eResearch **M** **Proposal Management**

Enter a Subcontract in eRPM

This procedure details the process of adding a subcontract (SUBK) to a project.

I. PAF: indicating that a project will include a subcontract

II. Subcontract Worksheet: Adding a subcontract

III. PAF Workspace: Using the **Subcontracts** tab to enter subcontract details (post-award)

IV. Subcontract Workspace: Submitting a subcontract and Responding to Requested Changes

> A subcontract is required when UM pays an **external** organization to work on part of a sponsored project awarded to UM.

Variations: Requesting a SUBK for PHS Projects, Awarded Projects, and previously submitted PAFs, and requesting a SUBK Closeout.

V. Requesting a SUBK for PHS Projects: Uploading Conflict of Interest (COI) Documents

VI. Requesting a New SUBK for an Awarded Project (This variation also applies to PAFs submitted to the sponsor prior to 8/13/2012).

VII. Requesting a SUBK Closeout.

Important Information

A subcontract (SUBK) may also be referred to as a sub-award, sub-grant, consortium agreement or sub-agreement. It is not a "subaccount," where a project award is allocated to multiple UM departments.

There are multiple ways to search for and select a subcontracting organization in eRPM. The main method is outlined in the procedure. View the Tips section for additional options.

I. Indicating a Subcontract in the PAF

PAF - Section 2 People: question 2.2

> **2.2**
> Does this project include Subcontracts, Subawards, Subgrants, Consortium Agreements, or Other subagreements to other institutions or agencies, external to U of M? (Click here for subcontract criteria.) *
> **1** ⦿ Yes ◯ No Clear

1. Click **Yes** if the project will include a subcontract(s).

Note: A "yes" answer enables the Subcontracts page in section 3 Budgets.

PAF – Section 3 Budgets

> **3. Budgets**
>
> **3.11 Subcontracts***
>
> Click "Add New Subcontract" and enter data for each proposed subcontract. For detailed instructions, please see the step-by-step documentation at http://www.umich.edu/~eresinfo/erpm/docs/PM_PT_sucontracts_SS.pdf.
>
> [Add New Subcontract] **2**
>
> | ID | Title | Organization | SUBK PI | Total Costs |
> |----|-------|--------------|---------|-------------|
> There are no items to display

2. Click **Add New Subcontract**.

Note: The Subcontract form opens.

II. Add New Subcontract

Add New Subcontract Window

3. Start typing the name of the external organization in the **Name of Subcontract Organization** field.

Note: Matching values automatically appear.

4. Select the applicable **Vendor Name** from the list.

Add New Subcontract Window

5. Click **OK**.

Note: The Subcontract Worksheet opens.

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ⓘ If you need help (e.g., definitions, format guidelines, etc.) completing the SUBK fields, click the field heading (e.g., Subcontract Title) to view online help in a pop-up window. Note: the screenshots below do not show the underlined field headings.

Subcontract Worksheet - Introduction

Subcontracting Organization:
WAYNE STATE UNIVERSITY

6 Subcontract Title: *
Testing for screenshots

7 Total Subcontract Costs:

> You must identify at least **one** Investigator and **one** Contact for the subcontract at this time.

8 Subcontract Investigators: *
[Add]

First Name	Last Name	Role	Phone	Email	Subcontract Contact PI
There are no items to display

6. Verify or update the **Subcontract Title**.

Note: The title defaults from the PAF title.

7. (Optional) Enter the **Total Subcontract Costs**.

8. Click **Add** to enter Subcontract Investigator information.

Subcontract Investigators section

Subcontract Investigators: *
[Add]

Update SUBK Investigator:
* First Name: **9**   * Role: **10**
* Last Name: Phone:
12 * SUBK Contact PI? ○ Yes ○ No Clear   Email: **11**

* Required   * Role: [▾]   [OK] [Cancel]   **13**

PI of subcontract issued under UM award
Multiple-PI from other institution
Co-PI/PD from other institution
Co-Investigator from other Institution
Other Investigator from other Institution

9. Enter **First Name** and **Last Name** of the subcontract investigator.

10. Select the Investigator's **Role** from the drop-down menu.

11. (Optional) Enter the Investigator's contact information in the **Phone** and **Email** fields.

