

# Research Subawards – A Process Overview

## Sponsored Projects Office, Subaward Team

### Proposal Stage - (Building the Sub)

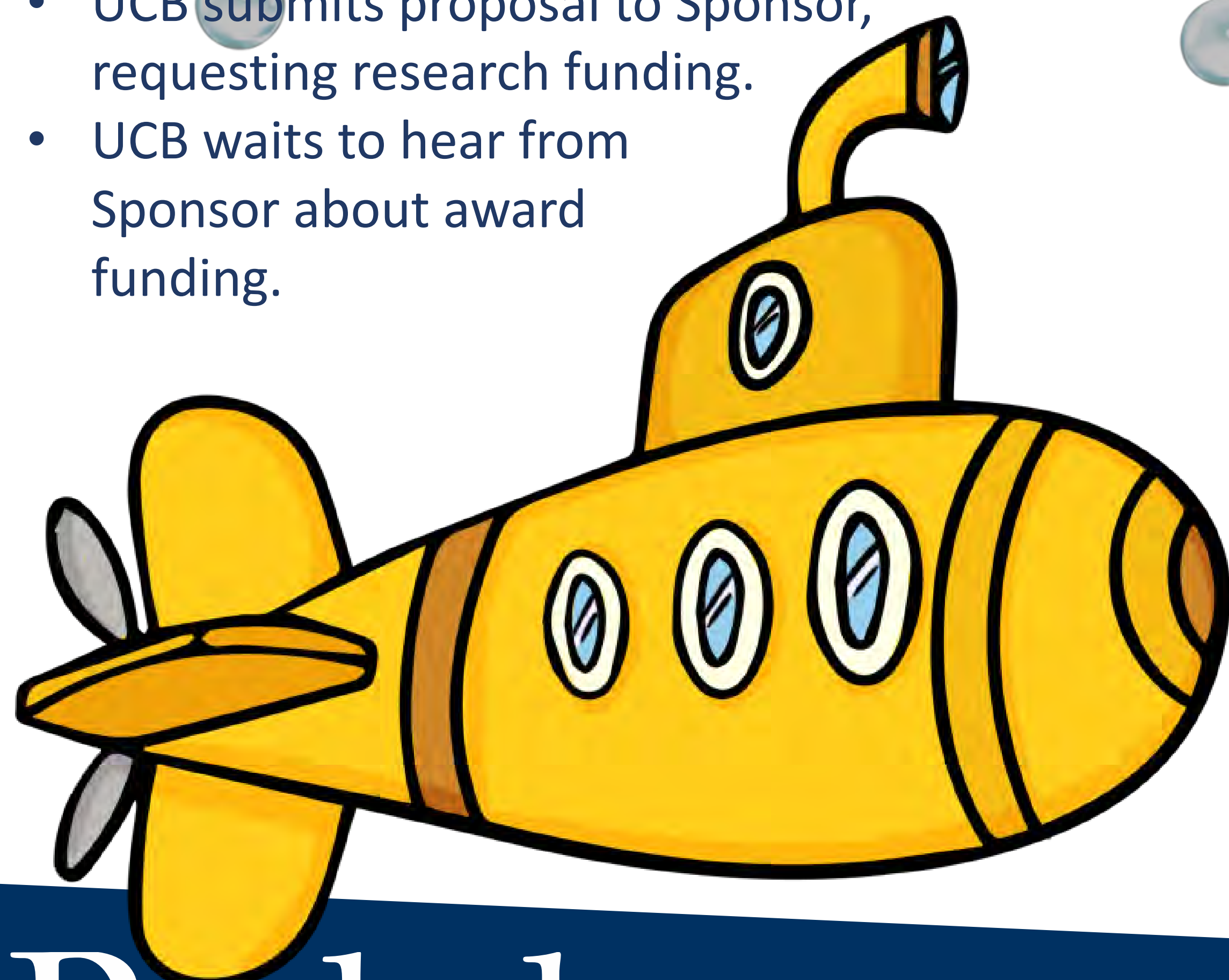
Begins when a UCB PI decides to collaborate with a Co-Investigator at a Subrecipient institution.

