



# Symposium for Research Administrators

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# Making Cents of Subawards

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# Overview

What is a Subaward?

Subaward Determinations.

Subaward Requirements

How To Help.

Examples.

Questions?

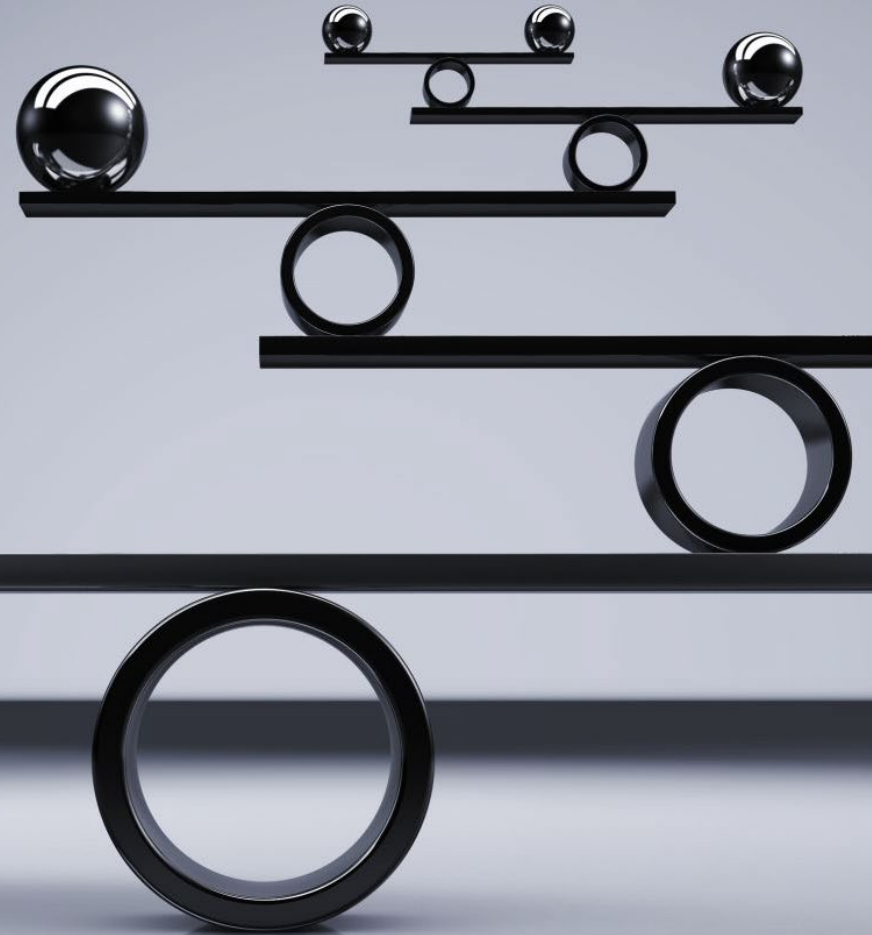
# What is a Subaward?

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# Quick Definitions

- Subaward
  - An award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient.
- Subrecipient
  - The legal entity that is accountable for the use of the funds.



# Subaward Determination

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# Digging Deeper into Definitions

- 2 CFR Section 200.331 – Subrecipient and Contractor Determinations.
- Section (a) Subrecipient Characteristics:
  - Determines who is eligible to receive what Federal assistance;
  - Has its performance measured in relation to whether objectives of a Federal program were met;
  - Has responsibility for programmatic decision-making;
  - Is responsible for adherence to applicable Federal program requirements specified in the Federal award; and
  - In accordance with its agreement, uses the Federal funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the pass-through entity.

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# Digging Deeper into Definitions, Continued...

- Section (b) Contractor Characteristics:
  - Provides the goods and services within normal business operations;
  - Provides similar goods or services to many different purchasers;
  - Normally operates in a competitive environment;
  - Provides goods or services that are ancillary to the operation of the Federal program; and
  - Is not subject to compliance requirements of the Federal program as a result of the agreement, though similar requirements may apply for other reasons.