12. Click the applicable radio button to indicate if the Investigator is the **SUBK Contact PI**.

Note: This information is available on the Letter of Commitment or other subcontract documentation.

13. Click **OK**.

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Subcontract Worksheet - Introduction

14. Click **Add** to enter Subcontract Contact information.

Subcontract Contact Information section

15. Enter the **Name** of the subcontract Contact.

16. Select the **Role** of the contact.

17. Enter the contact information:

    Address

    Email

    Phone

Note: At least one **Administrative Contact** must be entered at this stage. OCA requires both an Administrative Contact and an **Institutional/Sponsored Programs Office Official** be entered when the SUBK is submitted.

18. Click **OK**.

Subcontract Worksheet - Introduction

19. Click **Add** to attach documents (e.g., Letter of Commitment) or enter **Notes** to provide intent/commitment information.

Note: The Letter of Commitment template is on the ORSP web site (link provided). Use this template when the PAF with which the subcontract is associated is for a PHS funding opportunity (direct or prime), or for a [sponsor following the PHS financial conflict of interest regulation](#).

Attachments section

20. **Browse** for and select the applicable document (completed by the subcontractor).

21. Select the applicable **Type**.

22. Click **OK**.

23. Click **Continue** to move to the next page in the worksheet (not shown).

End of Subcontract Worksheet Page

24. Click **Finish**.

Note:

- The system returns you to the PAF Worksheet.
- Once the PAF is submitted and awarded, additional sections of the SUBK Worksheet become available.
- Use eRPM to enter subcontract details and submit the request.

III. Subcontracts Tab

After the PAF is **awarded**, use eRPM to:

- Enter the subcontract details (e.g., budget, etc.) needed for the Office of Contract Administration (OCA) to create the vendor contract

- Execute Activities (e.g., Submit Subcontract Request)

1. Locate and open the applicable PAF (not shown).

2. Click the **Subcontracts** tab in the PAF Workspace.

3. Click the **Name** of the subcontract to open the SUBK Workspace.

The **SUBK Workspace** shows SUBK Management information (if applicable), UM personnel information, the SUBK/PAF relationship, and the draft or final subcontract agreement. Information is added to this page as details are entered.

4. Click **Edit SUBK Worksheet**.

Note: SUBK must be in Pre-Submission State.

5. If applicable, update the **Introduction** information (e.g., Investigator, Contact, etc.). See the Add a New Subcontract section for instructions.

6. Click **Continue** or use the **Jump To** menu to go to Subcontract Details.

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Subcontract Worksheet – Subcontract Details

7

Award Budget Dates from Parent Proposal

Pre-spend authorization date (if applicable):

Budget Period Start Date	Budget Period End Date
3/1/2014	2/28/2016

Award Start Date	Award End Date	Award NCTX Date (if applicable)
3/1/2014	2/28/2016	

Subcontract Periods of Performance

Subcontract Budget Start Date: *
Subcontract Project Period Start Date:*

Subcontract Budget End Date: *
Subcontract Project Period End Date:*

Subcontract Estimated Award for Entire Project Period:*

Does this subcontract include cost sharing? *   ○ Yes ○ No Clear

* **Project Grant:**
[Select...]

Subcontract Goals:*
(Text entered here will appear on the federal website USAspending.gov)

Sole Source Justification:
(enter text below or upload document on next page).

8

Subcontract Additional Details Page

10 Does this subcontract include Clinical Research or a Phase III Clinical Trial? *
○ Yes ○ No Clear

Notes For The Office Of Contract Administration

11

Subcontract Documents Required For The Office Of Contract Administration *

Reminder: If this subcontract is on a project that follows PHS COI Regulations, the documents from the subrecipients should be uploaded on the "Manage SUBK Conflict of Interest Documents" view.

