Subaward Checklist – Departments/PIs

PROPOSAL PROCESSING:

Subrecipient vs. Contractor Determination
- [ ] At time of proposal, PI determines that nature of the relationship with LSU and the other entity
  - Subrecipient is performing part of the proposed research through intellectual input and authoring/co-authoring papers describing research result
  - Contractor is providing a routine service (e.g. analyzing samples), cost for service is budgeted as a Contractor (Vendor)
- [ ] Checklist to determine Subrecipient or Contractor classification can be found on FDP website:
  http://sites.nationalacademies.org/cs/groups/pgasite/documents/webpage/pga_153319.pdf

The PI must provide the following documents to OSP at the time of proposal routing when subaward is contemplated
- [ ] Scope of Work (required for expanded review)
- [ ] Budget and Justification
- [ ] Letter of Collaboration signed by Authorized Representative
- [ ] Any other documents required by Sponsor
- [ ] Copy of fringe benefit and F&A rate agreement (required for non-university subrecipients charging these costs).

SUBAWARD ISSUANCE:

PI Initiates Request to Draft Subaward
- [ ] PI/Dept. submits a completed Request to Draft Subaward (OSP-3 Form) to OSP with following information –
  - Subrecipient Scope of Work (needs to be separate if it is not clearly identifiable in LSU's proposal)
  - Subrecipient Budget and Budget Justification
  - Technical reporting requirements (at a minimum, the reporting requirements of the prime must be used)
  - Subaward Milestones and/or Payment Schedule (only fixed price subaward only)
  - PUR:CR - Contractor Information Form (to be completed by department in consultation with the vendor)

Subaward Preparation
- [ ] OSP performs Subrecipient Risk Assessment if required
- [ ] OSP prepares subaward
- [ ] OSP emails completed subaward to PI/Dept. for review and approval
- [ ] PI/Dept. reviews subawards for accuracy and notifies OSP if changes are needed or approval is granted

Subaward Processing through Workday
- [ ] Upon receipt of PI's approval, OSP emails the subaward to the subrecipient for signature
- [ ] If subrecipient requests changes to subaward, OSP makes approved changes and re-sends to subrecipient for signature
- [ ] Subrecipient returns partially executed copy to OSP via email
- [ ] OSP routes the subaward for signature by the designated LSU signatory
- [ ] OSP initiates request for non-catalog items requisition for services in Workday for the department, attaches the signed subaward, PUR:CR, and risk assessment documentation (when appropriate), and notifies the department cost center manager the requisition is ready to be reviewed and approved in Workday.

Procurement Review/Subaward Issuance
- [ ] Procurement reviews required procurement forms to ensure completeness and accuracy
- [ ] Procurement reviews requisition, creates a Purchase Order, and notifies OSP via email
- [ ] OSP returns a fully executed copy of the subaward to subrecipient via email and retains a copy in the OSP subaward file

SUBAWARD AMENDMENT ISSUANCE:

Subaward Modifications (SOW, budget, period of performance, etc)
- [ ] PI/Dept. completes a Request to Amend Subaward (OSP-4 form) and submits to OSP with all relevant documentation
- [ ] OSP prepares amendment then sends to PI/Dept. for review and approval
- [ ] PI/Dept. reviews amendment for accuracy and notifies OSP if changes are needed or approval is granted
- [ ] Upon receipt of PI's approval, OSP emails the amendment to the subrecipient for signature
- [ ] If subrecipient requests changes to the amendment, OSP makes approved changes and re-sends to subrecipient for signature
- [ ] Subrecipient returns partially executed copy to OSP via email
- [ ] OSP routes the amendment for signature by the designated LSU signatory
- [ ] OSP initiates change order in Workday for the department, attaches signed amendment and notifies the department cost center manager that the change order is ready to be reviewed and approved in Workday.
- [ ] Procurement reviews the change order and notifies OSP via email when approved
- [ ] OSP returns a fully executed copy of the amendment to subrecipient via email and retains a copy in the OSP subaward file

SUBAWARD MONITORING by PI:

Technical Progress Monitoring
- [ ] PI communicates regularly with subrecipient PI to monitor progress on the project
- [ ] PI monitors receipt of technical reports for timeliness and content
- [ ] PI communicates with OSP/SPA if changes are needed to statement of work, reporting requirements, budgeting, etc. and if there are problems or concerns related to the subaward.

Invoice Approval (see PI checklist in SPA Post-Award Manual)
- [ ] PI ensures all costs are allowable, allocable, and reasonable
- [ ] PI ensures all costs were incurred within the period of performance of the subaward
- [ ] PI confirms that expenses are aligned with technical progress
- [ ] If acceptable, PI signs invoice, Dept. prepares receiving report in PRO, then forwards the signed invoice to SPA

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SUBAWARD CLOSE-OUT:

Plan for timely closeout
- ☐ PI/Dept. checks status with subrecipient 90 days before end date
- ☐ PI/Dept. follows up on late or missing reports/deliverables
- ☐ PI/Dept. approves final invoice (marked FINAL) and subaward close-out documents (as required)
- ☐ PI/Dept. prepares receiving report and forward final invoice to SPA

QUESTIONS:

OSP: subs@lsu.edu; 578-2760, Procurement: 578-2176, SPA: 578-5337