- CSS RA assists UCB PI in obtaining Subaward Proposal from Subrecipient:
  - Subrecipient/MCA Commitment Form
  - FCOI Forms (if using pre-4/2017 Subrecipient Commitment Form)
  - Scope of Work
  - Budget & Justification
  - Bio-sketches & Other Support (if required)
  - Other documents for the proposal
  - Federally Negotiated IDC Agreement (for Federal awards)

**Evaluate Subrecipient's Scope of Work to make sure the relationship is not that of a Vendor/Contractor. SOW should indicate:**

- Substantive programmatic work
- Programmatic control/discretion
- Creative design
- Independent decision making

- CSS RA works with UCB PI to integrate Subrecipient's information into research proposal.
- UCB submits proposal to Sponsor, requesting research funding.
- UCB waits to hear from Sponsor about award funding.



### Award Stage - (Launching the Sub)

Begins when Sponsor notifies UCB of award funding.

- Sponsor and SPO negotiate terms of Prime Award.
- Sponsor and SPO execute Prime Award.
- SPO issues Phoebe Award Summary.



**If no Subaward number is assigned, send Subaward Proposal materials to SPO CGO and ask that a new Subaward number be established.**

- CSS RA assists UCB PI in submitting request to SPO, to issue Subaward:
  - Subaward Request Form
  - Subrecipient/MCA Commitment Form
  - Scope of Work
  - Budget & Justification



**Make sure the Subrecipient has agreed to any changes made since the proposal stage.**



**Email request to [sposubrequest@Berkeley.edu](mailto:sposubrequest@Berkeley.edu).**



**Submit one Subaward Request per email.**



**Complete all required fields on the Subaward Request Form, and attach all required documents.**

- SPO and Subrecipient negotiate Subaward terms.
- SPO and Subrecipient execute Subaward.
- SPO sends fully executed Subaward to Subrecipient and UCB PI.
- CSS RA establishes BearBuy PO for Subaward and notifies Subrecipient of PO number.
- Subrecipient begins work on project.
- CSS RA and UCB PI begin monitoring Subrecipient's progress and invoicing.

### Amendment Stage - (Driving the Sub)

Happens when a change is required to a Subaward agreement.

- CSS RA discusses required Subaward changes with UCB PI. For example:
  - Issue next Subaward funding increment.
  - Extend end date of Subaward.
  - Reduce funding for Subaward.
  - Approve carry-forward.
  - Revise Scope of Work or Budget.
  - Change reporting requirements.
  - Change the Subaward PI.
  - Change Subaward terms.
- CSS RA assists UCB PI in submitting request to SPO, to amend Subaward:
  - Subaward Request Form
  - Scope of Work (if changed)
  - Budget & Justification (if changed)



**Make sure the Subrecipient has agreed to any changes made since the original award was issued.**



**Email request to [sposubrequest@Berkeley.edu](mailto:sposubrequest@Berkeley.edu).**



**Submit one Subaward Request per email.**



**Complete all required fields on the Subaward Request Form, and attach all required documents.**

- SPO and Subrecipient negotiate Amendment terms.
- SPO and Subrecipient execute Amendment.
- SPO sends fully executed Amendment to Subrecipient and UCB PI.
- CSS RA modifies BearBuy PO (if needed).
- Subrecipient continues work on project.
- CSS RA and UCB PI continue monitoring Subrecipient.

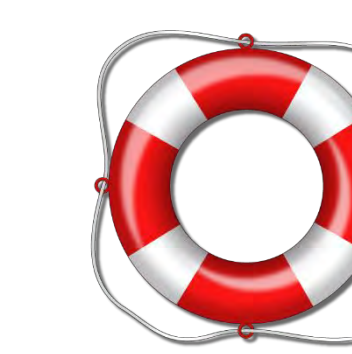
### Close-out Stage - (Docking the Sub)

Happens when the Subrecipient's Scope of Work is completed.

- Subrecipient sends final report and final invoice to UCB.
- Fund Manager checks with UCB PI to ensure that all Subrecipient's reporting obligations are completed.
- Fund Manager performs close-out analysis of Subaward funds and closes BearBuy PO to disencumber any unspent funds.
- Subaward status in Phoebe automatically changes to "Expired," 30 days after performance period end date.



**An Amendment is not needed to close-out a Subaward, unless the request is for early termination.**



**An expired Subaward may be reactivated via Amendment, if the Prime Award performance period allows.**

