

Cornell University



Cornell University

OSP/DFA Research Administration
Certification Program

SUBAWARD

OSP SUBAWARD TEAM

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Definition - Subaward

- A subaward is a formal written agreement made between Cornell University and a “subrecipient” to perform a portion of the Statement of Work under a Cornell sponsored project.

Subrecipient: A subrecipient is a non-Cornell entity that expends award funds received from Cornell to carry out a portion of Cornell's programmatic effort under a sponsored project.

- Incoming Funds, Outbound Funds, Subcontract, Subaward, Subgrant, Submarine Sandwich...etc!
- Weill Medical College “Am I or am I not?”
 - “I am sorry Weill, you are not considered a true Sub”
 - Memo of Understanding (MOU)



Subawards - Proposal Stage

- Institutionally-approved “Letter of Commitment or *Subcontractor Commitment Form” from all subrecipients: period of perform, total budget, key personnel
- Statement of Work (SOW) from each subrecipient
- Cost Category Budget from each subrecipient

***Sub Commitment Form**
required for all PHS sponsors,
or sponsors who have
adopted PHS COI

Cornell University Office of Sponsored Programs
SUBCONTRACTOR COMMITMENT FORM
This form is intended to be completed & signed by an organization participating on a Cornell project as a subcontractor

Subcontractor Legal Name: _____
Subcontractor PI Name: _____
Address: _____ City: _____ State: _____
Address where research will be performed: _____ City: _____ State: _____
Proposal Title: _____
Period of Performance: _____ Total Amount Requested: _____
Cornell's PI Name: _____
Prime Sponsor: _____

SECTION A - Proposal Documents
The following documents are included in our proposal submission and covered by the certifications below (check as applicable):
 SUBCONTRACTOR COMMITMENT FORM (required for all PHS proposals)
 STATEMENT OF WORK (required for all proposals)
 BUDGET AND BUDGET JUSTIFICATION (required for all proposals)
 Certificate of Insurance (may be required at time of issuance of subaward)
 Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format
 Biosketches of all Key Personnel, in agency-required format
 Other: _____

SECTION B - Certifications
4. Execution and Administrative Dates included in this proposal have been validated based on:



SUBAWARD or PROCUREMENT

<u>SUBAWARD</u>	VENDOR
Subaward services are uniquely designed in response to each project, and not provided commercially	Vendor provides the goods or services within normal business operations
Subrecipient technical lead is usually a scientific collaborator, or even a Co-PI on the Cornell project	Vendor provides similar goods and services to many different purchasers and in a competitive environment
Subrecipient retains rights to intellectual property	Vendor retains no rights to intellectual property
Subrecipient participates in development and execution of statement of work	Vendor provides the goods or services in addition to the operation of the federal program
	Vendor is not subject to compliance requirements of the federal program



SUB VS. VENDOR Cont.



- “ Make me a Sub, Please! – Hold the Mayo”
 - Does the sub entity’s statement of work represent an intellectually significant portion of the programmatic effort of the overall project?
 - Could the sub entity’s work result in intellectual property development or publishable results (including co-authorship)?
 - Will the sub entity need animal and/or human subjects approvals for its portion of the work?
- What is a Vendor (through Supply Mgt Services)?
 - Provides goods and services within normal business operations
 - Provides similar good and services to many different buyers
 - Operates in a competitive environment for provided services
 - Provides goods and services which are supplementary to operations of a sponsored project



“SEND OUT THE SUBS!!”



- ✓ The Prime Award has been internally distributed
- ✓ SOW, Detailed Budget, Budget justification
- ✓ Subrecipient Entity Details (if New CU Sub)

OSP PORTAL: <https://portal.research.cornell.edu/>

The screenshot shows the Cornell University Sponsored Projects Portal. The header includes the Cornell University logo and the text "Cornell University Sponsored Program Services" and "Sponsored Projects Portal". Below the header, there are navigation tabs: "Portal Front Page", "General Query", and "Help". The main content area is divided into two columns. The left column has sections for "Portal Views" (with links for "General Query" and "my.research PI View") and "Portal Information and Tools" (with links for "Data Access Request Form", "Sponsored Program Services", "Data Warehouse Info", "Review Portal Access", "General Instructions", "Ask a Question", and "Version Information"). The right column has a "Current Portal Status Message" section with a date of "9/9/2011" and a title "Sponsored Portal Links to KFS Dashboards". The message text states: "The Sponsored Portal Accounts page has been updated with links to KFS Dashboards for current financial information on sponsored awards. The new links direct you to the home page of a dashboard. Additional information regarding dashboards is provided on the Accounts tab. Detailed financial information prior to 2011 can continue to be accessed from the ADW by following the Legacy Accounts link." Below this, there is a date "3/10/2008" and a title "Enhancement to Data Access". The message text states: "Effective March 10, 2008 the data access rules for the Sponsored Projects Data Warehouse, access Sponsored Portal or Brio, have been expanded to better meet the needs of staff across the university. Review the details at http://www.osp.cornell.edu/Announcements/Enhance_DWH.html." A note follows: "The Sponsored Projects and Accounting Data Warehouses are unavailable each night for a 2 hour period between 10PM and 6AM while the warehouses are refreshed." At the bottom, there is a "Related Resources" section with the text: "Please send comments and questions to osp_whs_feedback@cornell.edu."



Request To Issue a Subaward

The screenshot displays the 'Sponsored Projects Portal' for Cornell University's Sponsored Program Services. The main navigation bar includes 'Portal Front Page', 'New Search', 'Matches', 'Record', and 'Help'. Below this, a secondary bar contains 'Overview', 'Details', 'Accounts', 'Compliances', 'Subrecipients', and 'Print'. The current page is titled 'Subrecipient Requests and Management' and provides a link to review subcontracting procedures: <http://www.osp.cornell.edu/Policies/sub-proc.html>.

