 <b>EMORY UNIVERSITY</b>	<b>Research Administration</b>	<b>Effective Date: March 1, 2014</b>	<b>Version: 1</b>	<b>Page: 1 of 13</b>
<b>OSP Subaward Request Process</b>				

## Overview

All Sponsored Awards, whether grants, contracts or cooperative agreements, which are received by Emory and which involve participation by a third party in support of the award, must have a subaward document prepared to formalize the contractual relationship between Emory and the third party. (In this document, the term “subaward” shall be used to mean either a subgrant or subcontract.) All such subawards and any changes or modifications thereto must be requested through the Office of Sponsored Programs, utilizing OSP’s online Subaward Request page (which is part of the Compass Financial Management System).

With the assistance of the Principal Investigator/Project Director and the College, Schools, Department, or Research Unit, OSP is responsible for all formal negotiations with the subaward recipient during the development or performance of the subaward. When Emory’s PI/PD requests that a subaward be issued through the Compass Subaward Request Page, he/she authorizes OSP to request a Purchase Order from the Office of Financial Operations (Procurement and Payment Services) for the total amount of the subaward and to negotiate the terms of the subaward document. The PI is encumbering the funds for the subaward by making the online request. If a department administrator or other individual makes the request through the system, they should ensure the approval of the PI is on file in the department.

The Subaward Request page is divided into two main entry tabs. The first tab requests general data about the award under which the subaward will be issued, as well as information on the subaward recipient. The second tab requests information about the subaward itself (whether it is a new award or a modification to an existing award) and provides a place to upload relevant documents. Requests for federal contracts will require additional information, as described below. Requests for continuations will also require additional information, as described below.

When the department administrator or PI/PD completes the online request and provides necessary information on the subcontractor, they are also providing the Office of Sponsored Programs (OSP) the authorization to execute a purchase order on behalf of the department.

To utilize the system to initiate and complete a request, follow the steps below.

## Initiate A Request

- 1) Log into the Compass Financial System
- 2) Navigate to the Subcontract Entry option of the Subrecipient section

GRANTS > SUBRECIPIENTS > SUBCONTRACT ENTRY

- 3) Select Add a New Value and click Add

## OSP Subaward Request Process

**Subcontract Entry**

[Find an Existing Value](#) | [Add a New Value](#)

Business Unit:

Subcontract Number:

**Add**

[Find an Existing Value](#) | [Add a New Value](#)

4) You will then be taken to the General Information tab of the request system:

[General Information](#) | [Questions/Files](#)

Subcontract: NEXT      Status: In Progress

**Project Information**

\*Project:

Contract:

EmplID:

School:

Department:

Ref Awd #:      CFDA:

Sponsor:

SmartKey:	Oper Unit	Project	Dept	Fund	Class
<input type="text"/>					

**Subcontract Information**

Subcontract Entity:

Subcontract PI:

Subcontract PI Email:

Subcontract Contact:

Contact Email:

Subcontract Phone:

**Subcontract Address**

Country:  United States

Address 1:

Address 2:

Address 3:

City:

County:       Postal:

State:

Budget Start Date:       Budget End Date:

Direct Budget:       Indirect Budget:       Total Budget:

Department Contact: 0333549  Sommers, Elisabeth Holston

Dept Invoice Contact:  (Enter invoice contact if necessary)

Dept Contact Phone:

Dept Contact Email:

**Save**

[General Information](#) | [Questions/Files](#)

## OSP Subaward Request Process

- 5) To start the request, in the Project Information section you must first identify the Compass project under which the subaward will be issued and paid. (Click the magnifying glass icon to search for the appropriate project.) Please note that you must have a fully-active project to request a subaward. You may not request a subaward under a PAN.

