

Outgoing Subaward Process – Roles & Responsibilities

Principal Investigator (PI)

Pre-Award Stage

- ✓ Correctly identify the third party as a subrecipient
- ✓ Request required subrecipient documentation (at minimum, AU Subrecipient Commitment Form, Statement of Work (SOW), Budget and Budget Justification) prior to proposal submission and include the documentation as part of the proposal package to be submitted to the sponsor and the Office of Sponsored Programs (OSP)
- ✓ Review subrecipient's SOW for technical feasibility
- ✓ Review subrecipient's budget and budget justification for allowability and accuracy
- ✓ Include subrecipient in AU's proposal budget as a separate line item

Note: Subrecipient's budget, budget justification and any other paperwork included in their package should be accurate, easy to follow, and in the appropriate sponsor format (as applicable). If there are questions or clarifications that need to be resolved, this should be addressed with the proposed subrecipient before including them in the proposal package being submitted to the sponsor and filed with OSP.

Award Stage

- ✓ Review subagreement draft for accuracy when forwarded (via e-mail) by subaward administrator

Post-Award/Subrecipient Monitoring Stage

- ✓ Approve progress reports and/or technical reports, ensure timely submission and that project activities are progressing appropriately (deliverables are being met)
- ✓ Monitor scientific progress of work through various forms of communication
- ✓ Approve invoices prior to payment and ensure spending aligns with what has been reported in the progress/technical reports (including cost sharing or program income – as applicable)
- ✓ Monitor subrecipient adherence to the terms and conditions in the subagreement as well as to the terms and conditions in the prime award (in conjunction with OSP Subaward Administrator, as applicable)
- ✓ Forward any audit requests received to OSP

Close-Out Stage

- ✓ Approximately 90 days before the subagreement is scheduled to end, touch base with the subrecipient PI to ensure the project is on schedule to finish on time – if not, act accordingly (i.e., consider extension requests, etc.)
- ✓ Monitor receipt of final invoice and close-out documents – if not received on time, contact OSP

CLD/Academic Unit (Unit)

Pre-Award Stage

- ✓ Assist PI in correctly identifying the third party as a subrecipient
- ✓ Assist PI in collecting the required paperwork from the subrecipient (at minimum, AU Subrecipient Commitment Form, Statement of Work, Budget and Budget Justification)
- ✓ Review the subrecipient's budget to ensure it has been added correctly and the appropriate rates have been applied
- ✓ Assist PI in preparing the budget and ensuring the correct rates, etc. are applied
- ✓ Ensure all required documents are included in the proposal package

Note: Subrecipient's budget, budget justification and any other paperwork included in their package should be accurate, easy to follow, and in the appropriate sponsor format (as applicable). If there are questions or clarifications that need to be resolved, this should be addressed with the proposed subrecipient before including them in the proposal package being submitted to the sponsor and filed with OSP.

Award Stage

- ✓ Assist PI in reviewing subagreement draft for accuracy when forwarded (via email) from subaward administrator
- ✓ Verify funds for subrecipient have been encumbered correctly and a copy of the executed agreement has been received for your records

Post-Award/Subrecipient Monitoring Stage

- ✓ Assist PI in identifying unusual expenditures on each subrecipient invoice
- ✓ Monitor subrecipient's spending rate and timeliness of invoices
- ✓ Confirm current expenditures have been added correctly
- ✓ Ensure expenditures are consistent with the approved budget
- ✓ Confirm cumulative expenditures have been added correctly from previous invoice
- ✓ Ensure required cost-share is being provided
- ✓ Assist OSP in monitoring the encumbrance to ensure it is in balance with every invoice

Close-Out Stage

- ✓ Assist PI in ensuring the subagreement is ready to close by clearing up any pending items communicated by OSP or Contracts and Grants Accounting

Office of Sponsored Programs (Subaward Administrator)

Post-Award Stage

- ✓ Email the PI and Unit upon receipt of the cover form distribution notification
- ✓ Verify sponsor approval of the subrecipient
- ✓ Visual Compliance (Denied Persons List) check on principal investigator and any other listed personnel in subrecipient's budget
- ✓ Check SAM.gov registration for debarment/suspension and delinquent debt information
- ✓ Review subrecipient commitment form for completeness
- ✓ Review subrecipient's financial documents
- ✓ Review subrecipient's indirect cost rate agreement (if applicable)
- ✓ Review subrecipient's budget, budget justification and scope of work
- ✓ Review compliance approvals (if applicable) (human subjects, animal subjects, etc.)
- ✓ Perform risk assessment
- ✓ Draft subagreement
- ✓ Send subagreement to PI and Unit to review and approve prior to submission to subrecipient
- ✓ Send to subrecipient for partial execution
- ✓ Negotiate agreement with subrecipient (as needed, may require multiple correspondence to reach resolution)
- ✓ Obtain appropriate AU signature for full execution
- ✓ Once fully executed, distribute to the appropriate parties
- ✓ Request encumbrance of the funds
- ✓ If applicable, prepare and submit the FFATA report
- ✓ Enter information into OSP database
- ✓ Scan the agreement and supporting documentation into Xtender

Subrecipient Monitoring Stage

- ✓ Ensure subrecipient has a current audit/financial statement on file
- ✓ Review audits for relevant findings and, if identified, act appropriately regarding the nature of the finding(s)
- ✓ Ensure the subrecipient has a current indirect cost rate agreement on file (if applicable)
- ✓ Ensure the subrecipient is registered in SAM.gov, as applicable
- ✓ Process modifications to the existing subagreements as needed
- ✓ Prepare subrecipient invoice package and forward to PI and Unit for approval
- ✓ Once the invoice package is approved by PI, forward to Procurement and Business Services (PBS) for final processing of the payment
- ✓ Review potential problems reported by the PI and take the necessary action(s) to resolve. (This action may require coordination with other offices within AU)

Close-Out Stage

- ✓ Ensure close-out documentation and final invoice have been received by the deadline
- ✓ After the final has been paid and clears the fund/encumbrance correctly, request PBS to close the encumbrance
- ✓ Update subrecipient database with close-out information