**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

**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 PROBLEMS?**

Subrecipient not submitting timely or accurate invoices?

Subrecipient not complying with the terms of the agreement or its budget?

Subrecipient isn’t performing?

**Contact your ORA Subaward Officer early!**

**We’ll work with you and subrecipient to resolve.**

**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 Subaward Officer 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)**

**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 Subaward Officer in a timely manner to request amendment

Provide information to ORA Subaward Officer (budgets, dates, reporting requirements, etc.)

Assist ORA Subaward Officer 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