspent balance. All expenses must be captured in these certified reports.

Moving forward, invoices must be uploaded to iProcurement for payment within 90 days after the Oracle Award or Task End Date (whichever comes first). Here are some tips to help you monitor your subawards:

• Not sure what your Award or Task End Date is? Run the ReportMart3 180 Report to check the Oracle Task end date. Run the ReportMart3 216 Report to check the Oracle Award end date.

• Make sure invoices are posted to the right account. Review your Purchase Order (PO) via PO inquiry to verify invoices are posting to the right account. If you notice something strange when reviewing the PO, contact Laura Register, OSR Subrecipient Monitoring Officer at laregist@stanford.edu.

• The typical subaward requires subrecipients to invoice as frequently as monthly but no longer than quarterly, with the final invoice due within 60 days of the subaward end date. If carry forward is not allowed on a subaward, you should receive an annual final invoice for each budget period.

If you are having trouble receiving a timely final invoice from your subrecipient, contact your OSR Contract & Grant Officer and we’ll assist with pursuing the invoice from the subrecipient.
Consolidated Expenditure Reporting Coming in March

By Dora Brown, OSR Assistant Director - Post Award

OSR is playing an active role in the support of the rollout of the next phase of a new system at Stanford for financial reporting: Oracle Business Intelligence, or OBI. OBI is a suite of reporting and analysis tools in an easy-to-use interface, offering simple and interactive reports for administrative and financial staff, and robust ad hoc analyses for experienced financial analysts.

Initial releases of this reporting evolution addressed Payroll and Labor Management; followed by Expense Requests and Stanford University Credit Card Activity transaction detail reporting. The next release addresses Consolidated Expenditure Reporting, or CER. This release will be implemented in March 2016.

Although the related ReportMart3 reports (e.g., the 279 and the 285) will remain accessible for a period of time after this rollout, users will find versions of those same reports in OBI CER, along with a host of other functions and capabilities that we think users will find much improved over what they now find in ReportMart.

Tim Reuter, Dora Brown and Marie Mui of OSR are playing a very active and important role, working directly with the Evolve Financial Reporting team, to get campus ready for this rollout. We also had 100 percent participation from OSR in User Acceptance Testing (UAT) for CER, which was a positive experience. Dora says CER is designed to make reporting easier, faster and better. Stay tuned for more information about this exciting development.

NSF Proposal & Award Policies & Procedures Guide Updates

The Office of the Dean of Research and OSR held a presentation regarding the latest changes to the National Science Foundation’s Proposal and Award Policies and Procedures Guide (PAPPG) NSF 16-1.

The changes to the PAPPG went into effect on January 25, 2016. If you would like to view or download the joint DoR-OSR presentation it is available on the DoResearch website at:


You can also find the changes on the official NSF.gov site at:


Special thanks to Catalina Verdu-Cano of DoR, Nicole Pobuta, Brian Del Bono and Gary Podesta of OSR for their presentation content.
New Year with New Faces and New Opportunities

By Theresa Tom, OSR Assistant Director, Pre-Award

OSR continues to build and develop our team with the addition of new talent. Sarah Makarchuk is our newest Contract and Grant Associate. Prior to joining OSR, Sarah held positions in HR with technology and marketing companies, served as a Volunteer Coordinator for Habitat for Humanity, and worked in development, operations and special events for a non-profit organization. Sarah holds a BA in Communication from the State University of New York in Geneseo.

We welcome Amanda Hart, OSR’s new Pre-Award’s Administrative Associate. She is the “switch board specialist” responsible for the transaction in-take process. Amanda’s diverse experience includes inventory and operations, accounting and administration, food industry management, news reporting and article writing for Indianapolis Monthly magazine. Amanda holds a BA in Journalism from Ball State University.

Shelly Huang is our newest OSR Financial Systems Analyst. She has been with Stanford for nearly 15 years in a variety of roles - most recently as a Computing Support Analyst with Administrative Systems. Shelly was with Financial Aid - starting as a Financial Aid Advisor and moved up to Associate Director of Financial Aid. She has a BS in Managerial Economics with a Minor in Chinese from UC Davis. Shelly also holds a MBA with a concentration in Finance from San Francisco State University.

