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** |