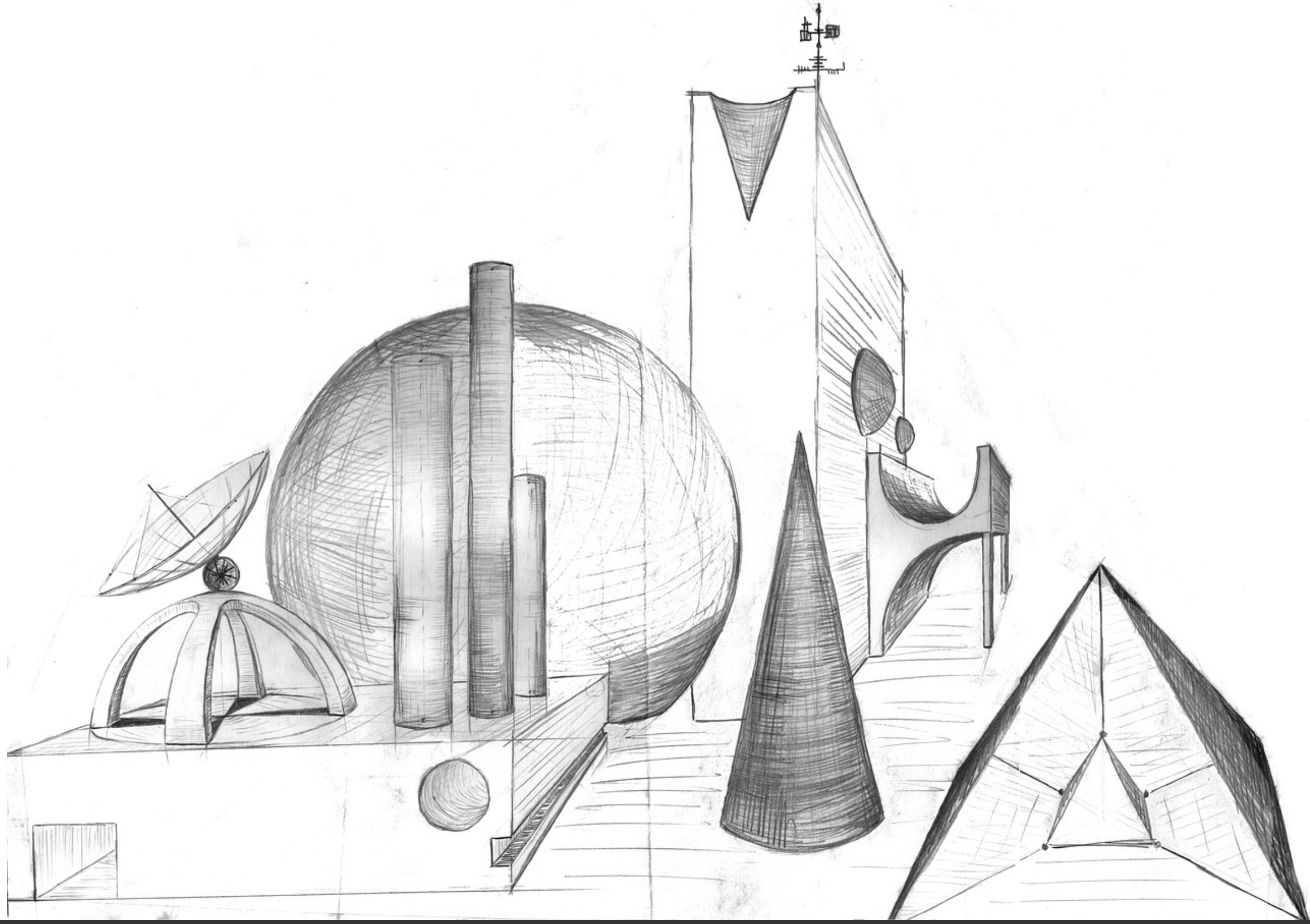


Tara Burke
Prince Hunter

Doing Research with Sub-awardees, Consultants, and Students Workshop, October 27, 2023

DISCLAIMER

First time workshop on these subjects!

Please consider this information as DRAFT!!

We will revise for SPRING 2024 with updates and new information.

