

ORPA QUICK GUIDE

SUBAGREEMENT MANAGEMENT

FOR DEPARTMENT ADMINISTRATORS

This is a simplified guide for quick reference. More detailed information is available in [the ORPA Subagreement Manual](#) or by contacting your ORPA research administrator.

A. Preaward – important to determine if the third party entity is a **Subrecipient** or a **Vendor**:

- **Subrecipient:** receives a subagreement from ORPA;
 - performance is measured against the objectives of the Prime Award;
 - is responsible for programmatic decision-making;
 - may freely publish results or protect resulting technology;
 - is subject to compliance requirements specified in the Prime Award;
 - utilizes federal funds to carry out a program for a public purpose.
- **Vendor:** receives a contract or purchase order from UR Procurement;
 - provides goods and services within normal business operations;
 - provides similar goods and services to many different purchasers;
 - normally operates in a competitive environment;
 - provides goods or services ancillary to the operation of the Prime Award;
 - is not subject to compliance requirements specified in the Prime Award.
- Subrecipient documents required by ORPA at time of proposal submission
 - Statement of Work
 - Subrecipient Budget in IORA
 - Budget Justification
 - [Consortium Letter of Intent](#)– signed by an authorized official of the subrecipient
 - [Pre-Award Third party Cost Sharing Form](#) if cost sharing is proposed by Subrecipient

B. Postaward

- 1) Once the prime award has been received and reviewed carefully:
 - a subagreement is initiated by the Department utilizing the Create Agreement activity found in the associated IORA Award;
 - subagreement smartforms are completed in the IORA Agreements module and submitted to ORPA to initiate a subagreement request;
 - effective dates of the requested Subagreement must fall within the dates of the prime award;
 - the following documents must be uploaded into the IORA smartforms:
 - final statement of work (verified with the subrecipient);
 - final detailed budget (updated budget requested from the subrecipient);
 - contact information forms 3A and 3B;

- Subrecipient's current F & A rate agreement (if applicable).
 - ORPA will review the subgreement smartforms and request clarifications if necessary.
 - A mandatory risk assessment will be conducted by ORPA.
 - If concerns are raised as a result of the risk assessment, the Assistant Controller (ORACS), and the Compliance Officer (ORPA), will make a determination regarding the level of risk of the subrecipient.
 - Additional terms and conditions may be added to the subagreement to mitigate the risk. Note: ORPA must provide notification to the subrecipient if they have been adjudicated as other than low risk and explain the forthcoming special terms and conditions resulting from that adjudication prior to issuance of the subagreement.
- 2) ORPA will create the subagreement which will include the following documents:
- Subagreement face page/signature page (start and end dates, current subagreement amount and anticipated award amount);
 - General terms and conditions;
 - Flow-down terms and conditions from the Prime Award;
 - Additional terms and conditions that may be imposed on the subrecipient as a result of the risk assessment (if applicable);
 - Require subrecipient to take training on program-related matters;
 - Require on-site reviews of subrecipient's program operations;
 - Withhold authority to proceed to the next phase of the research until subrecipient produces evidence of acceptable performance;
 - Require submission of all supporting documents for invoiced costs;
 - Require submission of effort reports;
 - Shortened budget period until proof of financial viability;
 - Require more detailed financial reports;
 - Require additional project monitoring;
 - Require subrecipient to obtain technical or management assistance;
 - Require additional prior approvals.
 - Detailed statement of work
 - Detailed budget – cost reimbursable, fixed price or fixed rate – advanced payment
 - Cost reimbursable = payment made to the subrecipient after costs have been incurred and invoice received
 - Fixed price = a fixed amount agreed upon in advance by both parties not necessarily reflective of the costs of conducting the work. Department will invoice. Upon the completion of the SOW, subrecipient must provide a signed certification that all work has been completed.

- Fixed rate = a per subject rate (capitation) payment based on subject enrollment. (Invoicing by the subrecipient may or may not be required).
- Advanced payments are allowed in certain circumstances and require prior approval by ORACS. Advance payments are made before costs are incurred and must be followed by invoices showing the actual cost up to the advanced amount
 - Clear instructions for invoicing, if applicable
 - Clear reporting responsibilities
 - Copy of the Prime Award
 - Multiple PI Leadership Plan (if applicable)
 - Resource Sharing Plan (if applicable)

C. Managing the Subagreement

- 1) Progress reports –ensure the subrecipient has provided required reports
 - Progress reports provide a method to monitor the progress of the work being done by the subrecipient
 - PI should be in regular contact with the subrecipient PI and aware of what work is being done
 - Action should be considered if work by the subrecipient is not progressing as needed
- 2) Invoicing – invoicing per the terms of the subagreement
 - Infrequent or lack of invoicing requires follow up by the PI,
 - Invoicing with no reporting of progress requires follow up by the PI,
 - A [Post-Award Third Party Cost Sharing Form](#) must accompany each invoice (if applicable).
- 3) Payments –a thorough review of the invoice is required prior to submission to ORACS for payment
 - invoice aligns with the type of subagreement - cost reimburseable, fixed price/rate;
 - invoice aligns with the approved budget;
 - costs are reasonable, allowable and allocable;
 - calculations are accurate
 - Subrecipient invoices require approval by the Prime PI. A Subaward Monitoring Invoice Checklist to assist the PI can be found here: <http://rochester.edu/orpa/forms/>
- 4) Subagreement Amendments - For subsequent years, an amendment to the original Subagreement must be requested in IORA. The Subagreement Amendment smartforms require:
 - budget for the upcoming year;
 - updated 3A and 3B forms.
- 5) Closeout – Consistent monitoring of the subrecipient will facilitate an easy closeout
 - Ensure we have received an invoice marked as final