

Subawards:

Avoiding the most Common Errors

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Quick Statistics:

Of the Subaward Transactions* processed between Sep 1, 2018 and Aug 31, 2019, **50%** required some kind of Departmental clarification or correction.

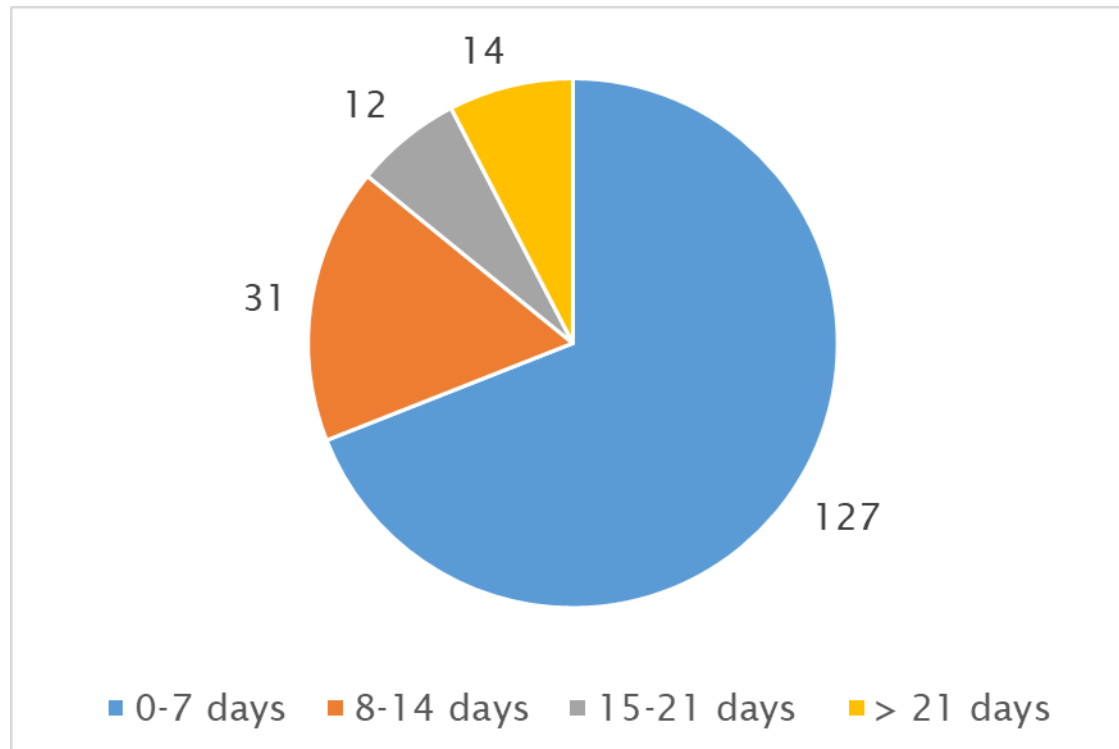
557 = total number processed

280 = total number requiring clarification/correction

(* Subawards to Institutions of Higher Education, under grants and cooperative agreements, from Federal and Foundation sources.)

Quick Statistics:

For Subaward Transactions needing some kind of Departmental clarification/correction, number of days awaiting Departmental response:



Quick Statistics:

Average initial processing* time for Subaward Requests:

12 days for those requiring Departmental clarification/correction

66% were processed in 0-7 days

13% were processed in 8-14 days

8% were processed in 15-21 days

14% were processed in 21 or more day

4 days for those not requiring Departmental clarification/correction

94% were processed in 0-7 days

1% were processed in 8-14 days

5% were processed in 21 or more days

(* Time from the Subaward Request submission date, to the date the subaward is sent to the Subrecipient for review and approval.)

Why it matters:



Common Errors to Avoid:

- Make sure to use the most recent Subaward Request Form available on SPO's website.

