



## Office of Research

<b>SUBJECT:</b> Standard Operating Procedure for <b>Subawards</b> <b>Topic – Requirements for Award Stage</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 use of subawards at the time of award.

**Policy:** The Office of Research at UCF will follow applicable institution, sponsoring agency, state, and federal guidelines in the issuance 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. Awards will be reviewed by OSP Award receipt manager to determine the presence of a subaward.
2. The proposal manager for the award is responsible for ensuring that all required proposal documentation is complete.
3. The PI/Department Administrator is responsible for ensuring that all award documentation listed below is complete and has been uploaded to the Request Award Modification (AMR) in HRS:
  - a copy of the statement of work to be completed by the subrecipient and approved by PI
  - the subrecipient budget and budget justification, including indirect costs, as approved by PI.
  - \*\*NOTE: If there have been any revisions to the budget, a revised subrecipient budget must be included.**
  - signed Letter of Intent from the subrecipient organization (email will be accepted)
  - UCF Subrecipient Commitment Form completed by subrecipient (FDP Expanded Clearinghouse members are exempt from completing this form as indicated on signed LOI)
  - any additional information required by the sponsoring agency per agency guidelines
  - completed subaward predetermination form (when determination is not obvious)
  - subrecipient deliverables and due dates

- invoicing schedule and/or payment terms (if applicable)
- verification that subrecipient is compliant with IRB, IACUC approvals (if applicable)
- UCF Audit Certification and Financial Status Questionnaire (applicable to organizations not subject to the Single Audit Act)

4. The subaward team will perform a risk assessment of the subrecipient upon notification of award. As a member organization of FDP, the current risk assessment tool will be used to gauge the eligibility, acceptability and level of oversight required for the subrecipient organization. (See attachment.)
5. Additional information will be gathered at the time of award, as needed. The UCF Subaward team will work with the PI and act as liaison with the subrecipient institutional officials in order to put a subaward agreement in place as expeditiously as possible at the time of award.
6. FDP template agreements will be used where possible.
7. Sponsoring agency terms, conditions, and requirements will be flowed down to subrecipients as appropriate.
8. It is the responsibility of the Principal Investigator to determine if the scope of work is reasonable and necessary and if the proposed costs meet the test of reasonableness, prudence, allowability and allocability.

**\*\*ANY OMMISIONS TO THE REQUIRED SUBAWARD DOCUMENTS WILL DELAY THE PROCESSING OF YOUR SUBAWARD**

**Process metrics:**

#### **RELATED LINKS AND INFORMATION**

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

[Outgoing Subaward Processing Checklist](#)

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#### **POLICY APPROVAL**

*Initiating Authority*

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

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