Workshop Purpose

- Differences between
  - Sub-awardee (hereafter, subs)
  - Consultant
  - Contractor
- Proposal descriptions of collaborations
- Students
  - Budget
  - Recruiting
  - Hiring
  - Onboarding

Definitions ORA manual

Sub contractor/awardee

1. Jointly responsible for project design, conduct, or reporting
2. Performs programmatic portion of project activities
3. Can retain intellectual property and copyright to work they produce
4. Sub awards NOT granted to individuals
5. General terms of the award, flow down to sub
6. NSF one-pager outlining this relationship and the additional responsibilities this places on the prime (PI).
7. Not often TBD…

Contractor or vendor

1. Provides similar goods and services to multiple customers as part of their routine business operations.
2. Does not retain IP
3. Joint authorship of pubs is not sought
4. Can be TBD
5. Is issued a Purchase Order (PO); not individuals!

Consultant

1. Can be an individual!
2. Issued a PO.
3. "Work for hire"
4. Deliverable to the project is intermittent
5. Fee based on hourly or daily rate
6. Can be TBD (often TBD)

Outgoing subs

Tier 1: Prime Sponsor – NSF, HUD, Spencer Foundation

Tier 2: Prime Applicant – UMD (flow through entity)

Tier 3: Subrecipient – usually another university or community partner

Incoming subs

Tier 1: Prime Sponsor – NSF, HUD, Spencer Foundation

Tier 2: Prime Applicant – another university; listed as the SPONSOR in Kuali Research

Tier 3: Subrecipient – UMD

When UMD is the prime…

START EARLY with your subs!

- They will have to go through their finance/admin office and our ORA.
- Sub is named in the proposal.
  - Key personnel responsible for research planning/design/execution are named.

Documents required

- Letter of commitment to UMD - USE THE UMD FORM- (signed by your sub's admin office)
- Statement of work that outlines scientific goals and tasks
- Annual / cumulative itemized budgets* (excel) and budget justification (they use their standard F&A rate —that can sometimes be 0%)
  - Why? Because only UMD personnel/staff/students are named/listed on the UMD budget. Subawardee costs appear on the prime budget as a lump sum per year by institution. Their detail (listed key per., are on their budget).
- Copy of current approved, F&A negotiated rate
- (may need a separate) letter of commitment that goes to Sponsor
- may need written sections detailing their facilities/equipment for some sponsors
- (list does not detail other info Sponsor may require: Biosketch, C&PA; CV, etc.,)
- *any cost-sharing commitments from the sub? Will need a separate commitment letter

- NOTE: Letter of Administration combines elements above: scope of work and commitments, budget information (justifications and totals), F&A rate, and other particulars. This can take the place of the scope and budget justification.
  - Why I like it: provides an overview scope that is a handy one document reference during the project.

When you are the subawardee…

START EARLY!

When certain that the team will submit,
fill out a NOSI

Goes through KR! You are the PI of this (sub) proposal
to the prime org (not the sponsor)

Contact the PI's Business Officer
(directly is better…but always cc the PI).

Request an email from that BO detailing all documents
required and deadlines for submission (to the prime)

Q10. Are you the principal investigator (PI)? *(this question is followed by logic based questions that depend on the answers provided).*

- Yes, I am the only investigator
- Yes, I am the principal investigator with other co-investigators (at UMD and/or an external organization)
- No, I am a co-investigator; the principal investigator is at UMD
- No, I am a co-investigator; the principal investigator (of the entire project) is with an external university or organization.
- I'm not sure

Documents required

- Letter of commitment to the other org – signed by ORA (see Letter of Administration below) – however, ask the Prime what document they want to see (if another university, they likely have a form they want you to use).
- Statement of work that outlines scientific goals and tasks YOU will provide
- Annual / cumulative budgets (excel) and budget justification (use standard UMD F&A rate)
- (may need a separate) letter of commitment that goes to Sponsor
- may need written sections detailing your facilities/equipment for some sponsors

See INFO HUB for document examples

This form has been updated on July 25, 2023. It supersedes ALL previous versions.

Office of Research Administration
SUBRECIPIENT COMMITMENT FORM

www.ora.umd.edu

[Subrecipient Legal Name]

supports and endorses this application to the University of Maryland College Park (UMD).

