



Weill Cornell Medicine

	SOP #	OSRA0008
	Revision #	2.0
	Implementation Date:	05/15/2015
SOP Owner: Office of Sponsored Research Administration	Last Reviewed/Update Date:	03/09/2016
SOP Contributor(s): Research Departments, OSRA	Approved Date:	05/04/2015

Incoming Subawards Standard Operating Procedure

1. Purpose

Weill Cornell Medicine (WCM) Principal Investigators (PIs) often serve as collaborators on grant applications prepared and submitted by research organizations outside of WCM. In such cases the submitting organization is considered a Prime Site and WCM a Consortium Site. The WCM PI is expected to perform a substantive role in the project, dedicating effort and requesting a project budget inclusive of indirect costs. In the application submitted by the Prime Site, WCM is listed as an additional performance site and the WCM PI is identified as the project lead for the portion of work to be performed at WCM.

Should such an application be funded by a sponsoring agency, the Prime Site must establish a suitable agreement with WCM in order to assign work and funding to our site. Often called a subaward, subcontract or consortium agreement, this agreement serves as the funding mechanism for WCM and establishes all necessary terms and conditions for proper award management. When WCM serves as the Consortium Site, the agreement is identified as an ***incoming subaward***.

It is the responsibility of OSRA to review, negotiate, and process all incoming subawards. The OSRA Subaward Specialist must thoroughly review each agreement to ensure the terms and conditions are acceptable while working with the PI and Department to confirm the budget and scope of work are accurate. Should the agreement require modification, the OSRA Subaward Specialist will handle all negotiation with the Prime Site, keeping the WCM PI and Department informed of all progress.

2. Scope

This standard operating procedure (SOP) should be used by OSRA when processing an incoming subaward agreement.

3. Prerequisites

- WCM is listed as a consortium site on an outside organization's (Prime Site) grant application
- The Prime Site application is funded
- The Prime Site drafts and issues a subaward agreement for WCM



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4. Related Documents

None

5. Responsibilities

- **R**esponsibility = person or role responsible for ensuring that the item is completed
- **A**ccountable = person or role responsible for actually doing or completing the item
- **C**onsulted = person or role whose subject matter expertise is required in order to complete the item
- **I**nformed = person or role that needs to be kept informed of the status of item completion

<div style="border: 1px solid black; padding: 5px; width: 300px; height: 150px; position: relative;"> <div style="position: absolute; top: 5px; right: 5px; font-weight: bold;">Role</div> <div style="position: absolute; bottom: 5px; left: 5px; font-weight: bold;">Process Deliverable (or Activity)</div> </div>	Principal Investigator	Academic Department	OSRA Research & Financial Administrator	OSRA Subaward Specialist	OSRA Office
Development/Maintenance of SOP	I	I/C	I		R/A
Claim and screen agreement				R/A	
Determine need for negotiation				R/A	
Notify PI and department of agreement receipt				R/A	
Confirm agreement acceptance for OSRA	R	R/A			
Provide necessary internal documents	R	R/A			
Negotiate Agreement as needed	I/C	I/C		R/A	
Obtain agreement signature				R/A	
Release agreement through JIRA	I	I	I	R/A	
Award agreement in Coeus			R/A		



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6. Procedure

Step	Action	Method	Owner	Schedule
1.0	Prime Site receives and processes an award on which WCM is a Consortium Site		Prime Site	
2.0	Prime Site issues subaward agreement to WCM	Email	Prime Site	
3.0	Incoming subaward agreement is received and claimed by OSRA Subaward Specialist	Email/Subawards listserv	OSRA Subaward Specialist	
3.1	The OSRA Subaward Specialists must monitor the Subawards email listserv daily for incoming agreements, amendments and other subaward related documents and/or requests			
3.2	OSRA Specialists must claim incoming work by replying to listserv confirming they will address a specific task			
4.0	OSRA Subaward Specialist screens incoming subaward agreement and reviews related documents	OSRA Shared Drive	OSRA Subaward Specialist	Within two business days of receipt in OSRA
4.1	OSRA Subaward Specialist must locate grant application file in the OSRA Shared Drive and review internal documents, noting anything that requires revision			



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4.1.1	<i>If no record or documents are on file, OSRA Subaward Specialist will request all necessary documents when sending the agreement to the PI and Department (see 5.1.2)</i>			
4.2	Subaward Agreement must be saved in grant application file and moved to the OSRA Specialist's inbox for processing			
4.3	OSRA Subaward Specialist must screen incoming subaward agreement and determine if negotiation is required			
5.0	OSRA Subaward Specialist notifies PI and Department			Within two business days of receipt in OSRA
5.1	OSRA Subaward Specialist will email PI and Department a copy of the award agreement			
5.1.1	<i>Email message will include a processing plan and inform PI and Department if negotiation is necessary</i>			
5.1.2	<i>Should any internal documents be missing, email message will request all necessary documents</i>			
6.0	PI and Department will confirm acceptance of agreement and provide any necessary documentation	Email	PI and Department	Within five business days from notification from OSRA, unless otherwise discussed
6.1	PI and Department must review agreement provided by OSRA Subaward			