Unless otherwise noted, one of each of the following document types are required prior to routing the SUBK to OCA:

- **Detailed Subcontractor Budget** (If answered "yes" to cost sharing also include a detailed cost sharing budget)
- **Subcontractor's Statement of Work** (Include any deliverables with timelines, if applicable, and any technical or financial reporting requirements.)
- **Sole Source Justification** (must upload a document or place text into box on previous page)
- **Cost/Price Analysis Documentation** (Required for Federal Contract awards only)
- **Small Business Subcontracting Plan** (Required for Federal Contract awards if SUBK will be over $650,000)
- **Certificate of Current Cost or Pricing Data** (Required for Federal Contract awards if SUBK will be over $700,000)
- **Non-Prime Award Agreement** (May be required for Clinical Research or Phase III Trial)

12 [Add]

Document	Version	Type	Last Upload

---

7. Complete the required details, including:

   Subcontract Budget Start and **End Dates**

   Subcontract Project Period Start and **End Dates**

   Subcontract Estimated Award

   Cost Sharing

   Project Grant

   Subcontract Goals

   Federal Contract funding

   Notes:
   - Matching values automatically appear when entering a Project Grant. Select the applicable value from the list. See Tips for alternate search methods.
   - Project Grant is either the PGN for the parent project or, if established by Sponsored Programs, for the subcontract itself.

8. If applicable, enter **Sole Source Justification** information.

   Note: You can either enter the information here or upload documentation on the next page.

9. Click **Continue** to go to the Subcontract Additional Details page (not shown).

10. Indicate **Clinical Trial** inclusion.

    Note: If you answer **Yes**, answer the additional questions that display.

11. Enter any **Notes for the Office of Contract Administration**.

12. Click **Add** to upload required subcontract documents.

13. Click **Continue** to go to the *End of Subcontract Worksheet* page (not shown).

14. Click **Finish** to return to the SUBK Workspace (not shown).

15. Recommendation: run **Hide/Show Errors** to validate the SUBK data entry before clicking **Finish**.
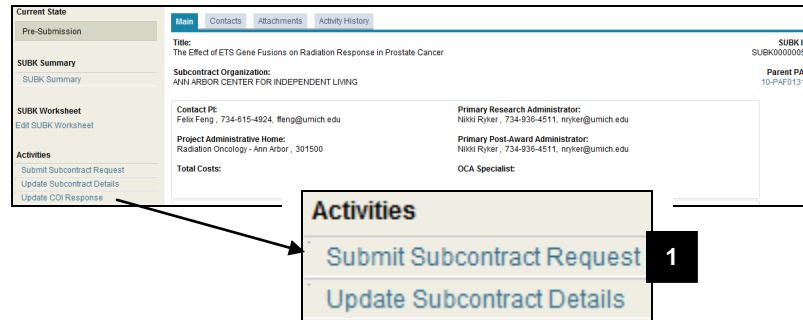
IV. Submitting the Subcontract Request

Only the UM Principal Investigator, the Primary Research Administrator, or the Primary Post-Award Administrator can submit a subcontract request.

ⓘ If you see this warning in the Subcontract Workspace, you cannot submit it to OCA:

⚠ **The parent PAF must be Active before this subcontract can be completed and routed to OCA.**
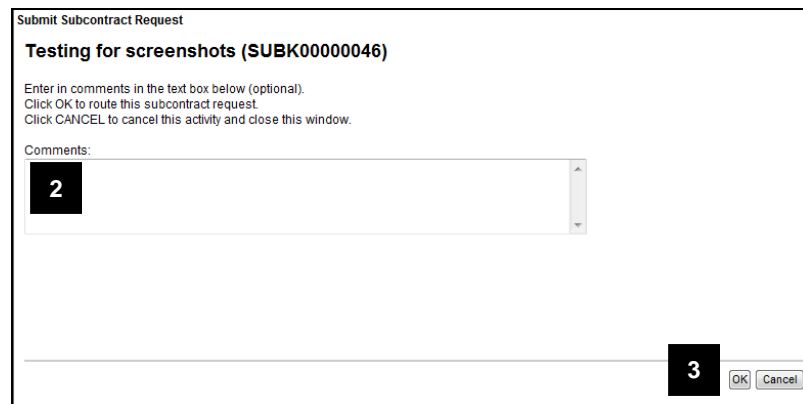
Subcontract Workspace

1. Click **Submit Subcontract Request**.

    Notes:
    - If the parent PAF is not in the Active State, a yellow warning message will appear in the Subcontract Workspace.
    - The system validates completion of required fields. Any error messages must be addressed before continuing.

