Subawards:
Avoiding Common Mistakes

Theresa Saunders-Landreth
Subaward Specialist
Sponsored Projects Office

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Why it matters:

Preparation:

○ New Subawards: Review the Subaward documents.

  ○ Make sure they're the most current version.

  ○ Make sure they're internally consistent (e.g. justifications match budget).

○ Amendments: Review the prior Subaward documents in Phoebe Search.

  ○ Make sure any amended documents (SOW, budget, justification) follow logically from what was previously included in the subaward.

  ○ Make sure your budget changes follow logically from what has previously happened.

○ All Subaward transactions:

  ○ Confirm the Sub-PI has agreed to any changes to the SOW, budget and performance period.

  ○ Confirm that any required Sponsor approvals are in place.

Timing:

- Wait until the supporting Phoebe Award Summary (PAS) has been distributed to campus.

    - Applies to new awards and amendments (e.g. incremental funding; prior approvals).

    - Subaward requests will be returned if the PAS is not distributed.

- Try to request the subaward as soon as possible after the PAS is distributed.

    - When you see subaward(s) listed on the PAS, that's your cue to request the subaward(s).

    - SPO does not automatically issue amendments for annual increments; you have to request them.

    - Subaward requests submitted > 1 year after the intended Subaward start date will require an explanation.

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Fillable Fields:

o Double check that the Subrecipient Authorized Official email address you provide is correct.

  o This is the address we use to send the subaward.

  o This should be the person authorized to negotiate subawards on behalf of the Subrecipient organization.

o Remember that the Subaward performance period cannot exceed the Prime Award performance period; check the Prime Award document.

o For Amendments, please fill out the changes you want make; don't just upload documents and assume we'll figure out what you want.

o For Amendments, if budget changes are complicated, provide a narrative explanation in the comments.

o If you're obligating only partial funding for a given year, please say that.

Fillable Fields:

○ For amendments, if you are issuing an annual amendment (e.g. for time and funding) don't forget to fill in the "Extend end date" field.

☑ Extend end date

New authorized budget period end date

07/31/2025

○ For amendments, the budget information you provide should be sufficient for SPO to complete the following sentence:

Funding for this Subaward is <increased/decreased> by $_____ in accordance with the budget, for the _____ period, included <in the Original Subaward><herein> as Attachment ___. This <increases/decreases> the total amount funded to date, from $_____ to a new total of $_____.

Fillable Fields:

○ **For amendments, clarify what period you are funding, especially if it is not straight forward.**

☑ Increase future obligated funding

Amount to add

$150,000

Dates or other description of budget period(s) to increase

Year 2 increment (8/1/2024 - 7/31/2025)

☑ Increase future obligated funding

Amount to add

$225,000

Dates or other description of budget period(s) to increase

Remaining ($75,000) for Y1 (8/1/23 - 7/31/24) and full funding ($150,000) for Y2 (8/1/24 - 7/31/25)

Fillable Fields:

○ **For amendments, you can enter multiple budget actions.**

Amounts

Current obligated amount $1,627,999

☑ Decrease previously obligated funding

Amount to subtract

-$500,000

Dates or other description of budget period(s) to decrease

deobligate unspent funds from Year 1 (8/1/2023 - 7/31/2024)

☑ Increase future obligated funding

Amount to add

$150,000

Dates or other description of budget period(s) to increase

Year 2 increment (8/1/2024 - 7/31/2025)

New total amount

$1,277,999

Fillable Fields:

o **For amendments, if you're revising the budget but not changing the total, check "cost-neutral budget revision" and upload the revised budget and justification**

Amounts

Current obligated amount $1,627,999

☐ Decrease previously obligated funding

☐ Increase future obligated funding

☑ Cost-neutral budget revision

☐ Working capital advance request

Subaward budget forms

New budget

| Choose File | 05b_BudgetInfo (RO).pdf |

File description (optional)

New budget Justification

| Choose File | 05b_BudgetInfo (RO).pdf |

File description (optional)

Fillable Fields:

o **For amendments, make sure your numbers add up.**

Amounts

Current obligated amount $1,627,999

☐ Decrease previously obligated funding

☑ Increase future obligated funding

Amount to add

$150,000

Dates or other description of budget period(s) to increase

Year 2 (8/1/2024 - 7/31/2025)

New total amount

$1,777,999

Attachments:

o **Things you DO need to upload:**

   o For New Subawards: Commitment Form, SOW, Budget, Justification, documents required for Re-Grants (if applicable).

   o For Amendments: **ONLY** what is changing (e.g. revised/supplemental SOW; revised/supplement budget and justification).

o **Things you DON'T need to upload:**

   o UCB PI approvals.

   o Emails from the Subrecipient requesting the subaward/amendment.

   o Copies of the previous Subaward documents.

   o Other proposal materials (e.g. biosketches, resources pages, other support)

   o Copies of the Prime Award (unless it is a Mod that specifically approves the subaward transaction, and even then it's helpful but not necessary)

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Attachments:

- o Please don't just upload everything to "Other" documents. Put the attachments in the fields where they belong.