**General Information**
Questions/Files

**Subcontract:** NEXT
**Status:** In Progress

**Project Information**

**\*Project:**

**Contract:**

**EmplID:**

**School:**

**Department:**

**Ref Awd #:** **CFDA:**

**Sponsor:**

	Oper Unit	Project	Dept	Fund	Class
<b>SmartKey:</b> <input type="text"/>					

- 6) The remaining data in the Project Information Section, except the SmartKey, will pre-populate based on the project selected.
- 7) Select the correct SmartKey. (Only SmartKeys associated with that project will appear for selection. In most cases, therefore, only a single SmartKey is available for selection.)
- 8) Enter the Requested Information in the Subcontract Information section of the tab.

**Subcontract Information**

**Subcontract Entity:**

**Subcontract PI:**

**Subcontract PI Email:**

**Subcontract Contact:**

**Contact Email:**

**Subcontract Phone:**

**Subcontract Address**

**Country:**  United States

**Address 1:**

**Address 2:**

**Address 3:**

**City:**

**County:**  **Postal:**

**State:**

**Budget Start Date:**  **Budget End Date:**

**Direct Budget:**  **Indirect Budget:**  **Total Budget:**

**Department Contact:**  Sommers, Elisabeth Holston

**Dept Invoice Contact:**  (Enter invoice contact if necessary)

**Dept Contact Phone:**




**Dept Contact Email:**

<b>OSP Subaward Request Process</b>
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9) Most fields in the Subcontract Information section are self-explanatory. However, see below for these important notes on information entry in this section:

- a. The Subcontract Entity (subrecipient organization) must be selected from the system. You cannot manually enter the Subcontract Entity. Click on the magnifying glass to search for the appropriate entity. **Search Tip:** Use the “Name 1” field to search for the subrecipient indicating that “Name 1” *contains* and enter a portion of the name (e.g., to find the University of Miami, enter “Miami”):

### Look Up Subcontract Entity

<b>SetID:</b>		EMUNV
<b>Vendor ID:</b>	begins with ▼	<input type="text"/>
<b>Short Vendor Name:</b>	begins with ▼	<input type="text"/> 
<b>Our Customer Number:</b>	begins with ▼	<input type="text"/> 
<b>Name 1:</b>	contains ▼	miami <input type="text"/> 

[Basic Lookup](#)

### Search Results

View All				First ◀ 1-5 of 5 ▶ Last
Vendor ID	Short Vendor Name	Our Customer Number	Name 1	
<a href="#">000010162</a>	<a href="#">MIAMIAMBUL-001</a>	(blank)	<a href="#">MIAMI AMBULANCE.COM LLC</a>	
<a href="#">000006496</a>	<a href="#">MIAMICHILD-001</a>	(blank)	<a href="#">MIAMI CHILDREN'S HOSPITAL</a>	
<a href="#">000026532</a>	<a href="#">MIAMISERPE-001</a>	(blank)	<a href="#">MIAMI SERPENTARIUM LABORATORIES</a>	
<a href="#">000004672</a>	<a href="#">MIAMIUNIVE-001</a>	(blank)	<a href="#">MIAMI UNIVERSITY</a>	
<a href="#">000003918</a>	<a href="#">UNIVERSITY-026</a>	(blank)	<a href="#">UNIVERSITY OF MIAMI</a>	

- b. If a subrecipient does not already exist in the table, select “New Subrecipient” as the subrecipient from the list. In the Attachments section of the request form (described in Item 12e below), please include a file with the full legal name of the subrecipient, along with the full administrative contact information and address. OSP will then work with the appropriate individuals to add the subrecipient to the system and change the subrecipient in the request system once the entity is added.
- c. Please be sure to complete all contact information fields, including subrecipient address. “Subcontract Contact” should be the subrecipient’s business contact with whom OSP will negotiate the subaward agreement.

