THE UNIVERSITY *of* NEW ORLEANS
OFFICE OF RESEARCH

Subaward Modification Request
Help Guide

Guide Contents

Purpose & Use

The [Subaward Modification Request](#) form is used to request that changes be made to an existing subaward with an external subrecipient. This form should *not* be used to request modifications to vendor or professional service agreements.

Information Needed

- PI contact information
- Subrecipient contact information
- Subaward numbers
- Information about the requested modification
- Subrecipient tax information
- Relevant attachments
- A justification for the request

Form Routing

Initiator / PI	→	Office of Research	→	Initiator / PI

Statuses

DRAFT

The form opens in **Draft** status and can be edited by the initiator. Once the form is submitted, it will no longer be in **Draft** status.

SAVED

If the initiator edits the form and submits it without the PI's signature, the form will enter **Saved** status.

The initiator can save progress on Subaward Draft Requests by clicking the **Save for Later** button without signing. SharePoint will automatically email a copy of the **Saved** form to the initiator.

If someone initiates a form on behalf of a PI, the initiator may click the **Save for Later** button to submit without signing it then forward the resulting email to the PI for their signature.

The next time a **Saved** form loads, the form will automatically switch to **Draft** status.

SUBMITTED

If the form is submitted with the PI's signature, the form will enter **Submitted** status.

The initiator (and the PI, if different) will receive an email confirming submission of the form. The request will forward to the Office of Research for processing.

REJECTED

If a form is rejected by any party, the form will enter **Rejected** status. The initiator (and the PI, if different) will receive notification of the rejected form via email.

APPROVED

If a submitted form is approved by the Office of Research, the form will enter **Approved** status. The initiator (and the PI, if different) will receive notification of the approved form via email.

Recipients

- **SAVED**
  - Initiator
  - PI (if different)
- **SUBMITTED**
  - Initiator
  - PI (if different)
  - Office of Research
- **REJECTED**
  - Initiator
  - PI (if different)
- **APPROVED**
  - Initiator
  - PI (if different)

Email To

If the form needs to be sent to any recipients *other* than those listed above, any user can add any UNO email address into the **Email To** field and then submit the form. The user will be copied on an email sent to the entered email address.

Initiator Instructions by Section

UNO Principal Investigator Information

1. **First Name:** Enter the first name of the UNO PI.

2. **Last Name:** Enter the last name of the UNO PI.

3. **UNO Email Address:** Enter the UNO email address for the UNO PI.

4. **Phone Number:** Enter a phone number for the UNO PI.

5. **College:** Select the PI's college from the dropdown menu.

6. **Department:** Select the PI's department from the dropdown menu.

7. **Save for Later:** Click the button at any time after entering the above information to save the form for later.

Subrecipient Information

Subrecipient Information	
Subrecipient Name:	*
Subaward Number:	*
Award Number:	
Grant Number:	

1. **Subrecipient Name:** Enter the name of the subrecipient.

2. **Subaward Number:** Enter the subaward number.

3. **Award Number:** Enter the award number from Workday, if known.

4. **Grant Number:** Enter the grant number from Workday, if known.

Requested Modification

Requested Modification	
Is this the first amendment to the subaward?	⊙ Yes ⊙ No

How would you like to modify the existing subaward? Choose any and all of the following that are applicable.

☐ Add time   ☐ Change terms and conditions
☐ Add funds   ☐ Change statement of work
☐ Revise budget   ☐ Other
☐ Change key personnel

1. Indicate whether or not this is the first amendment to this subaward.

2. Select the modification(s) you would like to be made to the subaward. Depending on your selections, any of the following sections may appear.

Additional Time

This section appears if you select **Add time** as a requested modification.

Additional Time	
Original Start Date:	* 📅
Original End Date:	* 📅
New Start Date:	* 📅
New End Date:	* 📅

1. **Original Start Date:** Enter or select the original start date for the subaward.

2. **Original End Date:** Enter or select the original end date for the subaward.

3. **New Start Date:** Enter or select the new start date being requested for the subaward.

4. **New End Date:** Enter or select the new end date being requested for the subaward.

Additional Funds

This section appears if you select **Add funds** as a requested modification.

Additional Funds	
Original Total:	*
Amount to Add:	*
New Total:	$0.00

1. **Original Total:** Enter the original total amount for the subaward.

2. **Amount to Add:** Enter the amount of funding you are requesting to be added to the subaward.

3. **New Total:** Automatically calculates the new total based on the amount of funding you would like to add.

Other

This section appears if you select **Other** as a requested modification.

Other
Please explain the modification you would like to make to the subaward.
*

1. Explain the modification you would like made to the subaward.

Attachments

Attachments	
Attach the relevant documentation associated with your above request.	
Description	**Attachment**
	📎 Click here to attach a file
🔽 Add attachment	

1. **Description:** Enter a name or description for the attachment you would like to upload.

2. **Attachment:** Select the file you would like to upload.

3. **Add attachment:** If necessary, click the **Add attachment** link to add another attachment.

Comments (Optional)

> **Comments**
>
> I have entered a test comment into the form.
>
> Submitted by: **jelandr1**   on **12/7/2020**
>
> ☑ Add more comments

1. **Add comments:** If relevant, click the **Add comments** link to add a comment to the form.

2. Type your comment in the box that appears. Your username and the date will auto-populate beneath the comment.

3. **Add more comments:** If necessary, click the **Add more comments** link to add more comments.

