

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:



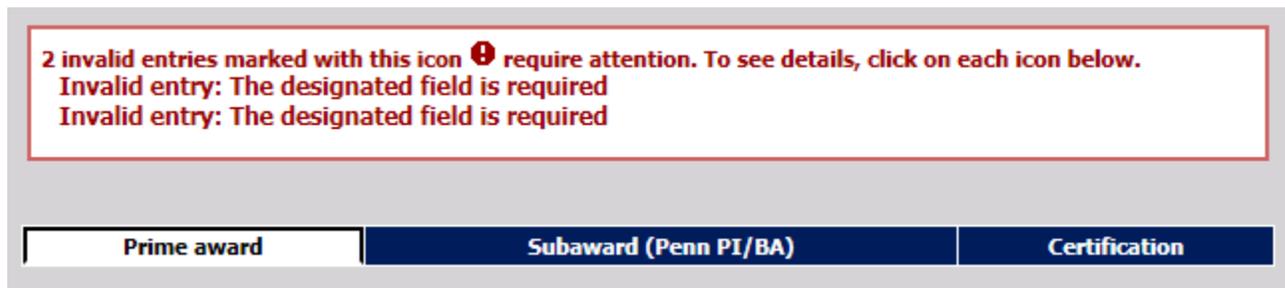
During the request creation process, to navigate backwards, you may click on the tabs at the top of the page or click the previous button. **Note: If you do not click Save, Next, or Next ignore errors button before exiting, your data will be not be saved.**

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.



You will find the related missing mandatory question when you see the [red exclamation mark icon] symbol beside the mandatory question(s)

Fund number*

 [red exclamation mark icon]

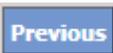
Navigation buttons

You can click the  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  button when you've completed all mandatory fields to navigate to the next sequential screen/tab

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

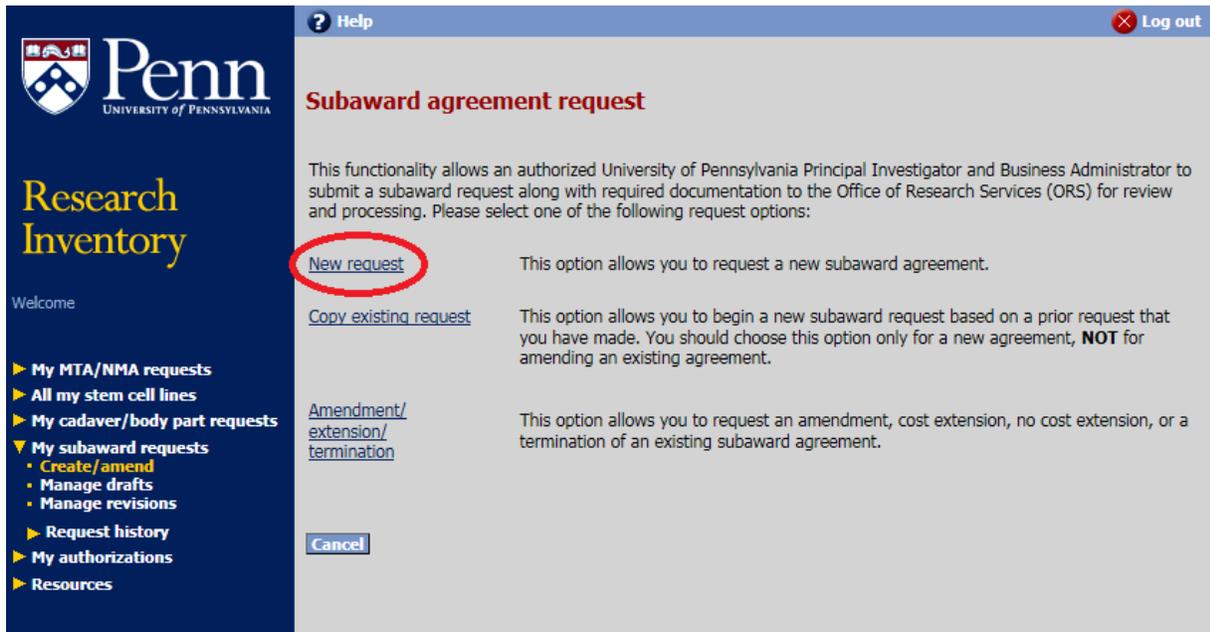
You can click the  button to review invalid data messages.

You can click the  to exit the request.