**OSP Subaward Request Process**

**Subcontract Information**

Subcontract Entity: 0000003918 UNIVERSITY OF MIAMI

Subcontract PI: Bob Smith

Subcontract PI Email: bob.smith@miami.edu

Subcontract Contact: Joan Durham

Contact Email: joan.durham@miami.edu

Subcontract Phone: 301/555-1234

**Subcontract Address**

Country: USA United States

Address 1: 100 Coast Road

Address 2:

Address 3:

City: Miami

County:

Postal: 12345

State: FL Florida

Budget Start Date: 12/01/2012 Budget End Date: 11/30/2013

Direct Budget: 100,000.00 Indirect Budget: 50,000.00 Total Budget: 150,000.00

Department Contact: 0333549 Sommers, Elisabeth Holston

Dept Invoice Contact: 0001579 (Enter invoice contact if necessary) Sussman, Teresa

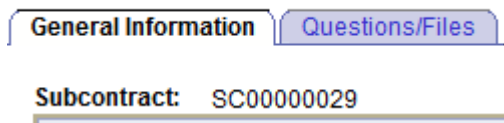
Dept Contact Phone: 404/727-1234

Dept Contact Email: hsomme2@emory.edu

d. The system will pre-populate “Department Contact” with the individual who created the request. If the individual who will “receive” invoices in Emory Express is a different person, please indicate that person under “Dept Invoice Contact.”

10) Once all information has been completed, click “Save.” (All mandatory fields on this page must be completed or the system will not allow you to save the request.)

a. Once you have saved the request, the request will be assigned a Subcontract Number by the system. At this point, you may leave the request unfinished and return to finalize it at a later date.



b. To return to the record, you may use the Subcontract number to return directly back to the request if you leave and return to complete it.

**Subcontract Entry**

Enter any information you have and click Search. Leave fields blank for a list of all values.

Find an Existing Value | Add a New Value

Business Unit: begins with GRANT

Subcontract Number: begins with SC00000029

Contract: begins with

Project: begins with

Subcontract Status: =

Case Sensitive

Search Clear Basic Search Save Search Criteria

Find an Existing Value | Add a New Value

11) Complete the information and answer the questions on the Questions/Files tab.

General Information

Questions/Files

**Subcontract:** SC00000029 **Status:** In Progress

**Prime Award Type:**

**Subcontract Request Type:**

**General Questions**

1. Do you wish the Subrecipient to have the authority to automatically carryover any unobligated balance into a subsequent budget year? (Available only when the prime award has automatic carryover; if prime award does not have automatic carryover, select 'No.')  Yes  No

2. Will the subcontract involve the use of human subjects?  Yes  No

3. If Question 2 is 'Yes', is this a clinical trial?  Yes  No

4. Will the subcontract involve the use of live vertebrate animals?  Yes  No

5. Is this subaward to an international institution or organization?  Yes  No

6. If Question 5 is 'Yes', will you pay by wire transfer?  Yes  No

**Please attach any documents pertinent to this request.**

[Customize](#) | [Find](#) | [View All](#) | [First](#) | [1 of 1](#) | [Last](#)

Attached File	

**Submit** By submitting this form I hereby certify that I have read the following statements and that to the best of my knowledge they are accurate and true.

1. I have reviewed the technical and cost proposal for this subrecipient and based upon my professional experience and analysis of the costs and prices proposed, find them to be fair and reasonable for the work to be done.
2. I further certify that funding is available for this subagreement and that it is allowable under the costs of the award.
3. By submission of this request, I authorize OSP to encumber a Purchase Order for the above-referenced amount specified against the Project and Smart Key under which this request is submitted.

(NOTE: an individual submitted a request for a subaward/subagreement action on behalf of a PI must have documentation on file in the department that the PI has approved the request.)

Save

Return to Search

[General Information](#) | [Questions/Files](#)

12) Most fields on the Question/Files tab are self-explanatory. However, see below for these important notes on information entry in this section:

- a. The information required and the questions asked on this tab may change based on the specifics of each individual request, as described below. Please provide all information requested on the page.
- b. Take care in specifying the Prime Award Type. When Federal Contract is selected, additional questions will appear, as described in Appendix 1 below.
- c. Take care in specifying the Subcontract Request Types (defined in Appendix 2 below). When "Continuation," "Supplement," or "Other-Amendment" are selected, additional questions will appear, as described in Appendix 3 below.
- d. All requests must include answers to the following General Questions, as appropriate:

## OSP Subaward Request Process

**General Questions**

1. Do you wish the Subrecipient to have the authority to automatically carryover any unobligated balance into a subsequent budget year? (Available only when the prime award has automatic carryover; if prime award does not have automatic carryover, select 'No.')

