SUBAWARD REQUEST FORM INSTRUCTIONS

The ORS Subaward Request Form is required to be submitted to ORS via subaward@exchange.upenn.edu to request the initiation of a new or amended subaward. All required documentation must be included with the subaward request form or the subaward will not be processed.

I. Subrecipient Information

A. Type of Request - Indicate type of agreement needed for this subaward:
   1. New Agreement – first subaward to this subrecipient on this project. Please attach a copy of the statement of work (SOW);
   2. Continuation/Amendment- requesting changes to an existing subaward /continuation of funding; (NOTE: SOW must be attached, if it represents a change in the scope of work);
   3. No Cost Extension – extends the period of performance with no additional funding;
   4. ARRA Funding – Prime award is funded under the American Recovery and Reinvestment Act and;
   5. Other

B. Institution’s Name - Legal name of the subrecipient as listed in the Central Contractor Registry when applicable (ex. The Trustees of the University of Pennsylvania);

C. Institution’s Official Street Address – self-explanatory;

D. EIN Number – Employer ID number (i.e. Tax ID);

E. Subrecipient's Period of Performance - Period of performance must be within Penn’s prime award period of performance/budget period;

F. Subrecipient’s Amount Funded this Action- amount of funding to be issued under this agreement;

G. Subrecipient's Total Amount Funded:
   1. If carryover is allowed, this is the total amount of funding obligated to date;
   2. If carryover is not allowed, then this would be only the amount obligated for the current period;

H. PI’s approval to authorize / or not authorize automatic carryover
I. Award Amount is Increased or Decreased by the amount funded this action – self explanatory;

J. Does the attached budget reflect a difference from the proposal? – Yes or No;
   (NOTE: The budget attached to the Subaward Request Form MUST match the dollar amount on the Subaward Request Form – i.e. Subrecipient’s Amount Funded this Action block)

K. Is the Budget Cost Reimbursement or Fixed Price/Per Patient? (check the appropriate box);

L. Subrecipient’s Contact Information
   1. Principal Investigator- – subrecipient’s PI;
   2. Administrative Contact – Subrecipient’s departmental Business Administrator
   3. Authorized Official – Institutional Official responsible for reviewing and signing subaward agreement. (NOTE: This is the individual to whom the subaward agreement will be forwarded).

M. Subrecipients’ Research Involves – [Check the appropriate box if applicable.] If either box is checked, please provide a copy of Penn’s Institutional Review Board (IRB) letter of approval. If the IRB approval letter is not available at the time of submission of this request, the subaward will be issued to the subrecipient unsigned. However, the agreement cannot be fully executed until this information is received.

   (NOTE: Additionally, the Protocol which covers the work to be carried out at the Subrecipients’ site, must also be submitted for review and approval by Penn’s Office of Regulatory Affairs (ORA) (i.e. IRB and/or IACUC) – please refer to the ORA website for further instructions regarding this additional requirement: www.upenn.edu/regulatoryaffairs;)

   1. Human Subjects
   2. Vertebrate Animals

II. Penn Prime Award Information:

   A. Potential Conflict of Interest – (Check appropriate box)

   B. Prime Award Agency – (Name of Penn’s sponsoring agency - i.e. our primary source of funding.)

   C. Prime Award Number – (This number MUST coincide with the current requested budget period.)

   D. Penn Fund Number - (This number MUST coincide with the current requested budget period.)

   E. PennERA Institution Number

   F. Penn Project Title
G. Is this Project a Clinical Trial? - (Check appropriate box);

H. These items must be submitted with the request form - (If items #1 or #2 are not attached at the time of submission, the Subaward Request will be REJECTED, and department will be notified to resubmit the entire package with all the missing attachments.)

1. Subrecipient’s Scope of Work
2. Subrecipient’s Budget
3. Subrecipient’s Regulatory Approval - (If item #3 is applicable, but unavailable at the time of request, the subaward agreement can be issued to Subrecipient without Penn’s institutional signature.)

III. Penn Information:

A. Contact Information
   1. Penn Principal Investigator
   2. Business Administrator

IV. Questions:

A. Other funding;
B. Other Subaward or Service Agreements;
C. Special Instructions required by the department, should be included here;

Five (5) additional and MANDATORY questions - these questions must be answered if the Department is making a request for the continuation of funding to a Subrecipient:

1. Satisfactorily performing the work;
2. Delivered all required reports and/or data;
3. Invoicing in a timely manner;
4. Amounts of invoices are reasonable for the work performed and technical progress made to date;
5. Penn’s IRB/IACUC approved protocol number of Subrecipient’s Protocol.
V. **Certification:** (The certification applies to **ALL** Subaward Requests and must be signed and dated by BOTH Principal Investigator and Department Business Administrator)

A. Subrecipient’s proposed costs have been determined to be reasonable;

B. Funding is available for this subaward and is an allowable cost;

C. Signatures (Mandatory)
   1. Penn Principal Investigator
   2. Penn Department Business Administrator

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**Reminders and Notes of Interest:**

- Subaward Requests submitted without Regulatory Approvals, can and will be issued unsigned by the Office of Research Services (ORS);

- Delay in processing Subaward Requests may occur in the financial review (i.e. Subrecipient monitoring) of Foreign institutions, private practices, other non A-133 entities, which may have difficulties in complying with the sponsor’s rules;

- Completed Subaward Requests forms MUST be signed and submitted via email to subaward@exchange.upenn.edu;

- To follow the status of your Subaward Requests, please check the Activity Log in PennERA;

- In an effort to help expedite the processing of your Subaward Request, please use these instructions as your guideline for submission and;

- Finally, please do not hesitate to submit any questions via email to subaward@exchange.upenn.edu.