Subaward Processing Checklist– Departments/PIs
University of Maine – Office of Research Administration

PROPOSAL PROCESSING

PI requests proposal documents from proposed subrecipient, to include:
- ☐ Statement of Work
- ☐ Budget and Justification
- ☐ Any other documents required by UM or Sponsor
- ☐ Signed Subrecipient Commitment Form
- ☐ Signed Letter of Intent (if applicable)

PI evaluates subrecipient
- ☐ Assess technical expertise and financial viability of subrecipient organization and key personnel (Subrecipient vs Contractor determination)

PI prepares proposal
- ☐ Integrate the subrecipient's statement of work and budget into UM's proposal
- ☐ Include other forms (budget, biosketches, other support) as required by sponsor
- ☐ Forward completed UM proposal to ORA PreAward staff for review, including subrecipient proposal documents

SUBAWARD ISSUANCE

PI/Dept. provide information requested by ORA for subaward issuance:
- ☐ Collaborator and contact information
- ☐ Statement of work
- ☐ Budget (including cost share if applicable)
- ☐ Technical/financial reporting requirements
- ☐ Subaward performance period
- ☐ Verification that subrecipient is compliant with IRB, IACUC approvals (if applicable)
- ☐ Other information as needed

SUBAWARD MONITORING

PI monitors subrecipient technical progress and adherence to terms of award and cost sharing requirements:
- ☐ Communicate regularly with subrecipient PI to monitor progress on the project
- ☐ Monitor receipt of technical reports for timeliness and content
- ☐ Communicate with ORA if changes need to be made to statement of work, reporting requirements, budgeting

PI/Dept. monitor subrecipient's adherence to financial reporting terms:
- ☐ Are invoices and financial reports arriving on schedule?
- ☐ Do they contain the right level of detail to allow adequate review?

☐ **PI/Dept. verify compliance approvals remain current for subrecipient's portion of statement of work (human subjects, animal subjects, biosafety)**

SUBAWARD MONITORING (cont.)

SUBAWARD PROBLEMS?

- ➢ Subrecipient not submitting timely or accurate invoices?
- ➢ Subrecipient not complying with the terms of the agreement or its budget?
- ➢ Subrecipient isn't completing objectives?

Contact ORA at umsubawards@maine.edu before a problem becomes a crisis. We'll work with you and the subrecipient to resolve any issues.

☐ **Subrecipient sends invoice to umsubawards@maine.edu**

PI reviews invoices electronically via Email from umsubawards@maine.edu (see checklist for PIs)
- ☐ 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 technical progress and all required reports are received
- ☐ Cost sharing is appropriately reflected, if required
- ☐ If acceptable, PI approves invoice

SUBAWARD AMENDMENT ISSUANCE

PI assesses need to modify statement of work, budget, period of performance:
- ☐ Notify ORA in a timely manner to request amendment
- ☐ Provide information to ORA (budgets, dates, reporting requirements, etc.)
- ☐ Assist ORA in negotiating changes, if needed

SUBAWARD CLOSE-OUT

PI/Dept. plan for timely closeout:
- ☐ Check status with subrecipient 90 days before end date
- ☐ Follows up on late or missing reports or deliverables
- ☐ Ensure subrecipient submits final invoice (marked FINAL) and Subaward Closeout Form to umsubawards@maine.edu

Rev. 08/20/2025