In addition to welcoming our new staff, we are happy to announce several promotions on our Post-Award team. Research Accountants Tony Duong and Uma Mulukutla were promoted to the Research Accountant 2 level. Ann Cook received a promotion to the Financial Analyst 2 level and Sue Chau one of our Oracle Super Users, accepted a promotion to Post Award Accounting Manager. Congratulations to them and keep up the great work!

Two of our Research Accountants have moved on to new positions and challenges outside of OSR. Wenyi Christiansen remains with Stanford in her new role as Finance and Research Analyst with the Center for the Study of Language and Information (CSLI). Prachi Balaji recently moved to Southern California to join UCLA Health in an accounting role. While we’re sad to see Wenyi and Prachi leave OSR, we’re also excited for them and wish them the very best in their new opportunities.

Subaward Requisition Processing in the New Stanford Express

Stanford Express is scheduled to roll-out in Spring 2016, replacing SmartMart as the on-line marketplace. There will be improvements in the requisition interface for sponsored research subawards.

OSR Subrecipient Monitoring Officer, Laura Register will conduct seminars previewing these improvements on the following dates:

- February 16 - 9:00 am to 10:30 am @ the Clark Center Auditorium
- April 12 - 1:30 pm to 3:00 pm @ the Clark Center Auditorium

A downloadable tutorial highlighting the new requisition interface is available at:

https://doresearch.stanford.edu/node/2190578/attachment/newest
New Project Subawards Tab

A project-level Subawards summary tab is finally available! From here you can access subawards information without logging into a separate system.

**Campus Release Party Dates**

- **@ Clark Center Room S360**
  - Tuesday, March 1, 2016
    - 2:30 - 4:30 pm
  - Monday, March 7, 2016
    - 2:30 – 4:30 pm
  - Wednesday, March 16, 2016
    - 9:00 – 11:00 am
  - Thursday, March 24, 2016
    - 9:00 – 11:00 am

Live demos! Giveaways! Raffle Drawings! Food! On-Site Help!

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**Coming Soon….. the New SeRA User Experience!**

The SeRA Team is working towards the release of a new SeRA user interface. The release is scheduled for mid-March. Release Preview and Post-Release Parties will be held to present the new look and feel of SeRA with interactive demos. Book your calendar for a sneak preview of what’s to come!
Introducing the OSR Request Form

The recently released OSR Request Form allows department administrators to submit requests to OSR via the SeRA system. The form should be used when submitting a request for OSR to contact the sponsor for notifications and requests, or when you would like to ask OSR to make changes to Oracle PTAs for sponsored projects. The Form should not be used to send OSR award documents (please continue to send award agreements and documentation to OSR_Intake@Stanford.edu).

Why Should You Use It?

- **Transparency**  
  the system records exactly when you submitted the request to OSR, what information you provided, who is working on it, and what the status is

- **Timeliness**  
  the requests are received in OSR intake queues, accessible by OSR staff. No longer lost in individual email boxes

- **Accountability**  
  users can see who has the request and how long they’ve had it

How Do I Create A Request?

1. Search for the Project you want to submit a request for
2. From the Project Summary page, select OSR Requests Form from the Start a Transaction menu
3. Select the Request Type from the menu
A  No Cost Extension Request

When To Use:
In the event the proposed work is not able to be completed prior to the award end date and the PI wants to extend the period of performance.

What To Include in the OSR Request Form:

If Sponsor has a prescribed form: Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “No-cost Extension”

If request must be submitted via sponsor website or system: Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in.

If no prescribed form or system: Describe the request:
• The projected funds remaining AND the requested new end date
• Scientific justification for the request and a brief description of the work to be conducted during the extension period
• Any changes in effort of any Key Personnel during the No Cost Extension period, and rationale for effort reduction, if applicable
• Please provide the sponsor contact person, if known

OSR Form 49 may be used and attached to the SeRA transaction

B  Sponsor Approval for Rebudgeting

When To Use:
When you want to expend funds differently than the sponsor approved budget and the sponsor requires prior approval to do so.

