

# **NYSPI Office of Sponsored Projects**

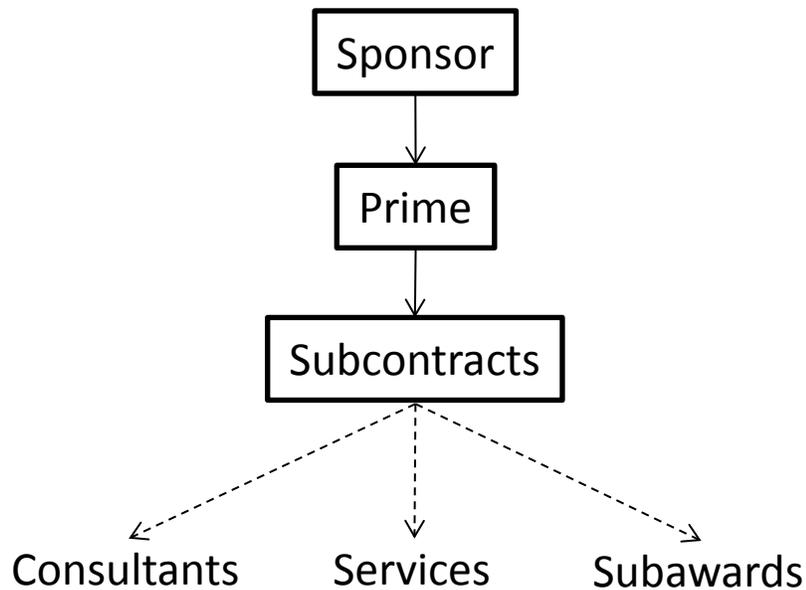
## **Subaward Manual**

# PURPOSE OF THIS MANUAL

A **subcontract** is any contract from a prime award to cover the cost of work done by external institutions, organizations, companies, etc. This subcontract comes in the form of consultants, services and subawards.

This manual is exclusively for **subawards** and does not cover other types of subcontracts. The industry standard has changed to use more precise language with referring to subcontracts between two institutions. Therefore the term **subaward** will be used to describe a contract provided by the Prime grantee to a subrecipient institution to carry out part of a Federal award received by the Prime grantee. The term includes consortium agreements.

The purpose of this manual is to provide investigators and administrators with a general understanding of the subaward process at the Research Foundation for Mental Hygiene, Inc. (RFMH) and the Department of Psychiatry at Columbia University (CU). Areas addressed include guidelines for the development of a subaward proposal and subaward agreement, and special considerations. The content of this manual addresses broad procedures but it cannot anticipate every situation or answer every question about the process. Your team leader and other Office of Sponsored Projects (OSP; the Grants Office) staff are always available to collaborate with you and to work through any questions or special issues that you may encounter. We strongly encourage you to engage OSP staff (<https://rfmh.nyspi.org/Home/ContactInformation.aspx>) early in the process.



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## Relevant Terms Used Throughout the Manual

Office of Sponsored Project: OSP or Grants Office.

Prime Institution: The institution which is directly awarded the grant/contract from the Sponsor.

Subrecipient Institution: The institution which receives a subaward from the Prime Institution to carry out part of a grant/research project in collaboration with the Prime.

RFMH Inbound: RFMH is the subrecipient institution and receives a subaward from another organization (the prime institution) to collaborate in the performance of a research project.

RFMH Outbound: RFMH as prime institution is the receiver of grant/funds directly from the Sponsor and sends a subaward to a subrecipient institution that collaborates in the performance of a research project.

CU Inbound: CU is the subrecipient institution and receives a subaward from another organization (the prime institution) to collaborate in the performance of a research project.

CU Outbound: CU as prime institution is the receiver of grant/funds directly from the Sponsor and sends a subaward to a subrecipient who collaborates in the performance of a research project.

SNAP award: Streamlined Non-Competing Award Process (SNAP) is a set of NIH guidelines that allows simplified provisions in terms of annual progress reports, NOAs, and financial reports. SNAP awards require annual RPPR reports but do not require annual financial reports. Financial reports (FFR) are only required at the end of each award segment. Carryover of funds between award years is automatic and does not require prior approval. Most federal K and R awards are subject to SNAP. The NOA will designate if the grant is subject to SNAP guidelines.