    ⓘ See Tips to learn about an alternative to execute subcontract Activities.

Submit Subcontract Request Window

2. (Optional) Enter **Comments** for the Office of Contract Administration (OCA).

3. Click **OK**.

    Notes:
    - This activity is logged in the Recent Activity list in the Subcontract Workspace.
    - For non-PHS projects, the State of the SUBK changes to **OCA Review**.
    - For projects that follow PHS FCOI Regulations, the State of the SUBK changes to **SUBK PR Review**.

Responding to Requested Changes

Once a SUBK request has been submitted, ORSP and/or OCA may request that the Project Team make changes. When this occurs:

- The Project Team receives a system email notification
- The SUBK displays in the **Subcontracts with Required Action** list in your Home Workspace
- The "request change" activity is logged under Recent Activity in the SUBK Workspace.
- The SUBK will be in the **SUBK PT Making Changes** State.

Subcontract Workspace
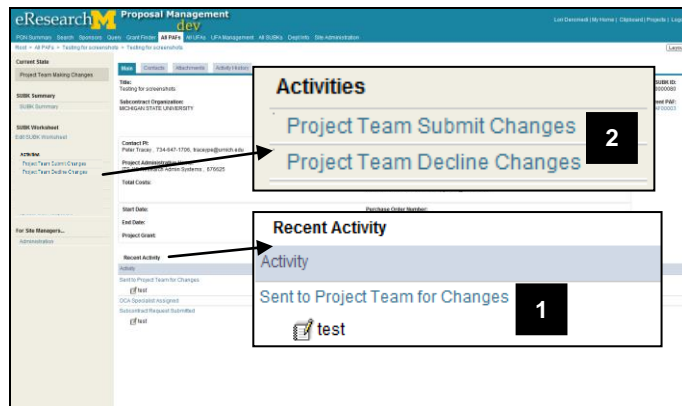
1. Read any comments for the "request change" activity in the Recent Activity log.

2. To make changes:

   - Click **Edit SUBK Worksheet** and make appropriate changes.
   - Click **Project Team Submit Changes**.

   To decline chages:

   - Click **Project Team Decline Changes**.

3. Enter **Comments** to ORSP or OCA in the field provided (not shown).

4. Click **OK** (not shown).

Subcontract Workflow by State

| STATE	DESCRIPTION	EDITABLE?
Pre-Submission	Subcontract has been indicated on a PAF, but SUBK Worksheet is incomplete and/or Parent PAF is not in an Active State.	Yes
SUBK PR Review	Subcontract request has been submitted and is undergoing ORSP review **(SUBKs on PHS projects or new SUBKs on awarded projects)**.	No
SUBK PT Making Changes	ORSP or OCA has requested changes to the SUBK Worksheet by the Project Team **(SUBKs on PHS projects or new SUBKs on awarded projects)**.	Yes
OCA Review	Subcontract request has been submitted and is awaiting OCA review.	No
OCA Processing	Subcontract request is undergoing OCA review.	No
SUBK PI Review	Draft subcontract agreement has been created and sent for review to the Contact PI or, if assigned, the Managing PI.	No
SUBK Unit Review	PI has approved the draft subcontract agreement, and it has been sent for review to the Unit Reviewer or, if assigned, the Managing Department's Unit Reviewer.	Yes

STATE	DESCRIPTION	EDITABLE?
OCA Processing – Unit Review	PI & Unit have approved the draft subcontract agreement. OCA is completing any processing needed prior to sending the agreement to the subcontracting organization.	No
Subcontractor Processing	OCA has sent the approved draft subcontract agreement to the subcontracting organization for their review and approval.	No
OCA Finalizing	Draft subcontract agreement has been approved by the subcontracting organization and OCA is preparing to activate the SUBK.	No
Active	Subcontract has been approved by OCA.	No
Canceled	Subcontract has been canceled by Project Team or OCA.	No

Variations:

V. Uploading COI Documents for PHS Projects

If the subcontract is on a PAF whose sponsor follows PHS Financial Conflict of Interest (FCOI) Regulations, the Project Team must upload the subcontracting institution's conflict of interest documents (e.g., FCOI reports) prior to submitting the SUBK. A subcontract request on a PHS project must first be approved by ORSP before it can be routed to OCA. Per UM business process, COI documents from the sub-recipient must be received by UM before OCA can establish the contract.

