Creating a New Subaward

When an award has been issued to UF that includes funds to support work at a collaborating institution/entity, UF must issue those funds via a subaward agreement. The DSP Subaward Team is notified to begin the process of drafting the subaward agreement when a user accesses the UFIRST award record and executes the New Subaward activity, completes the SmartForms, and submits the Subaward record for review. In order to successfully complete a Subaward SmartForm the following information will need have the following information available:

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) Subrecipient’s scope of work, budget, and budget justification

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
Select the project that will fund this subaward in field 2.0. Be sure to link the project of the faculty member responsible for the oversight of the subaward AND also contains the funds for the subaward. Please note subawards cannot be issued on any project that is in “temp” or “at risk” status.

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 in field 4.0. 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.

![Subrecipient DUNS and EIN numbers](image)

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.”

![Subaward name](image)

Step 6
Enter the name of the Primary Unit Administrative Contact for this Subaward. This is the individual within the PI’s lab or department that the DSP Subaward Team should contact with questions on this subaward.

![Primary Unit Administrative Contact](image)
**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 to be funded this action and the anticipated total for this subaward over the entire project period. Be sure that the subaward amounts entered here do not exceed the total amount of the Award.

The Total amount allocated to subaward this action will be encumbered on the selected project. The Estimated Cumulative Total for the Project will not be encumbered.

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. The administrative contact should be the person responsible for institutional review of the subaward agreement.

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 all required and supporting documentation. At a minimum, the Subrecipient’s scope of work, budget, and budget justification need to be attached. 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 Subrecipient Documents

1.0 Scope and Budget Attachments:

- **Name:** Duke/Thompson-Budget & Justification
- **Version:** 0.01

2.0 Supporting Attachments:

- **Name:** Award Requirement-Sponsor Approval of Subaward
- **Version:** 0.01
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.

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

Step 12
The textboxes in fields 5.0 and 6.0 can be used to communicate additional information to the DSP Subaward Team. Please provide as much detail as possible.

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. Note: The DSP Subaward Team will not begin drafting the Subaward Agreement until the Submit for Review activity has been completed.

![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 for issuance of a Subaward Agreement.