JHU SCHOOL OF MEDICINE SUBAWARD & SUBCONTRACT INFORMATION SHEET: GUIDANCE

JHU Contact Information

Department: [ ]

JHU Principal Investigator

Name: (need credentials) [ ]
Address /Suite: [ ]
City, State, Zip [ ]
Phone Number: [ ]
E-mail Address: [ ]
Responsible Cost Center: [ ]

JHU Contact for Invoicing/Reports/Goods Receipts

(should be person who will create the goods receipts in SAP)

Name: [ ]
Address/Suite: [ ]
City, State, Zip [ ]
Phone Number: [ ]
E-mail Address: [ ]
JHED ID/SAP ID: [ ]

JHU Departmental Contact for Study Questions

Name: [ ]
E-mail Address: [ ]

Additional JHU Contacts to receive FE

Name: [ ]
Name: [ ]

Subsite Contact Information

(dept should request this from the subsite every year)

Subsite Legal Name: [ ]

Subsite Principal Investigator

Name: (need credentials) [ ]
E-mail Address: [ ]

Subsite Research Administration Office Contact

Must be a physical address, not a PO Box

Name: [ ]
Address: [ ]
Phone Number: [ ]
E-mail Address: [ ]

Prime Award Information

Grantor Name: [ ] (if NIH, this should be the actual dept, i.e. NIDDK)
Grant/Contract Award Number: [ ] (if NIH, this should be the complete number, i.e. 2 R01 AG123456-02S1)
Prime Award Current Budget Period: [ ] (should be the same as given on the award letter)
SAP Grant #: [ ] (not applicable to gift accounts)
COEUS IPN #: [ ] (not applicable to gift accounts)
IO # (900#): [ ] (this is the IO the 96# will be charged to; 800# for gift accounts)

Additional Details

A. FINANCIAL

1. Subsite Budget Period (for this current request): [ ] (dates must fall within the Prime Award Current Budget Period)
2. For this current request, how much will JHU pay the subsite (do not include carryover $)? [ ]
3. What is the Subrecipient’s IDC rate? [ ] % (if the Grantor is federal and the subsite is non-profit without a federally negotiated rate, and a budget that has less than 10% IDC, provide documentation showing that the site declined to receive at least 10% IDC)
4. What is the Subrecipient’s fringe rate? [ ]% (if the Grantor is federal and the subsite does not have a federally negotiated or approved fringe rate, provide subsite’s documentation showing justification for rate and certification from dept that rate is reasonable.)

5. Does this subaward include any funding carried over from a previous budget year? [ ] (should be no for year 1, if year 2+ and the answer is yes, check the NGA for carry over approval, if NGA doesn’t award automatic carry over, complete this question)
   
   a. If the answer is yes, do not include carryover $ on the budget form
   b. If the answer is yes, how much? [ ]
   c. $ is being carried over from what budget year (mm/dd/yyyy - mm/dd/yyyy)? [ ]
   d. $ is being carried over into what budget year (mm/dd/yyyy - mm/dd/yyyy)? [ ]

B. REGULATORY
1. Please provide the site’s DUNS number. [ ] (not applicable to gift accounts)
2. Will the work under the subagreement involve human subjects? [ ]
3. Will the work under the subagreement involve vertebrate animal research? [ ]

C. STUDY-RELATED
1. WORKSCOPE AND DELIVERABLES

   A. SUBAWARD YEAR 1: Complete the deliverables chart and provide a Workscope

   B. SUBAWARD YEAR 2+ (non-competing renewals): If the Workscope has changed significantly, complete the deliverables chart AND provide a new Workscope.

<table>
<thead>
<tr>
<th>DELIVERABLE</th>
<th>DUE DATE OR TIME FRAME EXPECTED</th>
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<td>(could be emails, phone calls, conferences, template reports, etc)</td>
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2. REPORTS

   A. SUBAWARD YEAR 1: Complete the Reports chart (complete all that apply)

   B. SUBAWARD YEAR 2+ (non-competing renewals): If the Report requirements have changed significantly, complete the Reports chart for the remaining project AND provide a new SOW and Deliverables Chart.

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<tr>
<th>REPORT</th>
<th>FORMAT</th>
<th>DUE DATE OR TIME FRAME EXPECTED</th>
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<td>OTHER</td>
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3. Will the subsite be conducting a clinical trial or study? [ ]; If the answer is yes, please answer the following: (complete this even if IRB/IACUC approval is not required)

   a. Is the protocol “investigator initiated”? [ ]
   b. How many total subjects is the site expected to recruit? [ ] (make sure this in the workscope)
   c. If the total is unknown, is there an enrollment cap? [ ]
      If yes, what is the cap? [ ] (make sure this in the workscope)
   d. Is there a minimum? [ ]
      If yes, what is the minimum? [ ] (make sure this in the workscope)
   e. Will the site be paid a per-subject/per-sample amount? [ ]
      If yes, how much? [ ] (make sure this on the budget)
f. Will the site be paid any startup or IRB costs?  
   If yes, how much?  [make sure this on the budget]

g. Will the site be paid for a subject’s partial completion of the study?  
   If yes, how much?  [make sure this on the budget]  
   If yes, define partial completion?  [make sure this in the workscope]

h. Is payment contingent upon submission of case report forms (“CRF”) or other data?  
   If yes, clarify what the submission is:  
   If yes, will the site still have to submit invoices?  
   If yes, does the site submit CRF’s/data before or at the same time as invoices?

