Welcome
SPIN Meeting Agenda

- **Introduction**, Lynette Arias, Director, SPA
- **Upcoming Events**, John Caruso, SPA Education Coordinator
- **Sub-Awards**, Tom Marcussen, Director, RSO, Cynthia Moore, Systems & Controls Supervisor, SPA
- **Hot Topics**, Budgeting for Salaries, Tom Marcussen, Director, RSO
- **OGA Updates**, Garrett Keeton, Information Systems Manager, SPA
SPA Education & Upcoming Events

John Caruso, Education Coordinator, SPA
Effort Reporting Class

📅 Wednesday, September 24, 2003
📍 West Campus, OGI Wilson-Clark Bldg Rm 403
⏰ 1:00 – 3:00 pm
📞 Contact: SPA Education (x4-9063 or spaedu@ohsu.edu)
Effort Reporting Class

📅 Thursday, September 25, 2003
📍 Central Campus, UHS 8B-60
⏰ 2:00-4:00 pm
✉️ Contact: SPA Education (x4-9063 or spaedu@ohsu.edu)
Post-Award Education Program

“OMB Circulars and Beyond”

Wednesday, October 22, 2003

West Campus, OGI Room AB 401

2:00 – 4:00 pm

Contact: SPA Education (x4-9063 or spaedu@ohsu.edu)
Post-Award Education Program

“OMB Circulars and Beyond”
Thursday, October 23, 2003
Central Campus, R310
2:00 – 4:00 pm
Contact: SPA Education (x4-9063 or spaedu@ohsu.edu)
Sub-Awards

Tom Marcussen, Director, RSO
Cynthia Moore, Systems & Controls Supervisor, SPA
Sub-Awards

- Subcontract Agreement
- Consortium Agreement
- Sub-Award
Consortium Agreement: A collaborative arrangement in support of a research project in which some portion of the programmatic activity is carried out through a formalized agreement between the grantee and one or more other organizations that are separate legal entities administratively independent of the grantee (NIH Grants Policy Statement, March 2001)

Note: The collaboration is ordinarily such that the sub-award investigator, the ‘Principal Investigator’ (PI) for the collaborating institution, will assist in designing the project, participate in the project on an ongoing basis, and expect to be named as a co-author on publications.

For further information on Sub-awards at OHSU, see the RDA website: http://www.ohsu.edu/ra/gc/subawards.shtml
Sub-Awards

THE ONE MONTH RULE

Whenever an OHSU investigator is planning to be involved in a subcontract on an application, whether OHSU is prime or OHSU is the subcontractor, the subcontract portion must be completed one month before the main application.

For Incoming Subs: We need to get our budget material, fully approved, to the prime applicant organization before they submit their application to their pre-award research office.

For Outgoing Subs: We need to have the subcontractor’s administrative pages, fully approved, before the application can be submitted to RSO.
Incoming Sub-Award

Definition: Another organization is the grantee (prime applicant). A portion of the programmatic activity is carried out by OHSU under subcontract to the grantee organization.

Authority: Other organizations are not authorized to name OHSU as a subcontractor on their applications until they are in receipt of official, signed subcontract materials from OHSU.

Application Requirement: OHSU must produce full, institutionally approved budgets for prime applicant organization even if the main application will be modular.
Incoming Sub-Award

Items required for submission to Prime applicant:

- Statement of Intent (RSO provides)
- **PHS 398, Form Page 4**: Detailed Budget for Initial Budget Period
- **PHS 398, Form Page 5**: Budget for Entire Proposed Period of Support
- Budget Justification
- PHS 398, Checklist Page
- Biosketches of key personnel
- Letter of support from collaborating investigator
- Resources Page (Optional)

Other sub-award items that may be requested from prime application:

- Face Page
- Signed budget pages
Outgoing Sub-Awards

Definition: OHSU is the grantee. A portion of the programmatic activity is carried out by another organization under subcontract to OHSU.

Authority: Signed approvals from subcontractor organizations must accompany all OHSU applications proposing inter-institutional collaborations.

Application Requirement: Full, institutionally approved budgets required from subcontractors even if we are submitting in the modular format.
Outgoing Sub-Awards

Items required from subcontractor

• Statement of Intent
• PHS 398, Form Page 4: Detailed Budget for Initial Budget Period
• PHS 398, Form Page 5: Budget for Entire Proposed Period of Support
• Budget Justification
• PHS 398, Checklist Page
• Biosketches of key personnel
• Letter of support from collaborating investigator
• Resources Page (Optional)
Outgoing Sub-Awards

Assuring Approval From Other Institutions

- Collaborating organizations indicate institutional approval in various ways:
  - Signed Statement of Intent with all essential information (see below)
  - Combination of signed Statement of Intent and signed budgets
  - Combination of signed Face Page and Statement of Intent
Assuring approval From Other Institution (cont.)

