Subaward Processing Quick Reference Guide

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| **New Subaward****Create****Assign Resources*****Plan******Initiate*** | * **Subaward** is a written agreement with a third party for the acquisition of services or goods, or for the conduct of prescribed activities or functions under an award.
* **Subaward Agreement** is a document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.
* The subrecipient has responsibility for programmatic decision making and measurable performance requirements related directly to the Federal (prime) award. Subrecipients must adhere to federal compliance requirements.

**PROPOSAL PROCESSING**1. **PI EVALUATES SUBRECIPIENT**
* Assess technical expertise and reasonableness of costs for subrecipient organization and key personnel.
1. **PRINCIPAL INVESTIGATOR (PI) REQUESTS PROPOSAL PACKAGE FROM PROPOSED SUBRECIPIENT, TO INCLUDE**
* Statement of Work (SOW)
* Budget and Budget Justification
* Negotiated F&A and fringe rates
* Any other documents required by UMASSD or sponsor
* Signed Letter of Intent
1. **PI PREPARES PROPOSAL, INCLUDING SUBAWARD**
* Include budget, budget justification, scope of work, Summary Disclosure Form, Proposal Routing Form and subaward (if any) paperwork in #2
* Include the subrecipient’s budget total as a single direct cost line item in UMASSD budget
* Include other forms (e.g., biosketches, other support) as required by sponsor
* Email everything to SPA for review
* Complete application in Cayuse424, Fastlane or appropriate submission portal. When completed allow access to SPA in the system
* Forward completed internal proposal paperwork to SPA Pre-Award Manager for review
1. **SPA PRE-AWARD MANAGER REVIEWS AND APPROVES A PROPOSAL, INCLUDING SUBAWARD BUDGET AND VERIFYING THE RATES, IF APPLICABLE, FOR SUBMISSON TO SPONSOR**

**SUBAWARD ISSUANCE**1. **SPA PRE-AWARD AND SUBRECIPIENT MANAGER FOLLOWS UP WITH PI TO OBTAIN ANY ADDITIONAL DOCUMENTATION FROM SUBRECIPIENT**
* F&A rate agreement, if not previously obtained
* Fringe rates agreement, if not previously obtained

**6. SPA PRE-AWARD AND SUBRECIPIENT MANAGER FOLLOWS UP WITH AUTHORIZED OFFICIAL OF SUB TO OBTAIN ANY ADDITIONAL DOCUMENTATION FROM SUBRECIPIENT*** Verifies current rates (F&A/Fringe) and requests revised budget if necessary
* Secure revised SOW and requests revised budget if necessary
* Human and/or animal subjects approvals, if applicable
* Requests Subrecipient Profile Questionnaire for risk assessment, if not already on file at SPA
* Single Audit certification, if subrecipient is not subject to Single Audit (if not already on file at SPA for the last fiscal year)

 **7. SPA COMPLETES FDP SUBAWARD AGREEMENT FOR SIGNATURES*** Sends subaward paperwork (via email) to subawardee authorized official for review & signature
* When subawardee authorized official signs, a fully executed subaward is sent to subawardee
* PI is notified a subaward(s) has been executed and is prompted to create a Purchase Order (PO) for subaward invoicing

 **8. SPA PRE-AWARD AND SUBRECIPIENT MANAGER*****Execute**** Approves requisition for subaward
* Files copy of subaward in primary award folder & in subaward folder
* Creates an excel book to track subaward
* Updates FFATA page in PeopleSoft
* Reports FFATA, if required

***Control*****SUBAWARD MONITORING** **9. PI MONITORS SUBRECIPIENT TECHNICAL PROGRESS*** Communicate regularly with subrecipient PI to monitor progress on the project

**Communicate** **& Report*** Monitor receipt of technical reports for timeliness and content
* Communicate with SPA if changes need to be made to work statement, reporting requirements, budgeting

 **10. SPA PRE-AWARD AND SUBRECIPIENT MANAGER REVIEWS INVOICES*** Are they arriving on schedule?
* Do they contain the right level of detail to allow adequate review?

**Update** **& Track*** Ensure all costs are allowable, allocable and reasonable
* Ensure all costs were incurred within the period of performance of the subaward
* Logs invoice in workbook
* Emails invoice to PI for signature and authorization to pay
* When signed, invoice is emailed to UMASSINVOICES for payment
* Invoice is tracked until paid. Invoice filed in subaward folder and tracking sheet updated with payment information

**SUBAWARD AMENDMENT ISSUANCE** **12. PI/DEPARTMENT SUBMITS A REQUEST TO CHANGE/AMEND SUBAWARD TO SPA*** SPA Pre-award and Subrecipient Manager:
* prepares Amendment and submits Amendment to subaward authorized official
* sends PI and purchasing confirmation of amendment
* files a copy of amendment in primary & subaward folders and updates log
* SPA Post-award Grant Managers rebudget if necessary

**SUBAWARD CLOSE-OUT*****Close*** **14. SPA PREPARES SUBAWARD FOR CLOSURE*** Obtain final invoice (marked FINAL) from subrecipient
* SPA sends Close-out Certification to PI for completion. When received, Close-out certification and subaward submitted to Grant Manager with primary file
* Subaward is closed in log, PeopleSoft and moved to closed awards

 **15. SPA POST-AWARD GRANTS MANAGER and GRANT ACCOUNTANT COMPLETE CLOSE-OUT** |