

REQUEST FOR OUTBOUND SUBAWARD (ROS) USER GUIDE

Use this form to initiate a request for an outbound subaward. This process is managed by Sponsored Projects Administration. To learn more about subawards, go to <https://research.columbia.edu/subawards>

The ROS form is a PDF Form containing three pages: Face Page, Comments and Contacts, Attachment 3A. For help with fields that are not self-explanatory, hover with your mouse over the “?” next to certain fields to obtain more information about them.

When you have completed the ROS, please send it to **either**:

- Subawards-cumc@columbia.edu for CUIMC and MSPH **only** (do not send the request to Morningside)
- OR** Subawards-ms@columbia.edu for Morningside **only** (do not send the request to CUIMC/MSPH).

FACE PAGE: This page contains the information necessary for SPA to issue a subaward:

1. **Header:** Provide specific information related to the Project, Columbia’s PI, and Subrecipient:

CLEAR FORM **UPDATE 3A**

REQUEST FOR OUTBOUND SUBAWARD

Date of Request	Principal Investigator	Dept No. <small>(example: 6010402)</small>	Campus ?
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Sponsor Name	Sponsor's Award No.	Project: ?	Activity: ?
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Project Title			
Subaward Institution		Subaward PI	
<input type="text"/>		<input type="text"/>	
New Subaward <input type="text"/>			
Has SAPO been created/requested? <input type="text"/>			Supplier ID # <input type="text"/>

- Clear Form: clears the information entered in the form.
- Date of Request: The date the form is submitted to SPA. Use the DD/MM/YYYY.
- Principal Investigator: The name of the Columbia PI associated to the Project.
- Department Number: The number associated with the Department.
- Campus: Select the campus from the drop-down menu. Click on “Update 3A”, the form will auto-populate Attachment 3A with the information pertaining to the selected campus.
- From ARC:
 - * Sponsor Name
 - * Sponsor’s award No.
 - * Project Title
 - * Activity (where the funds for the Subaward are allocated)
- Subaward Institution (per the Proposal Cover Sheet or the Subrecipient’s Letter of Intent)
- Subaward PI (per the Proposal Cover Sheet or the Subrecipient’s Letter of Intent)
- New Subaward: Select the appropriate option. If the subaward is new and has not been approved by the sponsor, do not submit the ROS form and contact your SPA Project Officer.

- Has SAPO been created/requested? Select yes or No.
 - i. If YES, provide the SAPO number in the displayed field.
 Has SAPO been created/requested? Provide SAPO number:
 - ii. If No, **Very Important:** SPA cannot issue a new subaward (or an amendment flowing down funds) if the SAPO is not created or updated. Follow the link to request the SAPO:

Has SAPO been created/requested?
 Submit this ROS and Rebudget forms to your SPA PO and FA. Use the link to the Rebudget form <https://research.columbia.edu/rebudgeting>

- Supplier ID# - this is a required field. Please include the 10-digit Supplier ID# and ensure it is active.

2. **Compliance:** Provide specific information related to the Subrecipient and its Scope of Work. Each field contains a drop-down menu. If the selected answer indicates that specific documentation is attached, include it in the email when submitting the ROS form to avoid delays in processing the request.

COMPLIANCE	
FCOI Requirements	<input type="text"/>
Work Involving Human Subjects	<input type="text"/>
Work Involving Vertebrate Animals	<input type="text"/>
Will data or materials be exchanged under this subaward?	<input type="text"/>

- FCOI Requirements: Pick the appropriate option from the drop-down menu. This section has to be updated by the Department only when requesting issuance of a new outbound subawards (Year 1 funds), or during transition time (from IPASS to ROS Form) if the Department saves the form to use it through the entire cycle. This section has the following possible answers:
 - Yes, Subrecipient has a compliant policy per sponsor regulations (per their certification in the FDP FCOI Clearinghouse or the FDP Expanded Clearinghouse).
 - Subrecipient confirmed it has an FCOI policy per the attached, signed Subrecipient Letter of Intent.
 - Subrecipient does not have an FCOI Policy per the attached, signed the Follow-up Subawardee FCOI Policy Confirmation Form.
- Work involving Human Subjects has the following possible answers:
 - No Human Subjects.
 - Exempt from full Institutional Review Board review. Exemption letter is attached.
 - Subrecipient's IRB letter (with future expiration date) is attached.
 - IRB is applicable, please request directly from the Subrecipient
 - IRB not required. PTE is acting as the sIRB.
 - IRB not required. Approval will be sought after year 1.
 - IRB not required. There is an sIRB designated.

- Work involving Vertebrate Animals has the following possible answers:
 - No Vertebrate Animals.
 - Subrecipient's IACUC letter (with future expiration date) is attached.
 - IACUC is applicable, please request directly from the Subrecipient
 - Not required. Approval will be sought after year 1.
 - Not required. Reliance agreement for this project is in place.

