

Subaward Processing Checklist – Departments/Pis

PROPOSAL PREPARATION:

PI requests proposal package from proposed subrecipient, to include:

- Scope of Work – specific to the subrecipient
- Budget and Justification – specific to the subrecipient
- [Subrecipient Commitment Form](#) – signed by the subrecipient authorized representative
- [Conflict of Interest Forms](#) (if applicable)
- Any other documents required by sponsor (example: certifications, assurances and/or representations from the subrecipient)

PI evaluates subrecipient:

- Assess technical expertise and financial viability of subrecipient organization and key personnel
- Complete [Subrecipient vs. Contractor Determination Form](#)
- Complete [Sole Source Justification Form](#) – only for subcontracts (see Sole Source Form for definition)

PI prepares proposal:

- Integrate the subrecipient's statement of work and budget into UCI's proposal
- Include other forms (budget, biosketches, other support) as required by sponsor
- Submit completed UCI proposal to SPA via Quali Coeus, including the subrecipient proposal package

SUBAWARD ISSUANCE:

PI/Dept. provides information requested by SPA for subaward issuance:

- [Subaward Request Form](#)
- Scope of Work (if revised from what was submitted with proposal)
- Budget and Justification (if revised from what was submitted with proposal)
- Verification that subrecipient is compliant with IRB, IACUC approvals (if applicable)
- [Sole Source Justification](#) Form for subcontracts only if not previously submitted (see Sole Source Form for definition)
- [Mini-Audit Questionnaire](#) for subrecipients not subject to the Single Audit Act

SUBAWARD QUESTIONS?

Contact your Office of Research Subcontract Officer

Subawards under Non-Federal Prime Sponsors:

Grace J. Park: parkgj@uci.edu

Subawards under Federal Prime Sponsors:

Nina Crow: nwcrow@uci.edu

General Subawards Mailbox: subawards@research.uci.edu

SUBAWARD MONITORING:

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 SPA early if changes need to be made to statement of work, reporting requirements, budgeting, or if any other issues arise
- PI/Dept. monitors subrecipient's adherence to terms**

PI/Dept. verifies compliance approvals remain current for subrecipient's portion of statement of work (human subjects, animal subjects, biosafety)

PI/Dept. reviews and monitors receipt of invoices:

- Are they arriving on schedule?
- Do they contain the right level of detail to allow adequate review?

PI reviews and approves or rejects invoices in a timely manner:

- Ensure all costs are allowable, allocable, and reasonable
- Ensure all costs were incurred within the period of performance of the subaward
- Confirm that expenses are aligned with technical progress and all required reports are received
- Cost sharing is appropriately reflected, if required
- If acceptable, PI certifies, signs and dates invoice and forward to accounting
- If not acceptable, PI rejects invoice, clearly documenting the basis and rationale for rejection and returns to subrecipient for re-issuance

SUBAWARD AMENDMENT ISSUANCE:

PI assesses need to modify statement of work, budget, period of performance:

- Email [Subaward Request Form](#) to SPA Subcontract Officer and attach applicable revised documentation (budget and/or scope of work)
- Assist SPA in negotiating changes, if needed

SUBAWARD CLOSE-OUT

PI/Dept. plans for timely closeout:

- Check status with subrecipient 90 days before end date
- Follow up on late or missing reports or deliverables
- Obtain final invoice (marked FINAL) from subrecipient
- Send final invoice to Contracts & Grants Accounting
- Obtain Invention Statement/Equipment Report
- Obtain Subcontractor's Release