

**OFFICE OF SPONSORED RESEARCH SERVICES (OSRS)**  
**SUBAWARD PROCESS SUMMARY**  
**2014**

**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.

**PROCESS IN BRIEF**

1. OSRS Grants analyst profiles subrecipient name in 38XX in fund per request of department or per NOA. Funds are moved into 38XX either by department or OSRS GA, depending on the circumstances
2. Department begins Project Summary entry in Subsystem including copy of Notice of Award (NOA).
3. Department completes and submits to OSRS an individual subaward SUBS record for each subrecipient on a project.

Once a SUBSystem record is submitted to OSRS, the OSRS Subaward Specialist:

1. Reviews the submission including Scope of work.
2. Checks the WU fund to see if the subrecipient dollars requested are available in the free balance.
3. Encumbers funds and/or extends project period for subrecipient in AIS either via a Change Order to the current Purchase Order or a new Purchase Order. (NOTE: Most fixed fee subawards and subawards reimbursed via wire transfer do not use purchase orders, they are paid via check request. International subawards may be paid via wire transfer.)
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 Subaward Specialist 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.

## 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 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.

### REMINDER:

It is the understanding of the OSRS Subaward Specialist 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.

## **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**

<b>Patient Initial Payment –through 30 Days</b>	
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"> <li>• Confirmation of Eligibility CRF</li> <li>• Baseline CRF</li> <li>• Confidential Subject Information CRF</li> <li>• Baseline Quality of Life Questionnaire CRF</li> <li>• Initial Treatment CRF</li> <li>• 10 day &amp; 30 day Follow Up CRFs</li> <li>• 10 day &amp; 30 day Quality of Life Questionnaire CRFs</li> <li>• Etc.</li> <li>• Etc.</li> <li>• Etc.</li> </ul>	
<b>Total (includes DC &amp; IC)</b>	<b>\$X,XXX</b>

<b>Patient Final Payment –through 2 Years Follow-Up</b>	
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"> <li>• Follow Up CRF</li> <li>• Quality of Life Questionnaire CRF</li> <li>• End of Study CRF (<i>at 24 months or patient withdrawal only</i>)</li> <li>• Adverse Event Forms</li> <li>• Serious Adverse Event Forms</li> </ul>	
<b>Total (includes DC &amp; IC)</b>	<b>\$X,XXX</b>

### **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

<b>Deliverable</b>	<b>Report / Invoice Due Date</b>	<b>Estimated Payment Date</b>	<b>Payment Amount</b>	<b>Comments</b>
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.