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Overview

Purpose

The purpose of this guide is to provide post award administrators with instructions on how to process Amend PTA requests within PTA Manager (also referred to as SeRA). It will cover the three main Amendment scenarios: Increasing time and/or money, decreasing time and/or money, and administrative changes.

This document should be used in conjunction with the Oracle Guide to Setting up Projects, Tasks and Awards as it contains more detailed information on how to appropriately fill out required data fields. Also see the SeRA User Guides, Sponsored PTA Manager, New Account Setup and Sponsored PTA Manager, Early/Extend PTA Transaction.

The SeRA guides can be found on the DoResearch website at:

http://doresearch.stanford.edu/research-offices/sponsored-research-osr/stanford-electronic-research-administration-sera/learn-about

Process Flow
Increasing Time and/or Money

1. Review AAN and Oracle

- Open AAN and review remarks section and attached agreement to verify accuracy of AAN
- If necessary, look in Oracle to see full award information
- Verify PTA Configuration
- Determine if existing award needs to be amended, the types of changes that need to be made, and if a new award needs to be added

If a new award is needed, click “Add Award” and follow normal PTA Setup procedures. See next section for editing an existing award.

2. Edit Existing Award (Additional Time and/or Money)

If the existing award needs to be modified, click on award, then Edit Award.
Enter Additional Award Funding Amount and change the End Date, if needed. Update other fields as required.

If you are simply increasing time, you only need to update the Award. If you are increasing funding, you need to update the Award, Project and Tasks.

*Note: You cannot reduce time or reduce funding amount. These must be done Oracle (see Section “Reducing Time and/or Money”).*
3. Edit Existing Project
   a. Edit the project by clicking the blue project line.

   **Amend Account Request**

   - **PTA Configuration**
   - **WAPAA**
   - **WAFIV**
   - **PAFIS**
   - **Submit PTA**

   **Award (WAPAA) - Cost Share**
   - Guarantee Account: AAR01 1026779 1
   - Award Project Task
   - Guarantee Amount
   - Award Full Name: COST SHARE: SPECTROSCOPIC STUDIES OF ACTIVE SITES IN COPPER PROTEINS
   - Award Manager: Caron, Edward (ecaron)
   - Owning Organization: QCIF-Chemistry
   - Award Start Date: 01-SEP-2007
   - Award End Date: 31-AUG-2016

   **Projects and Tasks**
   - Project (1R18618) -- NIH 1R01 DK31450-01 SOLOMON
   - Task 700  SOLOMON 143 CJS

   b. Enter additional funding amount as needed. Edit other fields as needed.
c. Edit task and complete required fields.

<table>
<thead>
<tr>
<th>Task Number</th>
<th>100</th>
</tr>
</thead>
<tbody>
<tr>
<td>Task Name</td>
<td>NIH 2 R01 DK031450-3</td>
</tr>
<tr>
<td>Long Task Name</td>
<td>NIH 2 R01 DK031450-3</td>
</tr>
<tr>
<td>Task Configuration Code</td>
<td>-- Select Task--</td>
</tr>
<tr>
<td>Start Date</td>
<td>09-SEP-1990</td>
</tr>
<tr>
<td>Task Activity</td>
<td>SPONSORED_RESEARCH</td>
</tr>
<tr>
<td>Task Off Campus</td>
<td>No</td>
</tr>
<tr>
<td>Task Description</td>
<td>NIH 2 R01 DK031450-32</td>
</tr>
<tr>
<td>Principal Owner</td>
<td>Solomon, Edward I. (solomone)</td>
</tr>
<tr>
<td>Task Manager</td>
<td>Dinh, Linh (dinh)</td>
</tr>
<tr>
<td>Owning Organization</td>
<td>QCIP-Chemistry</td>
</tr>
</tbody>
</table>

Note: The “Completion Date” is only used if the task is being closed; otherwise it should be left blank.
4. **Update Budget**
   
a. Update the budget by clicking “Edit Budget” from the Award tab.

**Amend Account Request**

<table>
<thead>
<tr>
<th>PTA Configuration</th>
<th>WAPAA</th>
<th>WAFIV</th>
<th>PAFIS</th>
<th>Submit PTA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award (WAPAA) - Cost Share</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Guarantee Account</td>
<td>ASBRI C028779</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Award Project Task</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Guarantee Amount</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Award Full Name</td>
<td>COST SHARE: SPECTROSCOPIC STUDIES OF ACTIVE SITES IN COPPER PROTEINS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Award Manager</td>
<td>Caron, Edward (secaron)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Owning Organization</td>
<td>QCPF - Chemistry</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Award Start Date</td>
<td>01-SEP-2007</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Award End Date</td>
<td>31-AUG-2018</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Projects and Tasks**

- **Project (101861) -- NIH1.R01.DK31450-B1 SOLOMON**
  - **Task 700**
  - **SOLOMON 143 C6**

**Project Budget**

- **Project (101861) -- NIH1.R01.DK31450-B1 SOLOMON**
  - **Project Amount:** $698,707.07
  - **Amount Allocated:** $31,553.07
  - **Amount Remaining:** $557,154.00

b. You can update the budget either by task or expenditure type. Click the pencil icon to update the specific expenditure type or task.

