This document contains a user instruction guide for the creation and submission of subaward requests. If you have any questions about the creation or submission of subaward requests please send an email to subaward@exchange.upenn.edu.
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**Introduction**

This guide is intended to serve as a reference for users of the Subaward Generator Module (SGM) within the Research Inventory System (RIS). The SGM 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.

**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 Sign when a mandatory question is skipped**

If a question for which an answer is required is skipped, the system will report an error message on the top of the window, see red flag in the example below:
Note: You can continue to work on the request by clicking Next Ignore Error. However, you cannot submit the request until all errors have been corrected.

Part I

1 – Create Initial 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

- Click “My Subaward requests”;  
- Click “Create/amend”;  
- Click “New request”;

- Answer all questions as it pertains to the subaward that you would like to issue.
Edit the request:

- Answer all the questions on the Prime award information page.
- Selecting the PI/BA:
  - **Principal Investigator** (required) - Select the Principal Investigator (PI) by clicking the green “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.

  - **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.

    - **Click “Next” to save the current page, and navigate to the next page “Subaward (Penn PI/BA)”**.

    - **Select Subrecipient Institution and complete the address field**.
Note: There is a zip code lookup feature. It is important (as well as required) that the zip +4 be included for FFATA reporting purposes.

- Upload the Budget and SOW *(Note: Uploaded files can only be in PDF format)*
- IRB and IACUC approvals - If the Subrecipient’s research involves IRB and/or IACUC and you have the current/up to date copy of the approvals, you may upload them. To upload the IRB and/or IACUC approvals answer Yes and follow the questions to get to the upload feature. *(Note: Uploaded files can only be in PDF format)*
• Take special note of the last question:  *Are you submitting contact and financial data on behalf of the subrecipient?*

Choosing “Yes” - means that your request will NOT be routed to the subrecipient. (If you answer “Yes” - please provide the reason for opting to submit on behalf of the subrecipient.)

Choosing “No” - means that the request will be directly routed to the subrecipient for completion.
Also, please note that if you have answered “YES” - a 3rd tab will open - [Subaward (Subrecipient PI)] - and you will then be prompted to answer all the questions about and on behalf of the Subrecipient.

Certification & Submission of Subaward Request

Once you have filled in all the information in the request, and all tabs are error free, complete the certification tab by selecting “I accept”. 
Routing

<table>
<thead>
<tr>
<th>Routing Scenario</th>
<th>Description</th>
<th>Routing Path</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Docs uploaded By Penn (Route to ORS)</td>
<td>Happy Path</td>
<td>PI -&gt; BA -&gt; Sub -&gt; ORS</td>
</tr>
<tr>
<td></td>
<td></td>
<td>BA -&gt; PI -&gt; Sub -&gt; ORS</td>
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<td></td>
<td>PI or BA Rejects</td>
<td>PI -&gt; BA Rejects -&gt; PI -&gt; Sub -&gt; ORS</td>
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<td>BA -&gt; PI Rejects -&gt; BA -&gt; Sub -&gt; ORS</td>
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<td>PI or BA Edits</td>
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<td></td>
<td></td>
<td>BA -&gt; PI -&gt; Sub Rejects -&gt; BA -&gt; Sub -&gt; ORS</td>
</tr>
</tbody>
</table>

View the submitted request:

- 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 started in the previous step:

- Click “My Subaward requests > Manage drafts”;
- The “Manage drafts: Subaward requests” screen is displayed;
• Click the “edit” button (pencil icon) to edit request;

#2 – Approve initial Subaward request:

• Click “My authorizations”;
• Click “Pending subaward approvals”; 
• Click view button (eye-glasses icon);
• Test clicking on “View” and “Submit a decision” buttons to review the request;
• On Certification page, enter comments and click “I accept and approve”;

Review approval history:

• Click “My authorizations > View history > View Subaward approvals”;
• The “Authorization history” screen is displayed;

#3 – Reject initial Subaward request sent to you for review

• Click “My authorizations”;
• Click “Pending subaward approvals”;
• The “Items waiting for your authorization” screen is displayed. Test all the buttons and links on this screen;
• Click the “view” button (eye-glasses icon);
• Click “Submit a decision”;
• Enter a comment and click “Reject”;
• Click the next button on the next page: “Request has been returned to submitter for revision consistent with comments provided”;
• Routing state should be draft now;

#4 – Revise a rejected Subaward request

• Click “My subaward requests”;
• Click “Manage revisions” then click on the edit icon;
• Revise the request and click the “I accept” button;
• You will see the Request has been submitted screen;

#5 – Create an Amendment/extension/termination

Amend the “completed” request:

• Click “My Subaward requests”;
• Click “Create/amend”;
• Click “Amendment/extension/termination”;
#6 – Create a copy of an existing Subaward request - (Note: you can create a new request via the copy feature)

- Click “My Subaward requests”;
- Click “Create/amend”;
- Click “Copy existing request”;

1] Find the request that you wish to copy, and click the edit button (pencil icon);
2] Edit the new request. If applicable select a different PI and/or proposal number;
3] Complete the rest of the information in the request (all tabs) and submit the request (i.e., click the “I accept” button);

#7 – Withdraw/Close a Subaward request

- My Subaward requests>Manage revisions;
- Click Withdraw(Close) link for one of the requests ;
- Click “OK” button to Withdraw/Close request;

Review Closed request

- My Subaward requests>Request history>Recent;
- Search for the Doc ID (of your previous withdrawal/closed request) on the Recent Subaward requests screen;

Part II

INSTRUCTIONS FOR SUBRECIPIENT

#1 – Subrecipient - Approve Subaward request

- Click on the URL provided in the body of an email sent to the subrecipient;
- Type in the Penn PI’s last name and Proposal number. This information should have been provided to you by the Penn Business Administrator. Please contact the Penn Business Administrator if you do not have this information;
- Click “Login”;

Complete and submit the request :

- Review and update all the info on the Subaward Request page;
- Upload files as necessary or if required;
Certification

- Complete the request and upload all required forms;
- Click “I accept” button at the bottom. The completed request will now route to Penn for further processing of the Subaward Agreement;
2 – Subrecipient - **Return comments only** (do not accept) Subaward request

- Click on the URL provided in the body of an email sent to the subrecipient;
- Type in the Penn PI’s last name and Proposal number;
- Click “Login”;

Reject the request (i.e. Return comments only):

- Review the info on the Subaward Request page (DO NOT UPDATE ANY DATA);
- Click “Return comments only” button at the bottom of the page;
Appendix

- Click “Next ignore errors” to navigate to next page (red flag set in tab area). By using the “Next Ignore Errors” feature you have the option to continue working on your application even if you do not have all necessary information available to you immediately. Please note that you will not be able to submit the request until all errors have been resolved;
- Click “Show errors” button to review invalid data messages;
- Click “Save” to save information;
- Click “Exit” to exit the request;