# Subaward Request Form – MODIFY AN EXISTING SUBAWARD

Submit a Subaward Request to initiate a new subaward or modify an existing one. The department managing UMB's award uses this form to initiate SPA's process of issuing the subaward. Respond to all questions and attach documents (PDFs only!) in support of your request.

**Before beginning this form**, use Kuali Research (Common Tasks > Search Awards) to [find the relevant Award ID](https://www.umaryland.edu/kualicoeus/user-resources-and-help/awards/) for the award that will fund this subaward. The Award ID is in the format 123456-00011 and can be found on the KR Award record.

**For MODIFICATIONS to an existing subaward**, use Kuali Research (Common Tasks > Search Subawards) to find the Subaward ID that you plan to modify.

[Subaward information, instructions, and subrecipient commitment form](https://www.umaryland.edu/spa/collaborations-and-subrecipients/subrecipient-agreements/)
<https://www.umaryland.edu/spa/collaborations-and-subrecipients/subrecipient-agreements/>

[Subaward request FAQs](https://www.umaryland.edu/spa/collaborations-and-subrecipients/subrecipient-agreements/subaward-request-faqs/)
<https://www.umaryland.edu/spa/collaborations-and-subrecipients/subrecipient-agreements/subaward-request-faqs/>

## Subaward Request Form (first section)

**Is this request for a NEW subaward?** Yes/No

Select "No" for non-competing continuations or for changes to an existing award.

## UMB Award Information

**Award Number**

Enter the Award ID from Kuali Research. Your Award ID is in this format:
123456-00011. Use the *current* budget year that will fund the subaward.

***TIP:*** *After you enter the Award ID, allow all the fields to autofill before moving on. This can take up to 15 seconds, depending upon your internet connection*

## Subaward Modifications Only

**Subaward ID:**
 Enter the Subaward ID

***TIP****: After you enter the Subaward ID for the subaward that you wish to modify, allow the fields to autofill. Contact* *jsimons@umaryland.edu* *if any fields are empty, including Title, dates and Site Investigator first and last names.*

**Modification Type:** Select the primary purpose of the modification. You will be able to choose additional actions below. [Modification Type User Aid](https://www.umaryland.edu/media/umb/ord/documents/spa/SubRequest-ModificationType.pdf)

[Deobligation/decrease in funds](https://www.umaryland.edu/media/umb/ord/documents/spa/SubRequest-DeobligateFunds.pdf)

[Early termination of subaward](https://www.umaryland.edu/media/umb/ord/documents/spa/SubRequest-EarlyTermination.pdf)

Carry Forward

 Continuation

 Increment

 Initial/New

 No Cost Extension

 Other (describe)

***TIP****: Continuation is used for awarding the new period of funds (increase and extend end date). Increment is used for an increase without an extension. Use the Other option for changes such as change of subrecipient PI, decrease in funding or early termination.*

When Other is selected, a comment field will appear

**Other Modification Type Description:** (comment field)

**Will the Anticipated Amount, shown above, change?** Yes/No

When Yes is selected:

**Dollar amount of Anticipated Change:**

**Additional Action(s) requested (select all that apply)**:

Change of Subrecipient PI (attach sponsor approval)

 Carry-forward approval (attach sponsor approval when required)

 Other (describe)

NOTE: Since you can only select one “Modification Type” from the dropdown, use these selections for ADDITIONAL actions. For example, you may be requesting a continuation AND a Change of Subrecipient PI.

Attachments are added in the Attachments section of the form.

When “Other” is selected, a comment field will appear.

**Carry-forward amount (dollars)**:

 Appears if “Carry-forward” is selected

**Current Purchase Order number for this subaward:**

**Will a new Purchase Order number be assigned to this subaward modification?** Yes/No

**Sub Mod Administrative Contact** (Required)

**Sub Mod Admin Contact Phone #**

**Sub Mod Admin Contact Email** (Required)

***TIP:*** *It is important that the Administrative Contact information for the Subrecipient Entity is correct in the KB Subaward request form as that is the information SPA will send out the subaward modification for signature.*

**Additional Information**

Enter additional information for review by SPA. (Do not copy/paste in this field.)