<https://spo.berkeley.edu/forms/ucforms.html>

Subaward Request: New Subaward Request and
Subaward Amendment Request
Subaward Request Form Instructions

4/2019

- Review the instructions on how to prepare and submit the Subaward Request Form on SPO's website.

https://spo.berkeley.edu/forms/subaward/subawardrequest_instructions.html

Common Errors to Avoid:

- **Make sure the Subaward Request Form is filled out completely.**
 - The Subaward Request Form signifies the UCB PI's instructions to SPO on what subaward actions to execute. If an action is not specified on the Subaward Request Form, we will need email confirmation that the PI approved it.
 - For Amendments, don't forget to specify "Extend End Date" when obligating the next year's funding.
 - For Amendments, don't forget to specify other special circumstances like "Change Subrecipient PI" or "Revise Scope of Work" on the Form.
 - The Subaward Specialists depend on Department RAs to provide the basic information about the subaward, including contact information for both PIs and the Subrecipient Institution. If we have to look up otherwise confirm information with you, this slows processing time.

Common Errors to Avoid:

- **Make sure the Subaward Request Form is filled out correctly.**
 - Obligation amounts specified on the Subaward Request Form should match what is in the budget.
 - Performance period dates must be within, and should sync with, the Prime Award performance period dates.
 - The “New Total” specified on the Subaward Request Form should represent the new total of funds obligated to date (i.e. what we obligated previously plus what we are obligating in the current amendment).
 - If the Original Subaward indicates that carry-forward is automatic or does not require prior approval, then “carry-forward approval” should not be specified on the Subaward Request Form.

Common Errors to Avoid:

- **Make sure you are including all the required attachments.**
 - Requests for new subawards must include:
 - Subaward Request Form
 - Subrecipient Commitment Form
 - Scope of Work
 - Budget and Budget Justification.
 - Amendment requests to revise the budget, must include the revised budget and a corresponding updated budget justification.
 - If the subaward is the result of an RFP issued by UCB Berkeley, a copy of the RFP that the Subrecipient responded to, the Award Letter that was issued to them, and a copy of any Award Terms & Conditions must be included.

Common Errors to Avoid:

- **Don't include things that are not needed.**
 - Scopes of Work and Budgets do not need to be included with amendment requests, if these have not changed from what is in the Subaward.
 - Email documentation that the UCB PI has approved the Subaward or amendment actions is not needed. Submission of the Subaward Request Form constitutes the PI's approval for the actions requested therein.
 - Generally, you don't need to provide a copy of the Prime Award.

Other Ways to Help Speed Subaward Processing:

- When submitting amendment requests, review the Original Subaward and prior amendments to refresh your memory of the subaward's funding history.
 - All Subaward documents are available in Phoebe Search (<https://phoebe.rac.berkeley.edu/search>)
 - If you can't find a Subaward document, please contact subcontracts@berkeley.edu
- Make sure the Subrecipient is aware of amendment changes before-hand.
 - If we send them an amendment with a revised budget they are not expecting, and they reject it, this will slow down processing time.

Other Ways to Help Speed Subaward Processing:

- When amendments include revised or supplemental Budgets or Scopes of Work, let us know whether the new Budget or SOW replaces or supplements the one previously included in the Subaward.
- If the amount being obligated is not straight forward, explain how you arrived at your “Amount to Add.” For example:

“This is a partial obligation of the Year 2 anticipated funding.”

“We are deobligating \$15,467 from Year 1, and obligating \$56,870 in new funding for Year 2.”

Other Ways to Help Speed Subaward Processing:

- Don't be afraid to write stuff on the Subaward Request Form.
 - You may use the “Other”, “Special Invoice Instructions,” and “Subawardee Reporting Requirements” fields, on the Subaward Request Form to explain any kind of special circumstances or unusual issues.
 - You may also attached additional documentation explaining special circumstances or unusual issues.

Questions:



