Research Inventory System (RIS) Outgoing Subaward Request Process Guide

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Introduction

System overview

This guide is intended to serve as a reference for users of the Subaward module within the Research Inventory System (RIS). The Subaward module manages the process associated with subawards from the time a researcher or staff member initiates a request for a subaward, through any necessary negotiation and signing of the agreement. The system is designed for use by those who submit requests for outgoing subawards, review & authorize (approve), receive information related to outgoing subawards, as well as administer and negotiate subawards. A request may be initiated or submitted by a Principal Investigator or a staff member.

Mandatory Entries

Information that is required for the submission is marked with a maroon asterisk *

Tabs

There are “Tabs” at the top of each page of the request that look like this:

| Prime award | Subaward (Penn PI/BA) | Certification |

During the request creation process, to navigate backwards, you may click on the tabs at the top of the page or click the previous button. Note: If you do not click Save, Next, or Next ignore errors button before exiting, your data will be not be saved.

Tab colors

The white colored tab is the tab that is currently open. Light blue colored tabs may be opened by directly clicking on them. Dark blue tabs may only be accessed by clicking the blue “Next” button.

Warning signs

If a question for which an answer is required is skipped and you click on Next, the system will report an error message on the top of the window as shown here.

2 invalid entries marked with this icon ⚠ require attention. To see details, click on each icon below.
Invalid entry: The designated field is required
Invalid entry: The designated field is required

You will find the related missing mandatory question when you see the ⚠ symbol beside the mandatory question(s)
Navigation buttons

You can click the **Save** button at any time to save the current data that has been entered. **If you do not click Save, Next, or Next ignore errors button before exiting, your data will be lost.**

You can click the **Next** button when you’ve completed all mandatory fields to navigate to the next sequential screen/tab.

You can click on the **Next ignore errors** button if you would like to continue to work on the request without completing all the mandatory fields. This will “red flag” the tab to indicate there is missing information on the tab. You cannot submit the request until all errors have been corrected and flags removed.

You can click the **Previous** button to navigate back to the previous screen/tab.

You can click the **Show errors** button to review invalid data messages.

You can click the **Exit** to exit the request.
Creating a subaward request

Getting started

- Click on the following link to login to RIS site:

- Navigate to the subaward entry screen by clicking the following menu selections:
  - Click “My Subaward requests” → click “Create/amend” → click “New request”

Entering the request

Answer all the questions on the Prime award page/tab.

- Selecting the PI/BA/Alternate Contact(s):
  - **Principal Investigator (required)** - Select the Principal Investigator (PI) by clicking the button. Start typing the letters in the PI’s last name, and if necessary, continue typing with a space between the last name and first name. Click on the name when it appears in the list and then click the “Ok” button to add them to the request.

  - **Business Administrator (required)** - The process for adding the business administrator is the same as the process for adding the Principal Investigator and Alternate Contacts. Repeat the process listed above for Principal Investigator to select one Business Administrator (BA). For purposes of clarity, the addition of the BA is to ensure that the official BA listed will receive communications generated by the system, regarding the status of the agreement.

  - **Alternate Contacts (optional but highly recommended)** - The process for adding alternate contacts is the same as the process for adding the Principal Investigator. Repeat the process listed above for Principal Investigator, for as many Alternate Contacts as you wish.

  **Note:** Alternate Contacts are useful in the case where the official BA may not be reached. The Alternate Contacts will also be included on all system generated email notifications related to the specific document.
• Prime-award proposal
   As you begin to type the Institution # or the proposal title, the information should begin to auto populate. Click on the appropriate Institution #. The Prime award number should also auto populate.

• Select the appropriate agreement being requested (i.e. Subaward, Purchase Service Agreement, Subcontract). The yellow information icon will provide more details about the agreement types.

   ![Please select an appropriate agreement type based on the nature of your request]

• Complete remaining fields on the screen and click “Next” to save the current page/tab, and navigate to the next.

Answer all the questions on the Subaward (Penn PI/BA) page/tab.

• Select Subrecipient Institution. The official address and default EIN, DUNS, etc. will automatically populate below the institution name.