What To Include in the OSR Request Form:

If Sponsor has a prescribed form: Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “Rebudgeting”

If request must be submitted via sponsor website or system: Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in.

If no prescribed form or system: Describe the request:
• The budget categories from which and to which funds will be rebudgeted
• How much will be rebudgeted
• Attach a revised budget as needed to detail the change
• An explanation for the need to rebudget
• If the rebudgeting will result in any changes in the scope of work provide an explanation of the changes
• Please provide the sponsor contact person, if known

C  Sponsor Approval for New Subaward

When To Use:
In the PI wants to issue a subaward to an entity not previously approved by the sponsor.

What To Include in the OSR Request Form:

If Sponsor has a prescribed form: Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “New Subaward”

If request must be submitted via sponsor website or system: Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in.

If no prescribed form or system: Describe the request:
• Subrecipient Statement of Work
• Subrecipient Budget & Justification
• OSR Form #33
• Any other documentation required by the sponsor
• If rebudgeting funds to issue subaward, attach a revised budget to detail the change
• Please provide the sponsor contact person, if known
**D Sponsor Approval for Carry Forward**

**When To Use:**
When the award requires sponsor prior approval for carryforward between budget periods.

**What To Include in the OSR Request Form:**

<table>
<thead>
<tr>
<th>If Sponsor has a prescribed form:</th>
<th>Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “Carry Forward”</th>
</tr>
</thead>
<tbody>
<tr>
<td>If request must be submitted via sponsor website or system:</td>
<td>Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in.</td>
</tr>
</tbody>
</table>
| If no prescribed form or system: | Describe the request:  
  • Desired carry forward amount from prior budget period  
  • Budget period carrying forward from  
  • Budget period carrying forward to  
  • Technical justification for carry forward  
  • Please provide the sponsor contact person, if known  
  *Attach carry forward budget as needed*

**E Sponsor Approval for Travel**

**When To Use:**
If use of award funds for travel requires the prior approval of the sponsor.

**What To Include in the OSR Request Form:**

<table>
<thead>
<tr>
<th>If Sponsor has a prescribed form:</th>
<th>Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “Travel”</th>
</tr>
</thead>
<tbody>
<tr>
<td>If request must be submitted via sponsor website or system:</td>
<td>Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in.</td>
</tr>
</tbody>
</table>
| If no prescribed form or system: | Describe the request:  
  • Purpose of the travel and relevance to the project  
  • Who will be traveling and to what Destination  
  • Anticipated dates of travel  
  • Breakdown of travel costs  
    • Airfare, Lodging, Transportation, Food (*Note Per Diem Rates if used*)  
    • Registration fees and other costs  
  • If Travel requires rebudgeting of funds, please follow rebudgeting instructions (*see Section B above*)  
  • Please provide the sponsor contact person, if known  
  *Attach any relevant documentation, including quotes*

**F Sponsor Approval for Equipment Purchase**

**When To Use:**
If purchase of equipment requires prior approval of the sponsor.

**What To Include in the OSR Request Form:**

<table>
<thead>
<tr>
<th>If Sponsor has a prescribed form:</th>
<th>Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “Equipment”</th>
</tr>
</thead>
<tbody>
<tr>
<td>If request must be submitted via sponsor website or system:</td>
<td>Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in.</td>
</tr>
</tbody>
</table>
| If no prescribed form or system: | Describe the request:  
  • A description of the equipment  
  • Technical justification for how it will be used on the project  
  • Vendor quote detailing the price of the equipment  
  • If equipment purchase requires rebudgeting of funds, please follow rebudgeting instructions (*see Section B above*)  
  • Please provide the sponsor contact person, if known |
G Sponsor Approval for Changing PI

When To Use:
If current PI will relinquish active direction of the project and the project will continue at Stanford with a substitute PI and prior sponsor approval is required before the change is implemented.

