Research Inventory System (RIS) Outgoing Subaward Request Process Guide

STACCEE RAMEY
# Table of Contents

- Introduction .......................................................................................................................... 2
- System overview .................................................................................................................. 2
- Mandatory Entries .............................................................................................................. 2
- Tabs ..................................................................................................................................... 2
- Tab colors ............................................................................................................................ 2
- Warning signs ..................................................................................................................... 2
- Navigation buttons .............................................................................................................. 3
- Creating a subaward request ............................................................................................... 4
- Getting started ..................................................................................................................... 4
- Entering the request ............................................................................................................ 4
- View the submitted request ................................................................................................ 8
- Edit existing draft that you previously started ................................................................... 8
- Approving a subaward request ............................................................................................ 9
- Rejecting a subaward request sent to you for review ......................................................... 10
- Revising a rejected subaward request ............................................................................... 10
- Create an Amendment/extension/termination ................................................................... 11
  - Amendment Types ........................................................................................................... 12
- Create a copy of an existing subaward request .................................................................. 17
- Withdraw/Close a subaward request .................................................................................. 17
- Review closed requests ...................................................................................................... 18
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.

![Warning sign]

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:
  o  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 **Select** 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](image)

• 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.
  
  - **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.

**Subrecipient’s contact information:**

<table>
<thead>
<tr>
<th>Contact person</th>
<th>Contact Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Principal investigator</strong></td>
<td>4321 Maple Street Philadelphia, PA 191020001, US</td>
</tr>
<tr>
<td>Name: John Jones MD, PhD</td>
<td>Address: 4321 Maple Street Philadelphia PA US</td>
</tr>
<tr>
<td>Phone: 215-555-1212</td>
<td>Fax: <a href="mailto:none@none.com">none@none.com</a></td>
</tr>
<tr>
<td>Email: <a href="mailto:none@none.com">none@none.com</a></td>
<td>Mail stop: MS-1124</td>
</tr>
<tr>
<td><strong>Administrative contact</strong></td>
<td>4321 Maple Street Philadelphia, PA 191020001, US</td>
</tr>
<tr>
<td>Name: Daniel Doe</td>
<td>Address: 4321 Maple Street Philadelphia PA US</td>
</tr>
<tr>
<td>Phone: 215-555-1215</td>
<td>Fax: <a href="mailto:none@none.com">none@none.com</a></td>
</tr>
<tr>
<td>Email: <a href="mailto:none@none.com">none@none.com</a></td>
<td>Mail stop:</td>
</tr>
<tr>
<td><strong>Financial contact</strong></td>
<td>Office of Research Services, 1234 Main Street Philadelphia, PA 191011234, US</td>
</tr>
<tr>
<td>Name: Susie Smith CRA</td>
<td>Address: Office of Research Services 1234 Main Street Philadelphia PA US</td>
</tr>
<tr>
<td>Phone: 215-555-1213</td>
<td>Fax: 215-555-2001</td>
</tr>
<tr>
<td>Email: <a href="mailto:none@none.com">none@none.com</a></td>
<td>Mail stop:</td>
</tr>
<tr>
<td><strong>Authorized official</strong></td>
<td>Office of Research Services, 1234 Main Street Philadelphia, PA 191011234, US</td>
</tr>
<tr>
<td>Name: Brandi Brown PhD</td>
<td>Address: Office of Research Services 1234 Main Street Philadelphia PA US</td>
</tr>
<tr>
<td>Phone: 215-555-1262</td>
<td>Fax:</td>
</tr>
<tr>
<td>Email: <a href="mailto:none@none.com">none@none.com</a></td>
<td>Mail stop:</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 the 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.app.cnsi.upenn.edu/). ARIES will walk you through 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 aucuq@lists.upenn.edu or 215-898-2553.

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 [I 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 the View button and review the data entered and progress to the Certification page/tab, enter applicable comments and click the I accept and approve button.

