



NIEHS

Fall 2003 Business Breakout Meeting

CONSULTANTS, CONSORTIUM, OR PURCHASED SERVICES

What is the appropriate mechanism to use?

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





NIEHS

DEFINITIONS

Consultant – An individual or firm that provides professional advice or services.

Consortium – One or more organizations that collaborates with the grantee to carry out the grant-supported programmatic activities.

PURCHASED SERVICES – Routine services that are offered to any consumer and are typically invoiced on a purchase service agreement.

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





NIEHS

EXAMPLES

Consultants may include but are not limited to the following:

- External Advisory Board Members
- Technical Advisors
- Course Content (Curricula) Experts
- Medical Screeners
- Trainers
- Facilitators/Speakers
- Database Support Advisors
- Evaluation Experts

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





• **NIEHS**

Consortiums are all organizations that will, as collaborators with the grantee, be responsible for carrying out the grant-supported programmatic activities.

Purchased Services may include but are not limited to the following:

Maintenance Services
Bookkeeping Services
Audit Services

Temp Services
Copy Services

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





• **NIEHS**

APPLICATION REQUIREMENTS

Consultants – Whether or not costs are involved, provide the names and organizational affiliations of all consultants. Describe the services to be performed including the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and other related costs. Attach appropriate letters from all individuals confirming their roles in the project.

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





• **NIEHS**

APPLICATION REQUIREMENTS

Consortium Participants – For each consortium participant organization, provide a separate detailed budget and explain the programmatic, fiscal, and administrative arrangements made between the grantee and the consortium organization. Include a an appropriate letter from each consortium participant confirming their roles in the project and that they are aware of and will abide by all Federal regulations.

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





• **NIEHS**

APPLICATION REQUIREMENTS

Purchased Services – Describe the service and the associated costs.

NOTE: Under grants and cooperative agreements, a profit/fee is not an allowable cost.

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





• **NIEHS**

ACCOUNTABILITY

The grantee, as the direct and primary recipient of NIH grant funds, is:

- accountable to NIH for the performance of the project,
- accountable for the appropriate expenditure of grant funds by all parties,
- accountable for all other obligations of the grantee as specified in the NIHGPS

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M



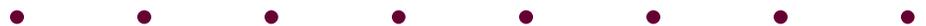


NIEHS

ACCOUNTABILITY

Written Policies – The grantee must have written policies in place addressing the use of consultants, consortium participants, or purchased services. The policies should include procedures for monitoring and reporting requirements for the consultants and/or consortium participants.

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





NIEHS

DOCUMENTATION

Consultant Agreement – A written agreement with each consultant that details the consultant services to be provided, period of performance, Payment, conditions for payment, and reporting requirements.

Consortium Agreement – A formal written agreement with each consortium participant that addresses the negotiated arrangements for meeting the programmatic, administrative, financial, and report requirements of the grant. The agreement should also include the requirements necessary to ensure compliance with all applicable Federal regulations and policies.

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





• **NIEHS**

DOCUMENTATION

Consultant – Invoices submitted by the consultant should include the date the invoice is submitted, details of the services provided, the funds requested, the period of performance, and the applicable grant number .

Consortium – Invoices from the consortium participant should include the date the invoice is submitted, details of the activities, the period of performance, the funds requested, and and the applicable grant number.

All invoices must be reviewed, signed, and dated by the principal investigator before payment is made. It is also recommended that copies of backup documents be requested from consultants and/or consortium participants.

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





• **NIEHS**

WRITTEN AGREEMENT

The grantee must enter into a formal written agreement with each consortium participant that addresses the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements of the grant, including those necessary to ensure compliance with all applicable Federal regulations and policies and facilitate a smoothly functioning collaborative venture. At a minimum, this agreement must include the following:

- Identification of the PI and individuals responsible for the research activity at each consortium participant along with their roles and responsibilities
- Procedures for directing and monitoring the research effort
- Procedures to be followed in reimbursing each consortium participant for its effort, including dollar ceiling, method and schedule of reimbursement, type of supporting documentation required, and procedures for review and approval of expenditures of grant funds at each organization
- If different from those of the grantee, a determination of policies to be followed in such areas as travel reimbursement and salaries and fringe benefits (the policies of the consortium participant may be used as long as they meet NIH requirements)

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M





WRITTEN AGREEMENT

- Incorporation of applicable public policy requirements and provisions indicating the intent of each consortium participant to comply, including submission of applicable assurances and certifications
- Whether the financial conflict of interest requirements of the collaborating organization or those of the grantee apply
- A provision addressing ownership and disposition of data produced under the consortium agreement
- A provision making the NIH data sharing and inventions and patent policy, including a requirement to report inventions to the grantee, applicable to each consortium participant and its employees in order to ensure that the rights of the parties to the consortium agreement are protected and that the grantee can fulfill its responsibilities to NIH
- Provisions regarding property (other than intellectual property), program income, publications, reporting, and audit necessary for the grantee to fulfill its obligations to NIH.





• **NIEHS**
•
•

QUESTIONS

Carolyn K. Mason
Deputy Grants Management Officer
Grants Management Branch
PO Box 12233
MSC-EC22
Research Triangle Park, NC 27709
919-541-1373 (phone)
919-541-2860 (fax)
mason6@niehs.nih.gov

W O R K E R E D U C A T I O N & T R A I N I N G P R O G R A M

