

Sponsored Project Administration

Procedure: Issuing and Amending Outgoing Subawards Procedure
Owner: Sponsored Project Administration
Effective date: 06/25/2018
Last Updated: 07/09/2021

Background

Principal Investigators when developing proposals that are submitted to extramural funding opportunities often include collaborating with other investigators outside of UVM. W(.)JTJ 0Vir1.62 (Ut)67.2 (e)-44 (I)-11.7 (s

document used to engage the third party in the sponsored
aspects of such collaborations.

within its scope of work and must comply with all applicable
terms and conditions.

It is the responsibility to monitor the subrecipients to ensure
subaward document and prime award document.

Purpose

The goal of this document is to set forth the procedures for issuing outgoing subawards and their amendments. This procedure relates to University Operating Procedure: Issuing and Monitoring Subawards on Sponsored Agreements <https://www.uvm.edu/policies/grants/MonitorSubaward.pdf>

Roles and Responsibilities

Sponsored Project Administration (SPA)

- x Research Administrator (RA): Assists PIs and UAs at time of proposal submission. Assists with terminations and budgeting for third parties.
- x Award Acceptance Specialist (AA): At time of award, alerts the Outgoing Subaward Specialist if there are subawards by adding the subrecipient to the subaward tracker.
- x Senior Compliance Analyst (CA): Performs Risk Assessments of subrecipients
- x Outgoing Subaward Specialist: Manages subaward drafting, negotiation, maintenance of the subaward tracker, and subaward purchase order requisition setup.
- x Financial Analyst (FA): Reviews invoices to ensure consistency with subaward requirements and provides assistance to PIs and UAs in subrecipient monitoring and with any budgetary issues.
- x Authorized Organizational Representative (AOR): Individuals with institutional authority to sign subaward agreements

Principal Investigator (PI) and Unit Administrators (UAs)

- x Principal Investigator (PI): Has the primary responsibility for subrecipient monitoring.

- x A clear Scope of Work (SOW) to be performed by the subrecipient
- x A corresponding budget and budget

subaward The subaward agreements require detailed budgets to ensure funds are spent in an allowable and appropriate manner.

- x Fixed price subawards are agreements that include a payment structure with programmatic deliverables tied to a corresponding price determined in negotiations. In most cases, release of payment is tied to the PI's completion of agreed-

Awaiting Partially Executed

- x Each subrecipient institution will follow its own acceptance procedures and signature process
- x If the subrecipient requests edits and changes, the SPA Outgoing Subaward Specialist will be the point for negotiating terms and conditions with the subrecipient with consultation from the PI, UA and AA teams as needed
- x The Outgoing Subaward Specialist will follow up with the subrecipient every two weeks if they have not sent back their completed and signed subaward agreements or PIs may be asked to assist with this.

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- x No cost extension (NCE)
Additional time is added to the subaward agreement. This must not exceed the period of performance of the prime award. PIs should work with SPARA for this type of amendment. Please see the NCE Procedure for more information.
- x Continuation
Time and funds are added to the subaward agreement. The AA will notify the Outgoing Subaward Specialist when a new period of an award has been accepted.
- x Supplement
Funds are added to the current period of performance of the subaward agreement. If the prime award needs to be re-budgeted the PI will communicate with the RA and FA.
- x SOW Change
Change to the subaward SOW. New SOW must be included with the amendment. Please notify the Outgoing Subaward Specialist of a SOW change. If this also affects the prime award's SOW, the RA should be notified as well.
- x PI Change
Change of the subrecipient PI. Inform the Outgoing Subaward Specialist of this change, and an amendment will be created.
- x Termination
The subaward agreement is terminated for a variety of reasons. Subrecipient is not completing the agreed upon SOW, UVM PI or subrecipient leaves their institution, etc. RA and FA should be notified of the termination, and the Outgoing Subaward Specialist will create the necessary amendment.
- x Carryforward
The subrecipient and UVM PI are responsible for monitoring funds that may or may not be carried forward. For some awards carryforwards are automatic, and others must request prior approval from the sponsor. Automatic carryforwards should be addressed in the terms and conditions of the prime award. Please see SPA Procedure for Carryforward of Unobligated Balances.

Risk assessment for amendments

- x A risk assessment must be performed for each amendment following the same procedure for initial subaward agreements.
- x If the CA determines that previous terms and conditions are no longer required, the new amendment will make note of that. Conversely, terms and conditions may be added with an amendment if the CA deems them necessary based on her findings.
- x Unless otherwise noted, all previous terms and conditions from the initial subaward agreement remain in full force and effect.

Further Consideration

Northeast Sustainable Agriculture Research and Education program (SARE) is a 12 state regional grants program of USDA/NIFA housed at the University of Vermont Extension. SARE follows a slightly different process than other subawards

- x The SARE office sends complete SOAC forms to the Outgoing Subaward Specialist. Information is entered into the subaward tracker and risk assessments are completed.
- x The CA communicates any additional terms and conditions to the SARE office. SARE then drafts the subaward agreements and sends them to the Outgoing Subaward Specialist for review and approval.
- x The Outgoing Subaward Specialist carefully reviews the subaward agreements and communicates any edits to SARE.

- x SARE sends the approved agreements to the subrecipient. Subrecipients send the partially executed subaward agreements back to SARE. SARE sends them to the Outgoing Subaward Specialist for full execution.
- x Fully executed awards are returned to SARE. SARE sends them back to the subrecipient.

SARE's amendment follow our typical review/execution process, outlined earlier in this document. For more detailed information, see NESARE's SARE-SPA procedures, which are documented separately.

FAQs

Q: Which sections of the SCAC form does my subrecipient have to fill out?

A: If they are a member of the FDP Clearinghouse, they can opt to:

- x Complete the SPA SCAC form sections as identified (top section, Section C, and Section D). This is minimal compared to the whole form.
- x Complete and sign a letter of intent that provides similar information.
- x Complete some type of form they may have on file and use for this purpose.
- x If they are not a member, they must complete the entire form. They may, however, skip the financial questions if they include a link to their most recent single audit.

Q: My grant was just awarded. If I haven't heard from SPA about my subaward, what should I do?

A: Contact the Outgoing Subaward Specialist and ask for a status update.

Helpful Links