- Data or materials being exchanged under this subaward has two possible answers:
 - No, not applicable.
 - Yes, there will be exchange (this selection will show the below message)
 - Yes, there will be exchange. MTA/DUA Intake Form has been submitted

Will data or materials be exchanged under this subaward? Yes, there will be exchange.

Please refer to the following link for next steps: <https://research.columbia.edu/mta-dua>

It is appropriate to submit an MTA/DUA if there will be an exchange of any of the following with the subrecipient (Columbia may be either sending or receiving):

- Human materials (blood, cell lines, urine, etc.)
- Non-human materials (animal specimens, virus, etc.)
- Data relating to human subjects, such as protected health information (PHI under HIPAA), personally identifiable information (PII), a Limited Data Set (LDS), coded data, or deidentified data
- Sensitive or proprietary information (such as employee and business info)
- Requests for an MTA/DUA can be submitted to SPA via the submission portal at <https://research.columbia.edu/mta-dua>
- (Please note: For non-human material, visit the Columbia Technology Ventures (CTV) submission portal at: <https://techventures.columbia.edu/inventors/request-material-transfer-or-confidentiality-agreement>)

3. Type of Request: This section provides the specific instructions for SPA to process the ROS

TYPE OF REQUEST

Fixed Rate Clinical Research: *Per Patient and Cost Reimbursable budgets require two separate ROS Forms.*

New Subaward New Budget Period: to

Annual/Incremental Funding New Budget Period: to

SUBAWARD BUDGET *** DO NOT INCLUDE COLUMBIA'S INDIRECT COSTS ***			
	Direct Costs	Indirect Costs	Total
Agreement			0.00
Amendment 1			0.00
Amendment 2			0.00
Amendment 3			0.00
Amendment 4			0.00
Amendment 5			0.00
Total Budget	0.00	0.00	0.00

Deobligation of funds Amount to deobligate:

No Cost Extension New Period of Performance: to

Termination Early Termination Date:

Other

- Fixed Rate (per patient/subject) Clinical Research: Select this checkbox if the subrecipient's scope of work (SOW) and budget involve the enrollment of patients/subjects for clinical research or a clinical trial.
- New Subaward: If the subaward is not included in the original proposal to the sponsor, make sure to obtain the appropriate prior approvals via your SPA Project Officer
- Annual/Incremental Funding: Use to request an amendment to an existing subaward to flow down the annual period of performance along with the corresponding funding (for example Year 2 of a 3-year project) or for incremental funding (for example, Columbia receives the prime agreement for one year, but the prime sponsor releases funds to Columbia in installments, for example DOD funding). Per University Policy, the maximum budget period and corresponding funding is 12 months, which must fall within the ARC activity start and end date.
 - * When "Annual/Incremental Funding" is checked, the following pop-up text will appear: **"By submitting this request for the next subaward increment, the PI/Department confirms that the subrecipient has submitted all required progress reports and invoices under the current agreement. Any concerns about deliverables must be raised with the assigned SPA Project Officer."**
- New Budget Period: Enter the appropriate dates making sure to follow the funding amount (and vice-versa).

*NOTE: If the subrecipient will be conducting activities **other than** enrolling subjects on a cost reimbursable basis (such as conducting data analysis, traveling and presenting data, participating in advisory committees, etc.), a separate SOW, Subrecipient's budget, budget justification and ROS form is needed. These types of activities are considered separate and distinct from enrolling subjects, requiring a cost reimbursement budget (a different billing model), two distinct SAPOs, and separate subawards. To learn more about the distinction between fixed-rate (per patient/subject) and cost reimbursement billing models for clinical research, see the FAQs in the [FDP Guidance on the Use of the FDP Fixed-Rate Clinical Research Sample](#).*

- Subaward Budget section: Enter the **subrecipient's** direct costs and indirect costs. (also known as Facilities and Administration or F&A). Do not include Columbia's direct or indirect costs in this section. The form will automatically calculate the totals.
- Deobligation of funds: Select this option if an amendment to an existing agreement is needed to deobligate funds for a) a change of scope of work, b) early termination, c) multiple agreements were issued under the same SAPO and one of them is terminated and unspent balances need to be reallocated. Do not request a deobligation of funds to liquidate a SAPO. If the deobligation is due to change of scope of work, additional documentation is needed (i.e. revised scope of work, revised budget, budget justification, and in some instances Sponsor's approval).
- No Cost Extension (NCE): Select this option if there is a need to extend the period of performance of the subrecipient without granting additional funds.
- Termination: Select this option when there is a need to terminate the subaward prior to the original end date. Include the new end date and reason for the early termination.

- **Other:** This option should be used to request any other type of amendment not included in the previous options, like change of PI, incorporation of revised budgets, etc.

