Cornell University

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

SUBAWARD or PROCUREMENT

SUBAWARD	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/

Request To Issue a Subaward

Cornell University

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

Subaward CHANGE REQUEST Cont.

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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"When in doubt, give us a shout!"