**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