Subaward Processing Checklist– Departments/PIs
Louisiana State University

PROPOSAL PROCESSING:

PI requests proposal package from proposed subrecipient, to include:

☐ Scope of Work (OSP does not need to see for streamlined review)
☐ Budget and Justification
☐ Any other documents required by Sponsor
☐ Copy of fringe benefit and F&A rate agreement. If subrecipient is a university, neither rate agreement is required. If subrecipient is a private organization charging fringe benefits and/or F&A costs, documentation substantiating rates used must be provided.

PI prepares proposal

☐ Integrate the subrecipient’s statement of work and budget into LSU’s proposal
☐ Include other forms (budget, biosketches, other support) as required by sponsor

SUBAWARD ISSUANCE:

PI/Dept. provide information requested by OSP

☐ Completed Request to Draft Subaward (RTDS) Form. See Forms section of OSP’s website.
☐ Subaward Scope of work (needs to be separate if it is not clearly identifiable in proposal)
☐ Subaward Budget and Budget Justification
☐ Technical reporting requirements (at a minimum, the reporting requirements of the prime must be used).
☐ OSP prepares subaward then emails completed subaward to PI/Dept. for review

PI/Dept. reviews subaward

☐ PI/Dept. review subaward for accuracy
☐ PI/Dept. notifies OSP if changes are needed

Dept. processes “PI approved” subaward through the online Purchasing system (PRO)

☐ Create an online requisition in PRO
☐ Upload “PI approved” subaward as an attachment to requisition in PRO
☐ Route requisition & release to Purchasing with attachments for required University approvals and complete the PUR-CR form online. Attach and complete the PUR-CB when amount is > $50,000, required for private entities.

Purchasing reviews requisition then obtains signatures and OCR approval (if required)

☐ Once requisition has been received, Purchasing will ensure subaward dates are in accordance with prime dates
☐ Purchasing emails subaward to subrecipient’s contact with instructions to print, sign and return 2 originals to Purchasing. If necessary, a W9 form and/or board resolution/signature authority will be requested.
☐ If subrecipient requests changes to subaward, Purchasing will coordinate with OSP to make changes. OSP will make approved changes to subaward and resend to subrecipient for signature and copy Purchasing.

SUBAWARD MONITORING:

PI monitors subrecipient technical progress

☐ Communicate regularly with subrecipient PI to monitor progress on the project
☐ Monitor receipt of technical reports for timeliness and content
☐ Communicate with OSP/SPA if changes need to be made to statement of work, reporting requirements, budgeting

PI reviews and signs invoices (see PI checklist in SPA Post-Award Manual)

☐ Ensure all costs are allowable, allocable, and reasonable
☐ Ensure all costs were incurred within the period of performance of the subaward
☐ Confirm that expenses are aligned with technical progress
☐ If acceptable, PI signs invoice

☐ Dept. prepares a receiving report in the PRO system then forwards the PI-signed invoice to SPA.

SUBAWARD AMENDMENT ISSUANCE:

PI assesses need to modify statement of work, budget, period of performance

☐ Notify OSP to request amendment
☐ Provide information to OSP (budgets, dates, reporting requirements, etc.)

☐ OSP prepares amendment then sends to PI/Dept. for Review

☐ Dept. creates PO alteration in PRO, uploads “PI approved” amendment, adds Alteration Text, routes for approvals

☐ Purchasing reviews and makes necessary changes to PRO and attachments then obtains signatures.

SUBAWARD CLOSE-OUT:

PI/Dept. plan for timely closeout

☐ Check status with subrecipient 90 days before end date
☐ Follow up on late or missing reports or deliverables
☐ Obtain final invoice (marked FINAL) and subaward close-out documents (as required) from subrecipient
☐ Prepare receiving report and forward final invoice to SPA

QUESTIONS:

OSP: 8-2760, www.lsu.edu/osp
Purchasing: 8-2176, www.fas.lsu.edu/purchasing/default.htm
SPA: 8-5337, www.fas.lsu.edu/AcctServices/spa/