

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