Creating a subaward request

Getting started

- Click on the following link to login to RIS site:
https://weblogin.pennkey.upenn.edu/login?factors=UPENN.EDU,UPENN.EDU-PORTAL&cosign-isc-seo-portal_prod-0&https://medley.isc-seo.upenn.edu/researchInventory/jsp/fast2.do
- 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 **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:

Institution* TEST SUBRECIPIENT INSTITUTION Select

Address:	Office of Rearch Services 1234 Main Street Philadelphia, PA 19101-1234	Email:	
Country:	US	Institution Type:	
EIN number:	54-0000001	Parent DUNS number:	
Congressional district:	PA-001	Negotiated F&A agreement:	Yes
Sam.gov/CCR:	Yes	Sam.gov expiration date:	08/09/2017
PHS compliant FCOI policy:	Yes	Single audit:	Yes
		F&A agreement expiration date:	
		Exempt from Executive Compensation:	Yes
		Fiscal year end month:	DEC

DUNS number*

- 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.**

Subrecipient's contact information:

Primary contact*

Contact person	Contact information
Principal investigator * <input type="text" value="John Jones MD, PHD"/>	Address * <input type="text" value="4321 Maple Street,Philadelphia,PA,191020001,US"/>
Name: John Jones MD, PHD Phone: 215-555-1212 Fax: Email: none@none.com Mail stop: MS-1124	Address: 4321 Maple Street Philadelphia PA US
Administrative contact * <input type="text" value="Daniel Doe"/>	Address * <input type="text" value="4321 Maple Street,Philadelphia,PA,191020001,US"/>
Name: Daniel Doe Phone: 215-555-1215 Fax: Email: none@none.com Mail stop:	Address: 4321 Maple Street Philadelphia PA US
Financial contact * <input type="text" value="Susie Smith CRA"/>	Address * <input type="text" value="Office of Rearch Services,1234 Main Street,Philadelphia,PA,191011234,US"/>
Name: Susie Smith CRA Phone: 215-555-1213 Fax: 215-555-2001 Email: none@none.com Mail stop:	Address: Office of Rearch Services 1234 Main Street Philadelphia PA US
Authorized official * <input type="text" value="Brandi Brown PHD"/>	Address * <input type="text" value="Office of Rearch Services,1234 Main Street,Philadelphia,PA,191011234,US"/>
Name: Brandi Brown PHD Phone: 215-555-1262 Fax: Email: none@none.com Mail stop:	Address: Office of Rearch Services 1234 Main Street Philadelphia PA US

- Complete the budget/funding section. Upload the Budget and Scope of Work (SOW) in PDF format only.

Subrecipient's budget/funding:

Period of performance from* To*

Amount funded this action*

Estimated total funded amount

Does the attached budget reflect a difference from the proposal?*

Yes No

Budget type *

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.apps.upenn.edu>). 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 iacuc@pobox.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?*

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 [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) 



- 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) 



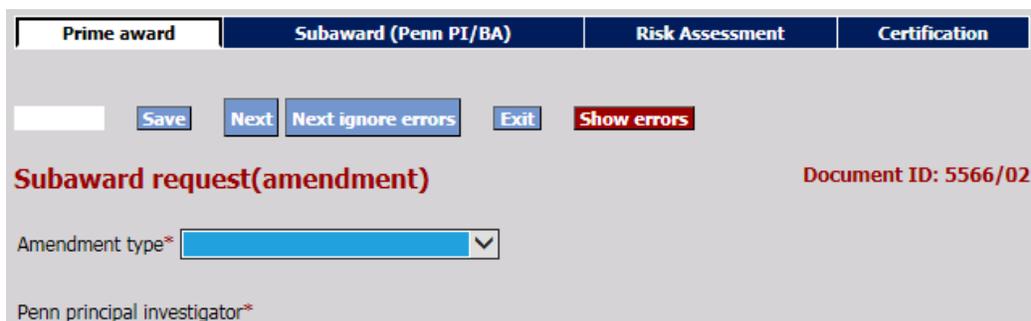
- Revise the request and click the **I accept** button
- See [‘Approving a subaward request’](#) section to continue the workflow.

Create an Amendment/extension/termination

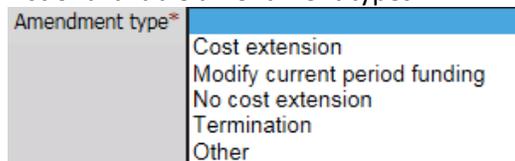
- Navigate to the subaward amendment screen by clicking the following menu selections:
 Note: The request that needs amended must be in a “Completed” status.
 - Click “My Subaward requests” → click “Create/amend” → click “Amendment/extension/termination” → Locate the applicable completed request DocID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

Subrecipient's budget/funding:

Amendment type **Cost extension**

Period of performance from **04/01/2017** to *

Previous total funded amount **130,000.00** (5566/01)

Amount funded this action*

Is the award amount increased or decreased by the amount funded this action? *

Is there a new budget associated with this amendment?

Yes No

Budget type *

Subrecipient's budget

[Subrecipient's budget \(testdocumentforsubrecipientbudget.pdf\)](#) 04/20/2016 11:42:42 AM (5566/00)

Upload revised budget

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

Subaward request(amendment) Document ID: 5566/02

There are no documents attached for this item.

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): **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 satisfactory?*

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

Is the dollar amount of each invoice 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.)

IRB protocol number IACUC protocol number

- Modify current period funding
 - 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.

