

PI and/or Department Subaward Checklist

# Proposal Preparation

*PI requests proposal package from proposed Subrecipient to Include:*

[ ]  Statement of Work – specific to the Subrecipient

[ ]  Budget and Budget Justification- specific to the Subrecipient

[ ]  Subrecipient Commitment Form/FDP Form (as applicable) signed by Subrecipient’s authorized Official

[ ]  UCSD Single Audit Certification form and Mini audit (if Subrecipient has indicated NO to Section D of the subrecipient commitment form

[ ]  Other document as required by Sponsor (certifications, assurances and/or representations)

*PI evaluates Subrecipient:*

[ ]  Assess technical expertise and financial viability of the Subrecipient’s organization and key personnel

[ ]  Complete the Sole Source Justification form- **only for Federal Contracts**

# Subaward Issuance

*Research Administrator requests the Subaward in Kuali Research (“KR”) Subaward Module*

[ ]  Create KR Subaward Request- \*generally for one year at a time due to Subrecipient Monitoring

[ ]  Uploads Statement of Work

[ ]  Budget & budget justification

[ ]  Completed Subrecipient Commitment Form/FDP Form (as applicable) signed by Subrecipient’s authorized Official

[ ]  Any other documentation received from/pertaining to Subrecipient (Specific to Subrecipient such as Export Control Clearance)

[ ]  Completed Sole Source Justification form- **only for Federal Contracts**

# Subaward Amendments

*The need to amend the initial Subaward (e.g to provide next increment of funds, revised scope, revised budget, period of performance)*

[ ]  Request formal amendment via KR subaward module

[ ]  Include detailed budget for the requested change

[ ]  Include the Notice of Award

[ ]  Include the revised Statement of Work (if the scope is changing)

# Subrecipient Monitoring

*PI monitors Subrecipient technical progress:*

[ ]  Communicates regularly with Subrecipient PI to monitor progress on the project

[ ]  Monitor receipt of technical reports for timeliness/content

[ ]  Communicate with SPO early for changes needed on the Statement of work, budget, reporting requirements or if any issues arise

[ ]  PI/Dept. monitors Subrecipient’s adherence to Subaward’s terms/conditions

[ ]  PI/Dept. verifies compliance approvals remain current for Subrecipient’s portion of the statement of work (IRB, IACUC, biosafety)

[ ]  PI/Dept. reviews and monitors receipt of invoices:

 Are they arriving on schedule?

 Do they contain the right level of detail?

*PI reviews, 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 the technical progress and all required reports are received

[ ]  Cost Sharing, if applicable, is appropriately reflected

[ ]  If acceptable, PI certifies, signs and dates the invoice

[ ]  If not acceptable, PI rejects the invoice, clearly documenting the basis for rejection and returns to the Subrecipient for re-issuance