**Award and Project Budget**

- **Award:** UCBRE
- **Project:** Project (700) - Electrothermal Eng
- **Project Amount:** $299,000.00
- **Amount Allocated:** $299,000.00
- **Amount Remaining:** $299,000.00

**Budget Information**

- Version Name: Award - Amendment
- Description: Award - Amendment

**Project Budget Detail**

**Activity:** SPONSORED RESEARCH On Campus

<table>
<thead>
<tr>
<th>Expenditure Category/Type</th>
<th>Task 1</th>
<th>Expenditure Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>563001 UNALLOCATED EXP</td>
<td>$7,100</td>
<td>$7,100</td>
</tr>
<tr>
<td>517600 FRINGE &amp; OTHER BENEFITS</td>
<td>$5,324</td>
<td>$5,324</td>
</tr>
<tr>
<td>565000 INDIRECT COSTS</td>
<td>$65,636</td>
<td>$65,636</td>
</tr>
<tr>
<td>511500 PRF PROFESSOR</td>
<td>$3,094</td>
<td>$3,094</td>
</tr>
<tr>
<td>515700 RRE PROFESSOR</td>
<td>$3,094</td>
<td>$3,094</td>
</tr>
<tr>
<td>614500 RSRCH/AST GRAD</td>
<td>$73,042</td>
<td>$73,042</td>
</tr>
<tr>
<td>51935 TUITION ALLOWANCE</td>
<td>$61,630</td>
<td>$61,630</td>
</tr>
<tr>
<td>714000 EXPENSES</td>
<td>$740,900</td>
<td>$740,900</td>
</tr>
</tbody>
</table>

**Return to Award Details**
c. Enter the additional amounts.

*Note: When entering the funding to the “additional amount”, once pushed through Oracle, the additional amount will be added to the most recently used budget column. If multiple budget columns in Oracle currently contain funding data, the additional amount will be added to the most recent column with data, and NOT the most current budget month column. To avoid this, you can add the total amount to expenditure type 50001 in SeRA and re-allocate the funds in Oracle (after “Send to Oracle Financials”) per the SeRA budget.*

<table>
<thead>
<tr>
<th>Expenditure category/type</th>
<th>Previous Amount</th>
<th>Additional Amount</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>50001 UNALLOCATED EXP</td>
<td>$7,100.00</td>
<td>5000</td>
<td>$7,100.00</td>
</tr>
<tr>
<td>51115 RBE PROFESSOR</td>
<td>$3,094.00</td>
<td>20000</td>
<td>$3,094.00</td>
</tr>
<tr>
<td>51125 RBE PROFESSOR RSRCH</td>
<td>$3,366.00</td>
<td>5000</td>
<td>$3,366.00</td>
</tr>
<tr>
<td>51450 RSRCH ASST GRAD</td>
<td>$73,842.00</td>
<td>20000</td>
<td>$73,842.00</td>
</tr>
<tr>
<td>51700 FRINGE &amp; OTHER BENEFITS</td>
<td>$5,324.00</td>
<td>$0.00</td>
<td>$5,324.00</td>
</tr>
<tr>
<td>51935 TUITION ALLOWANCE</td>
<td>$51,638.00</td>
<td>$0.00</td>
<td>$51,638.00</td>
</tr>
<tr>
<td>56900 INDIRECT COSTS</td>
<td>$55,636.00</td>
<td>$0.00</td>
<td>$55,636.00</td>
</tr>
<tr>
<td><strong>Total:</strong></td>
<td><strong>$200,000.00</strong></td>
<td><strong>$0.00</strong></td>
<td><strong>$200,000.00</strong></td>
</tr>
</tbody>
</table>

**Edit Budget by Task**

- [Cancel] [Save]

- **d.** Ensure Amount Remaining is 0 after updating all awards and projects for this transaction.

