Establishing a UFIRST record for an existing Subaward

A new UFIRST Subaward record will be required in order to modify or update a Subaward Agreement that existed prior to the implementation of UFIRST Awards. Once the Subaward is created in UFIRST and routed to DSP for initial set up, a modification can then be entered.

In order to successfully complete a Subaward SmartForm the following information will need to be on hand:

- 1) Subrecipient EIN & DUNS Numbers (EIN is not required for Foreign Subrecipients)
- 2) Subrecipient PI & Administrative Contact Information (Name, Phone number, E-mail Address)
- 3) A copy of the existing subaward agreement. (Items 1 and 2 can be found in the agreement however, this is a time to ensure that this information is correct.)

To complete the new Subaward activity, follow the steps below.

Step 1

Locate and open the UFIRST Award from which the Subaward will be issued. From the Award Workspace, click the New Subaward button. This will open the New Subaward SmartForm.

New Subaward

Step 2

In field 2.0 select the project that currently funds this subaward. This should link the project of the faculty member responsible for the oversight of the subaward AND also contains the funds for the subaward.

2.0	* Select a	project for t	his subaward					
	Project I	D Project Manager	Unit	Unit ID	Project Title	IDC Rate	Project Begin Date	Project End Date
) 00126	Smith, Claudia	AG-AGRICUL / BIOLOGICAL ENG	60070000	Smith- Advancing tools to combat climate change	52.50%	8/15/2016	8/14/2017
	0 P003744	Walker, Johnny	EG-INDUSTRIAL / SYSTEMS	19060100	Walker-Advancing tools to combat climate change	52.50%	8/15/2016	8/14/2017

Step 3

Identify the Subrecipient in Field 3.0 by typing the name into the text box. A wildcard "%" can be used to pull up all possible results.

3.0	* Subrecipient:		
	%Duke	Select	
	Name	Alternate Name	Acronym
	DORIS DUKE CHARITABLE FOUNDATION	DUKE CHARITABLE FOU, DORIS	DDCF
	DUKE ENERGY CORPORATION	DUKE ENERGY CORP	DUKE ENERGY
	DUKE UNIVERSITY	DUKE UNIV	DUKE UNIV
4.0	DUKE UNIVERSITY CLINICAL RESEARCH	DUKE UNIV CLINICAL RES INST	DUKE UNIV
	DUKE UNIVERSITY MEDICAL CENTER	DUKE UNIV MEDICAL CTR	DUKE UNIV

Enter the Subrecipient's DUNS and EIN numbers. If this subaward was proposed on an application to a Federal sponsor, these numbers should be present in the application package. If not, many universities keep this information online and can be found via a Google search.

4.0 Enter the Subrecipient DUNS: 044387793	cip	reci	ubre	bre	ec	:ip	oie	ent	t I	DU	IN	S:						
Enter the Subrecipient EIN: <mark>56-0532129</mark>	cip	reci	ubre	bre	ec	:ip	oie	ent	t E	I	N:							

Please note, a Subrecipient must be registered in SAM.gov in order to receive federal funds. If they are not registered, please contact the DSP Subaward Team for assistance.

Step 5

Provide a name for this Subaward. This name should help differentiate this subaward from any other subawards that may exist under this award. At a minimum use "SubrecipientName_SubPIName."

5.0	* Name:
	Duke_Smith_AWD00503

Step 6

Enter the name of the Primary Unit Administrative Contact for this Subaward.

Adrienne Aviles Select
Direct Name Crest Name Operation
Last Name First Name Organization Dept ID The
7.0 Aviles Adrienne OR-DIRECTOR SPONS. 1106000 Spons Prgs Adm RESEARCH Manager



Enter the Budget Period Start & End Dates in Field 6.0. The budget period is the period of time the Subrecipient will have to spend their funds. If this award is being funded incrementally over its lifespan the Budget Period should be within the bounds of the current funding period. If the award has been funded for all periods, the PI has the option to have the budget period reflect the full time period of the award.

Enter the Project Period Start & End Dates in Field 7.0. The Project Period is the entire anticipated time frame for the entire award.

