OSR Fair 2016: Subawards

Requisition Checklist
- $ Amount Obligated to Subrecipient in Requisition matches Budget
- Subaward start and end dates are included and accurate
- Stanford’s funding is received
- Scope of work is not for a procurement action
- Requisition does not obligate greater than one year at a time
- "Standard change order-subaward" is used to modify an existing subaward
- For Change Orders, the supplier must match the original PO
- Allocate funds across appropriate expenditure types for the application of indirect costs
- Funds are available for carryforward or de-obligation requests
- Carryforward requests do not include new funding to the P.O.
- Use Line 1 for 54710 and Line 2 for
- Split lines are not used

Manage Using SeRA
- Manage Using the PO
- Elements of a Good Subaward Invoice

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Did You Know?

Subaward turnaround time is tracked in SeRA.

Go to the SPO# Subawards Tab and click on the Requisition # to view the details.

Subaward STATISTICS

2015

926 Transactions Processed

264 New Subawards

662 Subaward Change Orders

Top 5 Subrecipients

UC Berkeley 41
UCSF 40
PAVIR 28
UT Austin 22
UCLA 21

Currently Managing 592 Active Subawards across 384 Unique Subrecipients

SUBAWARD PROCESSING TIMES 2015

0 - 15 Days
16 - 30 Days
31 - 60 Days
61 - 90 Days
91 - 120 Days
121 - 150 Days
151 - 180 Days
181 - 210 Days
211 - 240 Days
241 - 270 Days
271 - 300 Days
301 - 330 Days
331 - 360 Days
361 - 390 Days
391 - 420 Days
421 - 450 Days
451 - 480 Days
481 - 510 Days
511 - 540 Days
541 - 570 Days
571 - 600 Days
601 - 630 Days
631 - 660 Days
661 - 690 Days
691 - 720 Days
721 - 750 Days
751 - 780 Days
781 - 810 Days
811 - 840 Days
841 - 870 Days
871 - 900 Days
901 - 930 Days
931 - 960 Days
961 - 990 Days
991 - 1200 Days

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**Common Reasons Subaward Requisitions are Returned**

- Incorrect dollar amount obligated to subrecipient
- Incorrect or missing start and end dates (*period of performance*)
- Obligations of time (*period of performance*) greater than one year at a time
- Incorrect allocation across expenditure types for the application of indirect costs (54710 IDC & 54720 Non-IDC)
- Stanford’s funding not yet received (*subawards cannot be issued outside of Stanford’s period of performance or against early PTAs*)
- Carryforward or deobligation is requested for an already expended amount (*can’t carryforward or remove funding that is already spent*)

**What to Look for on a Subaward Invoice Before Paying**

- Subaward number that matches the Stanford agreement
- Breakdown of expenses by major cost category
- Period covered by the invoice (*period that expenses were incurred*)
- Amount cumulatively expended to date
- Certification language required in 2 CFR 200.415(a) (*Federally sponsored projects only*)
- Expenses align with the budget and technical progress to date
- Indirect costs should align with the budgeted rate
- Subrecipient signature

**Tip:**

- Make sure all outstanding invoices are paid (not just uploaded) prior to submitting a change order. Invoices uploaded after a change order has been submitted will be placed on hold until the subaward amendment has been fully executed and the PO is reapproved.
- Stanford’s PI signature and certification language must be on the invoice prior to payment
Managing Your Subaward Using the PO Inquiry Tool

Use the PO Inquiry screen to:

- Ensure the correct PTA(s) have been used
- Make sure indirect costs have been properly applied to the subaward (54710 & 54720)
- Identify what lines/PTA(s) invoices have been applied to
- See requisitions submitted for the subaward
- Upload invoices for payment
- Check the status of uploaded invoices
- See committed funding for the subaward
- See commitments vs the amount invoiced against the subaward

Tip:
- “Incomplete” means the PO has never been approved (invoices can be uploaded but not paid)
- “Requires Re-Approval” means the PO has been re-opened to process a subaward transaction (invoices can be uploaded but not paid)
- “Approved” means the PO is in approval status (invoices can be uploaded and paid)

Managing Your Subaward Using SeRA

1. Use the subaward tab under the SPO number in SeRA to look at all your subawards, amendments, and amount funded to date for each subaward.

2. Click on “View Invoices and Payments” to be routed to the iProcurement PO inquiry screen.

3. Click on the requisition number to look at the subaward transaction in SeRA.
Subaward Invoice Approval & Signature

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Subaward Invoice Approval

University policy requires that Stanford’s PI must indicate approval of subaward invoices by personally signing each invoice for payment.

The following language is required to be included on each invoice:

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

See Research Policy Handbook 16.4, Section 5