1. **Project Title**

2. **UMD Principal Investigator**
   Name Email

3. **Subrecipient Principal Investigator**
   Name Email

4. **Subrecipient Administrative Contact**
   Name Email
   Title Phone

5. **Subrecipient UEI**

6. **Proposed Project Start Date** **End Date**

7. **Total Amount Requested** (for all project periods) $ **(USD)**

8. **Cost Sharing/Matching/In-Kind included in the proposal (if applicable)**
   Cost sharing, matching, and/or in-kind commitments should be included in the subrecipient's budget and budget justification. Third-Party in-kind cost share should be supported by a letter of support signed by an authorized representative of the third part.
   ◯ Yes Cash Amount $ + In-Kind Amount $ = Total Cost Share $ 0.00
   ◯ **N/A**

9. **Primary Funding Source** (select one) ◯ **US Federal sponsor** ◯ **Other**
   Prime Sponsor Name

10. The following documents are included in our subaward proposal submission (attached) and were prepared in compliance with the prime sponsor's solicitation guidelines:
   ☐ Statement of Work ☐ Detailed Budget ☐ Approved F&A Rate Agreement
   ☐ Budget Justification
   ☐ Other (please describe)

11. For the attached **Statement of Work,** please indicate if the project will include any of the following:
   a. Human Subjects Research ◯ Yes ◯ No
      If yes and NON-FDP Institution, please provided your Federal Wide Assurance #
   b. Vertebrate Animal Research ◯ Yes ◯ No
      If yes and NON-FDP Institution, please provided your PHS Animal Welfare Assurance #
   c. Hazardous Materials ◯ Yes ◯ No
      If yes, is an institutional Hazardous Materials Management Plan in place? ◯ Yes ◯ No

ating in the FDP Expanded Clearinghouse? (https://fdpclearinghouse.org/organizations)
◯ No
nature Box. If No, complete items 13-15 below.

ntity Only)
◯ Commercial/For Profit ◯ Non-profit/educational/government
n SAM.gov? ◯ Yes ◯ No

: **(F&A) Rates** included in this proposal are based on:
ts federally-negotiated F&A rate for this type of work

oient's federally negotiated F&A rate, as required by the sponsor/program requirements

te) in accordance with 2 CFR 200 (Subrecipient has never had a federally-negotiated

one Base (dependent on specific award requirements)

sts are requested by Subrecipient)

al agencies that have adopted the federal financial disclosure requirements)

: this project is not being funded by PHS, NSF, USDA, or any other sponsor that has
isclosure requirements. Check with UMD ORA or your Office of Sponsored Projects to
pted the federal financial disclosure requirements.

rtifies that it has an active and enforced conflict of interest policy that is consistent with
D, Subpart F "Responsibility of Applicants for Promoting Objectivity in Research" and 45
ective Contractors." Subrecipient also certifies that, to the best of their knowledge, all
made related to the activities that may be funded by or will have been satisfactorily
ed in accordance with subrecipient's conflict of interest policy prior to the expenditures
nt agreement.

have an active and/or enforced conflict of interest policy and agrees to adopt the
https://policies.umd.edu/faculty/university-of-maryland-policy-on-conflict-of-
nitment-2). Subrecipient will comply with all applicable Conflict of Interest regulations
SDA, or any other sponsor that has adopted the federal disclosure requirements.
sign the UMD COI form found here:
ault/files/documents/forms/Sub_COI_Form.pdf.