# The Summary

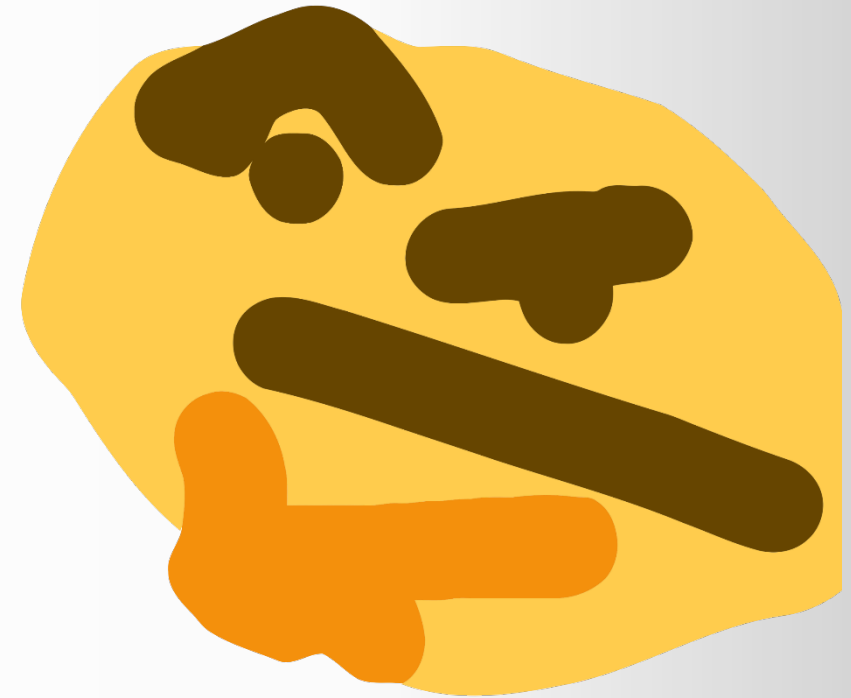
Subawards	Contracts
Recipient is conducting research	Recipient is doing a defined set of tasks for UW/the project that are routine and available to others.
Recipient can make unilateral decisions on the direction of their portion of the research	Recipient uses expertise and judgement, but the defined tasks must follow the direction to meet the needs of UW or the project.
Recipient is responsible for the same regulatory and compliance requirements as UW.	Recipient is subject for universal regulatory and compliance requirements, as well as the ones aimed at providing services in their field.
Recipient uses the funds to carry out a program for a general public purpose.	Recipient is providing the goods and services in service to UW's program of general public purpose. The goods or services are ancillary to the federal program.
Recipient's performance is measured on whether the federal program objectives were met.	Provides the goods and services to a variety of purchasers, normally operating in a competitive environment.

See also: [Subrecipient vs Contractor Questionnaire](#)

# Other Possible Indicators

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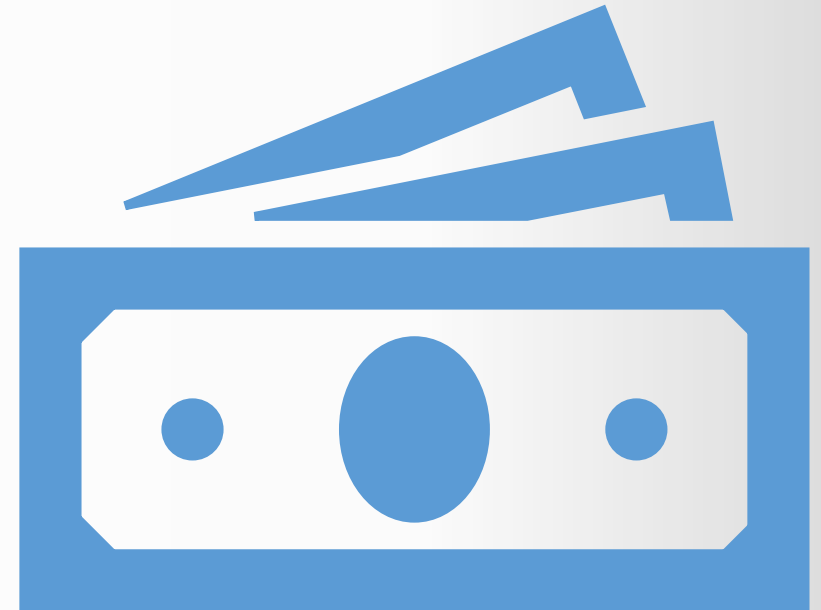
- Not 100% accurate, but often can be a “gut” reaction:
  - Recipient’s budget formation.
  - Recipient’s payment expectations.
  - Recipient’s past-history.
  - Recipient’s expectations in compliance with the prime award.
  - The account where the money will come from (more on that soon).



# But who is going to send this money?

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- Subawards are issued by RSP.
- Contracts are issued by Purchasing in a variety of different arrangements.
- Sometimes it might fit with a hiring decision that ends up sent to HR (rare).