Yes     No

2. Will the subcontract involve the use of human subjects?

Yes     No

3. If Question 2 is 'Yes', is this a clinical trial?

Yes     No

4. Will the subcontract involve the use of live vertebrate animals?

Yes     No

5. Is this subaward to an international institution or organization?

Yes     No

6. If Question 5 is 'Yes', will you pay by wire transfer?

Yes     No

- e. The required attachments will also vary by Subcontract Request Type. Multiple files may be attached.
  - i. New, Renewal, and Supplement requests must be accompanied by a Statement of Work and a Detailed Budget.
  - ii. All other requests, with the exception of No-cost Extension, must be accompanied by a detailed budget. A Statement of Work should be attached if the activity covered by the request differs in any way from the existing SOW from the original agreement. A detailed budget should accompany an NCE request if a specific amount of funds are approved for use during the extension period.
  - iii. Please also use the Attachments section to attach a file containing any special instructions or other information that would be useful to, or known by, OSP during the subaward creation and negotiation process.

13) When the request is complete, carefully review the certification statement to which you are agreeing by submission of the request. To finalize and submit, click the Submit check box and then click Save.

**Submit**    By submitting this form I hereby certify that I have read the following statements and that to the best of my knowledge they are accurate and true.

1. I have reviewed the technical and cost proposal for this subrecipient and based upon my professional experience and analysis of the costs and prices proposed, find them to be fair and reasonable for the work to be done.
2. I further certify that funding is available for this subagreement and that it is allowable under the costs of the award.
3. By submission of this request, I authorize OSP to encumber a Purchase Order for the above-referenced amount specified against the Project and Smart Key under which this request is submitted.

(NOTE: an individual submitted a request for a subaward/subagreement action on behalf of a PI must have documentation on file in the department that the PI has approved the request.)

[General Information](#) | [Questions/Files](#)

14) Remember that by submitting the request, you are authorizing OSP to establish a Purchase Order and encumber the funds on your Compass project.

## OSP Subaward Request Process

- 15) Upon submission, you will receive an e-mail from the system confirming submission and reiterating your Subcontract Number.
  
- 16) After submission, OSP will create the subaward following the processes described in Appendix 4. You may track the status and progress of the subaward request by navigating to the Subcontract Administration tab. You will also see who has been assigned to handle the subaward. Campus users will have view-only access to this tab.

General Information
Questions/Files
Administrative

**Subcontract:** SC00000029    **Status:** Assigned-Draft in Progress

**Analyst assigned:** 0373664    Zha,Meiqing H.

**Received Date:** 12/14/2012    **Date Subcontract Drafted:**

**Date Mailed:**    **Dt Received Back:**

**Dt Fully Executed:**    **Transmittal Method:**

**PO Number:**

**Fincl Contact Name:**

**Fincl Contact Email:**

**FFATA Questions**

Is Subaward subject to FFATA?     Yes     No

Has FFATA reporting been completed?     Yes     No    **Date Completed:**

**Comments**    [Find](#) | [View All](#)    First 1 of 1 Last

\*Comment dt: 12/14/2012

**Subrecipient DUNS Number:**

Subrecipient Officer & Compensation Reporting required?     Yes     No

**Parent DUNS #:**

**Parent Congressional District:**

**CCR Expiration Dt:**    [CCR Search](#)

**Subaward Entity Comments**    [Find](#) | [View All](#)    First 1 of 1 Last

- 17) OSP will also record comments during the drafting and negotiation period that are relevant to the process.



## OSP Subaward Request Process

Find | View 1    First 1-2 of 2    Last

**\*Comment dt:** 12/14/2012 + -

Subaward sent to site.

