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/MCA Form/FDP Form (as applicable) signed by the subrecipient’s authorized official
- Conflict of Interest Forms (if applicable, see Section D of the Subrecipient Commitment Form)
- Mini-Audit Questionnaire (if Subrecipient has indicated “No” in Section D - Audit Status on the Subrecipient Commitment Form)
- Any other documents required by sponsor (example: certifications, assurances and/or representations)

PI evaluates subrecipient:
- Assess technical expertise and financial viability of subrecipient organization and key personnel
- 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 UCD’s proposal
- Include other forms (budget, biosketches, other support) as required by sponsor
- Submit completed UCD proposal to SPO via Cayuse, including the subrecipient proposal package which should include:
  - Subrecipient Scope of Work
  - Subrecipient Budget and Justification
  - Subrecipient Commitment Form/MCA Form/FDP Form (as applicable)
  - Conflict of Interest Form (if applicable)
  - Mini-Audit Questionnaire for (if applicable)
  - Sole Source Justification Form (if applicable)

SUBAWARD ISSUANCE:
PI/Department provides request to SPO for subaward issuance:
- Subaward Request Form
- Subrecipient Commitment Form/MCA Form/FDP Form (as applicable) signed by the subrecipient’s authorized official
- Scope of Work
- Budget and Justification
- 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
- Email Subaward Request Form to subawards@ucdavis.edu and attach applicable documentation

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/content
- Communicate with SPO 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
- PI/Dept. verifies compliance approvals remain current for subrecipient’s portion of statement of work (human subjects, animal subjects, biosafety)

- PI/Dept. reviews and monitors receipt of invoices: Are they arriving on schedule? Do they contain the right level of detail to allow adequate review?

- PI reviews and approves or rejects invoices in a timely manner:
  - 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 certifies, signs and dates invoice and forward to accounting
  - If not acceptable, PI rejects invoice, clearly documenting the basis and rationale for rejection and returns to subrecipient for re-issuance

SUBAWARD AMENDMENT ISSUANCE:
PI assesses need to amend initial subaward (e.g. to provide next increment of funds, revise scope of work, budget, period of performance):
- Subaward Request Form
- Scope of Work—only if different from the original subagreement or amendment and approved by subrecipient.
- Budget and Budget Justification—only if different from the original and approved by subrecipient.
- Mini-Audit Questionnaire - only if it was required as part of the initial request package and more than 12 months has passed since it was originally signed
- Email Subaward Request Form to subawards@ucdavis.edu and attach applicable documentation

SUBAWARD CLOSEOUT:
PI/Department plan 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?
General Subawards Mailbox: subawards@ucdavis.edu