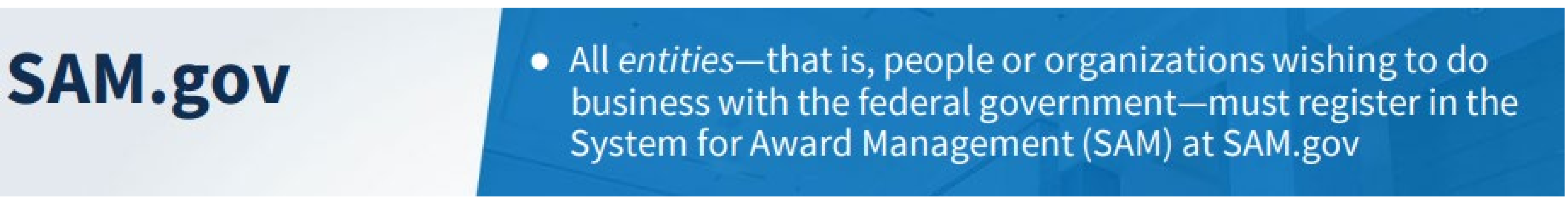
and administrative personnel involved in this application are aware of applicable
and are prepared to enter into a Subrecipient Agreement consistent with the
nents.
ubrecipient Legal Name]
nor its principals are presently disbarred, suspended,
ared ineligible, or voluntarily excluded from participation in this transaction by any U.S.
To the best of my knowledge, the enclosed represents a true, complete, and accurate
erformed and costs to be incurred in the performance of the proposed project.
esentative Signature Date

Think ahead when working with small orgs

These forms take time! When working with small community organizations/non-profits where they will have a sub-awardee role

The UMD ORA form requires the following information.

- Federal ID No. (TIN) (US entity Only)
  - Type of Entity Commercial /For Profit /Non-profit /educational/ government
- Is Subrecipient registered in SAM.gov? Yes No



- To register for a SAM.gov #, one needs a DUNS number (from Dun and Bradstreet)

However, if subawardee is the appropriate role – move forward! It (can be) prestigious for the subawardee and it may protect you, as the PI.

Subawardee – budget reminder

$25K F&A and Subs

F&A costs (at the UMD rate) are collected on only the first $25,000 of the total cost of each subaward (this cost includes their F&A rate within that $). The total cost includes all the years a subaward will be funded during a given project period.

Thus, if your budget has a subaward line item of $40,000 in each year of a four year project, F&A Costs are only applied to $25,000 in year one. No F&A costs will be collected on the subaward for the remaining years of the project.

However, if the subaward budget is only $10,000 per year, F&A costs would be collected on the entire subaward amount for years 1 and 2, on $5,000 in year 3, and not at all in year 4.

If your application is for a competitive renewal, even if you are using the same subrecipients, you may again collect F&A costs on the first $25,000 of each subaward.

Describing the subawardee relationship

New Faculty Guide to Competing for Research Funding Cronan and Deckard

Discuss distribution of the budget explicitly and in detail early in the project planning process. The most common budgeting mistake made in multi-PI projects is to simply divide the budget by the number of investigators. Budgets should be apportioned based on who is responsible for what tasks and the resources required to complete each of those tasks.

When structuring the project, select an identifiable part of the work that will be your contribution. To avoid the appearance that you're merely serving as an assistant to a more senior researcher, take responsibility for specific tasks, and identify the expertise that you bring to the project. This will allow you to develop a track record that is clearly your own and is generally best accomplished by collaborating with another researcher (or team of researchers) with different, highly distinguishable areas of expertise. The products of the collaboration (articles, a book, book chapters) should also be discussed during the planning stages, along with how the writing will be done and credited. (page 59)

Organizing theme

New Faculty Guide book (in INFO HUB)

Weave the collaborative, integrated statement on research goals and specific aims (through out the narrative)

Larger proposals that include multiple research partners pose a particular challenge to the coherence of a project narrative. Individual team members typically contribute individual narrative statements featuring their prior and future research but with little or no recognition of how that research will integrate with other team members' contributions to the proposed project. These "stand-alone" statements fail to describe how each research strand complements every other strand, adding up to an integrated set of contributions to the project's vision, goals, and objectives. (p 84)

Team section (scientific)

New Faculty Guide book (in INFO HUB)

Can borrow from the format of an NIH "U" grant.

- Treat team like an 'administrative core'
  - Short description of expertise re contributions to team, specific role, may have room to add preliminary work/pilot data contributing to the project.
  - Management strategies
    - centralized statistical (or other discipline specific) or common measures guidance that all team members will follow
    - Meeting schedule that includes type, duration, etc.
    - Describe effective resource sharing that can occur via team (i.e., one lab has specialized equipment)
    - Detail specific dispute resolution mechanisms

  - Will partners contribute to career development of team members (post-docs, students etc.)?
  - Describe the team's effective communication strategies (in addition to standard meeting schedule)
  - How will the team evaluate the activities, milestones, benchmarks, progress towards goals (once every six months in a two-hour evaluation meeting)?
  - Create a graphic of each contribution: by team member and discipline expertise and how these feed into the PROJECT specific aims/research tasks.