Subrecipient's budget/funding:

Amendment type **Modify current period funding**
 Period of performance from **04/01/2016** to **03/31/2017**
 Current total funded amount **130,000.00** (5566/01)
 Is the award amount increased or decreased by the amount funded this action?* **Increased** ▼
 Award is increased by *
 Current total funded amount: **\$130,000.00**
 Amount increased this action: **\$10,000.00**
 Updated current period funded amount: **\$140,000.00**

Is there a new budget associated with this amendment?
 Yes No

Budget type **Fixed price/per patient**

Subrecipient's budget
[Subrecipient's budget \(testdocumentforsubrecipientbudget.pdf\)](#) 04/20/2016 11:42:42 AM (5566/00)

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

Subaward request(amendment) Document ID: 5566/02

There are no documents attached for this item.

Budget period of performance extension:
 No cost extension
 Termination
 Amount funded this action: **10,000.00**
 Award amount increased or decreased by amount funded this action? **Increased**
 Total amount funded (to date): **140,000.00**
 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

- No cost extension
 - 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.

Subrecipient's budget/funding:

Amendment type **No cost extension**

Period of performance from **04/01/2016** to * 

Amount funded this action **0.00**

Is the award amount increased or decreased by the amount funded this action? **Not applicable**

Is there a new budget associated with this amendment?

No

Budget type **Fixed price/per patient**

Subrecipient's budget

[Subrecipient's budget \(testdocumentforsubrecipientbudget.pdf\)](#) 04/20/2016 11:42:42 AM (5566/00)

Here's what the summary page looks like for a 'no cost extension' amendment.

Subaward request(amendment) Document ID: 5566/02

There are no documents attached for this item.

[Upload general document](#)

Budget period of performance extension:

No cost extension

Termination

Amount funded this action: **0.00**

Award amount increased or decreased by amount funded this action? **Not applicable**

Total amount funded (to date): **130,000.00**

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

- 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:

Amendment type **Termination**

Period of performance from **04/01/2016** to * 

Current period funded amount **5,000.00**

Revised amount funded this action* *Note: the revised amount will replace the current period funded amount.*

Is the award amount increased or decreased by the amount funded this action?* 

Is there a new budget associated with this amendment?

Yes No

Budget type **Fixed price/per patient**

Subrecipient's budget

[Subrecipient's budget \(testdocumentforsubrecipientbudget.pdf\)](#) 04/20/2016 11:42:42 AM (5566/00)

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

Subaward request(amendment) Document ID: 5566/02

There are no documents attached for this item.

Upload general document

Budget period of performance extension:

No cost extension

Termination

Amount funded this action: **0.00**

Award amount increased or decreased by amount funded this action? **Not applicable**

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

- 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.

Subrecipient's budget/funding:

Amendment type **Other**

Period of performance from **04/01/2016** to **03/31/2017**

Amount funded this action **20,000.00**

Is the award amount increased or decreased by the amount funded this action? **Increased**

Is there a new budget associated with this amendment?

No

Budget type **Fixed price/per patient**

Subrecipient's budget

[Subrecipient's budget \(testdocumentforrecipientbudget.pdf\)](#) 04/20/2016 11:42:42 AM (5566/00)

Here's what the summary page looks like for a 'other' amendment.

Subaward request(amendment) Document ID: 5566/03

There are no documents attached for this item.

Upload general document

Budget period of performance extension:

No cost extension

Termination

Amount funded this action: **20,000.00**

Award amount increased or decreased by amount funded this action? **Increased**

Total amount funded (to date): **150,000.00**

Automatic carry over is not allowed and requires PI approval

Human subjects regulatory approval document uploaded

Vertebrate animals regulatory approval document uploaded

Other changes

Please provide a summary of all the other changes in this amendment:*

List out all of the changes made with this amendment here: |

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

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”

The screenshot shows the Penn University of Pennsylvania Research Inventory interface. The left sidebar contains a navigation menu with the following items: My MTA/NMA requests, All my stem cell lines, My cadaver/body part requests, My subaward requests (expanded to show Create/amend, Manage drafts, and Manage revisions), Request history, My authorizations, and Resources. The main content area is titled "Subaward agreement request" and includes a "Help" button and a "Log out" button. The text explains that this functionality allows an authorized University of Pennsylvania Principal Investigator and Business Administrator to submit a subaward request. Three options are listed: "New request" (allows requesting a new subaward agreement), "Copy existing request" (allows beginning a new subaward request based on a prior request; this link is circled in red), and "Amendment/extension/termination" (allows requesting an amendment, cost extension, no cost extension, or a termination of an existing subaward agreement). A "Cancel" button is located at the bottom left of the main content area.

- 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

The screenshot shows the Penn University of Pennsylvania Research Inventory interface, focusing on the navigation menu. The menu items are: My MTA/NMA requests, All my stem cell lines, My cadaver/body part requests, My subaward requests (expanded to show Create/amend, Manage drafts, and Manage revisions), Request history, My authorizations, and Resources.

- Click the [Withdraw \(close\)](#) 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