   ![Subrecipient’s Institution]

• Complete the Subrecipient’s contact information. Select the primary contact and then for Administrative contact, Principal Investigator, Financial contact, and Authorized official, select the applicable name and address, or add new if needed. Mail stop or building location associated with a person should be identified within the person’s record (Mail stop field), not within the address itself.
  
  o Note: For FFATA reporting purposes, it is required that you enter the zip+4 for all addresses. We have included a lookup link to help with identifying the +4 if it is not known.
Complete the budget/funding section. Upload the Budget and Scope of Work (SOW) in PDF format only.

<table>
<thead>
<tr>
<th>Subrecipient's contact information:</th>
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</thead>
<tbody>
<tr>
<td><strong>Primary contact</strong></td>
</tr>
<tr>
<td>Authorized official</td>
</tr>
<tr>
<td><strong>Contact person</strong></td>
</tr>
<tr>
<td>Principal investigator</td>
</tr>
<tr>
<td>John Jones MD, PHD</td>
</tr>
<tr>
<td><strong>Address</strong></td>
</tr>
<tr>
<td>4321 Maple Street, Philadelphia, PA 19102-0001, US</td>
</tr>
<tr>
<td><strong>Contact person</strong></td>
</tr>
<tr>
<td>Administrative contact</td>
</tr>
<tr>
<td>Daniel Doe</td>
</tr>
<tr>
<td><strong>Address</strong></td>
</tr>
<tr>
<td>4321 Maple Street, Philadelphia, PA 19102-0001, US</td>
</tr>
<tr>
<td><strong>Contact person</strong></td>
</tr>
<tr>
<td>Financial contact</td>
</tr>
<tr>
<td>Susie Smith CRA</td>
</tr>
<tr>
<td><strong>Address</strong></td>
</tr>
<tr>
<td>Office of Research Services, 1234 Main Street, Philadelphia, PA 19101-1234, US</td>
</tr>
<tr>
<td><strong>Contact person</strong></td>
</tr>
<tr>
<td>Brandi Brown PHD</td>
</tr>
<tr>
<td><strong>Address</strong></td>
</tr>
<tr>
<td>Office of Research Services, 1234 Main Street, Philadelphia, PA 19101-1234, US</td>
</tr>
</tbody>
</table>

Subrecipient's budget/funding:

- **Period of performance from**: 10/01/2016  To: 10/31/2016  
- **Amount funded this action**: 20,000.00  
- **Estimated total funded amount**:  
- **Does the attached budget reflect a difference from the proposal?**:  
  - [ ] Yes  [ ] No  
- **Budget type**:  
  - [ ] Fixed price/per patient  

Subrecipient's budget:

To attach another document, you must delete the current attached document first. The document may contain sensitive information. If downloading, please be careful where you store this file.

Subrecipient's budget (testdocumentforsubrecipientbudget.pdf)  Uploaded: 10/12/2016 08:46:11 PM

Carryover:

Does the Prime Agency's Notice of Award allow automatic carryover without Grant Manager's approval?  
- [ ] Yes  [ ] No
• Answer if the research will involve human subjects and/or vertebrate animals. Based on answers IRB and IACUC approvals may be needed. You will have to upload the current/up-to-date copy of the approvals. Uploaded files can only be in PDF format.

  - IACUC question sample
    Does the subrecipient's research involve vertebrate animals?
    - Yes [ ] No [ ]

  If any of the following scenarios will occur, an approved Penn animal use protocol is required:
    - If live animals will be on the Penn campus (Form-A),
    - If Penn funds are used to purchase or support animals at the subrecipient's site (Form-D), or
    - If Penn funds are used to purchase or support animals at a site other than Penn or the subrecipient's site (i.e. if the subrecipient further subcontracts the animal work; Form-D).

  Please submit a Penn animal use protocol to cover the animal work regardless of where it will be performed. The protocol can be submitted using the ARIES system (https://aries.appswireless.net). ARIES will walk you through the various scenarios to give you the appropriate protocol application to be completed depending on which of the above scenarios applies. If you have any questions, please contact the Office of Animal Welfare Assurance at aewa@itunes.upenn.edu or 215-898-2615.