Non-SNAP award: Non-SNAP awards require annual financial reporting, and carryover between years must be formally requested and approved. Typical non-SNAP awards are Center grants (P awards), Cooperative agreements (U awards) and Training grants (T awards). Additionally, any type of award can be designated as non-SNAP based upon the Federal sponsors determination that it may require closer monitoring. The NOA will designate if the grant is excluded from SNAP guidelines (i.e. non-SNAP).

Agreement: For initial Prime awards, for new subaward to be issued, an agreement needs to be created by the Prime Institution. This agreement establishes the terms and conditions for the subaward based upon the terms and conditions of the Prime award. The initial agreement is sent to the subrecipient institution for signature (when signed, it is a partially executed agreement) and then signed by the prime institution (when signed, the agreement is fully executed). Non-SNAP awards require a new agreement each year.

Amendment or Modification: For an existing subaward to be extended or have funds added, an amendment needs to be created by the prime institution. The amendment only modifies specific portions of the initial agreement (i.e. time and funding), all other terms and conditions of the subaward remain as per the original agreement. The amendment is sent to the subrecipient institution for signature (when signed, it is a partially executed amendment) and then signed by the prime institution (when signed, the amendment is fully executed). Non-SNAP award requires a new agreement each year.

## RFMH Required Subaward Document

|  | APPLICATION                  |             | AGREEMENTS & AMENDMENTS POST-AWARD |                   |
|--|------------------------------|-------------|------------------------------------|-------------------|
|  | PRE-AWARD                    |             | RF Inbound                         | RF Outbound       |
|  | RF Inbound                   | RF Outbound |                                    |                   |
| <b>Required Forms</b>  |                              |             |                                    |                   |
| <a href="#">RF Inbound Subaward Face Page</a>                      | If not provided by the Prime |             |                                    |                   |
| <a href="#">RFMH Inbound for CU Prime Application</a>              | <b>X</b>                     |             |                                    |                   |
| <a href="#">RF Outbound Subaward Face Page</a>                     |                              | <b>X</b>    | If non-SNAP award                  | If non-SNAP award |
| <a href="#">Other Institutional Face Page</a>                      | If provided by the Prime     |             |                                    |                   |
| <a href="#">Statement of Work (SOW)</a>                            | <b>X</b>                     | <b>X</b>    | <b>X</b>                           | <b>X</b>          |
| <a href="#">PHS 398 Budget template for RFMH application</a>       | <b>X</b>                     | <b>X</b>    | <b>X</b>                           | <b>X</b>          |
| <a href="#">Budget Justification Template for RFMH Application</a> | <b>X</b>                     | <b>X</b>    | <b>X</b>                           | <b>X</b>          |
| <a href="#">Biographical Sketch</a>                                | <b>X</b>                     | <b>X</b>    |                                    |                   |
| <a href="#">PHS 398 Budget Checklist</a>                           | <b>X</b>                     | <b>X</b>    | <b>X</b>                           | <b>X</b>          |
| <a href="#">Checklist</a>  | <b>X</b>                     |             | <b>X</b>                           |                   |
| <a href="#">RFMH F&amp;A Rate Agreement</a>                        |                              |             |                                    | <b>X</b>          |
| <b>Optional Forms</b>  |                              |             |                                    |                   |
| <a href="#">Core Resources Cost Estimate Form(s)*</a>              | <b>X</b>                     |             |                                    |                   |

\* Pharmacy Cost Estimate & Analysis, Animal Care Cost Estimate & Analysis, MRI USAGE and/or CU Dept of Radiology PET/MRI Cost Estimate Forms can be found at: <https://rfmh.nyspi.org/Grants/FormsGuides.aspx>, and in Forms in TIQR