Under the heading 'View Consulting Agreements', there is a table with the following data:

No./Amdmt.	Consultant	Status	Amount	Last Modified
44771-10394	Kysar, Doug Request change	Closed	\$18750	3/28/2014

Below the table, there are search fields: 'Specify a consultant' with a search button, and three buttons: 'Search consulting agreements', 'Search consulting requests', and 'Search consultants'.

The 'Subcontracts' section includes a link to 'Submit a Request to Issue a Subcontract' and a list of instructions:

- To request a subcontract, first search for the subcontractor by entering all or part of the subcontractor's name and clicking the **Search** button (e.g "Penn" not "Pennsylvania State University")
- When the results are shown, select the subcontractor (or the "New subcontractor" option) and click the **Create Request to Issue a Subcontract** button.

At the bottom, there is a 'Specify a subcontractor:' field with a search button.



Request To Issue a Subaward Cont.

- ✓ Award Identification – Prepopulated! “YEAAAA!”
- ✓ Subrecipient PI Contact Information - This is Sub!
 - ✓ “Comments about Subcontractor” Field
 - ❖ *free* text field (no cat & dog stories, please.)
- ✓ Subaward Specifications
 - ✓ SOW, Budget, FFATA description (federal)
 - ✓ Period of Performance
 - ✓ Project & Budget Period - “What’s the Diff?!”
 - ✓ Invoicing Instructions – This is Cornell!
 - ✓ Reporting & Compliances





Subaward CHANGE REQUEST

Sponsored Projects Portal

Portal Front Page New Search Matches Record Help

Overview Details Accounts Compliances Subrecipients Print

Subrecipient Requests and Management

To review the Office of Sponsored Programs' subcontracting procedures, go to <http://www.osp.cornell.edu/Policies/sub-proc.html>.

View Subcontract Records

This list shows each subcontract's active amendment(s), if any, or the original subcontract if there is no amendment. Show all amendments

There are 15 subcontract records on file for OSP #44771. Click on a subcontract number to view that record.

No./Amdt.	Subcontractor	Status	Amount	Last Modified
44771-8945 [17]	University of Colorado (Ucb) - Boulder Request change	In Process by Cornell	\$3188113	6/17/2014
44771-8944 [17]	Arizona State University (Asu) - Arizona Board of Regents Acting for And On Behalf of Arizona State University Request change	In Process by Cornell	\$3465600	6/17/2014
44771-8943 [14]	The Washington University - (Washu) Request change	Signed by All Parties	\$2816750	10/21/2013



Subaward CHANGE REQUEST Cont.

Cornell University
Sponsored Program Services

Portal Front Page
New Search
Matches
Record
Help

Overview
Details
Accounts
Compliances
Subrecipients
Print

Subcontract Change Request

Subcontract # 44771 - 8945 [17]
Subcontractor University of Colorado (Ucb) Boulder
PI RALPH, DANIEL **GCO** CUSTER, TAMMY
Prime Title NNIN: NATIONAL NANOTECHNOLOGY INFRASTRUCTURE NETWORK
Sponsor Natl Science Foundation
Sponsor's Project ID ECCS-0335765

*This form may be used to submit common subcontract change requests to Sponsored Program Services.
Please select the desired change(s) and explain the need for the change(s) in the space provided.*

Compliances
Please indicate any compliance requirements during period of extension and explain in the Comments box.

Human Subjects
 Animal Use
 Biosafety
 Conflict of Interest

Comments (maximum 1000 characters)

Next Period Funding
Please enter the obligated funds to be increased for the subcontractor. If the obligation exceeds the currently budgeted funds available, complete the Budget Revision section as well.

Amount for Next Period \$ End Date of Next Period

No Cost Extension
Number of Months:

1st extension of 12 months or less
 1st extension exceeding 12 months
 2nd extension
 3rd or greater extension



Subaward CHANGE REQUEST Cont.

- ✓ Award Identification – Prepopulated! “YEAAAA!”



SECTIONS:

- ✓ Compliances – any change?
- ✓ Next Period of Funding – increasing funds by?
- ✓ No Cost Extension – adding time!
- ✓ Budget Revision – approvals, revisions, edits, etc?
- ✓ Change in Project Activities that Affect Scope
- ✓ Change In Key Project Personnel – may need Sponsor approval
- ✓ Other Change – *“it just doesn’t fit”* or *“...allow me to explain!”*
- ✓ “Attach File, or Not Attach File, that is the question”



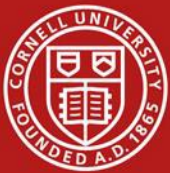


MISC



- **Facilities and Administrative (F&A) Costs:**
 - A Subrecipient is expected to apply its own federally-negotiated F&A rates and bases when preparing its subaward budget
 - When Cornell's prime award uses an F&A rate that is based on an MTDC base, Cornell will recover its own F&A on the first \$25,000 of each subaward on a project.

- **Close Out Time!**
 - Final Invoice marked “final”
 - Final Reports: Technical, Patent, Equipment, Fiscal
 - Final payment
 - reconcile balance to prime account –
 - » no amendment to deobligate necessary



Cornell University

OSP/DFA Research Administration Certification Program



[CU SUBAWDS@CORNELL.EDU](mailto:CU_SUBAWDS@CORNELL.EDU)

“When in doubt, give us a shout!”