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 Statement of Collaborative Intent – 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 Kuali 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 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. 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

### 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