



Subaward and Consulting Agreement Procedures

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Goals

- Standardize procedures
- Reduce duplication of work
- Reduce processing time for issuance of agreements
- Ensure compliance with agencies and NEOMED policies and regulations

Agenda

- Clarification of documents
- Procedures at proposal stage
- Procedure at award stage
 - Subaward agreements
 - Consulting agreements

General Procedure



Some subaward materials received during proposal stage



Once award is received and increment is finalized, project PI/personnel completes Subaward and/or Consultant Request Form along with other requested documents



Project PI/Personnel forwards request and all information to ORSP, ensuring accuracy across all documents



ORSP makes note of request, assigns a subaward/consultant number, starts the process of issuing the subaward or consulting agreement



Subaward/Consulting Agreement is sent to recipient for signature within 30 days of request (goal)

Definitions

- Prime – the original award institution
- Pass Through Entity (PTE) – the recipient that provides a subaward to the subrecipient
- Subrecipient – entity that receives a subaward
- Subaward – award to carry out part of a federal or non-federal grant
- Public Health Service (PHS) – a collection of agencies in the Department of Health & Human Services
- Non-Public Health Services (Non PHS) – any agency not listed in the Department of Health & Human Services

Guidance

Subaward

- A legal agreement between our institution and another legal entity
- Award terms & conditions will “flow down” & apply to the subrecipient
- Performance is measured against the federal program objectives
- Subject to subrecipient monitoring

Vendor

- Provide goods or services within normal business hours
- Normally operate in a competitive environment
- Are not subject to monitoring or reporting requirements of the prime award

Consultant

- Can be either an individual or company
- Typically, advisory in nature or provide a fee-for-service function
- Paid on an hourly or daily rate or on a fixed price for deliverables

Documents at Proposal Stage - Subaward

Subaward Documents to Complete

- Scope of Work, in collaboration with NEOMED PI
- Biosketches
- Subrecipient Information and Commitment Form
- Budget and Budget Justification
- Indirect Cost Rate Agreement (if applicable)
- Attachment 3B

NEOMED PI/Personnel to Complete

- Verify information with Subawardee for accuracy and completion then send the documents to ORSP Personnel during proposal stage

Documents at Award Stage - Subaward

Subaward Documents to Complete

- Previous documents listed on “Proposal Stage” if not completed before time of award or if information has changed
- FCOI Disclosure Form and CITI FCOI Training (Subaward PI)
- IACUC or IRB Approval of Subaward, as necessary

NEOMED PI/Personnel to Complete

- Subaward Information Request Form
- Subrecipient or Contractor Determination Checklist
- System for Award Management (SAM) registration search*
- Office of Inspector General (OIG) exclusion search (screenshot for individuals and organization)*
- Ohio Auditor’s search*

* If these documents are not received by project personnel, ORSP will still complete them

Important items to remember for Subawards:

- Please make sure the subawardee name is consistent across the following:
 - PaymentWorks
 - W9
 - SAM registration
 - Subaward Request Form
 - Subrecipient Information and Commitment Form
- Financial contact information listed in the subaward forms (address, email, etc.) should match registration in PaymentWorks

Documents - Consulting

Consultant to Complete

- Scope of Work, in collaboration with NEOMED PI
- FCOI Disclosure Form (if the individual or the organization they are affiliated with does not have a FCOI policy in place)
- CITI FCOI Training or Evidence of FCOI Training

NEOMED PI/Personnel to Complete

- Consultant Request Form
- Independent Contractor Determination Form (signed by Human Resources)
- Subrecipient or Contractor Determination Checklist*
- Sole Source Waiver, for consultants receiving over \$10,000 per year or 3 quotes for services
- OIG Exclusion (screenshot for individuals and organization)*
- Ohio Auditor (screenshot)*

* If these documents are not received by project personnel, ORSP will still complete them

Important items to remember for Consulting Agreements

- If the consultant has an LLC or company, please have updated information for whichever (name or company) will be used – the registration in PaymentWorks should match the consulting agreement name/company
- Contact information for consultant (address, email, etc.) should match information in PaymentWorks

Subaward or Consulting Agreement Amendment

- Needed if there is a change in the dates of agreement, Scope of Work, or amount of money of a subaward/consulting agreement
- Documents needed:
 - Amendment Request Form
 - New Scope of Work (if applicable)

Documents ORSP will Complete

- Risk Assessment for subawards
- Final Subaward or Consulting Agreement

ContractSafe

- Subaward and Consulting Agreements will be sent out using ContractSafe for signatures
- Only designated signers will be able to see the full agreement initially
- Everyone else copied on the agreement (PI's, Grant Coordinators, etc.) will be notified that they have been copied, but will not be able to see the full agreement until both NEOMED Executive Director and Subrecipient (Authorized Official) / Consultant have signed
- Everyone copied on the agreement will receive notification when both parties have signed, and a fully executed copy of agreement will be attached as a PDF

Complete List of Documents

- A. Scope of work – prepared by PI in collaboration with subawardee
- B. Subrecipient Information and Commitment Form
- C. Budget and Budget justification
- D. Subaward Information Request Form or Consultant Request Form
- E. W-9 – we no longer gather these in ORSP, PI should have organizations/individuals register themselves in the PaymentWorks Purchasing System.
- F. Subrecipient or Contractor Determination Checklist
- G. CITI Training Certificate – documents FCOI training completion of consultants or subaward PI
- H. Signed FCOI disclosure for consultants or Subaward PIs at institutions or organizations that do not have FCOI policy in place
- I. Sole Source Waiver (for consulting agreements over \$10K)
- J. [SAM Registration](#) (Screenshot)
- K. [OIG Exclusion](#) (screenshot for individuals and organization)
- L. [Ohio Auditor](#) (screenshot)
- M. Risk Assessment
- N. Indirect Cost Rate Agreement of Subaward
- O. IACUC or IRB Approval of Subaward
- P. Attachment 3B

Microsoft Teams - Subcontracting Team

- Announcements
- Subaward/Consulting Agreement Documents (under Files)
- Use code **93tnwdc** to access Subcontracting Team
 - (Microsoft Teams > Teams > Join or create team > Join a team with a code)



Questions?