4. Supporting Documentation: Provides a list of the documents necessary to issue a new subaward or an amendment. It is not all inclusive, and SPA will communicate with the Administrative Contact if additional documentation is required.

SUPPORTING DOCUMENTATION*	
<p><i>New Subaward</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Subcontract Proposal Face Page <input type="checkbox"/> Subrecipient v. Contractor Classification form <input type="checkbox"/> Subrecipient's Scope of Work <input type="checkbox"/> IRB or IACUC letter for Subrecipient's SOW (if applicable), with current end date <input type="checkbox"/> Subrecipient's Budget <input type="checkbox"/> Subrecipient's Budget Justification <input type="checkbox"/> Subrecipient's F&A Agreement with Cognizant Agency <input type="checkbox"/> Attachment 3A <input type="checkbox"/> Attachment 3B 	<p><i>Amendment for Incremental Funding</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Subrecipient's SOW (if any changes from previous year) <input type="checkbox"/> Subrecipient's Breakdown Budget for current period <input type="checkbox"/> Subrecipient's Budget Justification <input type="checkbox"/> IRB or IACUC letter for Subrecipient's SOW (if applicable), with current end date <input type="checkbox"/> Attachment 3A ** only if departmental information needs to be updated <input type="checkbox"/> Attachment 3B ** only if Subrecipient's information needs to be updated
<p>* This list is not all inclusive. SPA will communicate with the Administrative Contact if additional documentation is required.</p>	

TAB 2: COMMENTS AND CONTACTS PAGE: Provides space to include comments (or additional information).

- **Comments section:**

REQUEST FOR OUTBOUND SUBAWARD Continued:

Please use the box below to provide any additional information related to this request.

- **Department Contacts:** Usually, the Administrative Contact is the person who can answer questions regarding the information on the Face Page of the ROS form, and the Financial Contact is the person who can answer questions regarding the request for the SAPO.

DEPARTMENT CONTACTS (if SPA has questions regarding this request)

Administrative Contact name: email:

Financial Contact name: email:

ATTACHMENT 3A PAGE: this page lists Columbia’s contact information to be incorporated into the initial subaward agreement. The page partially auto-fills based on the answer in the Campus field in Tab 1. This page is not required for amendments, unless there is a change to Columbia’s contact information. It is formatted to print as Attachment 3A from the FDP Subaward Template:

Attachment 3A Research Subaward Agreement Pass-Through Entity (PTE) Contacts		Subaward Number: <input type="text"/>
PTE Information		
Entity Name:	<input type="text"/>	
Legal Address:	<input type="text"/>	
Website:	<input type="text"/>	
PTE Contacts		
Central Email:	<input type="text"/>	
Principal Investigator Name:	<input type="text"/>	
Email:	<input type="text"/>	Telephone Number: <input type="text"/>
Administrative Contact Name:	<input type="text"/>	
Email:	<input type="text"/>	Telephone Number: <input type="text"/>
COI Contact email (if different to above):	<input type="text"/>	
Financial Contact Name:	<input type="text"/>	
Email:	<input type="text"/>	Telephone Number: <input type="text"/>
Email invoices? <input type="radio"/> Yes <input type="radio"/> No	Invoice email (if different): <input type="text"/>	
Authorized Official Name:	<input type="text"/>	
Email:	<input type="text"/>	Telephone Number: <input type="text"/>
PI Address:		
<input type="text"/>		
Administrative Address:		
<input type="text"/>		
Invoice Address:		
<input type="text"/>		

After clicking on ‘Update 3A’ once the ‘Campus’ is selected on the Face Page of the Ros Form, Attachment 3A is pre-populated with the specific information related to the selected Campus:

Attachment 3A
Research Subaward Agreement
Pass-Through Entity (PTE) Contacts

Subaward Number:

PTE Information

Entity Name:

Legal Address:

Website:

PTE Contacts

Central Email:

Principal Investigator Name:

Email: Telephone Number:

Administrative Contact Name:

Email: Telephone Number:

COI Contact email (if different to above):

Financial Contact Name:

Email: Telephone Number:

Email invoices? Yes No Invoice email (if different):

Authorized Official Name:

Email: Telephone Number:

PI Address:

Administrative Address:

The Trustees of Columbia University in the City of New York
Sponsored Projects Administration
154 Haven Avenue, 2nd Floor
New York, NY 10034

Invoice Address:

TAB 3: ATTACHMENT 3A:

- Columbia’s Principal Investigator’s information, including address.
- Columbia’s Financial Contact’s information. The Financial Contact is the person in the Department that will receive invoices from the Subrecipient.
- Email Invoices? The best practice is to receive invoices is via email. Provide the email address to receive the invoices from the Subrecipient.
- Invoice Address: The address that should be listed on the Subrecipient’s invoice.