4. Is a study drug being supplied to the subsite?  
   If the answer is yes, please answer the following:
   a. Where it is from? 
   b. Does JHU have an agreement with the pharmaceutical company?  
      [the sub cant be drafted until the pharma agreement is fully executed]
   c. Will JHU send it to the subsite or will it be sent by the other entity (i.e. a pharmaceutical company)?

5. Will any other physical materials (i.e. cells, samples, etc.) be shipped TO or FROM the subsite?  
   If the answer is yes, please answer the following:  
   a. Are the materials being sent to the subsite or from the subsite? 
   b. What are the materials? 
   c. Were the materials generated/invented/created under the work scope of this study/project? 
   d. Who owns the materials (or have IP related to the materials): JHU or the Subsite or Other? 
      If Other, explain: 
   e. How are the materials being disposed of/returned to the original sender?
   f. Who is paying for the material disposal or return?

6. Is any equipment being supplied/sent to the subsite?  
   If the answer is yes, please answer the following:
   a. Where it is from? 
   b. Who will own it when the study is over? 
   c. If not owned by the site, what are the plans for the owner to remove it from the site? 
   d. Who is paying for the return or removal of the equipment?

7. Will EPIC data be provided to the Subsite? 
   If yes, does the JHU PI have Data Trust approval for the transmission of the data? 
   If yes, please provide the approval documentation along with this information sheet.
**Required Attachments**

**Subrecipient Determination Form ("SDF" for the first year of a Subaward Agreement)**
This is required by the Risk Management office. The JHU PI must complete and sign the SDF at the time of JHU application. **The form is required before the subaward can be drafted.** ORA (the Grants Associate at time of application or the Subs Group at time of subaward drafting) will verify and sign off on the form.

**Foreign Subrecipient Questionnaire/Domestic Subrecipient Financial Information Survey (new/unrated subsites)**
This is required by the Risk Management office at JHU for any institution that has not previously been rated and added to the risk rating form found at [http://finance.jhu.edu/depts/frc/sub_risk_rating.html](http://finance.jhu.edu/depts/frc/sub_risk_rating.html). ORA will rate the subsite and submit the rating to Risk Management for review and addition to the rating form. ORA will also a W-9 form completed by the subsite if the vendor is new to JHU (contact ORASUBCONTRACTS if you are not sure).

**Significant Financial Interest Form ("SFI" for Federal Prime Awards)**
This is required by the Office of Policy Coordination. The subsite should complete and return the SFI to the dept if a Subrecipient Commitment Form was not completed at the time of JHU application and the site is not on the FDP Clearinghouse list [http://sites.nationalacademies.org/PGA/fdp/PGA_070596.htm](http://sites.nationalacademies.org/PGA/fdp/PGA_070596.htm).

**Statement of Work ("SOW")**
The SOW will serve as the gauge to determine whether the subsite adequately performs the work under the sub. This document should provide a concise explanation of the purpose of the work to be performed by the subsite, as well as a description of what JHU will be paying for. For example, if the subsite is supposed to submit data, samples, etc. to JHU, the SOW should state that fact. If the site is participating in a clinical trial, the SOW should state how many patients the site is expected to recruit, and what data and/or case report forms the subsite must submit to JHU in order to be paid. Please bear in mind that the SOW should be in terms understandable to the lay person and must be more detailed than a general description of the whole project. **All deliverables expected from the subsite should be included in the SOW.**

**Budget**
Please provide a budget for the subsite. **The budget should include the name of the subsite, the sub-PI, dates, and the titles (and preferably the names) of any other personnel who will be receiving salary support.** If the budget includes funding for “Supplies” or “Other Expenses”, it should provide a breakdown of any such funding exceeding $1,000. Any travel costs should also be explained.

**IRB/IACUC Approval (if applicable)**
If the sub-PI will be working with Vertebrate Animals and/or conducting human subjects research, please provide a copy of the subsite’s IRB and/or IACUC approval. JHU must have a final IRB approval letter before a subaward can be sent to a subsite that is doing Human Subjects work. **The expiration date for the approval[s] must fall within or after the current budget year.** If the sub site does not have an IRB committee, the sub-PI should be added to the JHU PI’s e-IRB protocol, and proof of addition with JHU approval number and expiration date should be provided.

**Wire Transfer Authorization**
A Wire Transfer Authorization form is necessary for the Purchasing department to set up purchase orders for foreign sites. The subsite should fill out the top section. The form must show an official stamp of the subsite or be provided on subsite letterhead. Please also note that a W8 will be required if the foreign site is using a US Bank account. **The WTA is only required for the Original Subaward to a foreign site, or if the WTA information changes at the time of a modification.**

**F&A/Fringe Rate Agreements (for federally funded awards)**
Indirect costs and fringe benefits should be calculated using the Subrecipient’s negotiated rate agreement, or other substantiating documentation to support how the rate was derived in accordance with the cost analysis review. Either a copy of the the Subrecipient’s federally negotiated rate agreement or supporting documentation must be submitted with this paperwork.

*By signing this form, I acknowledge that JHU will enter into a subaward/subcontract for which I will be responsible, and that sponsored funding awarded to JHU for my research will be used to pay the costs of the subaward/subcontract. In addition, I have reviewed and approved the Statement of Work, Budget, and Fringe/F&A Rate agreements submitted as attachments to this form.*

**JHU Principal Investigator**

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<thead>
<tr>
<th>Printed Name</th>
<th>Signature</th>
<th>Date</th>
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