

OFFICE OF SPONSORED RESEARCH SERVICES (OSRS)
SUBAWARD PROCESS SUMMARY
2022

PURPOSE OF SUBRECIPIENT SUBAWARD AGREEMENT

1. Serves as the legal, binding document that states the rights and responsibilities of both parties.
2. Protects the interest of the prime recipient (WU) and “flows-down” all necessary requirements, certifications, and assurances required by the prime sponsor to the subrecipient.

PROCESS IN BRIEF

1. SPA Grants Analyst profiles the subrecipient grant-tag account in Workday per request of department or per NOA. Funds are moved into the grant-tag either by department or SPA GA, depending on the circumstances.
2. Department begins **Project Summary** entry in Subsystem including uploading a copy of Notice of Award (NOA).
3. Department prepares an individual subaward SUBS record for each subrecipient collaborator on a project.
4. Designated **Required Items** must be completed within each specific subaward record before DA can route to OSRS.

Once a SUBSystem record is submitted to OSRS, the OSRS GA:

1. Reviews the submission including but not limited to the Scope of Work, budget, NOA terms and conditions. Subrecipient entity must have a Risk Assessment category designation. Institutional Contacts information must be collected and uploaded into the Subsystem record.
2. Checks the WU grant-tag to verify the subrecipient dollars requested are available in the free balance.
3. All cost reimbursable subawards require a Workday Supplier Contract to encumbers funds. (NOTE: Currently Workday is NOT requiring a supplier contract for fixed fee subawards.)
4. Creates subaward agreement which is emailed to subrecipient. This process includes a careful review of the Notice of Award (NOA) from the prime sponsor. It is the responsibility of the OSRS GA to correctly flow-down to the subrecipient the applicable requirements with which the subrecipient must comply. Any agency or grant specific requirements are added to the standard subaward agreement template. OSRS signs the subaward on behalf of Washington University
5. OSRS manages any negotiation with the subrecipient and will communicate with the WU PI as needed to clarify project scope and requirements.
6. The SUBSystem offers status transparency throughout the process to the DA.
7. OSRS distributes the fully executed subaward to WU PI, DA, and SPA once subrecipient has signed and returned the subaward to OSRS.
8. OSRS manages all Workday Supplier Contract amendments, including Close-out.

SCOPE OF WORK

One of the most critical components of the subaward is the description of the work that the prime recipient, (WU), expects and requires from the subrecipient. The scope of work in a subaward should describe the specific ***work being done*** by the principal investigator ***at the subrecipient institution for the specific period of time*** covered by the subaward and ***for the amount awarded***. Please do not pull the abstract out of the prime grant and use it as the scope of work as the subrecipient is typically only doing a portion of the whole project.

ELEMENTS OF THE SCOPE OF WORK

WHAT: Describe the work to be performed by the sub PI. The **WHAT** should describe work that is measurable.

Example: Do you expect them to perform 40 assays? Put it in the scope of work.

Example: Do you expect them to provide results of the assays? Put it in the scope of work.

Example: Do you expect them to produce a report of the results and deliver it to the WU PI? Put it in the scope of work.

HOW: Describe how the work will be performed. What steps will be taken to accomplish the **WHAT**?

WHO: Describe who will be performing the work. The sub PI is usually named and sometimes others.

PAYMENT SCHEDULE: If sub will receive a fixed fee agreement, the terms of payment are listed under a payment schedule section of the scope of work. Under a fixed fee agreement \$0 should be entered for the amount to be awarded in the wizard. (NOTE: If it is a cost reimbursable agreement, no **PAYMENT SCHEDULE** is needed and the amount to be awarded is noted in the awarded amount field.)

(See attached examples)

NOTE:

*Budgetary justification type items are typically not included in the scope of work (e.g., % effort, salary, etc.)

*Please don't use pronouns, (we, he, she, they, etc.) Instead use the proper name.

*Spell out acronyms

*Almost without exception, a single sentence scope of work is not sufficient.