7.0	* Budget Period Start Date: 8/15/2016	
	* Budget Period End Date: 8/14/2017	
8.0	* Project Period Start Date: 8/15/2016	
	* Project Period End Date: 8/14/2017	

Step 8

Enter the amounts currently issued to the Subrecipient per the existing agreement.

9.0	Total amount allocated to subaward this action: \$5,000.00
	Estimated Cumulative Total for Project Period: \$10,000.00

Once Page 1.0 of the New Subaward SmartForm has been completed click **Continue**.

On Page 2.0 Subrecipient Personnel provide the contact information for the PI at the Subrecipient entity as well as the administrative official.

2.0 5	Subrecipient F	Personnel				
1.0	Identify the	Subrecipient PI:				
	First Name:	irst Name: Hunter				
	Last Name:	Thompson				
	Phone:	919-503-8180				
	Email:	hsthompson@duke.edu				
2.0	Identify the First Name:	Subrecipient Administrative Contact:				
	Last Name:	Gosling				
	Phone:	919-503-3354				
	Email:	deltag@duke.edu				

Once complete, click Continue.

Step 10

On Page 3.0 Subrecipient Compliance and Documentation, attach a copy of the current Subaward Agreement. These documents can be dragged from your desktop and dropped in the Drag and Drop Fields or by clicking the **Add** button and uploading each document individually. Repeat this step for support documents in field 2.0

3.0 S	ubrecipient Documents		
1.0	Scope And Budget Attachments:		
	Add Drag and drop files to upload		
	Name	Version	
	Upload Revision Subaward Agreement- UFDSP00011357	0.01 Delete	
2.0	Supporting Attachments:		
	Add		
	Name	Version	
	Upload Revision Award Requirement-Sponsor Approval of Subaward	0.01 Delete	J

In fields 3.0 and 4.0, review the compliance indicators for this Subaward. Options for Human or Animal Subjects will reflect what is present on the Award. For example, when an Award does not have any indicators for human or animals subjects these fields will display "N/A" in the Subaward SmartForm.

3.0	Does this Subaward involve work with human subjects? N/A
	Will human subject data be exchanged under this agreement? N/A
4.0	Does this Subaward involve work with animals? N/A

However if there is a human or animal subjects indicator on the Award, the Subaward SmartForm will display options for selection in these fields.

3.0	Does this Subaward involve work with human subjects? Ves No
	Will human subject data be exchanged under this agreement? N/A
4.0	Does this Subaward involve work with animals? N/A

Step 12

The textboxes in fields 5.0 and 6.0 can be used to communicate additional information to the DSP Subaward team. Most importantly, please use field 6.0 to communicate to the DSP Subaward Team that this record is being routed to establish a pre-existing Subaward and also provide the Subaward Agreement Number.

6.0	Additional Notes:	
	This record is establishing a UFIRST subaward for a pre-existing Subaward Agreement. Subaward Agreement Number: UFDSP00011357	

Once Page 3.0 has been completed, click Continue.

Per the instructions on Page 4.0 take a moment to check the Subaward SmartForm for errors by clicking the Hide/Show Error button at the top of the SmartForm.



Step 13.1

Address any errors that are present by clicking on the Jump To link in the Error/Warning Message box.

Error/Warning Messages		Refresh
Message	Field Name	Jump To
Total amount allocated to subaward this action cannot be greater than the total budget release amount on the parent award.	Total Amount Allocated	1.0 Subrecipient Information

Once all errors have been addressed click Exit in the SmartForm navigation bar to access the Subaward Workspace.

Step 13.2

If there are no errors to address, click Finish to access the Subaward Workspace.

Step 14

From the Award Workspace execute the Submit for Review activity.



Once executed the Subaward will transition to DSP Review. This state indicates that the DSP Subaward Team has been notified that this record is ready acknowledgement. Once DSP has acknowledged this record and brought it to the Active state a modification can be created. The completion of the modification will trigger the DSP Subaward Team to draft the subaward modification to send to the collaborating entity.