Team – Project management headers

- Team approach to collaboration
  - SESYNC: National Socio-Environmental Synthesis Center: the science of team science resource learning materials
- Leadership team (with bio that covers discipline expertise, management, mentorship experience)
- Key personnel (same as above)
- Community team members
- Project management plan:
  - Meetings
  - Project design and evaluation
  - Collaboration platform tools?
  - In person team workshops
  - Planning reports for each year of a multi-year project?
  - Project sustainability plan (integrate into teaching, community activities etc)

Contractor

Contractor or vendor

1. Provides similar goods and services to multiple customers as part of their routine business operations.
2. Does <u>not</u> retain IP
3. Joint authorship of pubs is <u>not</u> sought
4. Is issued a Purchase Order (PO); not individuals!

Contractor

1. **Single or Sole Source:** is most common in projects where a PI wishes to collaborate with an identified academic colleague or technical contact offering unique expertise or facilities who can be identified and included in a proposal to the Prime Sponsor.

2. Competitive bidding. Often used when purchasing goods or services when PI does not have a preferred in mind. Competitive bidding must be coordinated through UMD Dept of Procurement and Strategic Sourcing (so build in some time in your project timeline….)

Contractor documents

START EARLY!

Documents required

- Letter of commitment to UMD - USE THE UMD FORM- (signed by your sub's admin office)
- Statement of work that outlines scientific goals and tasks
- Annual / cumulative itemized budgets (excel) and budget justification (they use their standard F&A rate)
  - Why? Because only UMD personnel/staff/students are named/listed on the UMD budget. Subawardee costs appear on the prime budget as a lump sum per year by institution. Their detail (listed key per., are on their budget).
- If sole source, sole source justification letter (PI writes this to UMD)
- *may need a Certificate of Current Cost and Pricing Data
- *may need to provide detailed pricing support for purposes of determining acceptability of costs
- *may need to provide audited financial statements or submit an audit report
- may need written sections detailing their facilities/equipment for some sponsors

See INFO HUB for document examples

Consultant

1. Can be an individual!
2. Issued a PO.
3. “work for hire”
4. Deliverable to the project is intermittent
5. Fee based on hourly or daily rate

UMD Status…

Consulting Firm is a commercial entity whose regular business activity is to provide services like those proposed under the current project.

An Individual Consultant is a non-UMD employee hired to provide technical expertise in support of a sponsored project. As a rule, the activities performed by a non-UMD faculty member who is named as an individual Consultant in a proposal must fall outside of the individual's normal employment or academic duties and cannot make use of his/her employer's (institutional) facilities, personnel or students. If these criteria are not met, then the faculty member's home institution should appear as a Subcontractor in the UMD Proposal rather than naming an individual as a Consultant.

ORA manual page 5

Consultant documents

Only a few documents!

1. Scope letter; details the tasks, timeline, hourly or daily rate.
2. W-9
3. Direct
4. Sole source justification (if over $5,000 per year)

The scope letter is:
- written by the consultant to the PI on their letterhead; (typically this is drafted by the PI)
- Example letter

I am pleased to confirm my willingness and intent to participate in the project entitled title submitted to agency by the name of recipient's organization or university. I believe that this give reasons why you think this project is important.
My consultation will focus on what will it focus on. Following from our already close working relationship, I am willing to be available for phone and email contact throughout the project.
I will provide consultant services at: consultant rate (should be reasonable).
– enter the number of days per year; at $dollar amount per day per day, not to exceed $maximum amount per year per year. If inclusive of local travel and travel time, note that here. Add invoicing parameters (monthly, quarterly).

HOW ARE CONSULTANTS PAID?
The consultant is paid via a purchase order,
- created upon award and that encumbers the amount of funds for the consultant.
  - The consultant invoices on an agreed upon time frame (typically monthly).
    - The PI approves the invoice and submits to MAPP business office.
      - The BO submits to purchasing.
        - Purchasing pays – prepare the consultant that the turn around time can be a few months. Keep on a good schedule for flow of payments.