SUBK Workspace
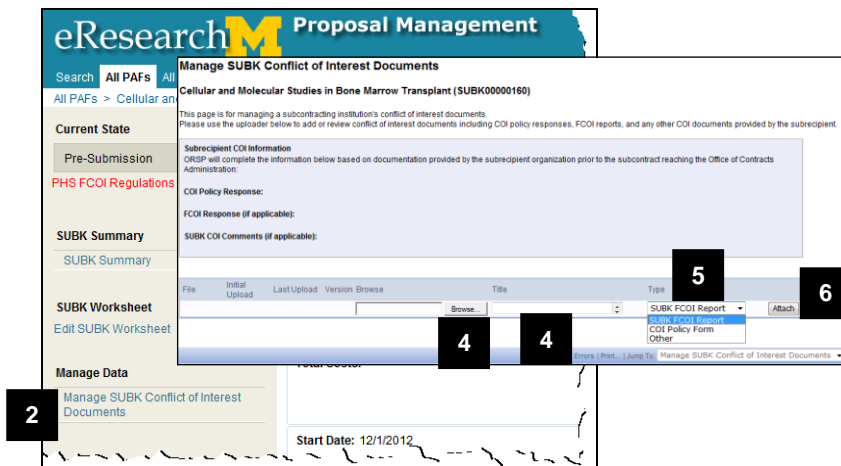
1. Complete the procedures in sections I – III.

2. Click **Manage SUBK Conflict of Interest Documents** from the Manage Data menu in the SUBK Workspace.

3. Click **Browse** to select the file from your computer.

4. (Optional) Enter a **Title** in the field provided.

5. Select the applicable document **Type** from the drop-down list.

6. Click **Attach**.

7. Click **OK** to save and return to the SUBK Workspace (not shown).

8. Complete the procedure to submit the SUBK request (section IV).

VI. Requesting a SUBK on an Awarded Project or Active PAF

The following procedure applies only to Awarded Projects and PAFs submitted to sponsor prior to 8/13/2012.

Once a PAF has been submitted and/or awarded, the PAF Worksheet is no longer editable.

- To request a new SUBK be associated with an awarded project, complete the following procedure.

- To request a new SUBK be associated with a submitted PAF (not yet awarded), you must wait until the PAF is awarded and then complete the following procedure.
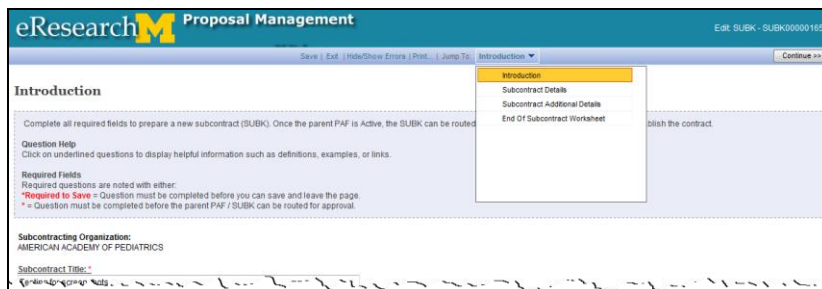
Project Workspace > Subcontracts Tab
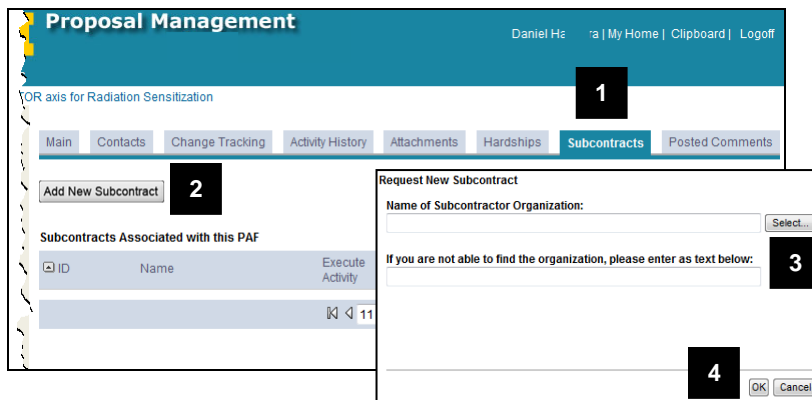
Request New Subcontract Window