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**\*Comment dt:** 12/14/2012 + -

Sub requested changes to liability language. Changes agreed upon and revised draft sent.

18) As the subaward moves through the drafting and signature process, dates will be entered in the appropriate fields. OSP will also use this section to track information about the subaward recipient itself, as well as for Emory’s compliance with the Federal Financial Accountability and Transparency Act (FFATA) requirements. Once all steps have been completed, the Status will be set to “Fully Executed – Complete.”

General Information
Questions/Files
Administrative

**Subcontract:** SC00000029    **Status:** Fully Executed-Complete

**Analyst assigned:** 0373664    Zha,Meiqing H.

**Received Date:** 12/14/2012    **Date Subcontract Drafted:** 12/14/2012

**Date Mailed:** 12/14/2012    **Dt Received Back:** 12/14/2012

**Dt Fully Executed:** 12/14/2012    **Transmittal Method:** Email

**PO Number:** S123456

**Fincl Contact Name:** FRANK JONES

**Fincl Contact Email:** frank.jones@miami.edu

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**FFATA Questions**

Is Subaward subject to FFATA?     Yes     No

Has FFATA reporting been completed?     Yes     No    **Date Completed:**  

---

Find | View 1    First 1-2 of 2    Last

**\*Comment dt:** 12/14/2012 + -

Subaward sent to site.

---

**\*Comment dt:** 12/14/2012 + -

Sub requested changes to liability language. Changes agreed upon and revised draft sent.

**Subrecipient DUNS Number:**

### *APPENDIX 1 – Conditional Questions for subawards under Federal Contracts*

All requests must include answers to Questions 1 and 2 below. The first is a series of statements which pertain to the rationale and price. The second question requests that the PI describe the unique aspect of the service to be provided by the subawardee and the rationale for the selection of that entity. If the subagreement is to be issued to a for-profit entity and is under \$50,000 it is acceptable to note : “detailed in proposal” in the text box. For question 1, please check all that apply.

**Conditional-For Federal Contracts Only**

Completion of questions 1 and 2 are required for any subagreement issued under a federal contract with an amount in excess of \$10,000.

1. Provide an explanation regarding why the entity is uniquely suited by experience or price to meet the research objectives. (check all that apply)

- a.  Only known source to provide acceptable services that are compatible with the programmatic needs of the prime award
- b.  No other source can provide services within the requested deadline
- c.  Entity has unique: prior experience, expertise, professional stature, facilities or key personnel
- d.  Availability and competence of necessary facilities
- e.  Available and competence of experienced personnel
- f.  Method proposed to accomplish scope of work
- g.  Present and past experience with similar work
- h.  Proximity of source
- i.  Prime Sponsor preference that Emory establish a subagreement with this entity
- j.  Pertinent and novel ideas for accomplishing the scope of work
- k.  Fair and reasonable price compared to other vendors /suppliers (based on a minimum of 3 vendors/suppliers)
- l.  The price was obtained from a catalog or price list available to the general public
- m. Other

2. Describe the unique aspects of the service to be provided by the subawardee and provide a brief rationale for selection. (If subagreement is under \$50,000 in amount and is NOT to be issued to a for profit entity, it is acceptable to not 'Detailed in Proposal' in the box below.(500 characters or less)

### *APPENDIX 2 – Subcontract Request Type Definitions*

**New:** a first time request for OSP to create a subaward, obtain a purchase order, encumber funds from the award to be set aside to pay invoices from subrecipient, and execute the subagreement. A detailed budget and statement of work must accompany the request. Typically such requests are in the funded proposal. If the request was not made in the original proposal, depending upon the agency, formal approval to enter into a subagreement may need to be sought.

**Continuation:** These are requests for additional time and money to be awarded to the subrecipient who has an existing subaward. Amendments to subagreements must be in sync with the prime award made to Emory. PI’s and their department support staff should request continuations as soon as possible after receipt of the continuation NOA.

**Supplemental:** These are requests to add funds to an existing subaward within the time period currently in progress. The request must include a detailed budget and revised Statement of Work if the PI wishes to add additional funds and deliverables.