  Will the animals be housed and experiments performed at the subrecipient's site?
    - Yes [ ] No [ ]

  ARIES Protocol # (Offsite Application/Form-D)
  Enter the ARIES protocol number and attach the IACUC approval when you get to the Certification tab.

  Will the animals be housed and experiments performed at any site other than Penn or the subrecipient's site?
    - Yes [ ] No [ ]

  Site name [ ] ARIES Protocol # (Offsite Application/Form-D)
  Add another site

  • IRB question sample
    Does the subrecipient's research involve human subjects?
    - Yes [ ] No [ ]

    Is Penn the regulatory sponsor for the subrecipient's research on human subjects?
      - Yes [ ]

    If Penn is not the regulatory sponsor, attach the IRB approval when you get to the Certification tab.

    There are no documents attached for this item.
    Upload regulatory approval (human subjects)

• If the prime-award proposal is federal: 1) you will need to answer the Performance site section. 2) If the institution is not exempt from executive compensation, you will need to complete the five most highly compensated officers section.

Certification page/tab.
• Upload any other general document needed to support the request.
• Once you have filled in all the information in the request, all tabs are error free, complete the certification tab by clicking the Accept button. *If you are the BA, the routing state will be Pending PI approval. If you are the PI, the routing state will be Pending BA approval.*
View the submitted request

- Navigate to the submitted request screen by clicking the following menu selections:
  - Click “My Subaward requests” → click “Requests history” → click “Recent” to view requests submitted within the last three months, or click “All” to view all the requests.

Edit existing draft that you previously started

- Navigate to the draft screen by clicking the following menu selections:
  - Click “My Subaward requests” → click “Manage drafts” → Locate the applicable request DocID and click the “edit” button (pencil icon) to edit request.

- Refer to the ‘Entering the request’ section for screen data entry details.
Approving a subaward request

- Navigate to the approval screen by clicking the following menu selections:
  - Click “My authorizations” → click “Pending subaward approvals” → Locate the applicable request DocID and click view button (eye-glasses icon)

- You will see a summary page of the request, click on button and review the data entered and progress to the Certification page/tab, enter applicable comments and click the button.

- From the summary page of the request, you could click the button to immediately go to the Certification page/tab. It is preferred that you View the request prior to approval. *The routing state will be Submitted to ORS.*

- To review approval history:
  - Click “My authorizations” → click “View history” → click “View Subaward approvals”
    - The Authorization history screen is displayed.
Rejecting a subaward request sent to you for review

- Navigate to the authorization screen by clicking the following menu selections:
  - Click “My authorizations” → click “Pending subaward approvals” → Locate the applicable request DocID and click the “view” button (eye-glasses icon)

- You will see a summary page of the request, click on “View” and then click “Submit a decision” button to review the request then on the Certification page/tab, enter a comment and click button.
- Click the next button on the next page: “Request has been returned to submitter for revision consistent with comments provided” *The routing state will revert back to Draft.*

Revising a rejected subaward request

- Navigate to the subaward revision screen by clicking the following menu selections:
  - Click “My subaward requests” → click “Manage revisions” → Locate the applicable request DocID and click on the “edit” button (pencil icon)

- Revise the request and click the button
- See ‘Approving a subaward request’ section to continue the workflow.
Create an Amendment/extension/termination

- Navigate to the subaward amendment screen by clicking the following menu selections:
  
  Note: The request that needs amended must be in a “Completed” status.
  
  o Click “My Subaward requests” → click “Create/amend” → click “Amendment/extension/termination” → locate the applicable completed request DocID that needs to be amended.

- The amendment Prime award tab is the exact match of a standard new request with the exception of a new question at the top of the page to allow you to choose the applicable amendment type.

  o List of available amendment types:

- Based on amendment type selected the Subrecipient’s budget/funding section [on the Subaward (PennPI/BA) tab] is updated as applicable to each amendment type and there will be a summary section on the Certification tab.
Amendment Types

- Cost extension
  - When you need to extend the performance dates originally agreed upon and modify the funded amount. Below are the updated fields that need to be completed. You will be required to upload a revised Scope of Work and depending on how you answer the ‘Is there a new budget associated with this amendment?’ question, you may be required to upload a revised Budget as well.