**Note, for small consultants (especially community-based organizations) the PI would be wise to keep track of time and invoicing so that things progress in a timely fashion.

Working with Students

Budgeting.

- In the proposal decide on GRA vs hourly. Difference is
  - tuition remission cost,
  - fringe costs (different rates).
  - # of hours worked. (the hourly pay is the same for both GRA's and hourly)
    - Please do try to adhere to these hourly pay rates so as to not introduce unintended pay disparities amongst students.
      - Undergrad students: no policy other than min wage. I have seen $17-25

Students – Non-GRA status only

Recruiting. Hiring.

- GRA process —not covered. Speak with your program director or Institute lead on this. Be aware of lead times for requesting/hiring GRA's

- **Hourly student hires**
  - Write a job description.
  - Recruit: listservs, flyers, colleagues, UMD employment website; and ejobs.umd.edu.
  - Interview; we suggest using a standard HR question format where all students are asked the same questions.
  - Hire (you may want to keep 2-3 students in reserve for the position. Many students job hunt and take the best available offer).
    - get the student UID #
    - Ask if they have another appointment on campus. If yes, contact Business Office (BO) re. potential overload situation (if the student and you agree)
      - If the student currently has (or in the past has had) an appointment on campus, they do not need to fill out the "hire" paperwork.
      - If the student has not been hired on campus, "hire" paperwork is required.
        - Ask BO for forms or
        - HACK – review the STAMP's student onboarding ppt and intake packet. All the forms are accessible here! (but amend for MAPP!)
    - Fill out the BO HR, "Payroll Action Request Form" form
      - Will need
        - Student UID # (*note, please do not ask for or take the student's SSN. Leave that to the BO*)
        - Appointment start and end dates
        - KFS account # where student will be paid from
        - Project name
        - Supervisor name (if that is not you as the PI – or vice versa)

Students

Onboarding.

Suggestions – not required (TOK) by MAPP

HACK – review the SPP website for GRA's – very good information but again, not all may pertain to MAPP.

- If they are a "new hire to UMD" student, ensure they schedule the required onboarding session with the MAPP BO.
- Re-review written expected job duties and hours that were in the Job Description.
- Review bi-weekly pay schedule. Provide them with schedule copy.
- Review ARES timesheet process (online with them).
  - For the first month (at least) check in with them directly to ensure that they received their pay as scheduled. Trouble shoot from there.
  - Remind them to please do the employee sign-off at the end of the pay period.
  - If you are a new supervisor, set a bi-weekly calendaring reminder for the Monday after the pay period ends to ensure you remember to approve!
  - Construct a google doc work log tracker for hours and assignment progress.
- Write up a statement of mutual expectations; both PI\Supervisor and student sign.
  - Recommended! Be very specific in the SME for how you want the student to inform you of vacations, conferences, school assignment priorities etc., that necessitate they miss work.

FAQ’s on Hourly Students

When can they start after their information is put into the system?

There is a two-week range of when the student can begin work to when their appointment must be entered. Check with the BO.

Why is there a summer date range (06/04/23 - 07/29/23)?

This is for GAs and is in place so that there isn't any conflict with their hourly and contracted appointments. For undergrads, they can begin and end outside of this range so long as their hours do not exceed 40 per week (during the academic year the max drops to 20). A GA can begin before 06/04/23 if their total hours from both positions do not exceed 40 per week.

How to calculate allotted hours?

If it is less than 40 per week, you can set a max number that they can work.

Do they get paid holidays?

They do not get paid because it is a holiday, however if you determine they worked on that date then they will not be prevented from getting paid those hours worked.

Do they get sick leave?

They do not.

Will they have an onboarding meeting with Monica?

Every person is supposed to schedule an onboarding meeting with Monica when they start regardless of prior appointment.

HR #'s

- UMD central HR is excellent. Contact them with questions.
    - uhr.umd.edu

- With a MAPP HR question, email the central BO email not the individual staff member. This will greatly increase the response rate.
    - Mapp-bsvs@umd.edu

Resources

[MAPP Research/Practice Information Hub](#) 

In Tara and Prince's email signature lines

Thank you!