<b>OSP Subaward Request Process</b>
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**No-cost extension:** These are requests to extend the period of performance, but without additional funds. No-cost extensions can only be made if the prime award is extended.

**Carryover:** Carryover requests can only be made if the prime award allows for them or if the agency has approved a carryover request for Emory which includes the subaward. The request must include a detailed budget and revised Statement of Work if the PI wishes to add additional funds and deliverables.

**Renewal:** A renewal is very similar to the new subaward request process. A new subaward document, unrelated to the prior award, will be issued by OSP. A detailed budget and statement of work must accompany the request. Typically, such requests are in the funded proposal. If the request was not made in the original proposal, depending upon the agency, formal approval to enter into a subagreement may need to be sought.

**Other-Amendment:** Any requested change to an existing agreement which does not fall into one of the categories referenced above. Amendments may include actions made to reduce time, decrease funding, notify the Subrecipient of an Emory or sponsor administrative change, or to signal approval for a request from the Subrecipient. An explanation of the request may be uploaded into the attachments section of the request system.

***APPENDIX 3 – Conditional questions for Continuations, Supplements, and Other-Amendment***

To ensure that appropriate subrecipient monitoring has occurred, prior to issuing additional time and funding the PI must answer the following four questions. If the PI can not answer the questions with a “yes,” he/she must provide additional justification as to why the subaward should continue. OSP staff will contact the PI to discuss the advisability of the continuance of the subaward in these cases.

<b>Conditional -For Continuations/Supplement/Amendment</b>	
1. Has the Subrecipient satisfactorily performed the work?	<input type="radio"/> Yes <input type="radio"/> No
2. Has the Subrecipient delivered all reports and data?	<input type="radio"/> Yes <input type="radio"/> No
3. Has the Subrecipient invoiced Emory in a timely fashion?	<input type="radio"/> Yes <input type="radio"/> No
4. Are the dollar amounts invoiced reasonable for work performed and technical progress made to date?	<input type="radio"/> Yes <input type="radio"/> No

<b>OSP Subaward Request Process</b>
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Conditional -For Continuations/Supplement/Amendment	
1. Has the Subrecipient satisfactorily performed the work?	<input checked="" type="radio"/> Yes <input type="radio"/> No
2. Has the Subrecipient delivered all reports and data?	<input checked="" type="radio"/> Yes <input type="radio"/> No
3. Has the Subrecipient invoiced Emory in a timely fashion?	<input type="radio"/> Yes <input checked="" type="radio"/> No
<div style="border: 1px solid #ccc; padding: 5px; margin: 5px 0;">           Set-up error at site caused delay with initial invoice. All invoices since have been timely.         </div>	
4. Are the dollar amounts invoiced reasonable for work performed and technical progress made to date?	<input checked="" type="radio"/> Yes <input type="radio"/> No

***APPENDIX 4 – OSP General Processes for Establishment of Subawards***

- Review the information provided by the PI and Department in the Subaward Request
- Complete a compliance review of the subrecipient in order to determine the subawardee’s A-133 status;
- Complete a risk assessment of the subrecipient risk utilizing then current forms and processes;
- Prepare the appropriate subagreement based on the subagreement entity, statement of work and the sponsor’s terms and conditions in the prime award;
- Contact department/PI if any additional information is necessary to complete the subcontract or if specific questions remain;
- Complete a purchase order requisition for the subcontract in the purchasing system on behalf of the department/PI. POs are sent to OSP staff once the PO has been created.
- Reference PO on subagreement and send subagreement out subaward draft (unsigned) to subrecipient;
- Negotiated subaward terms as necessary with subrecipient;
- Receive partially-executed copy back from subrecipient;
- Sign and return fully-executed copy to subrecipient;
- Upload fully-executed copy of subaward in Emory Express and notify appropriate individuals via the Emory Express system;
- Report subaward FFATA data as necessary.



**OSP Subaward Request Process**