- But we **must** have the following information covered by institutional sign-off:
  - Inclusive dates of project period
  - Budget total
  - Title of project
  - Name of collaborating investigator
  - **Required declaration**
Outgoing Sub-Awards

OHSU Budget Pages

- Non-modular
  - Budget Form Page 4
  - Budget Form Page 5
- Modular Budget
Incoming Sub-Award After The Award Is Made

Prime Applicant is funded

Prime sends sub-award agreement to RSO
  • RSO asks OHSU Investigator to approve the budget and scope of work
  • RSO negotiates agreement with Prime Applicant organization
  • RSO signs agreement, returns copy to Prime
  • RSO sends a copy of the agreement with set-up material to SPA
Requesting an Outgoing Sub-Award
After The Award Is Made

Grant Awarded to OHSU

- Investigator requests that RSO issue sub-award
- Email the following information to Lisa Simmons at simmonli@ohsu.edu.
  1. Request for Sub-Award form ([http://www.ohsu.edu/ra/rso/rgc/subcont.doc](http://www.ohsu.edu/ra/rso/rgc/subcont.doc))
  2. Budget for sub-awardee
  3. Scope of work for sub-awardee
Requesting an Outgoing Sub-Award After The Award Is Made

Grant Awarded to OHSU (cont.)

- RSO prepares sub-award agreement
- RSO sends agreement to Investigator for approval
- Investigator signs agreement and returns to RSO
- RSO signs agreement and sends to collaborating institution.
- Collaborating Institution and RSO negotiate agreement
- Collaborating Institution returns agreement to RSO
- RSO sends copies of agreement to department contact and to SPA
Outgoing Sub-Awards, After The Award Is Made

Things to remember about outgoing sub-awards:

• The period of performance for an outgoing sub-award must be the same or shorter than the budget period of the grant received by OHSU. For example: If the OHSU grant’s budget period is Jan. 1, 2002-Dec. 21, 2002, the sub-award period can end on Dec. 31, 2002, or any month preceding that date in 2002, but it cannot extend past Dec. 31, 2002 or start earlier than Jan. 1, 2002.

• Outgoing sub-awards are written to organizations, not individual investigators

• Requests for sub-awards must be re-submitted each year. Sub awards do not automatically renew when the grant renews.
Please note that incoming sub-awards are most often for twelve months or less. Each year the investigator will receive a new incoming sub-award. Each year the investigator must submit a new budget for the continuing year’s work before the agreement will be signed by OHSU.

In non-competing years, some prime applicant organizations will require OHSU, as a subcontractor, to submit subcontract application materials, consisting, variously, of answers to SNAP questions with Personnel Reports, or full budgets with Checklist Page. These submissions require RSO review and institutional approval just as do new subcontract application materials. They also require departmental approval through the signed PPQ.

A PPQ will also be requested from the investigator when a modification or amendment is received in RSO to add funding for a non-competing year.
Important Changes for Non-Competing Years Effective October 1, 2003

Outgoing Sub-Awards

• Just as full budgets are required from subcontract organizations when OHSU (as prime applicant) submits a modular grant, full non-competing application materials will be required from subcontract organizations in non-competing years, even when the OHSU grant is covered by SNAP.
Important Changes for Non-Competing Years, Effective October 1, 2003

Outgoing Sub-Awards (cont.)

- Required materials include
  - PHS 2590 budget, budget justification, and Checklist (Form Pages 2, 3 & 6)
  - Progress Report (Form 5) with answers to SNAP questions
  - Updated Other Support when applicable
  - Biosketches for new key personnel
  - Personnel Report (Form Page 7)
  - Institutional approval: Either in the Form of a Statement of Intent with budget period and budget amount specified or with an institutional signature on the Budget Page (Form Page 2)
Incoming Sub-Awards

- PPQs will now be requested from investigators when OHSU receives an amendment or modification to add a non-competing year’s funding for an incoming subcontract.
Sub-Awards

SPA receives set-up packet from RSO
  • Sub-in or Sub out

Project is set-up and file is routed to appropriate SFA

Department receives NOA
Sub-Awards

Invoice is submitted by sub-awardee

- Invoice cover memo is created by Elnis Myles
- Cover memo and invoice is submitted to Dept for approval
- MUST BE SIGNED BY PI & PROPER FISCAL AUTHORITY!!
- PI signature cannot be delegated without a written authorization from the PI.
- Must be returned to Spa, not sent to AP.

Procedure for partial set-up for pending sub-award.
HOT TOPICS
Budgeting For Salaries

Tom Marcussen, Director, RSO
OGA Updates

Garrett Keeton, Information Systems Manager
OGA Priorities / Enhancements

- Current OGA Priorities List
- OGA Enhancement Process
- Administrative Information Systems Steering Committee (AISSC)
The OGA Priority List can be found on the web at: http://www.ohsu.edu/ra/spa/ogaprilst.pdf
OGA Enhancement Process

Review OGA Priority List

Complete form located on SPA website

http://www.ohsu.edu/ra/spa/ogaenhancereq.pdf

Send to Garrett Keeton (keetong@ohsu.edu)

Requests review

Follow up to clarify request

Added to list / prioritized with other issues/projects
OGA Enhancements:

SPA Internal Project?
ITG Project Request?

- If not SPA Internal, enhancement request is logged as ITG project request by SPA -

AISSC review and prioritization with other AIS projects
Mark your calendar

October SPIN Meeting

The next SPIN meeting will be
October 16, 2003
at 9:30am
in UHS 8B-60

Oregon Health & Science University
Sponsored Projects Administration
THANK YOU