- o Remember that the SOW, Budget, Justification, documents become part of the Subagreement document.

- o Electronically-signed PDFs (e.g. Commitment Forms) may "drop" the signature when combined with other PDF documents. To avoid this, create a "read-only" document by "printing" it to PDF.
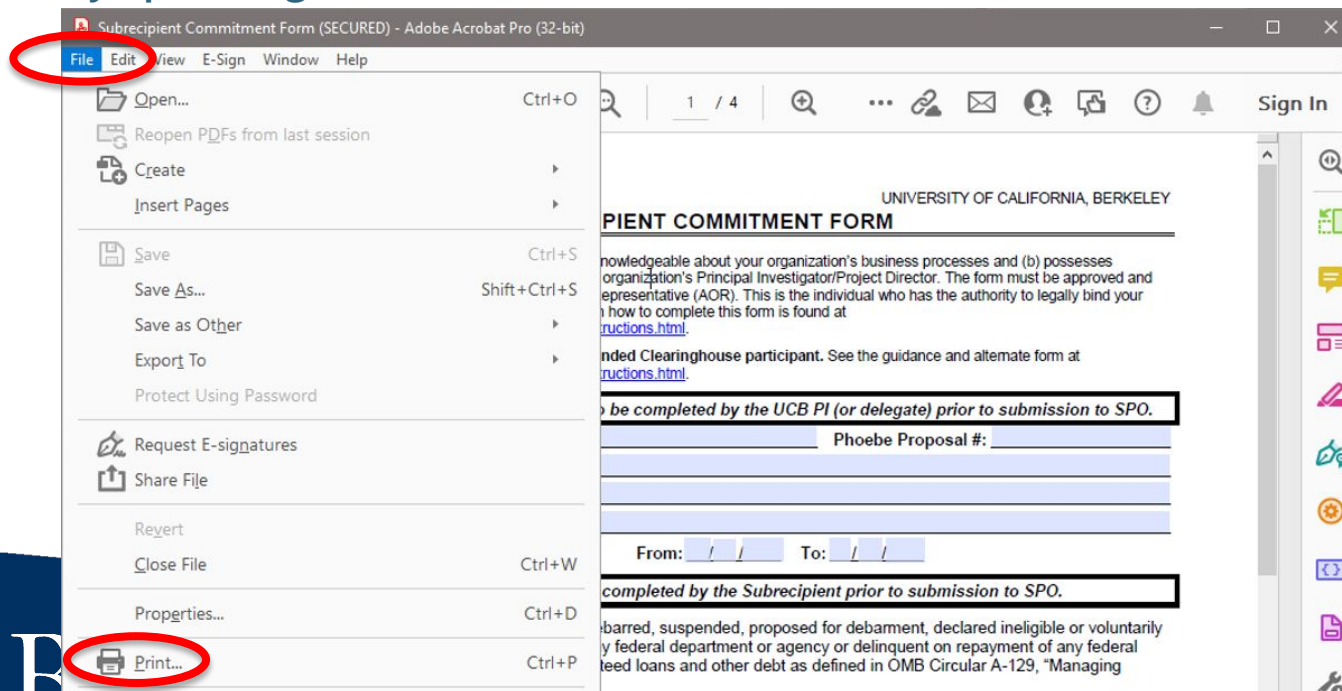
SOWs & Budgets:

o The SOW you provide must be the Subrecipient's SOW (not Berkeley's).

o The SOW should not include any invoicing/payment terms or obligation amounts.

o The budget you provide must document the approved obligation amount. If the budget has changed since the proposal stage, provide a revised budget.

o Amendment budgets must follow logically from the budgets in the Original Subaward and prior amendments.

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Carry-Forward:

o **Carryforward does not need to be approved if carryforward is automatic. (Check the Subaward terms.)**

Carryover

☑ Approve carryover

Amount to carry over (or "any")

any

Provide dates or other description of the budget period from which funds are carrying forward.

all prior years of the project

o **Carryforward can't be approved if we don't already have the required Sponsor carryforward approval.**

o **Carryforward approval is not applicable to no-cost extensions.**

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Negotiation:

o Refer any requests for negotiation of Subaward terms to the Subaward Team (subcontracts@berkeley.edu). Don't try to negotiate yourself.

o If you receive anything from the Subrecipient relative to Subaward negotiation, forward it directly to the Subaward Team (subcontracts@berkeley.edu).

o You don't need to provide SPO with the Purchase Order (PO) numbers for subawards. We don't save that information.

o You don't need to cc SPO when communicating with Subrecipients regarding POs or invoicing. We trust that you'll take care of it.

Errors/Changes:

o If something in Phoebe Search or a subaward looks wrong, alert subcontracts@berkeley.edu; it may just require a correction, not an amendment.

Questions:

o Contact subcontracts@berkeley.edu.