

External Collaboration

Subcontracting OUT to a Sub-Investigator at Another Organization

What is a subcontract OUT?

A subcontract OUT is generated when a UNMC investigator applies for a grant and collaborates with an investigator from another organization. UNMC is thus the prime recipient, and the other organization is the sub-recipient. UNMC delegates appropriate prime award terms and funds, and the sub-recipient organization commits to performance, program, and compliance responsibilities.

UNMC remains fully responsible for the entire award when subcontracting out part of an award to another organization.

What does SPAdmin require to generate a subcontract OUT?

Prior to submitting a grant application, Sponsored Programs Administration (SPAdmin) requires:

- Intent to Form a Consortium signed by an authorized official of the sub-recipient organization
 - Subrecipient's format
 - PHS 398 face page, or
 - UNMC's format
- Statement (or scope) of work
- Detailed budget with F&A cost calculation
- Budget justification
- Contact information ([FDP Attachment 3](#))

For details on Subcontracts OUT and links to required forms, see unmc.edu/spa/subcontracts/subcontracts-out.

How is a subcontract OUT different from a vendor contract?

Vendors supply goods and services needed to complete the project but do not have programmatic responsibilities and so are not subject to the compliance requirements of the award terms and conditions.

Finance and Business Services negotiate vendor agreements.

For additional information on sub-recipients, see [Policy #6108](#) or contact SPAdmin at 402-559-7456.

For more information regarding vendor agreements, see [Policy #6063](#) or contact the Chief Compliance Officer at 402-559-6767 or Business Services Director at 402-559-5840.

Subcontracting IN from a Primary Investigator at Another Organization

What is a subcontract IN?

A subcontract IN is generated when a primary investigator from another organization applies for a grant and collaborates with a UNMC investigator. UNMC is thus the sub-recipient, and the other organization is the “sponsor.” The other organization passes on the prime award terms and funds, and UNMC commits to performance, programmatic, and compliance responsibilities.

What is required to initiate a subcontract IN?

Prior to grant submission by the other organization, SPAdmin must receive and process forms required by the prime recipient to document UNMC’s intent to participate, the scope of work, qualifications, and budgetary needs. Forms may include:

- An Intent to Form a Consortium, which must be signed by one of UNMC’s institutional officials to signify understanding of our obligations and that we authorize the other organization to submit a proposal containing commitments
 - Sponsor's format, or
 - UNMC's format
- Statement (or scope) of work
- Budget justification (including F&A)
- Additional documentation required by the other organization (e.g. detail budget)
- Biographical sketch
- Resources page
- Internal forms (For more information see the section Research Administration for Grants and Subcontracts).

Identify and communicate timelines to SPAdmin early. Remember that other institutions may require more time than UNMC to process subcontracts prior to grant submission. For details on

Collaborating with Small Businesses

How do federal grants that fund collaborations between small businesses and UNMC work?

Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) programs allow federal agencies to fund Small Business Concerns (SBC) to work with Research Institutions on innovative research and technology transfer. The SBC is the applicant/recipient, and the Research Institution (i.e. UNMC) is the sub-recipient. University funds in this case are managed as a subcontract IN.

If I am UNMC faculty but also developing a new business, can I submit a SBIR or STTR grant or collaborate with a small business using SBIR or STTR funds?

Yes. If you are the CEO of the business you would be the Principal Investigator, and you can lease space or subcontract for other UNMC services with an SBIR or STTR grant. Contact UNeMed for more information on the requirements for and help with developing and submitting a SBIR or STTR grant. You will also need to consider some of the policies and will work with the entities below.

Similarly, if a small business owner would like to collaborate with you, you should contact UNeMed to help with the process.

See UNMC [Policy #3002](#) for the entities you might need to help you, depending on your role.

- UNeMed
 - Ownership of Intellectual Property (Board of Regents Policy 4.4.2)
 - Preliminary business plan models and advice
 - License Template
- Sponsored Programs Administration
 - SBIR/STTR subcontract template
 - Letter of commitment regarding expected time and effort commitments
- Academic Affairs Compliance and COI Officers
 - Outside Employment Form (UNMC [Policy #1049](#))
 - Conflict of Interest management (as needed)
- Assistant Vice Chancellor Business & Finance
 - Contract for Use of Space and Equipment