

## Request to Generate

This document defines the types of relationships that a pass-through entity (Prime recipient) may establish with another entity to accomplish the performance of a research project or program. Once the relationship is decided the instrument to establish the agreement should be decided.

**Select the TYPE OF RELATIONSHIP (Step 1); CONTRACT TYPE (Step 2); Regulatory (Step 3 must be completed if subrecipient relationship) and upload into eRA record under the "Temple Docs" tab.**

- **PI select - Type of Relationship**  
 Subrecipient     Vendor     Consultant

- **PI select - Contract Type**  
 Micro     Cost Reimbursement     Fixed Price

I have reviewed the relationship and contract types and selected.

eRA Record # : Name of 3<sup>rd</sup> party

(PI or BA Initial here)

### Step 1 Relationship:

<b>Subrecipient</b>	<b>vendor</b>	<b>consultant</b>
This relationship exists when funding from a pass-through entity is provided to perform a <b>substantial</b> portion of the scope of work or objectives of the pass-through entity's award agreement with the...awarding agency. (A pass-through entity is an entity that provides an award to a subawardee to carry out a program.)	Generally a dealer, distributor or other seller that provides, for example, supplies, expendable materials, or data processing services in support of the project activities.	Experts outside the University hired to perform a service on the project for a short period of time. Consultants are not supervised by a university employee, they do not supervise any university employees, they do not have use of university facilities and resources, they take on a profit/loss risk, etc.

### Step 2: Select from Contracts Available:

**Cost Reimbursement:** Based on actuals. Contract pricing method under which allowable and reasonable costs incurred in the performance of the project. Contractors must provide documentation and other paperwork during invoicing. You, as the nonfederal entity, control the process and the approval of invoicing.

**Fixed Priced:** Pass-through entity may use fixed amount awards if the project scope is specific and if adequate cost, historical, or unit pricing data is available to establish a fixed amount award based on a reasonable estimate of actual cost.

Under [\\$200.201](#), **fixed** amount awards can be made up to \$150,000 on federal awards. Under [\\$200.332](#), nonfederal entities must receive prior written approval from a federal agency to provide subawards based on **fixed** amounts up to \$150,000. *This type of federal award reduces some of the administrative burden and record-keeping requirements for both the nonfederal entity and federal awarding agency or pass-through entity. Accountability is based primarily on performance and results.*

**Step 3: Regulatory Requirements: Human Subjects Data - (Check One):**  Applicable     Not Applicable  
**(check all that applies):**

- a). Human Subjects Data will be exchanged under this Agreement  
 From Subrecipient to PTE     From PTE to Subrecipient

- b). The PTE will set forth the terms of the exchange of human subjects' data:  
 In the Additional Terms section     via a separate Data Use Agreement

### PROPOSAL PROCESSING

#### PI requests proposal package from proposed subawardee, to include:

- Detailed Budget (*If there is cost-sharing required this should be part of the budget detail*)
- Budget justification
- Statement of work or Abstract
- Biosketch of key personnel
- [Subrecipient Commitment Form](#)
- F&A (Indirect Rate) agreement
  - No F&A Rate using [De minimis rate](#) (10%)
- Facilities and Resources
- Administrator contact information at the recipient institution
- International Subawardee**
  - Must have DUNS #. Get by registering in Sam.Gov
  - Confirm COI Policy (May follow FDP procedures. (Verify on FDP Site.)
    - Not on FDP site; has a policy? Obtain a copy and upload in eRA.
    - Does not have a policy? Instruct to develop & then certify in subrecipient commitment form.
- FCOI template available at:  
[http://sites.nationalacademies.org/cs/groups/pg\\_asite/documents/webpage/pga\\_070384.docx](http://sites.nationalacademies.org/cs/groups/pg_asite/documents/webpage/pga_070384.docx)
- W8 or W9 if subawardee is new to Temple

#### PI evaluates subawardee

- Assess technical expertise and financial viability of subawardee organization and key personnel
- Fair and Reasonable Cost Analysis

#### BA prepares proposal

- Integrate the subawardee's statement of work and budget into Temple's eRA proposal
- Include other forms (budget, biosketches, other support) as required by sponsor
- Place Proposal in eRA for review & approval including subawardee proposal package (See 5 & 2 day waiver guidance)**

### SUBAWARD ISSUANCE:

#### PI/BA provide information requested by RA for award issuance

- Collaborator and contact information
- Statement of work
- Budget (including cost share if applicable)
- Technical/financial reporting requirements
- Payment terms and schedule
- Subaward performance period (RAPost/PI/BA)
- Verification that subawardee is compliant with IRB, IACUC, IBC, EHRS approvals (if applicable)
- Fair and Reasonable Cost Analysis
- Sub updates subawardee commitment form

10/2018

### SUBAWARD MONITORING (Risk Assessment):

#### PI monitors subawardee technical progress

- Communicate regularly with subawardee PI to monitor progress on the project
- Monitor receipt of technical reports for timeliness and content
- Communicate with RA if changes need to be made to statement of work, reporting requirements or budgeting

#### □ PI/BA monitor subawardee's adherence to terms

#### □ PI/BA verify compliance approvals remain current for subawardee's portion of statement of work (human subjects, animal subjects, biosafety)

#### PI/BA review, monitor receipt of invoices

- Are they arriving on schedule?
- Do they contain the right level of detail to allow adequate review?

#### PI/BA reviews and signs invoices

- Ensure all costs are allowable, allocable, and reasonable
- Ensure all costs were incurred within the period of performance of the subaward
- Confirm that expenses are aligned with technical progress
- Cost sharing is appropriately reflected, if required
- If acceptable, PI signs and dates invoice

#### □ PI/BA send approved invoice to AP using TU Market for processing or returns to subawardee for more detail

### SUBAWARD AMENDMENT ISSUANCE:

#### PI assesses need to modify statement of work, budget, period of performance

- Notify RA in a timely manner (at least 30 days prior) to request amendment
- Provide information to RA (budgets, Carry-forwards, dates, reporting requirements, etc.)
- Assist RA in negotiating changes, if needed

### SUBAWARD CLOSE-OUT (Services no longer required)

#### PI/BA plan for timely closeout

- Check status with subawardee 90 days before end date
- Follows up on late or missing reports or deliverables
- Obtain final invoice (marked FINAL) 60 days after end date
- Send final invoice to Accounts Payable (AP)
- Subaward Release Form signed by Sub & return to RA Post award.**