



Boston College OFFICE FOR SPONSORED PROGRAMS

SUBAWARD PROCESS

PROPOSAL STAGE

- (1) PI requests proposal package from proposed subrecipient, to include
 - See SUBAWARD CHECKLIST form
 - Statement of Work (SOW)
 - Budget and Justification
 - Signed SUBRECIPIENT COMMITMENT FORM
 - Any other documents as required by Sponsor or BC
 - When BC's award will be made under a federal contract, a Sole Source Justification must be completed by the PI or his designee and provided to OSP regardless of the \$5000 threshold set by Purchasing Services
- (2) PI prepares proposal including subaward
 - Include subrecipient proposal into BC full proposal
 - Include the subrecipient's budget total as a single direct cost line item in BC budget
 - Include other forms (e.g, budget, biosketches, other support) as required by BC's sponsor
 - Forward completed BC proposal to OSP Rep for review, **including Subrecipient proposal package**
- (3) OSP reviews and submits proposal

ISSUING THE SUBAWARD

- (4) OSP negotiates with sponsor, accepts award, and issues PAN
- (5) Department submits the SUBAWARD REQUEST FORM and the supporting documentation to OSP. OSP will work with the department to obtain any additional required documentation
 - OSP will issue SUBRECIPIENT PROFILE QUESTIONNAIRE
 - Sole Source Justification for federal contracts, if not previously obtained. Under grants, Sole Source Justification requirement goes into effect when the subaward is over \$5000
- (6) OSP completes the necessary risk analysis of the subrecipient
 - OSP issues and negotiates the subaward
 - Copy of the fully executed agreement is sent to the PI/department
- (7) Department works with Purchasing to initiate the issuance of a Purchase Order
 - Sole Source Justification sent to Procurement Services
 - See SUBAWARD PO and INVOICE PAYMENT GUIDANCE

SUBAWARD MONITORING

- (8) PI monitors subrecipient technical progress
 - Communicate regularly with subrecipient PI to monitor progress on the project
 - Monitor receipt of technical reports for timeliness and content
 - Communicate with OSP if changes need to be made to work statement, reporting requirements, budgeting.

- (9) PI/Department monitors subrecipient's adherence to terms
- (10) PI/Department reviews invoices (things to consider...)
- Are they arriving on schedule? If not, PI/Department contacts subrecipient for invoices
 - Do they contain the right level of detail to allow adequate review, and are they in accordance with the agreement? Do the invoices match costs in the subaward budget.
- (11) PI/Department reviews and signs invoices
- Ensures all costs are allowable, allocable and reasonable
 - Ensures all costs were incurred within the period of performance of the subaward. Confirms that expenses are aligned with technical progress
 - Cost sharing is appropriately reflected, if required
 - If acceptable, PI signs and dates invoice.
- (12) PI/Department sends invoice to Procurement Services for processing, or returns to subrecipient for more detail or backup documentation after discussion with OSP Post-Award contact.
- (13) PI/Department reviews Transaction Detail Report (TDR) to verify that approved invoices appear on the project.
- (14) OSP performs annual reviews of subs' UG audits (or financial statements if no UG required by sub).

SUBAWARD AMENDMENT ISSUANCE

- (15) PI/Department submits a completed SUBAWARD MODIFICATION REQUEST FORM to OSP
- Provide supporting documentation (updated budget and SOW if needed) for the amendment
 - OSP will issue the amendment and will provide copies of the fully executed document to the PI/Department
 - PI/Department will submit Purchase Order Change Request reflecting the
 - increase/decrease in the dollar amount in the amendment, and will change the due date on the PO if the Period of Performance has changed
 - Subrecipient monitoring procedures 8 -14 continue to apply

SUBAWARD CLOSEOUT

- (16) PI/Department plan for a timely closeout
- Check status with subrecipient 90 days before end
 - Follow up on any late or missing reports or deliverables
 - Obtain final invoice (marked FINAL) from subrecipient.
- (17) OSP completes closeout