Subaward Processing Checklist – Departments/PIs

**PROPOSAL PREPARATION:**
PI requests proposal package from proposed subrecipient, to include:
- Scope of Work – specific to the subrecipient
- Budget and Justification – specific to the subrecipient
- Subrecipient Commitment Form – signed by the subrecipient authorized representative
- Conflict of Interest Forms (if applicable)
- Any other documents required by sponsor (example: certifications, assurances and/or representations from the subrecipient)

**PI evaluates subrecipient:**
- Assess technical expertise and financial viability of subrecipient organization and key personnel
- Complete Subrecipient vs. Contractor Determination Form
- Complete Sole Source Justification Form – only for subcontracts (see Sole Source Form for definition)

**PI prepares proposal:**
- Integrate the subrecipient’s statement of work and budget into UCI’s proposal
- Include other forms (budget, biosketches, other support) as required by sponsor
- Submit completed UCI proposal to SPA via Kuali Coeus, including the subrecipient proposal package

**SUBAWARD ISSUANCE:**
PI/Dept. provides information requested by SPA for subaward issuance:
- Subaward Request Form
- Scope of Work (if revised from what was submitted with proposal)
- Budget and Justification (if revised from what was submitted with proposal)
- Verification that subrecipient is compliant with IRB, IACUC approvals (if applicable)
- Sole Source Justification Form for subcontracts only if not previously submitted (see Sole Source Form for definition)
- Mini-Audit Questionnaire for subrecipients not subject to the Single Audit Act

**SUBAWARD MONITORING:**
PI monitors subrecipient technical progress:
- Communicate regularly with subrecipient PI to monitor progress on the project
- Monitor receipt of technical reports for timeliness and content
- Communicate with SPA early if changes need to be made to statement of work, reporting requirements, budgeting, or if any other issues arise
- PI/Dept. monitors subrecipient’s adherence to terms

**SUBAWARD AMENDMENT ISSUANCE:**
PI assesses need to modify statement of work, budget, period of performance:
- Email Subaward Request Form to SPA Subcontract Officer and attach applicable revised documentation (budget and/or scope of work)
- Assist SPA in negotiating changes, if needed

**SUBAWARD CLOSE-OUT**
PI/Dept. plans for timely closeout:
- Check status with subrecipient 90 days before end date
- Follow up on late or missing reports or deliverables
- Obtain final invoice (marked FINAL) from subrecipient
- Send final invoice to Contracts & Grants Accounting
- Obtain Invention Statement/Equipment Report
- Obtain Subcontractor’s Release

**SUBAWARD QUESTIONS?**
Contact your Office of Research Subcontract Officer

Subawards under Non-Federal Prime Sponsors:
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