1. Click the **Subcontracts** tab in the applicable Project Workspace.

2. Click **Add New Subcontract**.

3. Click **Select...** and choose the **Subcontractor Organization**.

Note: If the Subcontractor Organization is not in the list, type their name in the field provided.

4. Click **OK**.

SUBK Worksheet

The *Introduction* section of the SUBK Worksheet opens. Complete all required fields marked with an asterisk (*). After completing a section, click **Continue** to navigate to the next section. After completing the *End of Subcontract Worksheet* section, click **Finish**.

Notes:
- Refer to sections II and III for details on completing the SUBK Worksheet.
- If the SUBK is associated with a PHS project, refer to section V for instructions on uploading COI documents.
- After completing the SUBK Worksheet, refer to section IV for instructions on submitting the SUBK request.

VII. Requesting a SUBK Closeout

The Project Team uses the SUBK closeout activity to request closeout on a SUBK with a regularly scheduled end date.

⚠ The SUBK closeout activity cannot be used to request an early termination. To request an early termination, you must request a SUBK amendment and choose the type "Early Termination of Subcontract."

SUBK Workspace

1. Click the **Request SUBK Closeout** activity from the SUBK Workspace.

Request SUBK Closeout Activity Window

2. Click the checkbox to confirm the closing date.

3. (Optional) Enter **Comments** in the field provided.
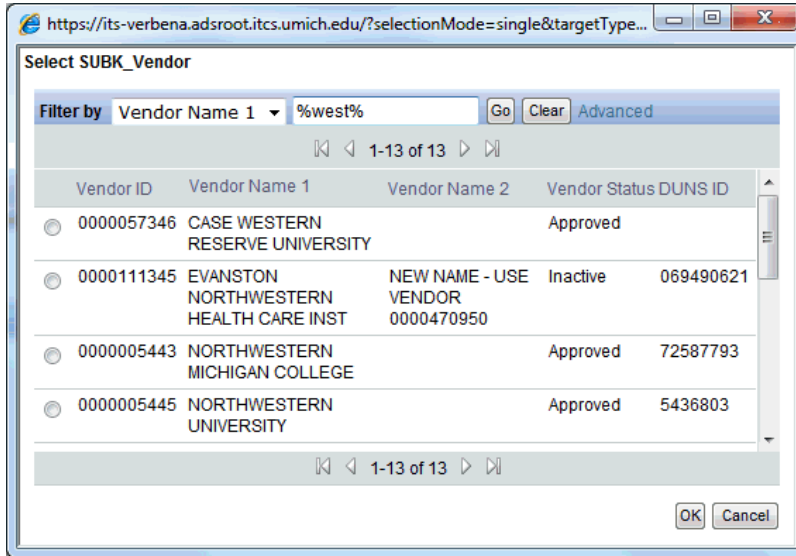
4. Click **OK**.

Notes:

- The state of the SUBK changes to **SUBK Closeout – Unit Initiated**.

Tips

Using the Select button to search

The matching function uses a "begins with" condition. If a match is not found, click **Select** to expand your search by using a wildcard (%). A Select button is available for both the **Name of Subcontract Organization** and **Project Grant** fields.


- Select the field to search from the **Filter by** menu.

- Enter your search criteria with the **percent symbol** (%).

- Click the applicable **radio button** to select the desired value.

- Click **OK**.

If a match isn't found by entering the name or through the **Select** function, enter the vendor name in the "**If you are unable to find the organization…**" text field.

