



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

A screenshot of the "SUBCONTRACTOR COMMITMENT FORM" from Cornell University. The form is titled "SUBCONTRACTOR COMMITMENT FORM" and is part of the "Office of Sponsored Programs". It includes fields for "Subcontractor Legal Name", "Subcontractor PI Name", "Address", "City", "State", "Proposal Title", "Period of Performance", "Total Amount Requested", "Cornell's PI Name", and "Prime Sponsor". Below the form, there is a section titled "SECTION A - Proposal Documents" which lists several documents that are included in the 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: _____

Below this list is a section titled "SECTION B - Certifications" which contains a small, illegible text block.



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". The main content area is divided into several sections:

- Portal Front Page**: Includes links for "General Query" and "Help".
- Portal Views**: Includes "General Query" and "my.research PI View".
- Portal Information and Tools**: Includes links for "Data Access Request Form", "Sponsored Program Services", "Data Warehouse Info", "Review Portal Access", "General Instructions", "Ask a Question", and "Version Information".
- Related Resources**: Includes a link for "Current Portal Status Message".

Key announcements include:

- 9/9/2011 - Sponsored Portal Links to KFS Dashboards**: 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.
- 3/10/2008 - Enhancement to Data Access**: 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 states: "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."

Please send comments and questions to osp_whs_feedback@cornell.edu.



Request To Issue a Subaward

The screenshot shows the Cornell University Sponsored Projects Portal. The header includes the Cornell University logo and the text "Sponsored Projects Portal". Below the header is a navigation menu with options: Portal Front Page, New Search, Matches, Record, and Help. A secondary menu includes Overview, Details, Accounts, Compliances, Subrecipients, and Print. The main content area is titled "Subrecipient Requests and Management" and contains a link to review subcontracting procedures: <http://www.osp.cornell.edu/Policies/sub-proc.html>. Below this is a section for "View Consulting Agreements" with a table of data:

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

Below the table are search fields: "Specify a consultant" with a search button, and three buttons: "Search consulting agreements", "Search consulting requests", and "Search consultants". A green box highlights the "Specify a consultant" field and the "Search" button. Below this is a section titled "Subcontracts" with a link "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. A large green oval highlights the "Submit a Request to Issue a Subcontract" section and the "Specify a subcontractor:" field.



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 Program Services | **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.

- ✓ 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



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

“When in doubt, give us a shout!”