***TIP****:* *DO NOT COPY/PASTE in the comment fields – this often causes issues with the population of Kuali Research with data from this form.*

## Details

**Subaward start date:**

Enter the start date of the current subaward period (for the current requested action)

**Subaward budget period of performance end date:**

Enter the end date of the current subaward period (for the current requested action)

**Dollar amount of subaward for the requested budget period:**

 Enter the amount to be awarded to the subrecipient for the current subaward period. If the action does not involve adding or decreasing funds (such as a no-cost extension), enter 0.00

**Modification Budget or Payment Schedule** (upload a PDF file)

 Required for carry forward, increment, continuation

## Questions for Subaward Modification

***TIP:*** *The Questions section of the form is editable for the PI. You may complete the questions and then ask the PI to review and edit as needed.*

**Has the subrecipient’s Statement of Work (SOW) changed?** Yes/No

**Is there a change to the SOW that now affects the subrecipient's budget?** Yes/No

If yes, upload the revised budget or payment schedule on the Details section of this form.

**Is there a change in SOW that now involves Human Subjects**? Yes/No

**Is there a change in SOW that now requires the use of animals?** Yes/No

**Is there a change in SOW that now involves sharing or shipping biological materials**? Yes/No

NOTE: If yes, some materials may require a Material Transfer Agreement. [Contact CCT](https://www.umaryland.edu/cct/corporate-contracts/material-transfer-agreements/) with questions or to initiate an MTA.

**Is there a change in the SOW that now involves data sharing between UMB and the subrecipient?** Yes/No

**Information about data sharing for modified SOW**

Describe the flow of the data (UMB to Subrecipient, Subrecipient to UMB, or reciprocal) and the type of data that will be shared.

**Statement of Work** (attachment field)

If you answered yes to ANY of the above questions, upload the subrecipient's updated Scope of Work (aka Statement of Work). [Statement of Work template](https://www.umaryland.edu/media/umb/ord/documents/spa/UMB-SOW-Template.pdf)

**Are there changes to the reports required from the subrecipient?** Yes/No

**New Reports** (comment field)

If yes, describe new reports or deliverables that are now required that were not included in the original subaward (and subsequent modifications).

**Is the UMB PI satisfied with the subrecipient's technical progress to date?** Yes/No

**Technical progress explanation**

If no, please explain why the UMB PI is not satisfied with the technical progress.

**Has the subrecipient submitted invoices appropriately?** Yes/No

**Has the UMB PI reviewed all invoice amounts against scope of work previously performed?** Yes/No

**Invoice explanation**Explain or describe issues with invoice submission by the subrecipient and/or review of invoices by the UMB PI.

**Has the subrecipient provided technical reports and/or deliverables as required by the subaward agreement?** Yes/No

**Reports and deliverables explanation**

Explain issues related to reports and/or deliverables expected from the subrecipient.

**Does the PI or the PI's spouse of any dependent of the PI and/or key persons performing the work within this award, their spouse or any dependents, have a financial interest in this subrecipient organization?** Yes/No

**Conflict of interest - update**

The project or relationship with this Subrecipient presents a potential for conflict of interest or the appearance of a conflict of interest. Yes/No

## Attachments:

**Approvals:**

**Examples**: sponsor approval for the subaward or for change of subrecipient PI; Sponsor approval to issue subaward as fixed price; human subject or animal use approvals

**Data Sharing**

When relevant, upload the Data Management or Sharing Plan approved by the sponsor (original plan or approved update). If the subrecipient is subject to complying with the UMB’s Data Management or Sharing Plan for the award, the subrecipient should be made aware of the contents of the plan and any approved updates.

**Other attachments**

## Who is making this request?

**Are you (the person submitting the form) the person to be contacted for any questions?** Yes/No

If response is no:

**Who should be contacted?**

 Name

 Telephone

 Email Address