- From the summary page of the request, you could click the Submit a decision 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)

  ![Research Inventory](image1)

- 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 **Reject** 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)

  ![Research Inventory](image2)

- Revise the request and click the **I accept** 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.
    - 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.

  - 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.

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**Document ID: 5566/02**

- 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): **135,000.00**
- 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**
- Has the subrecipient delivered **ALL** required reports and/or data? **Yes**
- Has the subrecipient carried out invoicing in a timely manner? **Yes**

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

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.

![Summary page for modify current period funding](image-url)
• 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**
  
  o 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.

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

![Summary page for a termination amendment](image-url)
• Other
  o 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”

  ![Copy existing request screenshot](image)

- 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

  ![Manage revisions screenshot](image)

- 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.
Entering the Subaward Requisition

Tip: Limit one subaward per requisition.
Tip: Only end users with PO Manager end user responsibility should create and submit requisitions for subaward.
Tip: If the initial year of a subaward on a federal project exceeds $25,000, then a two-line requisition must be created. The first $25,000 will be on line 1 of the requisition; and the balance, exceeding $25,000, will be on line 2 (much like ordering red pens on one line, and green pens on the second line).
Tip: Use object code 5332 for total subcontract costs for non-federal projects (commercial entities, foundations and associations) AND for federal projects up to $25,000.
Tip: Because lines may be re-sorted when the requisition becomes a purchase order, adding an a., b., etc., at the beginning of the line description on a multiple-line, non-catalog requisition will keep the lines in the same order. This is important so that, when invoices are matched by Accounts Payable, F&A costs are charged in the appropriate manner.
Tip: Use object code 5333 only for federal projects AND only after a cumulative $25,000 threshold per subrecipient on federal projects is reached. This threshold pertains to each project period (typically multiple years) and not to each budget period (which is typically no more than one year).

Non-Marketplace Request

Item Type: Services by quantity
Item Description: The MM-DD-YY for final itemized invoice should be 45 days before the final report due date, or as indicated on the signed agreement. Use the exact language as written below: a.) Allocation set forth in award document issued by SPONSOR NAME for research services related to SPONSOR AWARD NUMBER [not Penn fund number]. Final itemized invoice must be received by the University of Pennsylvania no later than MM-DD-YY.

Category: SERVICES.SUBCONTRACTS
Quantity: Dollar amount, or part thereof, of the subaward on a federal project to be charged F&A costs (via object code 5332). (F&A cost reimbursements on federal projects are limited to the first $25,000 of the subaward; contact ORS if questions arise.)
Unit of Measure: Type US Dollar
Rate per Unit: Enter the number 1.
Supplier Part Number: Subaward [enter fund]
Supplier Name: As indicated on the signed agreement.
Supplier Site: As indicated on the signed agreement.

(When multiple addresses are available for the same supplier, be sure to choose the correct supplier site when creating the requisition.)

Click [Add to Cart]

A second non-catalog request will be required if the amount of the subaward will or has already exceeded the amount to be charged for F&A costs.
Repeat the steps above from above with the following exceptions:

**Item Description:** The MM-DD-YY for final itemized invoice should be 45 days before the final report due date, or as indicated on the signed agreement. Use the exact language as written below:

b.) Allocation set forth in award document issued by SPONSOR NAME for research services related to SPONSOR AWARD NUMBER [not Penn fund number]. Final itemized invoice must be received by the University of Pennsylvania no later than MM-DD-YY.

**Quantity:** Dollar amount, or part thereof, of the subaward not to be charged overhead (via object code 5333). (F&A cost reimbursements on federal projects are limited to the first $25,000 of the subaward; contact ORS if questions arise.)