- **Award and Project Budget**
  - **Award:** UBRET
  - **Project:** Project (TBD) - Electrothermal Engin
  - **Project Amount:** $250,000.00
  - **Amount Allocated:** $250,000.00
  - **Amount Remaining:** $0.00

- **Budget Information**
  - **Version Name:** Award - Amendment
  - **Description:** Award - Amendment

- [Back] [Save]

- **e.** Click Save and “Return to Award Details” button

June 20, 2013

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5. Submit to Oracle

Click the “Submit PTA” tab. Enter any notes for the accountant. Click Check for Errors if you would just like to validate; click Send to Oracle Financials when you are ready (this will also check for errors).

6. Review in Oracle and Submit the Award Budget(s)

a. Go to Oracle to review the record by comparing it against the AAN and award agreement for accuracy.

b. Once the review has been completed in Oracle, go to the Award Budgets screen and press the Submit button.

c. If all the awards affected by the amendment have their budgets submitted in Oracle, SeRA will automatically send the amend transaction to the accountant. If there are active awards that were not affected by the amendment (i.e., no updates were required), return to SeRA and assign the task to the accountant manually.
7. Accountant Procedures – Review and Close

Note: A Notice of Award (NOA) will not be automatically generated unless all active awards are baselined in Oracle. In many cases, the amendment will only affect some, but not all, of the awards in the project.

a. Review the information in Oracle

![Image of Oracle interface]

b. All Awards Baselined

If all awards were baselined, then the NOA will be generated a few minutes after the last award is baselined. The transaction is complete.

c. Not All Awards Baselined

For amend transactions in which not all awards are baselined, you must return to SeRA to manually generate the NOA:

![Image of SeRA interface]

Return to Sponsored PTA Manager to retrieve the record from your Dashboard. Select Complete Transaction from the left-hand navigation menu. After entering comments, click the “Complete Transaction” button to trigger the system to generate an NOA. You are now finished.
Reducing Time and/or Money

To reduce time or reduce money, changes must be made in Oracle – they cannot be made in SeRA. Go to Oracle Financials, make any changes required, and save the updated award. You may also need to submit and baseline the award if changes were made to the budget.

1. Oracle Procedures
   a. Open Award Budget screen

   ![Award Budget Screen]

   b. Go to Budget Lines. Reduce funding per AAN. Click Submit and Baseline.
c. Reduce funding in **Project Funding** and SAVE.

![Screenshot of Project Funding](image)

**Note:** If an error message appears when funding is decreased under **Project Funding**, contact A/R – an event might exist which A/R has to remove.

d. Go to **Award Management**. Reduce funding in **Direct Cost** under **Installment Tab**. SAVE

![Screenshot of Award Management](image)
2. SeRA Procedures

Once the changes in Oracle are complete, you must then return to SeRA and use the "Refresh from Oracle" button to pull in the latest version of the award data from Oracle. Once this is complete, you can make any other changes needed in SeRA (e.g., adding a new award, etc.) and finally send your completed PTA back to Oracle via the “Send To Oracle Financials” button.

Please note: The “Refresh from Oracle” button will eliminate any changes you have made in SeRA when it is used. Any PTA changes that need to be made in SeRA must be made after the required changes have been made in Oracle and the “Refresh from Oracle” has been completed.

After the information has been submitted to Oracle, and all fields have been properly updated, click the submit button. This will move the transaction to the pending baseline review state. After the record has been baselined in Oracle, an NOA will be automatically generated, which completes the process.
Administrative Changes

There may be times when an amendment does not require Oracle updates and/or baselining. The most common are:

1. **No Action**

When no changes need to be made in Oracle at all, the post-award associate can reassign the transaction to an accountant for review. The reassignment comments should explain why no changes need to be made in Oracle. Once the accountant has reviewed the AAN and the comments, if they agree that no changes need to be made, they can use the “COMPLETE TRANSACTION” button to skip the Oracle steps and issue the NOA directly.

2. **Administrative**

If the amendment requires an Oracle update, but does not require all (or any) of the awards to be baselined, the associate can make the required changes in SeRA, send the changes to Oracle, and submit the affected budgets in Oracle. At that point, they may reassign the SeRA transaction to an accountant, explaining in the comments 1) what changes were made, and 2) why they did not submit all (or any) of the budgets in Oracle. Once the accountant receives the transaction, they will verify the associate’s notes, baseline whatever needs to be baselined in Oracle (if anything), and then use the “Complete Transaction” button.

   a. Click **Reassign Task** link.
b. Enter your comments and Click **Reassign**. Now the task belongs to the designated Research Accountant who will finish the transaction.

c. **ACCOUNTANT:** To finish the transaction, retrieve the record from your dashboard, and click **COMPLETE TRANSACTION** to issue the NOA.