Here’s what the summary page looks like for a ‘cost extension’ amendment.

Subaward request (amendment)

- Upload general document
  - Budget period of performance extension: 04/01/2017 to 10/01/2017
  - No cost extension
  - Termination
  - Amount funded this action: 5,000.00
  - Award amount increased or decreased by amount funded this action? Increased
  - Total amount funded (to date): 125,000.00
  - Automatic carry over is not allowed and requires PI approval
  - Human subjects regulatory approval document uploaded
  - Vertebrate animals regulatory approval document uploaded
  - Other changes

If the current regulatory approval documents for the use of human and/or vertebrate animals have expired, then updated documents must be provided to UPENN with this amendment.

- Has the work of the subrecipient been performed satisfactorily? **Yes** **No**
- Has the subrecipient delivered ALL required reports and/or data? **Yes** **No**
- Has the subrecipient carried out invoicing in a timely manner? **Yes** **No**

If the dollar amount of each invoice is reasonable and consistent with the work being performed and technical progress reports provided to date?

- **Yes** **No**

If applicable, provide Penn’s IRB/IACUC approved protocol number(s) for subrecipient’s protocol(s) (i.e. specific work to be carried out at subrecipient’s site.)

<table>
<thead>
<tr>
<th>IRB protocol number</th>
<th>IACUC protocol number</th>
</tr>
</thead>
</table>
• Modify current period funding
  
  o When you need to modify the funded amount but keep the agreed upon period dates. Below are the updated fields that need to be completed. After you enter the Increased/Decreased action and the associated amount, you will see a summary of the modification you are completing. You will be required to upload a revised Scope of Work and depending on how you answer the ‘Is there a new budget associated with this amendment?’ question, you may be required to upload a revised Budget as well.

Here’s what the summary page looks like for a ‘modify current period funding’ amendment.

![Image of summary page for modify current period funding amendment]
• No cost extension
  o When you need to extend the performance dates originally agreed to, but there is not a change to the funded amount. Below are the updated fields that need to be completed. You will be required to upload a revised Scope of Work and depending on how you answer the ‘Is there a new budget associated with this amendment?’ question, you may be required to upload a revised Budget as well.

Here’s what the summary page looks like for a ‘no cost extension’ amendment.
• Termination
  ○ When you need to terminate the work that was originally agreed upon, the work agreement will not be completed. Below are the updated fields that need to be completed. You will be required to upload a revised Scope of Work and depending on how you answer the ‘Is there a new budget associated with this amendment?’ question, you may be required to upload a revised Budget as well.

![Subrecipient's budget/funding]

Here’s what the summary page looks like for a ‘termination’ amendment.

![Subaward request (amendment)]
- Other
  - When you do **not** have to modify the performance date nor the amount funded. The Subrecipient’s budget/funding section will show the date and amounts based on the last action taken on the request. If there has been an amendment the last amendment’s details will display. You will be required to upload a revised Scope of Work.

Here’s what the summary page looks like for a ‘other’ amendment.
Create a copy of an existing subaward request

- To expedite creating a new request that may have significant similar information, you can use the copy feature.
- Navigate to the create copy screen by clicking the following menu selections:
  - Click “My Subaward requests” → click “Create/amend” → click “Copy existing request”

- Find the request that you wish to copy, and click the “edit” button (pencil icon)
- Edit the new request by updating applicable sections, perhaps a different PI and/or proposal number or a different subrecipient institution. Complete all tabs of the request and then accept the new request to send it along the workflow.

Withdraw/Close a subaward request

- Navigate to the manage revisions screen by clicking the following menu selections:
  - Click “My Subaward requests” → click “Manage revisions” → Locate the applicable request DocID you want to Withdraw/Close

- Click the (close) link then click the “OK” button to Withdraw/Close request.
Review closed requests

- Navigate to the submitted request screen by clicking the following menu selections:
  - Click “My Subaward requests” → click “Requests history” → click “Recent” to view requests submitted within the last three months, or click “All” to view all the requests. You can also search for the DocID