What To Include in the OSR Request Form:

| If Sponsor has a prescribed form: | Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “PI Change” |
| If request must be submitted via sponsor website or system: | Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in. |
| If no prescribed form or system: | Describe the request:  
  • Name of the new PI  
  • Reason for the change  
  • Effective date of the change  
  • Current/Pending Support and Biosketch for the new PI, and/or other forms as required by the sponsor  
  • Please provide the sponsor contact person, if known |

H Sponsor Approval for PI Effort Change

When To Use:
If PI will devote substantially less or more time to the project than proposed (as defined by the specific award terms) and prior sponsor approval is required before the change is implemented.

What To Include in the OSR Request Form:

| If Sponsor has a prescribed form: | Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “PI Effort Change” |
| If request must be submitted via sponsor website or system: | Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in. |
| If no prescribed form or system: | Describe the request:  
  • Current effort and the requested new level of effort (reflected in person months if required by sponsor)  
  • Effective date of the change  
  • Technical justification for how the change will impact the project  
  • If effort change requires rebudgeting of funds or scope of work change, please follow instructions (see Section B or I)  
  • Please provide the sponsor contact person, if known |

I Sponsor Approval for Scope of Work (SOW) Change

When To Use:
If the PI or sponsor requests a change in the Scope of Work or objectives of the project.

What To Include in the OSR Request Form:

| If Sponsor has a prescribed form: | Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “SOW Change” |
| If request must be submitted via sponsor website or system: | Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in. |
| If no prescribed form or system: | Describe the request:  
  • Provide the new scope of work, including a description of the change  
  • Note if the SOW change is being requested by the sponsor  
  • If the change requires rebudgeting of funds or changes in PI/Key Personnel effort, please follow PI/Key Personnel instructions (see Section H or I)  
  • Please provide the sponsor contact person, if known |
**Sponsor Approval for Key Personnel Change**

**When To Use:**
If there will be a change in Key Personnel (other than the PI) and prior sponsor approval is required before the change is implemented.

**What To Include in the OSR Request Form:**

- If Sponsor has a prescribed form: Complete and attach form to the SeRA transaction. Select Attachment Category “Notification/Request”, Sub-Category “Key Personnel Change”
- If request must be submitted via sponsor website or system: Enter the request details online and route/release the form to the appropriate Stanford Institutional Official for submission. Please note on the SeRA transaction which sponsor system the online request was prepared in.
- If no prescribed form or system: Describe the request:
  - • Description and Rationale of changes
  - • Effective date of the change
  - • Current/Pending Support and Biosketch for the new personnel, and/or other forms as required by the sponsor
  - • Please provide the sponsor contact person, if known

**Check Next Funding Increment Status**

**When To Use:**
You would like OSR to check on the status of the next expected funding increment.

**What To Include in the OSR Request Form:**

- • Budget period and/or amount of next expected funding increment
- • Provide end date of the current active budget period
- • If also requesting carry forward as part of the request, follow carry forward instructions (See section XX)
- • Please provide the sponsor contact person, if known

**New Task**

**When To Use:**
You would like OSR to create a new Oracle Task under an existing Oracle Award

**What To Include in the OSR Request Form:** Complete the Field that are included in the SeRA Form

**Budget Reallocation**

**When To Use:**
You would like OSR to move funds budgeted from one Expense Category/Type to another Expense Category/Type

**What To Include in the OSR Request Form:** Complete the Field that are included in the SeRA Form

**New Cost Sharing Award-Task**

**When To Use:**
You would like OSR to create a new Cost Sharing Award-Task for an existing Project

**What To Include in the OSR Request Form:** Complete the Field that are included in the SeRA Form

**New Fabrication Project-Task**

**When To Use:**
You would like OSR to create a new Fabrication Project-Task for an existing Award

**What To Include in the OSR Request Form:** Complete the Field that are included in the SeRA Form

**New Program Income Award**

**When To Use:**
You would like OSR to create a new Program Income Award for an existing Project

**What To Include in the OSR Request Form:** Complete the Field that are included in the SeRA Form

**Modify Existing PTA Attribute**

**When To Use:**
You would like OSR to change an Attribute of an existing PTA

**What To Include in the OSR Request Form:** Complete the Field that are included in the SeRA Form