# Subaward Requirements

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# Types of Subawards

- Basic subaward – an external entity is doing part of the research under the UW-Madison award.
- Regrant – the award was given to UW-Madison. UW-Madison then sends out an RFP soliciting proposals to be funded by UW-Madison via the award UW-Madison received.
- Shared Grant – Subaward that is issued to another UW System School.

# So, what do you need?

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- Money comes from a fund 133 or 144 account.
- The Sponsor's approval.
  - Proposal
  - After the fact
- The Subrecipient completes required documentation for risk assessments (federal requirement UW applies universally).
  - UW Forms.
  - Copy of Subrecipient's F&A Rate Agreement.
- A complete Budget broken down by categories and showing F&A rate (if used).
- A completed Scope of Work.

# How to Help

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# Early Information

- Check to see if this is a new subrecipient. If so, work with RSP to get subrecipient documentation early.
- Make sure the subrecipient has an F&A rate agreement and has shared it.
- Make sure the subrecipient has an itemized budget.
- Include the scope of work with the subaward request.
- Be sure UW's sponsor has approved the subaward in writing – either with the proposal or in a separate writing.
- Communicate early – don't wait to ask on “subrecipient vs. contractor” after work has already begun or, worse, after work ends.



# Examples

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# Sample Scope #1

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As a clinical breast radiologist and health services researcher, Dr. Smith focuses on evaluating breast imaging technologies and their impact on screening outcomes at individual and population levels. As a dedicated breast imager at the University of Washington and Seattle Cancer Care Alliance, Dr. Smith has expertise in all aspects of clinical breast imaging for screening and diagnostic assessment, including mammography, digital breast tomosynthesis, ultrasound, MRI, and image-guided procedures. She has experience leading modeling analyses to project long-term breast cancer outcomes due to the adoption of digital breast tomosynthesis for routine screening and the use of MRI screening for women at intermediate risk of breast cancer.

The goal of this proposal is to use collaborative modeling to guide novel approaches to precision screening and treatment across the translational breast cancer control continuum. As a Co-Investigator, Dr. Smith will contribute both clinical and population health perspectives to accomplish the specific aims of this proposal. She will also provide input regarding selection of model parameters and participate in data analysis and interpretation for the precision screening aims. To accomplish these goals, she will meet regularly with the study team via scheduled telephone calls and web-based meetings, as well as twice yearly in-person meetings.

# Sample Scope #2

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- Prime Research Inc. has built its reputation on scientific portfolio analysis capacity at other agencies and propose to adapt and extend these approaches to the defense environment. In this project, PRI will address these gaps in three Aims.
- First, PRI will construct an end-to-end database of linked DoD data from research funding to applied outcomes. This work will be guided by structured interactions with Defense Program staff to identify key barriers and opportunities for incorporating data into policymaking. Second, PRI will use these data to identify risks and opportunities in the research portfolio, such as potentially problematic overlap, and measures of (mis)alignment with strategic priorities. Third, using machine learning and analysis of knowledge flow, PRI will quantify how resultant discoveries feed into downstream applied research goals, such as research into improvements in human health, or downstream invention and patenting activities.

<b>Budget Year 1</b>				
Year 1 budget for billed work				\$228,050
Year 1 budget for CrossRef + Cloud Costs				\$22,200
<b>Budget Summer 2022</b>				
<b>Aim</b>	<b>Resource</b>	<b>Hours</b>	<b>Rate</b>	<b>Total</b>
Aim 1.2 - Collect, clean and normalize DoD grants data from the DoD Grant Awards Database, CDMRP, PubDefense, Federal Reporter	Mr. Brown	240	113	\$27,120.00
	Mr. Orange	50	157	\$7,850.00
Aim 1.2 - SME discussions with PI to discuss linking applied clinical papers from iCite to relevant Crossref publications	Mr. Pink	10	203	\$2,030.00
Aim 1.2 - Extend existing citation resolution capabilities to include relevant citations from Crossref in addition to biomedical PubMed database	Mr. Blue	240	157	\$37,680.00
Aim 3.2 - SME discussions with PI discuss contacting DoD program staff for relevant DoD division and research portfolio designations	Mr. Orange	10	203	\$2,030.00
Proposed totals		550		\$76,710.00
Summer invoice	Summer billed hours	\$76,710	3 months of CrossRef + Cloud services	\$5,550
<b>Total</b>				<b>\$82,260</b>

# Questions

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# Thank you!

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