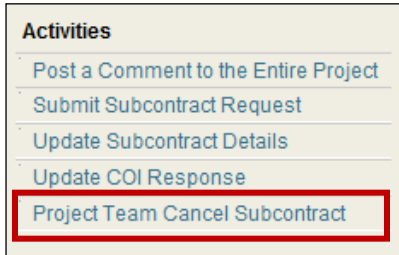**Executing Activities in the Subcontracts Tab of the PAF Workspace**

It is not necessary to open the Subcontract Workspace in order to execute Activities related to a subcontract (e.g., Submit Subcontract Request). Once a subcontract has been associated with a PAF, Activities can be accessed in the **Subcontracts** tab of the PAF Workspace by clicking the Execute Activity 🔄 drop-down list. The available options will change depending on the State of the SUBK and your role(s) in eRPM.
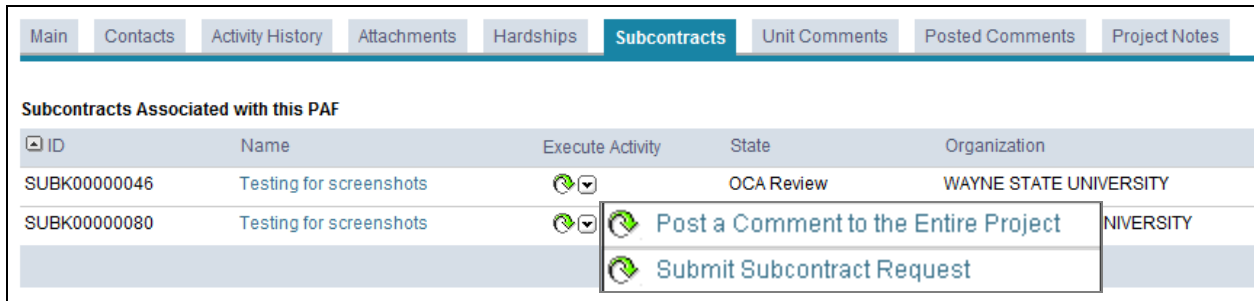
Project Team Cancel SUBK (Pre-Award) on an Active PAF

The Project Team can cancel a SUBK when the PAF State is **Active** and the SUBK State is **Pre-Submission**. Once a SUBK is awarded, only the Office of Contract Administration can cancel a SUBK. The **Project Team Cancel Subcontract** Activity is available in two locations:

- The Activities menu in the SUBK Workspace
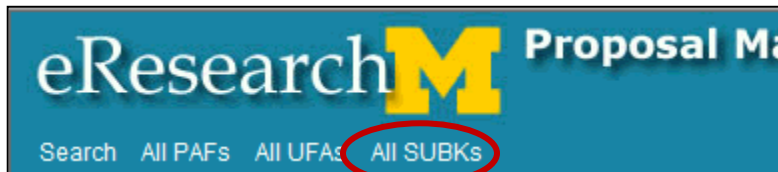- The Execute Activity Widget in the Subcontracts tab of the PAF Workspace

SUBK Workspace > Activities Menu
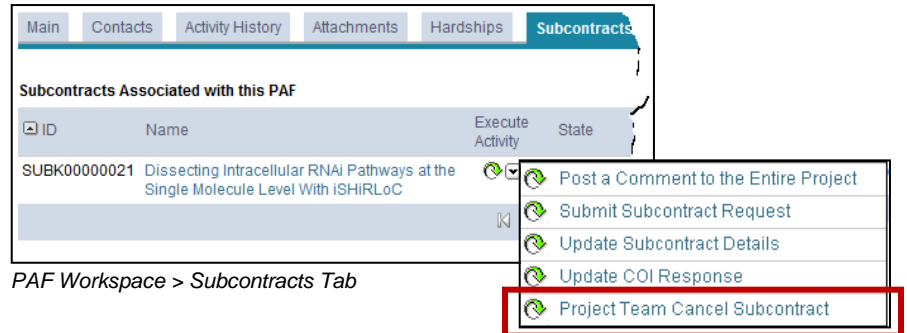
PAF Workspace > Subcontracts Tab

Click **All SUBKs** in the menu bar to open a list of all Subcontracts.

SUBK Summary

Click **SUBK Summary** in the Subcontract Workspace to view a summary of the information entered on the Subcontract Worksheet. This can be useful for viewing information related to a subcontract without opening the Subcontract Worksheet and/or when it is in a non-editable State e.g., OCA Review or Active.