PI Certification & Signature

> **PI Certification & Signature**
>
> I have reviewed the technical and cost proposals for this subrecipient and, based upon my professional experience and analysis of costs or prices proposed, I find them to be appropriate, fair, and reasonable for the work to be done.
>
> **Once you sign the form, you will not be able to edit it again without the assistance of the Office of Research.**
>
> [Save for Later]
>
> PI Signature: *

1. Read the certification.

2. **Save for Later:** If you wish to continue working on the form, click the button to save the form without locking it.

3. **Signature:** Enter your name to sign the form. Your username and the date will auto-populate. All previous fields will lock.

4. **Submit:** After signing the form, click the **Submit** button.

5. You will receive an email confirmation of your submission.

Approver Instructions by Action (Office of Research)

Comments (Optional)

> **Comments**
>
> I have entered a test comment into the form.
>
> Submitted by: **jelandr1**   on **12/7/2020**
>
> ☑ Add more comments

1. **Add comments:** If relevant, click the **Add comments** link to add a comment to the form.

2. Type your comment in the box that appears. Your username and the date will auto-populate beneath the comment.

3. **Add more comments:** If necessary, click the **Add more comments** link to add more comments.

Process & Approve Request

Office of Research

This section is to be filled out by the contract specialist in the Office of Research. Once all fields are complete, the contract specialist may sign and complete the form.

Is an amendment required?	○ Yes ○ No
Will this impact reporting under the Federal Funding Accountability and Transparency Act (FFATA)?	○ Yes ○ No
I used the internal Contract Review & Signatures form to send the draft subaward out for review and approval.	☐ Yes, I used the form.
I have updated Workday as appropriate, including the award line, grant, supplier contract, subaward, tasks, and risk management.	☐ Yes, I updated Workday.
I have uploaded the PDF of the executed subaward and this form into Workday.	☐ Yes, I uploaded both.
UNO-Signed Subaward Mailed to Subawardee:	[ ] 📅
Fully-Executed Subaward Received from Subawardee:	[ ] 📅

1. To process and approve the Subaward Modification Request, scroll down to the **Office of Research** section.

2. Indicate whether or not an amendment is required.

    a. If yes, indicate whether the prime award will need to be amended.

        i. If yes, indicate whether or not you received written approval.

    b. If yes, indicate whether the prime budget will need to be amended.

3. Indicate whether or not the amendment will impact reporting under FFATA.

    a. If yes, submit to the federal website as required.

4. Certify that you used the Contract Review & Signatures form to send the subaward for approval.

5. Certify that you updated Workday.

6. Certify that you uploaded the appropriate attachments to Workday.

7. **UNO-Signed Subaward Mailed to Subawardee:** Enter or select the date when the subaward was mailed.

8. **Fully-Executed Subaward Received from Subawardee:** Enter or select the date when the subaward was received.
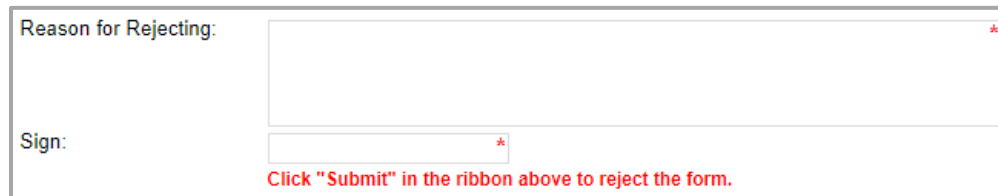
9. **Signature:** Sign the form. Your username and the date will auto-populate.

   NOTE: You *will not* be able to sign the form until all the above questions have been appropriately answered.
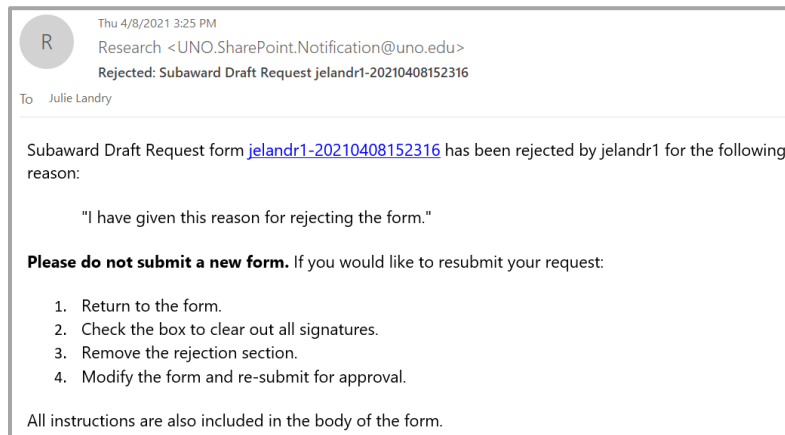
10. **Submit:** After signing the form, click the **Submit** button.

11. The PI (and the initiator, if different) will be notified via email.

Reject Request

1. To reject the Subaward Modification Request, click **Reject this form** at the top of the form.

2. **Reason for Rejecting:** You must enter a reason for the rejection. This language will be provided to the PI (and to the initiator, if different).

3. **Sign:** Sign the form. Your username and the date will auto-populate.

4. **Submit:** After signing the form, click the **Submit** button in the ribbon at the top.

5. The PI (and the initiator, if different) will receive an email similar to below.

Contacts

Technical Issues

If you encounter a technical issue with the SharePoint form, contact Julie Landry at jelandr1@uno.edu.

Research Policy/Scenario Questions

If you have a question about your submission or its results, contact the appropriate member of your service team as indicated on the Office of Research website.

Document Notes

Developed by:

Julie Landry, Office Manager
Office of Research
(504) 280-6836
jelandr1@uno.edu

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Last updated by:

Julie Landry, Office Manager
Office of Research
(504) 280-6836
jelandr1@uno.edu

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