# RFMH

## Subaward Proposal Procedures

### **RFMH APPLICATION PRE-AWARD:**

#### **Application Pre-Award: RFMH Inbound**

1. The PI receives a request for documents from the prime institution.
2. The PI completes the RFMH required forms:
  - a. Face Page (if the Prime institution doesn't provide a face page to use, use the RFMH Inbound Subaward Face Page)
  - b. Statement of work
  - c. Budget and Budget justification
  - d. Biosketch for all key personnel
  - e. Budget checklist (PHS398 Checklist page)
3. The PI submits the package (a single PDF file with all the documents in the above order and the PHS 398 budget excel), Internals (required for all applications) and if applicable cost estimate forms and specific instructions received from the Prime Institution to [TIQR](#) (TIQR Type: Application) for review and approval.
4. OSP reviews and signs off on the package. The signed face page is returned to the PI via TIQR. Original can be picked up in OSP.
5. The PI sends the signed package to contact at the prime institution.
6. The PI uploads the RFMH internals in TIQR.

#### **Application Pre-Award: RFMH Outbound**

1. The PI requests a complete and signed subaward package from the subrecipient organization:
  - a. Signed RFMH Outbound Subaward Face Page
  - b. Statement of work
  - c. Budget and Budget justification
  - d. Biosketch for all key personnel
  - e. Budget checklist (PHS398 Checklist page)
2. The subrecipient's documents are sent directly to the PI.
3. The PI reviews the subrecipient's documents, uploads the complete and signed package in the RFMH Prime [TIQR](#) (TIQR Type: Application) at the time Administrative Packet is ready for review.
4. The PI incorporates the signed subaward face page in the prime application.
5. OSP reviews outbound subaward packet(s) as part of prime application Administrative Packet

## **RFMH AGREEMENTS & AMENDMENTS POST-AWARD:**

### **Establishing the Agreement or Amendment: RFMH Inbound**

1. The PI receives the Agreement or Amendment from the prime institution.
2. The PI reviews and approves the Agreement or Amendment, including budget, budget justification, statement of work and IRB/IACUC approval (if applicable) for the applicable year, and uploads it in [TIQR](#) (TIQR Type: Subaward Execution/Mod).
3. The PI uploads Prime Institution contact information in [TIQR](#) (TIQR Type: Subaward Execution/Mod).
4. OSP reviews the Agreement or Amendment, adds RFMH completed Attachment 3B and creates an ACT (Acknowledge of Contract Terms). OSP uploads the Agreement/Amendment with ACT in TIQR for PI review and signature.
5. OSP, in TIQR, request Janelle Greenhill to sign the ACT included in the Agreement/Amendment.
6. RFMH Central Office is notified, in TIQR, that Agreement/Amendment is ready for review and Mr. Robert Burke's signature.
7. Once reviewed and signed by Mr. Burke, OSP sends the partially executed Agreement/Amendment to the prime institution for execution.
8. The prime institution signs the document, and the fully executed Agreement or Amendment is sent to OSP subaward team and the PI. Once the fully executed Agreement/Amendment is received, the PI and administrator are notified of receipt in TIQR.
9. Account is Set up.

### **Establishing the Agreement or Amendment: RFMH Outbound**

1. To initiate the process for Agreement (new subaward), the PI submits the following documents to [TIQR](#) (TIQR Type: Subaward Execution/Mod).
  - a. Statement of Work (SOW)
  - b. Detailed budget and budget justification for the applicable year
  - c. For first Agreement: subrecipient current F&A Rate Agreement.
  - d. For new subrecipient institution: W-9 for domestic institutions, W-8 for international sites
  - e. Attachment 3B will be requested by OSP, if needed.
2. For Amendment (existing subaward), the PI submits the following documents to [TIQR](#) (TIQR Type: Subaward Execution/Mod):
  - a. Statement of Work
  - b. Detailed budget and budget justification for the applicable year
3. OSP creates the Agreement/Amendment and the ACT, in TIQR notify RFMH Central Office ready for review and approval. RFMH Central Office encumbers funds for the subaward and approves OSP to go ahead with Agreement/Amendment.
4. OSP notifies PI of Agreement/Amendment with ACT ready for review and signature. Then notifies Janelle Greenhill to sign ACT.
5. OSP submits the documents via email to the subrecipient institution for review and signature.
6. When signed, OSP, in TIQR, notifies RFMH Central Office of partially executed Agreement/Amendment ready for execution.
7. RFMH Central Office notifies OSP of the fully executed Agreement/Amendment. OSP sends it to the subrecipient institution, the PI, and the administrator.

