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.

- **Subrecipient returns 2 signed originals to Purchasing for LSU signature.**
- **One fully-executed original is returned to subrecipient and the other fully-executed original is retained by OSP.**
- **For subawards over $20K issued under non-federal awards, the Louisiana Office of Contractual Review (OCR) approval is required. Once subaward has been signed by subrecipient and LSU, Purchasing will obtain OCR approval.**

**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](http://www.lsu.edu/osp)
- **Purchasing:** 8-2176, [www.fas.lsu.edu/purchasing/default.htm](http://www.fas.lsu.edu/purchasing/default.htm)
- **SPA:** 8-5337, [www.fas.lsu.edu/AcctServices/spa/](http://www.fas.lsu.edu/AcctServices/spa/)

10/12/10