



FEDERAL DEMONSTRATION PARTNERSHIP

Redefining the Government & University Research Partnership

Subawards Subcommittee

Amanda Hamaker, Purdue University

Amanda Humphrey, Harvard University

Stephanie Scott, Columbia University



Agenda

- FAQs & guidance on the 2016 subaward templates
- Discussion on carryover guidance
- Updates from working groups



2016 Template Update

- We made a lot of changes in 2016
- Lots of changes, lots of questions
 - Generated some clarifications, FAQs and guidance
 - Sent on list serv for comment last week
- Keep sending feedback to Amanda Humphrey
 - Received a lot of great direction for 2017



Speaking of 2017

- New working group for the templates
- Led by Amanda Humphrey and Laura Register
- Those with subaward and/or technical expertise (you don't need both) are welcome
- Contact amanda_humphrey@hms.harvard.edu



Template Clarifications and FAQs

- **Human Subjects Data section:**
 - Data Rights - providing PTE with right to use the data to meet PTEs obligation to sponsor
 - Data Transfer – *how* will the data actually be transferred/exchanged between the parties to comply with privacy laws
 - Applicability of this section
 - DTUA workgroup recommends using their new template until template language is developed



Template Clarifications and FAQs

- **Data Sharing/Public Access Policies**
 - Provides PTE with option of drawing attention to a separate Data Management/Sharing Plan included in original proposal.
 - Not required to complete section at this time, or can refer to NOA if it references it.
 - NOT intended to include policies regarding access to publication (ex. NIH Public Access Policy), which is already flowed down from NOA or Grants Policy Statements.



Use of Name

Neither party shall use the other party's name, trademarks or other logos in any publicity, advertising, news release, ~~publication or public presentation~~, without the prior written approval of an authorized representative of that party. The parties agree that each party may respond to legitimate business inquiries with factual information regarding the existence and purpose of the relationship that is the subject of this Agreement, disclose such information to satisfy any reporting obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described.



Other areas

- Grants vs Shall Grant
- MPIs
- Will work in tandem with new
Templates Working Group



Carryover

- Refresher:
 - Some PTEs always restrict carryover above and beyond the awarding agency
 - Others only restrict when it is required by the federal awarding agency (or when merited by a risk determination)
- Some institutions have systems that require them to close accounts annually when carryover is restricted
- Some institutions have business processes that restrict carryover as a matter of routine and have built business processes around it



Carryover

- Crafting FAQs and guidance, including alternative methodologies
 - We have crafted some draft language for review
 - Will be posted to the listserv



Carryover

- Subaward template changes
 - Propose clarifying who is requiring the carryover restriction
 - Discuss moving to Attachment 4
 - Restructure Attachment 4 to have programmatic, financial, other
 - Discuss language permitting offsets if the sub does not justify underspending with the progress report



Carryover

Attachment 4 Research Subaward Agreement Reporting Requirements

Subaward Number:

Add Headers:

Financial



Programmatic



Other



Subrecipient agrees to the following:

A Final technical/progress report will be submitted to the PTE's identified in Attachment 3 within _____ days after the end of the period of performance.

Monthly technical/progress reports will be submitted to the PTE's identified in Attachment 3, within _____ days of the end of the month.

Quarterly technical/progress reports will be submitted within thirty (30) days after the end of each project quarter to the PTE's identified in Attachment 3.

Technical/progress reports on the project as may be required by PTE's in order that PTE may be able to satisfy its reporting obligations to the Federal Awarding Agency.

Annual technical /progress reports will be submitted within _____ days prior to the end of each project period to the PTE's identified in Attachment 3. Such report shall also include a detailed budget for the next budget period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.

In accordance with 37 CFR 401.14, Subrecipient agrees to notify PTE's identified in Attachment 3A within _____ days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Awarding Agency specific forms to the PTE's identified in Attachment 3A within 60 days of the end of the period of performance so that it may be included with the PTE's final invention report to the Awarding Agency. A negative report is _____ is not required.

A Certification of Completion, in accordance with 2 CFR 200.201(b)(3), will be submitted within _____ days after the end of the project period to the PTE's Attachment 3 identified in Attachment 3A (for Fixed Price subawards only.)

Property Inventory Report; frequency, type, and submission instructions listed here and only to be used when required by PTE Federal Award:

Other Special Reporting Requirements:

Insert carryover
information
under Financial



Carryover

- Current language:
 - Automatic Carry forward [yes/no checkboxes]
 - If no is selected, Contact for carry forward option appears
- Potential language:
 - Automatic Carryover [yes/no]
 - If no is selected, the following appears: Carryover is restricted by the [select one: Federal Awarding Agency / PTE]
 - Contact information would still come up
 - PTE could put additional information in *other* box



Carryover

- Codified approach (like invoicing)
 - Do we want to vote on whether or not PTEs may restrict?



What's Next?

- Working groups continue their amazing work
 - Foreign
 - Guidance
 - FFATA
- The template work group will start in late January
- Does someone want to lead the subcontract template updates?
- Other suggestions?



Friendly Reminder: Changes

- Templates created to make things easier – don't change them!
- Let us know if you get one with changes, we'll contact the institution.



Contact Us

Amanda Hamaker, Purdue University

ahamaker@purdue.edu

Amanda Humphrey, Harvard University

amanda_humphrey@hms.harvard.edu

Stephanie Scott, Columbia University

sfs2110@cumc.columbia.edu