

# 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](mailto:umsubawards@maine.edu)

### PI reviews invoices electronically via Email from [umsubawards@maine.edu](mailto: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](mailto:umsubawards@maine.edu)