I. PURPOSE

Emory University regularly engages with other institutions in collaborative grants and contracts. This document outlines the process by which the Research Administration Services (RAS) will work with a Principal Investigator (PI) and Office of Sponsored Programs (OSP) to request an outgoing subaward or subcontract.

Note: Throughout this document, the term “subaward” is used to reference both subawards and subcontracts.

II. INTRODUCTION

An outgoing subaward is a collaboration between Emory University and another organization (university, industry, non-profit, etc.), called the “subcontractor,” “subawardee,” or “subrecipient.”

A sponsor provides funding to Emory to achieve a certain goal – conduct a study, perform research on a specific topic, etc. Emory, as the prime award recipient, may allocate a portion of these funds to the collaborating subcontractor via an outgoing subaward agreement. This agreement legally binds Emory and the subcontractor and states the dates of the project, budget allocated, reporting requirements, work to be performed, and various other terms and conditions to which both parties must agree.

The terms of an agreement, such as the period of performance or the authorized budget, can be modified through the use of an amendment.

If a subaward was not included in the proposal submission, many sponsors, including NIH, must approve the collaboration before Emory initiates the subaward agreement.

III. PROCEDURE

**Initiating a subaward agreement**

1. Upon receipt of the Emory Electronic Notice of Award (eNOA), the Post-Award Administrator reviews the proposal or Grant Progress Report and the current Notice of Grant Award and confirms with the PI as appropriate that a subaward(s) will be involved in the work.

2. The Post-Award Administrator reviews the proposal or award file to confirm that the following information has been collected for each subaward needed and obtains any information that is missing or incomplete from the subawardee, as necessary:
   a. Statement of Work (SOW)
   b. Budget
3. Once the required documentation is reviewed and the budget figures and statement of work are confirmed with the PI, the Post-Award Administrator provides the subaward material to OSP, via the subaward request process in Compass (See Associated Document 1. Job Aid: Subaward Request Process in Compass)

*Important Reminder:* the subaward cannot be initiated until the prime award has a SmartKey created, renewed, or identified. [See Award Setup SOP #2003]

**Drafting the subaward agreement**
1. OSP drafts the new subaward agreement.
2. OSP sets up a Purchase Order in Emory Express.

**Negotiating the subaward agreement**
1. The unsigned agreement is sent by OSP to the subcontractor(s) for execution.
2. Negotiations occur, if necessary. These negotiations are led by the OSP team and communicated to the PI and Post-Award Administrator. If revisions to the agreement are appropriate and approved by the PI (only if a change in scope of work occurs), then a revised agreement will be sent to the subcontractor.

**Processing the subaward agreement**
1. Once partially executed agreement is received from the subcontractor, Emory OSP will sign the subaward, process the agreement, update status in Compass and upload fully executed agreement to Emory Express.
2. OSP notifies RAS units that the subaward has been executed via email and the Comments feature in Emory Express.
   a. The Post-Award Administrator will review the status of the subaward request in the Compass system on a bimonthly basis to ensure timely processing of the subaward.

**Deadlines:**
The issuance of an outgoing subaward agreement is a critical part of the award setup process and the timely completion is a shared responsibility between the Post-Award Administrator, OSP, PI, and the collaborating subcontractor/institution. (See Paying Subaward and Subcontracts SOP # 2006 for process on how to pay subawardees)

The Post-Award Administrator will work with the PI to setup the award by confirming the budget, the collaborator’s statement of work, and any specific milestones, deliverables, terms and conditions, and period of performance that must be met by the subcontractor. Once the award setup is complete, the Post-Award Administrator will notify OSP if there are outgoing subawards via the subaward request process.

OSP will work to issue all outgoing subawards associated with an award within one month of notification by the Post-Award Administrator. For more complex agreements or awards with numerous subawards, the one month time frame may be extended. The Post-Award Administrator should monitor the subaward request in the Compass system on a bimonthly basis to gather updates and provide this feedback to the PI, who can share this with his collaborators as needed. If there are any questions about the status, the Post-Award Administrator should communicate those to OSP.
Details on Emory’s subaward request process can be found here: http://osp.emory.edu/documents/subawards/OSPSubawardRequestProcess.pdf

Details on Emory’s subrecipient monitoring program can be found here: http://osp.emory.edu/documents/subawards/subrecipient_monitoring_program_procedures_9_11_15.pdf

IV. RESPONSIBILITY

Office of Sponsored Programs (OSP):

- Reviews required documents and prepares subaward agreements
- Processes and sends agreement to subcontractor
- Undertakes negotiations (if necessary)
- Processes the fully executed agreement
- Notifies RAS unit that the agreement has been executed
- Uploads fully executed agreement in Emory Express

Principal Investigator (PI):

- Gathers and reviews subaward documentation including budgets and statement of work*
- Reviews and approves new agreements
- Undertakes negotiations (if necessary)**
- Defines any subaward deliverables and milestones

Post-Award Administrator:

- Gathers and reviews subaward documentation including budgets and statement of work
- Submits request for subaward in Compass system
- Tracks the status of subaward request through the Compass system and interacts with OSP as necessary and updates the PI on progress

*If incomplete documentation is on file or the PI re-budgets the award to add a new subcontract, the PI should assist with the collection of the required documentation.

**The PI and appropriate University officials will be consulted if negotiations reach an impasse or require additional approval.

**********************************************************************END OF SOP**********************************************************************