## CU Required Subaward Documents

|   | APPLICATION PRE-AWARD        |             | aq | AGREEMENTS & AMENDMENTS POST-AWARD |             |
|---|------------------------------|-------------|----|------------------------------------|-------------|
|   | CU Inbound                   | CU Outbound |    | CU Inbound                         | CU Outbound |
| <b>Required Forms</b>   |                              |             |    |                                    |             |
| <a href="#">CU Inbound Subaward Face Page</a>                               | If not provided by the prime |             |    |                                    |             |
| <a href="#">CU (Outbound) Subaward Face Page</a>                            |                              | X           |    |                                    |             |
| <a href="#">Other Institutional Face Page</a>                               | If provided by the prime     |             |    |                                    |             |
| <a href="#">Statement of Work (SOW)</a>                                     | X                            | X           |    | X                                  | X           |
| <a href="#">PHS 398 Budget Template for CU Psychiatry Application</a>       | X                            | X           |    | X                                  | X           |
| <a href="#">Budget Justification template for CU Psychiatry Application</a> | X                            | X           |    | X                                  | X           |
| <a href="#">Biographical Sketch</a>   | X                            | X           |    |                                    |             |
| <a href="#">PHS 398 Budget Checklist</a>                                    | X                            | X           |    | X                                  | X           |
| <a href="#">CU Space vs NYSPI Space Form</a>                                | X                            |             |    | X***                               |             |
| <a href="#">RASCAL</a>  | X                            |             |    | X±                                 |             |
| <a href="#">Subrecipient/Contractor classification form</a>                 |                              | X**         |    |                                    |             |
| <a href="#">Institutional Approval/Prior Approval (IPASS)</a>               |                              |             |    | X                                  | X           |
| <a href="#">Attachment 3A&amp; 3B</a>                                       |                              |             |    |                                    | X           |
| <b>Optional Forms</b>   |                              |             |    |                                    |             |
| <a href="#">Internal cost estimate form(s)*</a>                             | X                            |             |    |                                    |             |
| <a href="#">PI Eligibility Waiver</a>                                       | X                            |             |    |                                    |             |
| <a href="#">Subrecipient Conflict of Interest Form</a>                      |                              | X           |    |                                    |             |
| <a href="#">CU Consultant COI Form</a>                                      | X                            |             |    |                                    |             |
| <a href="#">Pre-award Assessment of the Proposed Subawards</a>              |                              | X           |    |                                    |             |
| <a href="#">International Research Questionnaire (IRQ)</a>                  |                              | X           |    |                                    |             |

\* Pharmacy Cost Estimate & Analysis, Animal Care Cost Estimate & Analysis, MRI USAGE and/or CU Dept of Radiology PET/MRI Cost Estimate

\*\* The form will be completed by the OSP and upload in TIQR for PI signature

\*\*\* Only submit if there is a significant change in space usage at CU vs NYSPI

± First year agreement does not require a new RASCAL. All subsequent agreements or amendments require a new RASCAL each time funds are added.

CU Dept of Psychiatry Forms can be found at: <https://rfmh.nyspi.org/Grants/FormsGuides.aspx>, and in Forms in TIQR

CU Forms can be found at: <https://research.columbia.edu/sponsored-projects-forms>