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	Specialist			
6.2	PI and Department must closely review the award budget and scope of work provided in the agreement and confirm documents are acceptable			
6.2.1	<i>If PI or Department determines that changes should be made to the budget, they must provide an updated budget to the OSRA Subaward Specialist for review and approval by both WCM and Prime Site (See 7.1 and 7.2)</i>			
6.3	PI and Department must prepare any new or revised documents requested by the OSRA Subaward Specialist in order to process the agreement			
7.0	OSRA Subaward Specialist must negotiate subaward agreement (as applicable)		OSRA Subaward Specialist	
7.1	OSRA Subaward Specialist must thoroughly review each section of the subaward agreement, marking necessary edits and changes			
7.2	OSRA Subaward Specialist must prepare an email message for the Prime Site detailing requested changes, attaching a marked up copy of the subaward agreement to the message			



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7.3	OSRA Subaward Specialist must follow up with Prime Site every two weeks for comments			Every two weeks
7.4	OSRA Subaward Specialist will communicate with Prime Site as needed to finalize agreement			
7.4.1	<i>Questions or concerns regarding subaward negotiations should be escalated to OSRA Manager and/or Assistant Director</i>			
7.5	OSRA Subaward Specialist must update department on subaward agreement status throughout negotiations			Every two weeks
8.0	OSRA Subaward Specialist will perform final compliance overview		OSRA Subaward Specialist	
8.1	OSRA will re-review internal forms to ensure all appropriate approvals (i.e. IRB, IACUC, etc) are in place			
8.2	Should any information be lacking, OSRA Subaward Specialist will coordinate with PI and Department to obtain all necessary documents			
9.0	Subaward agreement signature		OSRA Subaward Specialist and OSRA Manager/Assistant Director	
9.1	Once agreement is finalized, OSRA Subaward Specialist must route to the			



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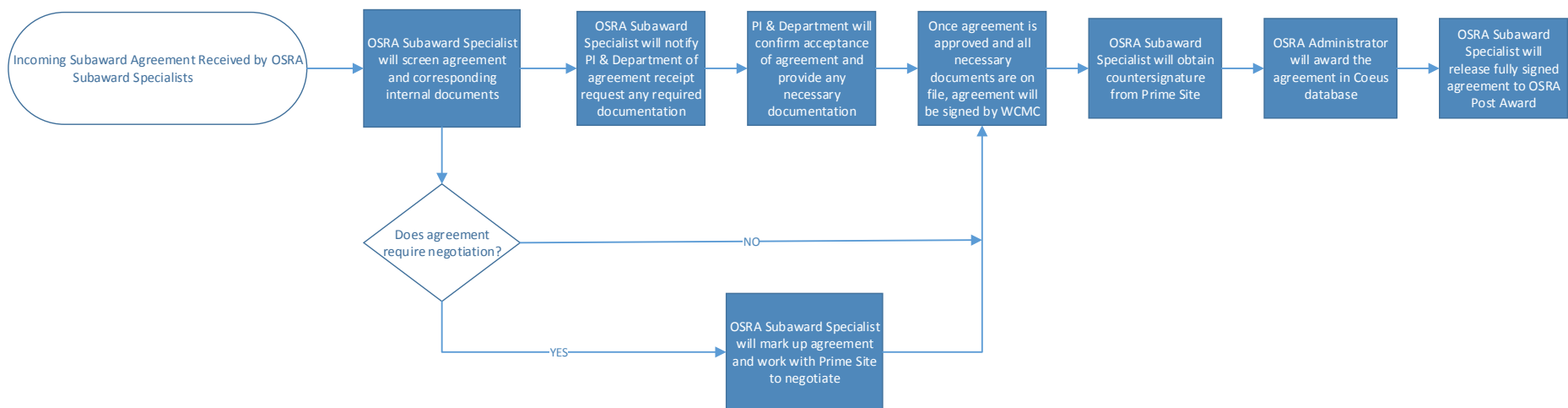
	Assistant Director for signature on behalf of WCM			
9.2	OSRA Subaward Specialist will return partially signed agreement to Prime Site for full execution			
9.3	OSRA Subaward Specialist will follow up with Prime Site weekly to obtain fully executed agreement			Weekly
10.0	Award in Coeus	Coeus	OSRA RFA	Upon Execution
10.1	OSRA Subaward Specialist must notify OSRA RFA upon agreement execution			
10.2	OSRA RFA must award record in Coeus database			
10.3	OSRA RFA must check effort for all individuals named on the budget. If anyone is overcommitted, the OSRA RFA should notify the OSRA Subaward Specialist who will work with the PI and Department to manage effort			
11.0	Send fully executed agreement and internal documents to OSRA Accounts Group		OSRA Subaward Specialist	
11.1	OSRA Subaward Specialist must release the agreement and corresponding documents through JIRA for account creation			



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7. Process Maps





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8. Process Metrics

- OSRA Subaward Specialist must screen incoming subaward and send to department within two business days from receipt
- Department must provide OSRA confirmation of approval of the incoming subaward agreement and any required documentation within five business days from OSRA notification
- OSRA Subaward Specialist must update department throughout any negotiations every two weeks
- Following signature, OSRA Subaward Specialist must follow up with Prime Site for countersignature every two weeks

9. References

None

10. Definitions

Prime Site – Institution submitting a grant application directly to a Sponsor, when WCM is a consortium site documents approved by OSRA are submitted to a prime site for inclusion in their proposal. If successful, this relationship becomes an incoming subaward.

Consortium Site – WCM if listed on a Prime Site’s application to a sponsor. Also can include entities listed on WCM grant applications when WCM serves as the Prime Site. If successful, the latter relationship becomes an outgoing subaward.

Incoming Subaward - When WCM serves as a Consortium Site, this is an agreement serving as the funding mechanism for WCM and establishes all necessary terms and conditions for proper award management.

11. Limitations/Exclusions

This SOP does not address **Outgoing Subawards**