*Uniform Guidance requires agency prior approval for the use of Fixed Price funding mechanism for subawards.

REMINDER:

It is the understanding of the OSRS GA that the SUBS submission is submitted by the department **ONLY** after the scope of work has been reviewed and approved by the WU PI.

SAMPLE of an UNACCEPTABLE COST REIMBURSABLE SUBAWARD SCOPE OF WORK

Dr. XXX's scope on this project is to define the role of matrix synopsis in airway injury and repair.

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SAMPLE of an ACCEPTABLE COST REIMBURSABLE SUBAWARD SCOPE OF WORK

Dr. XXX will administer a baseline survey, conduct a baseline needs assessment for all sites, develop project-specific logic models, identify core measures for cross-site tracking, develop the surveys for measuring diffusion of innovation and sustainability, develop the interview guides for the interviews with site directors, conduct analyses of the aggregate data from the sites, synthesize the results from these activities, provide evaluation technical assistance to program staff and sites, and write evaluation reports. Dr. XXX will also participate in site visits, project team meetings and other related meetings, either in-person or via teleconference as needed. Subrecipient evaluators will work closely with the team at Washington University on all aspects of planning and implementing evaluation and technical assistance activities. They will be responsible for communications with team members to provide feedback regarding the status of the evaluation.

SAMPLE FIXED FEE SUBAWARD SCOPE OF WORK

NIH-Supported Patient Fixed Fee Payments

Patient Initial Payment –through 30 Days	
Data to complete the following Case Report Forms (CRFs) should result from patient interactions during screening, study baseline & initial treatment	
<ul style="list-style-type: none"> • Confirmation of Eligibility CRF • Baseline CRF • Confidential Subject Information CRF • Baseline Quality of Life Questionnaire CRF • Initial Treatment CRF • 10 day & 30 day Follow Up CRFs • 10 day & 30 day Quality of Life Questionnaire CRFs • Etc. • Etc. • Etc. 	
Total (includes DC & IC)	\$X,XXX

Patient Final Payment –through 2 Years Follow-Up	
Data to complete the following Case Report Forms (CRFs) should result from patient interactions during follow up visits	
A complete set of the CRFs below are due following patient visits 3-6: <ul style="list-style-type: none"> • Follow Up CRF • Quality of Life Questionnaire CRF • End of Study CRF (<i>at 24 months or patient withdrawal only</i>) • Adverse Event Forms • Serious Adverse Event Forms 	
Total (includes DC & IC)	\$X,XXX

Payment Schedule:

This subaward reflects patient payments funded via NIH funds. Payments are tied to timely completion and Data Coordinating Center (DCC) electronic or fax receipt of all case report forms (CRFs) as listed in the tables above. The DCC will update the Clinical Coordinating Center (CCC) at Washington University monthly regarding data completion. The CCC will reimburse the clinical sub sites at least quarterly based upon the DCC data reports.

SAMPLE FIXED PRICE SCOPE OF WORK

Subrecipient PI (name) will... insert scope of work language here.

FIXED PRICE PAYMENT SCHEDULE

Deliverable	Report / Invoice Due Date	Estimated Payment Date	Payment Amount	Comments
1.	Send invoice to WU Financial Contact in Att. 3A and electronic copy of fully executed subaward to WU Administrative Contact in Att. 3A	Invoice will be processed when fully executed subaward is received	\$	Initial payment will be made upon receipt by Prime Recipient of fully executed subaward agreement and acceptance by Prime Recipient PI of deliverables (if any at this stage) received.
2.	Send report of progress and invoice for agreed upon payment amount upon completion of deliverable	Within 30 days of receipt of progress report and invoice	\$	Payment contingent on completion and acceptance of deliverables by Prime Recipient PI.
3.	Send report of progress and invoice for agreed upon payment amount upon completion of deliverable	Within 30 days of receipt of progress report and invoice	\$	Final payment contingent on completion and acceptance of deliverables and final study report by Prime Recipient PI.