# The Trustees of Columbia University in the City of New York

## Subaward Proposal Procedures

### **CU APPLICATION PRE-AWARD:**

#### **Pre-Award: CU Inbound**

1. The PI receives a request for documents from the prime institution.
2. The PI completes the CU required forms:
  - a. Face Page (if the Prime institution doesn't provide a face page to use, use the CU Inbound Subaward Face Page) Statement of Work (SOW)
  - b. Budget and Budget Justification
  - c. Biosketch for all key personnel
  - d. Budget checklist (PHS398 Checklist page)
  - e. RASCAL Proposal (adds OSP Staff to RASCAL)
3. The PI submits the package (a single PDF file with all the documents in the above order (a.-d.) and the PHS 398 excel budget) and RASCAL # with any additional forms (internal cost estimate(s), PI eligibility waiver and/or CU consultant COI form) if applicable, and specific instructions received from the prime institution to [TIQR](#) (TIQR Type: Application) for review and approval.
4. OSP reviews, approves and sends the package to SPA for review and signature, and notify RASCAL approvers.
5. The signed face page is uploaded in [TIQR](#). Originals may be picked up at the SPA office.
6. The PI sends the signed package to the contact at the prime institution.

#### **Pre-Award: CU Outbound**

1. The PI requests a complete and signed subaward package from the subrecipient organization:
  - a. CU outbound signed subaward face page
  - b. Statement of Work (SOW)
  - c. Budget and Budget justification
  - d. Biosketch for all key personnel
  - e. Budget checklist (PHS398 Checklist page)
2. The subrecipient's documents are sent directly to the PI.
3. The PI reviews the subrecipient's documents, upload the complete and signed package in the CU Prime [TIQR](#) (TIQR Type: Application), and subaward budget to application at the time Administrative Packet is ready for review
4. The PI incorporates the signed subaward face page in the prime application.
5. OSP reviews outbound subaward packet(s) as part of prime application Administrative Packet and sends the complete application and the Subrecipient/Contractor Classification Form to SPA. SPA provides final approval and submission of the application to the prospective sponsor.

## **CU AGREEMENTS & AMENDMENTS POST-AWARD:**

### **Establishing the Agreement or Amendment: CU Inbound**

1. The PI receives the Agreement or Amendment from the prime institution.
2. The PI reviews and approves the Agreement or Amendment, including budget, budget justification, statement of work and IRB/IACUC approval (if applicable) for the applicable year, and uploads it in [TIQR](#) (TIQR Type: Subaward Execution/Mod).
3. The PI provides the RASCAL Proposal #: for Agreement (RASCAL # of the original submission). For each year of an Amendment, a new RASCAL proposal is to be created which OSP review and notify approvers.
4. PI provides contact information for the Prime Institution.
5. OSP sends the Agreement/Amendment, and RASCAL # to SPA (subawards-cumc@columbia.edu) for review and signature.
6. SPA sends the partially executed Agreement or Amendment to the prime institution.
7. The prime institution signs the documents and the fully executed Agreement or Amendment is sent to the PI and SPA by email.

### **Establishing the Agreement or Amendment: CU Outbound**

1. To initiate the process for Agreement (new subaward), the PI uploads into [TIQR](#) (TIQR Type: Subaward Execution/Mod):
  - a. Statement of Work (SOW)
  - b. Detailed budget for the applicable year
  - c. Detailed budget justification for the applicable year
  - d. IPASS form (complete page 1, check off “Outbound subaward”, and complete page 3. No signature required on IPASS), must include RASCAL # and Project #
  - e. Attachment 3A and 3B
2. For Amendment (existing subaward), we strongly encourage this process begins at the time of the progress report. The PI uploads into [TIQR](#) (TIQR Type: Subaward Execution/Mod):
  - a. Statement of Work (only if there is change to SOW)
  - b. Detailed budget for the applicable year
  - c. Detailed budget justification for the applicable year
  - d. IPASS form (complete page 1, check off “Outbound subaward”, and complete page 3. No signature required on IPASS), must include RASCAL # and Project #
  - e. Attachment 3A and 3B
3. OSP submits the documents to SPA (subawards-cumc@columbia.edu). SPA creates and sends the Agreement or Amendment via email to the subrecipient institution for review and signature.
4. The subrecipient institution signs and returns the partially executed Agreement or Amendment to SPA for execution (subawards-cumc@columbia.edu).
5. SPA signs the document and the fully executed Agreement or Amendment is sent to the subrecipient institution and to OSP, who uploads it in TIQR.