

**Florida International University
Office of Research & Economic Development**

Subaward/Amendment Request Form

Note: Please return the completed and signed form, with attachments, to oredagremnts@fiu.edu for processing. Failure to provide all of the requested supporting documentation will result in a delay in processing your subaward request. Appendices must be Word attachments, not .pdf files.

Once the subaward/amendment is complete it will be returned for your review before being forwarded to the Subawardee for execution.

Project ID: _____ Principal Investigator: _____

Sponsor: _____

Subawardee: _____

Period of Performance: _____

Document Type: New Award Amendment to existing subaward

If this is an amendment request, what in the original subaward needs to be modified?

- No cost extension.
- Continuation (extension of the subaward period of performance and funds). *Please attach an updated scope of work and deliverables for the new year, as well as a budget for the new funds.*
- Increase/Decrease of subaward funding (without an extension of time). *Please attach a budget for the additional funds/decreased funding as well as a statement of work and deliverables reflecting the increase/decrease of tasks.*
- Change to the scope of work. *Please attach a revised scope of work.*
- Other (please describe): _____

Contact Information for Subawardee PI

Name: _____ Title: _____

Address: _____

Telephone: _____ Fax: _____

Email: _____

Contact Information for Subawardee Contract Administrator

Name: _____ Title: _____

Address: _____

Telephone: _____ Fax: _____

Email: _____

Contact Information for Subawardee Financial Contact

Name: _____ Title: _____

Address: _____

Telephone: _____ Fax: _____

Email: _____

Subawardee Reporting Requirements: Please indicate the FIU PI's preferred technical reporting schedule (more than one may be selected). A final technical report is required automatically. Annual technical reports are required for on all federal awards. Quarterly or monthly progress reports may be required by ORED

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dependent upon the risk assessment score of the subawardee. A deliverable schedule must still be provided with this request form.

Annual Quarterly Monthly Other: _____

Supporting Documents: Please attach the following:

- Attachment 1 Statement of Work (*please attach a typed statement of work and be as complete as possible; please do not attach a .pdf file*)
- Attachment 2 Budget (*please attach a budget or deliverable schedule; please do not attach a .pdf file*)
- Attachment 3 Deliverables (*please include specific, detailed deliverables with set due dates; please do not attach a .pdf file*)

Conflict of Interest: Is there any existing or potential conflict of interest relating to this subaward and the research project? Yes No

See the Conflicts of Interest in Research policy, #2370.005, at <http://policies.fiu.edu/files/572.pdf> for more information. Note that disclosures are required from all FIU personnel, whether they are full or part-time employees or volunteers, if such persons have a conflict of interest as relates to the research project. This includes, but is not limited to, volunteer faculty, adjuncts and students.

If you answered YES above, the applicable FIU individual must complete the Outside Activity/Conflict of Interest Report at http://hr.fiu.edu/index.php?name=conflict_of_interest. The disclosure will be reviewed to determine if the conflict can be managed, reduced or eliminated so that the subaward may proceed.

IRB, IBC, IRE or IACUC Approvals: Will there be any studies carried out by the Subawardee, which involve human subjects (including surveys or data analysis), animals, dual use research of concern (one or more of the agents/toxins listed at research.fiu.edu/ire/) (“DURC”) or recombinant DNA molecules?

- No, none apply
- Yes, human subjects.
- Yes, animal use.
- Yes, DURC.
- Yes, recombinant DNA.

If any have been checked YES please attach a copy of the approved protocol.

Please note that IRB/IBC/IRE/IACUC approval from both FIU and the Subawardee may be required. The subaward and/or amendment will not be executed by FIU until satisfactory documentation is received to meet this requirement.

Prior Approval Requirements: Does the sponsor award require prior sponsor approval of the Subawardee or the subaward agreement? Yes No

If you answered YES above, list the section of the sponsor award the addresses that:

Attach a copy of the written approval from the sponsor for this subaward agreement.

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Export Control Limitations: Does the sponsor award contain any conditions pertaining to export control s (e.g., foreign national prior approval, publication limitations) or other confidentiality requirements? Yes No

If you answered YES above, list the sponsor award sections that address those requirements:

If yes, further review, including review of the Technology Control Plan, is needed to determine if the subaward may proceed from the export control perspective. ORED will confer with the Compliance Office to ensure subaward may proceed.

Previously Executed Agreements: Is this subaward related to a previously executed confidentiality or other agreement with the Subawardee? Yes No

If YES, please identify which prior agreement:

Please sign below and send completed request form and appendices to oredagremnts@fiu.edu

PI Signature: _____ Date: _____

Name: _____

Phone: _____

Email: _____

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FOR ORED USE ONLY

Export Controls:

- Restricted Parties Search (RPS) completed on: _____/_____/_____
- RPS results attached to this form.
- N/A.

Risk Assessment Score (*Please attach*): _____

- High Risk Medium Risk Low Risk

IRB/IACUC/IBC/IRE Approvals:

If subaward SOW involves human subjects, animal use, dual use research of concern, or Recombinant DNA, verify that IRB/IACUC/IRE/IBC approval from BOTH the Subawardee and FIU are in place.

- Subawardee IRB approval No: _____ received
- FIU IRB approval No: _____ in place
- Subawardee IACUC approval No: _____ received
- FIU IACUC approval No: _____ in place
- Subawardee IBC approval No: _____ received
- FIU IBC approval No: _____ in place
- Subawardee IRE approval No: _____ received
- FIU IRE approval No: _____ in place

Was "yes" checked in Export Control Limitation above? No Yes If yes, review was done with Compliance Office, as needed, and the subaward may proceed. Yes, see

If subaward scope of work requires IRB, IRE, IACUC and/or IBC approval and such approval(s) from the Subawardee and/or FIU cannot be verified, route to ORI for review of IRB, IRE, IACUC and/or IBC requirements.

ORED Representative Signature: _____ Date: _____

ORI, please check as applicable:

Appropriate IRB/IACUC/IBC/IRE approval is in place for Subawardee's work. Subaward may proceed to execution.

- Subaward may not be executed. IRB/IACUC/IBC/IRE has not approved Subawardee's involvement in the study.

Signature

Print name

Date

ORI Comments: