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.

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.

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.
Step 4
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.

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.”

Step 6
Enter the name of the Primary Unit Administrative Contact for this Subaward.
Step 7
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.

Step 8
Enter the amounts currently issued to the Subrecipient per the existing agreement.

Once Page 1.0 of the New Subaward SmartForm has been completed click Continue.
Step 9
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 Subrecipient Personnel

1.0

Identify the Subrecipient PI:

First Name: Hunter
Last Name: Thompson
Phone: 919-503-8180
Email: hstthompson@duke.edu

2.0

Identify the Subrecipient Administrative Contact:

First Name: Delta
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.
**Step 11**
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.

<table>
<thead>
<tr>
<th>3.0</th>
<th>Does this Subaward involve work with human subjects?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td></td>
<td>Will human subject data be exchanged under this agreement?</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>4.0</td>
<td>Does this Subaward involve work with animals?</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>3.0</th>
<th>Does this Subaward involve work with human subjects?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes         No</td>
</tr>
<tr>
<td></td>
<td>Will human subject data be exchanged under this agreement?</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
</tr>
<tr>
<td>4.0</td>
<td>Does this Subaward involve work with animals?</td>
</tr>
<tr>
<td></td>
<td>N/A</td>
</tr>
</tbody>
</table>

**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.

<table>
<thead>
<tr>
<th>6.0</th>
<th>Additional Notes:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>This record is establishing a UFIRST subaward for a pre-existing Subaward Agreement.</td>
</tr>
<tr>
<td></td>
<td>Subaward Agreement Number: UFDSP00011357</td>
</tr>
</tbody>
</table>

Once Page 3.0 has been completed, click Continue.
**Step 13**
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.

![SmartForm](image)

**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](image)

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.

![Submit for Review](image)

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.