

## Creating a New Subaward

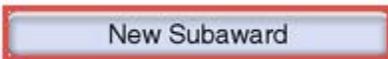
When an award has been issued to UF that includes funds to support work at a collaborating institution/entity, UF must issue those funds via a subaward agreement. The DSP Subaward Team is notified to begin the process of drafting the subaward agreement when a user accesses the UFIRST award record and 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.

**2.0** \* Select a project for this subaward

Project ID	Project Manager	Unit	Unit ID	Project Title	IDC Rate	Project Begin Date	Project End Date
<input checked="" type="radio"/> P0012651	Smith, Claudia	AG-AGRICUL / BIOLOGICAL ENG	60070000	Smith- Advancing tools to combat climate change	52.50%	8/15/2016	8/14/2017
<input type="radio"/> P0037448	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:

Name	Alternate Name	Acronym
<b>DORIS DUKE</b> CHARITABLE FOUNDATION	<b>DUKE</b> CHARITABLE FOU, DORIS	DDCF
<b>DUKE</b> ENERGY CORPORATION	<b>DUKE</b> ENERGY CORP	<b>DUKE</b> ENERGY
<b>DUKE</b> UNIVERSITY	<b>DUKE</b> UNIV	<b>DUKE</b> UNIV
<b>DUKE</b> UNIVERSITY CLINICAL RESEARCH INSTITUTE	<b>DUKE</b> UNIV CLINICAL RES INST	<b>DUKE</b> UNIV
<b>DUKE</b> UNIVERSITY MEDICAL CENTER	<b>DUKE</b> UNIV MEDICAL CTR	<b>DUKE</b> UNIV

**4.0**

**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.

**4.0**

**Enter the Subrecipient DUNS:**  
044387793

**Enter the Subrecipient EIN:**  
56-0532129

**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. This is the individual within the PI’s lab or department that the DSP Subaward Team should contact with questions on this subaward.

**6.0**

**\* UF Primary Administrative Contact for this Subaward:**  
Adrienne Aviles

Last Name	First Name	Organization	Dept ID	Title
Aviles	Adrienne	OR-DIRECTOR SPONS. RESEARCH	11060000	Spons Prgs Adm Manager

**7.0**

**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.

<b>7.0</b>	<p><b>* Budget Period Start Date:</b>  <input style="width: 100%; background-color: #ffff00;" type="text" value="8/15/2016"/> </p> <p><b>* Budget Period End Date:</b>  <input style="width: 100%; background-color: #ffff00;" type="text" value="8/14/2017"/> </p>
<b>8.0</b>	<p><b>* Project Period Start Date:</b>  <input style="width: 100%; background-color: #ffff00;" type="text" value="8/15/2016"/> </p> <p><b>* Project Period End Date:</b>  <input style="width: 100%; background-color: #ffff00;" type="text" value="8/14/2017"/> </p>

**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.

<b>9.0</b>	<p><b>Total amount allocated to subaward this action:</b>  <input style="width: 100%; background-color: #ffff00;" type="text" value="\$5,000.00"/></p> <p><b>Estimated Cumulative Total for Project Period:</b>  <input style="width: 100%; background-color: #ffff00;" type="text" value="\$10,000.00"/></p>
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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:**

**Last Name:**

**Phone:**

**Email:**

**2.0 Identify the Subrecipient Administrative Contact:**

**First Name:**

**Last Name:**

**Phone:**

**Email:**

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:**

Add Drag and drop files to upload

	Name	Version	
<input type="button" value="Upload Revision"/>	Duke/Thompson-Budget & Justification	0.01	<input type="button" value="Delete"/>
<input type="button" value="Upload Revision"/>	Duke/Thompson-Scope of Work	0.01	<input type="button" value="Delete"/>

**2.0 Supporting Attachments:**

Add

	Name	Version	
<input type="button" value="Upload Revision"/>	Award Requirement-Sponsor Approval of Subaward	0.01	<input type="button" value="Delete"/>

**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.

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

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

<b>3.0</b>	<p><b>Does this Subaward involve work with human subjects?</b>  <input type="radio"/> Yes <input checked="" type="radio"/> No</p> <p><b>Will human subject data be exchanged under this agreement?</b> N/A</p>
<b>4.0</b>	<p><b>Does this Subaward involve work with animals?</b> N/A</p>

**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.

<b>5.0</b>	<p><b>If anything other than Annual and Final reports, list/explain here:</b> Subrecipient investigators must also be present for monthly conference calls</p>
<b>6.0</b>	<p><b>Additional Notes:</b> Award has been funded upfront, however the Award PI only wants to release first year of funds to Subrecipient at this time.</p>

Once Page 3.0 has been completed, click Continue.

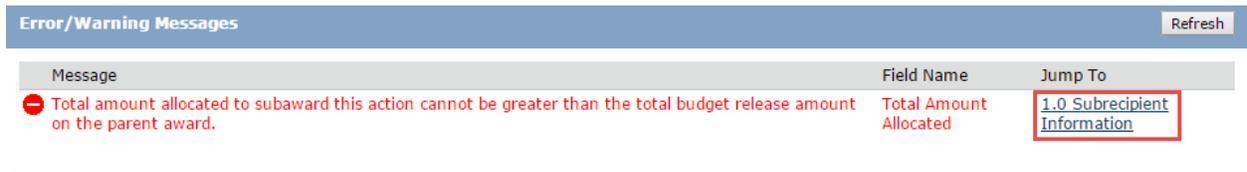
**Step 13**

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.



**Step 13.1**

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



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.



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.