Checklist for Subaward Initiation and Monitoring – Updated 8/19/13

At the time of proposal...

- Determine with your PI who will be responsible for gathering the scope of work, budget, budget justification, letter of intent, and subrecipient commitment form from the collaborating institution.
- Request scope of work, budget, budget justification, letter of intent, and subrecipient commitment form from subawardee with a deadline of at least 5 working days prior to the prime proposal’s submission deadline.
- Include the scope of work, budget, budget justification, signed letter of intent, subrecipient commitment form, subawardee’s indirect cost rate agreement (if applicable), and subaward PI’s biosketch (if applicable) with the prime proposal when submitting to OSP for review.

At the time of award...

- Ensure that a Banner index has been created for the subaward.
- Prepare a Subaward Request Form, which is available on the Office of Sponsored Programs’ website. Both the PI and the fiscal administrator must sign this form. Include copies of the subaward documents if they have changed since original proposal submission. Submit to OSPAWARD@VCU.EDU.
- Request completed “Attachment 1” from the subrecipient commitment form, if applicable.
- OSP drafts and submits the subaward agreement to the prime sponsor for review (if required) and then to the subawardee.
- OSP negotiates the terms of the subaward agreement with the subawardee and notifies the PI and RA when a fully executed subaward agreement has been received.
- OSP encumbers the subaward funds in Banner.

During the award...

- Determine with the PI who will be responsible for tracking any technical reports due from the subawardee.
- Department receives invoices from the subawardee. Review invoices for the following:
  - Is the subaward number referenced on the invoice?
  - Are expenses charged to the proper budget categories and budget categories are not over expended?
  - Is the invoice total correct?
  - Is the cumulative amount less than or equal to the subaward total?
  - Has the subawardee submitted technical reports, if required, to support expenditures?
  - Is the required cost share reported on the invoice?
  - Is this cost allowable under OMB Circular A-21 (ie. office supplies, subscriptions, etc)?
  - Is IDC/F&A calculated correctly?
  - Does the invoice include the required certification statement?
  - Is the invoice signed?
— Is the time period reflected on the invoice? Is it subsequent to the previous invoice period? Is it within the subaward contract period?
— Does the previous cumulative amount plus the current invoiced amount total the current cumulative amount?
— PI reviews and approves invoices.
— Payment of invoices processed via Direct Pay/General Encumbrance form.
— Invoices logged in tracking system and expenses monitored against total funds allocated.

**During award close out…**

— Ensure any required final technical reports, patent reports, or property reports have been received.
— Ensure that all cost sharing requirements have been met (if applicable).
— Review the final invoice according to the above checklist and make sure that it is marked “final” and that there will be no further expenses.