Click [Add to Cart]
Click [Checkout]

**Requisition Information:**

---

**Description:** Penn PI Name, sub to [subcontractor name] PI: [sub PI], NIH Award number with year.

**Need by Date:** Change to last day of period covered by subaward as indicated in the signed agreement.

**Requestor:** Enter Penn principal investigator’s name

**Deliver-To Location:** Change to principal investigator’s location.

**University Contact:** Change to the departmental business administrator indicated in the subaward agreement.

**Receipt required:** POs $5,000 or more will automatically require a receipt. **If the total amount of the subaward is less than $5,000, the Purchase Order must be marked "Receipt Required."** Click the 'No, delivery information differs by item radio button'; click the box in the "Receipt Required" column as shown below. **Check the Receipt Required box** if total amount of subaward PO is less than $5,000.

**Tip:** In the event you need to enter this screen and manually select 'Receipt Required', you will also need to re-enter the Deliver-To Location (remember, you previously clicked 'No, delivery information differs by item', so the system pre-populates the screen with your default deliver-to).

Click [Edit Lines]

---

**Requisition Information: Edit Lines**

Click [Accounts]

Click in one of the charge account fields to open and edit.
Enter COA combination.

**DO NOT** click the "select multiple charge accounts" hyperlink.
DO select "Apply this account to all requisition lines" (This applies everything except the object code to all lines of the requisition). Use object code 5332 when F&A costs are allowable.

Click [Next]

Review charge accounts: Click in the charge account field representing the line of the order not to be charged F&A. Use object code 5333 when no F&A costs are to be charged (federal projects only). Review terms and conditions of non-federal subawards.

Click [Check Funds]

* If funds checking fails, click [Cancel], and check the following information
  
  - COA combination for errors such as transposition of numbers or incorrect CREF
  - If COA combination is correct, ensure the current year budget has been entered in the correct CNAC/ORG/Fund/CREF combination
  - Ensure a budget has been entered up to PBUD
* When funds checking passes, click [Continue]

Click [Continue]

Click [Next]

Checkout: Review Approver List:

Click [Add Attachments]
Attach 4 NOTES for subaward requisitions:

NOTE 1:

Attention to: Miscellaneous (select from drop down menu)

Description: Type Bid waiver

Select [Text]

Text Box: Type "Subaward, Competitive bids are not required"

Click [Add Another]

NOTE 2:

Attention to: To Supplier (select from drop down menu)

Description: Type Terms & Conditions

Select [Text]

Text Box: Type "Subaward in accordance with the terms & conditions of Agreement 5xxxxx (this is the Penn fund number), dated MM-DD-YY, covering the period MM-DD-YY to MM-DD-YY. Subaward of ____________________ (PRIME SPONSOR NAME), ____________ (PRIME SPONSOR AWARD NUMBER) for ____________________ (SUBRECIPIENT PI NAME)."

Refer to the signed agreement for the appropriate dates, sponsor name and sponsor award number.

Click [Add Another]

NOTE 3:

Attention to: To Supplier (select from drop down menu)

Description: Type PO/subaward conflict

Select [Text]

Text Box: Type "Subaward service, in accordance with the terms and conditions of Subaward # ________________, dated ________________ (date the last person signed agreement) with an effective date of ________________ (first day of current budget period). In case of any conflict between the conditions of the purchase order and the subaward, the terms of the subaward shall take precedence."

Refer to the signed agreement for the appropriate dates, sponsor name and sponsor award number.

Click [Add Another]
NOTE 4:

Attention to: To Supplier (select from drop down menu)

Description: Type Invoice number

Select [Text]

Text Box: Type "All invoices must reference PO number and display a unique invoice number."

Click [Add Another]

See Section 15.4.3 for two additional notes required in subaward requisitions when there is an increase in award amount in an existing subaward period.

Perform a final review of the requisition for accuracy and completeness

Click [Submit]

Requisition creation process will complete and will automatically begin requisition to purchase order creation process via the PO workflow administrator.

Approval Hierarchy
No special approvals are needed. Follow the purchase order approval process based on approval limit and approval hierarchy.