



## Office of Research

<b>SUBJECT:</b> Standard Operating Procedure for <b>Subawards</b> <b>Topic – Award Management and Monitoring Requirements</b>	<b>Effective date:</b> <b>00/00/0000</b>	<b>Policy Number:</b>
	<b>Supersedes:</b>	<b>Page</b> <b>of</b> <b>1</b> <b>2</b>
	<b>Responsible Authorities:</b> Associate Vice President of Research Director of Sponsored Programs	

**Purpose:** The purpose of this policy is to provide guidance on establishing the minimum requirements for the management and monitoring of subawards during the life of the award.

**Policy:** The Office of Research will follow applicable institution, sponsoring agency, state, and federal guidelines in the ongoing monitoring and management of subawards to subrecipients. UCF will utilize resources and standards provided by the Federal Demonstration Partnership (FDP) when possible. The 2CFR200 will serve as a guiding document for usual standards for subawards.

**Definitions (adapted from 2CFR200):**

**Subaward** - *Subaward* means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a sponsored project received by the pass-through entity.

**Subrecipient** - *Subrecipient* means an entity that receives a subaward from a pass-through entity to carry out part of a sponsored program.

**Pass-through entity** - *Pass-through entity (PTE)* means an entity that provides a subaward to a subrecipient to carry out part of the sponsored program.

**Background:**

**Procedures:**

1. Subaward will be reviewed not less than annually by Office of Research to insure ongoing eligibility and level of risk. This may be done at the time of modifications generated by incremental awards.
2. The current FDP Continuing Assessment Tool (see link below to FDP website) will be used by the subaward team for annual assessment.
3. Subrecipient invoices will be reviewed by PI for reasonableness, PI department/college for availability of funds, and Post-award team for congruence with the subaward agreement. Invoices will be paid by the sponsored program accounting department. Invoices will not be paid without review and authorization.
4. Modifications to existing subawards will be made at the request of the PI or PI delegate in accordance with the terms of the prime award as stated by the funding agency.
5. Subawards may be audited as deemed necessary to insure proper fiscal management of the sponsored award.

6. Subawards may be terminated for failure to perform, termination of the prime award, stop work orders by the sponsoring agency, or failure to meet the terms and conditions of the subaward agreement.
7. The principal investigator is responsible for the conduct of the scope of work of the project and fiscal prudence of all aspects of the project. In order to assist the principal investigator in this responsibility, all actions pertinent to subaward management will be with made with the involvement of the principal investigator.

**Process metrics:**

## **RELATED LINKS AND INFORMATION**

[Risk Assessment Questionnaire \(RAQ\) combined with Continuing Assessment Tool \(CAT\)](#)

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### **POLICY APPROVAL**

*Initiating Authority*

Signature: \_\_\_\_\_  
Dorothy Yates, Associate Vice President for Research

Date: \_\_\_\_\_