

Subawards Session at FDP, May 12, 2014
Jennifer Barron, Jim Becker Co-Chairs
Tammy Good, Presenter

Subaward Template Changes

Is the ARRA checkbox still needed? The membership stated No.

Use to designate cost share? The membership stated Yes.

- Question: What is the purpose of the Cost Share flag: Are we stating that cost share is required of the sub? Or that the sub is stating that cost share is included in the submission?

Counterparts language

- Most membership said No to adding Counterparts language. A few recommended that the pass-thru entity can add it in special terms, and the membership generally agreed.

Audit language

- Membership agreed this should be added to the cost reimbursement version.
- For Fixed Price agreements, the following recommendations were made:
 - Change the heading of this section to "Access to Records".
 - Add the term "non financial" to the fixed price language
 - Indicate that it is a programmatic review only
 - Use the language "directly related to"
 - State that "Sponsor shall share audit with the recipient."

Adjusted language (for membership review)

Access To Records:

"Prime Recipient reserves the right to inspect, upon Prime Recipient's reasonable advanced notice during normal business hours, Subrecipient's physical facilities, all aspects of the Statement of Work undertaken under this Subaward, and all non-financial books, records and documents of any kind directly related to this Subaward. The Prime Recipient shall share any findings related to this inspection with the Subrecipient."

Whistleblower language

- Some institutions are adding this language to amendments
- Should we be using the long version or short version?
- Are we required to incorporate in full text? Maybe we can focus on including the link to the policy.
- Follow up with the Partners expert for the final guidance?
- Insert substance of the guidance and include a paragraph?
- Final Decision: We tabled this issue until this is determined in fact what is required.

Sample payment form for fixed price agreements.

- Does it make sense to add a sample payment form to the Subaward Template?
- Alternatively, we could add a few templates to the forms page.
- A few of the members said they would send sample payment forms to Jennifer for review and potential posting to the FDP website.

UG Working Group Introduction
Tammy Good

- Seventy five respondents indicated that they were willing to serve on the working group.
- Rosie madnek is the other cochair
- This working group is specific to subawards, primarily updating forms. They will also develop a guidance document for institutions to reference as they implement the new forms.
- They will also forward recommendations to other working groups as necessary.
- There are three phases:
 - Develop the charge (co-chairs) by May 31
 - Examine issues and make recommendations (subgroups 1-3) by July 15
 - Create/edit subaward forms documents (subgroups 4,5) by Aug 31
- They hope to present the revised forms at the September FDP meeting.
- They will need five chairs for the subgroups, and people assigned to work groups. Members are asked to send Tammy an email if they are willing to be a subgroup chair, or if they have a preference on a subgroup.
 - (If no one emails, will Tammy simply assign the 75 respondents to one of the five subgroups?)
- The Face Page and Attachment 1 Forms may not need much work. Attachment 2, the Agency Forms, will require the most work and will require review and approval from the Agencies.
- We may need to provide guidance on transitioning subawards from the old regulations to the new regulations, such as flow-thru of F&A and other talking points. Also include definitions of Fixed Price versus Fixed Payment.

It would be beneficial for members to gather institutional data in the next few weeks so that we can share with the agencies:

- how many subs does your institution have
- how many are fixed price, foreign, clinical trials
- What are the subaward dollar amounts and types of subrecipient

Clearinghouse Working Group Update

- We were waiting for the UG to determine what we wanted to change. The new clearinghouse is up and running. Feedback isn't good. It is slow and frequently inaccessible. Also the data is organized differently, and sometimes the data doesn't look right, depending on which view you are using.
- Perhaps we could get a demo from the Clearinghouse people at the September FDP meeting.
- We still need to determine whether we can marry our data with the clearinghouse data.
- We also need to review what we are currently gathering versus what UG requires of pass-thru entities and subrecipients.

Some questions from the membership:

- Do school use these forms only for subs between two FDP entities? Most members stated No, they use the forms for non-FDP subrecipients as well.
- Do schools include both Attachment 2 and the Prime Agreement? The answer was mixed; many members stated No, because in their experience including the Prime Award Agreement tended to confuse subrecipients, especially if there were terms which didn't apply to the subrecipient.

- Automatic carry forward isn't always given at UC-Davis. Do most allow carry forward? The majority of members said Yes, but not all.
- Do we want to implement Unilateral Initial Agreements? The membership said No. We discussed for a bit, but chose to not do this.
 - The point was raised that FFATA is impacted by this decision; how do you know when to file your FFATA report if the subrecipient doesn't sign and return the agreement?
 - One member asked "Why not try Unilateral Agreements?" The answer: we are conservative. Let's start with the unilateral modifications. In the meantime, our energy might be better spent on developing risk assessment forms.

Things for membership to do in the coming months:

- Continue pushing the templates.
- Keep working on the commitment forms, to either eliminate or standardize them.
- Have the conversations to get schools using the FDP forms; we have schools still not using them. Members need to push back on those schools.
- Develop guidance to add to the guidance doc. Possibly include it in the brochure as well.