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