

## 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](mailto:subawards@ucdavis.edu) and attach applicable documentation

### SUBAWARD QUESTIONS?

General Subawards Mailbox: [subawards@ucdavis.edu](mailto:subawards@ucdavis.edu)

## 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](mailto: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