**Syracuse University**

Office of Sponsored Programs

**Request to Issue a Subaward**

After notification of award, **the principal investigator is to complete this form** when some substantive portion of the project will be performed by another entity using sponsored funds. For any “no” responses, please briefly explain.

Please refer to the instructions presented on page 8 for guidance, and specific instructions on what is to be included in the statement of work. The completed, signed form and the Subrecipient Contact Information Sheet should be returned to the Office of Sponsored Programs at 211 Lyman Hall.

1. **General Information**

|  |
| --- |
| Legal Name of Subaward Recipient:       |
| ***Subrecipient Contact Information* *Sheet Attached***: [ ]  |
| Project Title:       |
| Sponsor’s Award number:       |
| Subaward Amount - This Action:      ; Anticipated Total (entire project):       |
| Is F&A/Indirect being applied to the subaward up to the first $25,000? [ ]  Yes [ ]  No,       |
| Current Subaward period:       -       |
| Expected Subaward period of performance (entire project):       -        |
| Syracuse University Project Number:       |
| ***Subrecipient Statement of Work[[1]](#footnote-1) Attached***: [ ]  |
| ***Subrecipient Budget Attached***: [ ]  : Must be authorized by institutional official and correspond to the funds to be awarded to the collaborator. |

1. **Rationale for subrecipient Selection**

|  |
| --- |
| Was this subrecipient included in the application reviewed and awarded by the Sponsor?[ ]  Yes, Subaward amount for this subrecipient included in parent award = $      Explain any discrepancy between the amount included in the award and the requested amount;      [ ]  No, explain the rationale for and any budget adjustments needed as a result of this addition.      If you did not solicit competitive bids please provide the reasons why you selected this specific subrecipient:      **Note:** *Except in cases where the subrecipient is specified in the application and the collaboration has been peer reviewed and subsequently funded, federal subawarding regulations (OMB Circular A110) require that sub-awards be issued following an open and fair competition, except in the case where a sole or single source is justifiable (See Instructions below).* |
| If you solicited competitive bids, attach a table listing the name, address of each potential subrecipient contacted, and the financial bid proposed. Table attached: [ ]  |

1. **statement of work**

The statement of work must be provided by the Subrecipient and approved by their authorized institutional officials.

The Syracuse University Principal Investigator is responsible for reviewing the subrecipient statement of work and making a determination that the statement of work is reasonable given the proposed project goals.

In your judgment, have you determined that the content in the statement of work is sufficient to meet the requirements of the project?

1. **Subrecipient PI**

Does the statement of work (SOW) include the name of the PI and all key personnel?

[ ]  Yes [ ]  No,

1. **Additional Staffing and Resources**

Does the SOW include information on additional staffing and special resource needed to complete the work?

[ ]  Yes [ ]  No,

1. **Project Goals**

Does the SOW include a brief narrative about what the project hopes to accomplish?

[ ]  Yes [ ]  No,

1. **Location**

Does the SOW include the location where the work will be completed?

[ ]  Yes [ ]  No,

1. **Goals/Objectives/Tasks**

Does the SOW include a list of the goals, the measurable objectives and the tasks/activities to be performed? The list must also include who will perform these tasks and what level of commitment is expected. This information must contain sufficient detail to determine if the objectives have been met.

[ ]  Yes [ ]  No,

1. **Milestones/Deliverables**

Does the SOW clearly establish milestones or deliverables to be used to authorize payments and evaluate the performance on the project?

[ ]  Yes [ ]  No,

1. **Required Meeting and Reports**

Does the SOW include a timeline for any required meeting or reports?

[ ]  Yes [ ]  No,

1. **Budget Information**

The Syracuse University Principal Investigator is responsible for reviewing the subrecipient budget for reasonable terms and allocability to the proposed work plan.

In your judgment, have you determined that the following subagreement costs are reasonable given the proposed work plan?

1. **Salaries/level of effort**

Salaries have been reviewed and appear reasonable.

[ ]  Yes [ ]  No,

1. **Equipment**

Equipment, if included, has been reviewed and appears reasonable and necessary.

[ ]  Yes [ ]  No,

1. **Travel**

Travel has been reviewed and appears reasonable and necessary.

[ ]  Yes [ ]  No,

1. **Foreign Travel**

Is foreign travel included in the budget and necessary (Note additional approvals may be needed prior to travel, even when included in an awarded budget).

[ ]  Yes [ ]  No,

1. **Materials & Supplies**

Materials and supplies have been reviewed and appear reasonable and necessary for the goals given in the work plan.

[ ]  Yes [ ]  No,

1. **Other Direct Costs**

All other direct costs have been reviewed and appear reasonable.

[ ]  Yes [ ]  No,

In addition, provide below or attach ([ ] ) any other information that you feel will be useful in verifying the subrecipient’s proposed budget.

1. **F&A/Indirect Costs**

Will F&A/indirect costs be charged?

[ ]  Yes [ ]  No,

If yes, has justification for that rate been included?

[ ]  Yes [ ]  No,

What Rate:       %, if different from negotiated rate, please explain:

1. **Other Information**

All compliance regulations applicable to SU’s award will be flowed down to the subrecipient. Contact OSP at x2807 if you have questions.

1. **Human or Animal Research subjects** involved: [ ]  Yes [ ]  No

 [ ]  Human [ ]  Vertebrate Animal

* 1. Subrecipient has an approved protocol with an expiration date of
	2. OSP will request documentation of the approval from the Subrecipient
1. **Reporting Requirements**
	1. Routine reporting requirements;
	2. Unusual reporting requirements (e.g., you would like to review all prepublications prior to submission)
2. **Degree of financial back-up required with invoices**

[ ]  Summary Invoice reflecting expenditures in approved budget periods

[ ]  Source records accessible for review upon request,

[ ]  Detailed back up required,

[ ]  Other options;

This information will be used to help you determine the allowability, reasonableness, and necessity of costs or otherwise approve invoice expenditures and cost sharing.

1. **Other Information**

Provide any other information that you feel will be useful in preparing the subaward, or specific requirements you wish to have set forth in the subaward. Please see instructions for additional information and suggestions.

* + 1. Intellectual property (copyright requirements, patent requirements)
		2. Equipment ownership
1. **Authorized Approver of Invoices**
	1. The PI/PD is automatically authorized to review and approve invoices submitted by subrecipients for payment.
	2. The PI/PD may delegate this authority to an individual named in the prime award who has direct knowledge of the subrecipient’s performance and is familiar with the terms and conditions of the prime award. In the absence of the PI/PD the below named designated individual may authorize invoice for payment.

**Authorizations:**

By signing the request, the PI certifies that the information provided is accurate, complete and true and that s/he acknowledges her/his responsibility for monitoring sub-award project progress and approving expenditures of the activities associated with the subaward. Invoices for payment will be held pending certification of acceptable progress (i.e. required progress reports) and also in the event that human or animal research participants’ approvals have expired.

|  |  |  |  |
| --- | --- | --- | --- |
| PI: |       | Approved by: Chair/Director |       |
| Signature: |  | Signature: |  |
| Date: |       | Date: |       |

**FOR OSP USE**:

Debarment check of entity and named personnel performed by Visual Compliance Restricted Party Screening: Date\_\_\_\_\_\_\_ OSP Staff\_\_\_\_\_\_\_

Subrecipient Profile on file. [ ]  Yes date of most recent survey\_\_\_\_\_\_\_\_\_\_\_\_\_

 [ ]  No date requested from Subrecipient\_\_\_\_\_\_\_\_

Current A-133 on File: [ ]  Current Financial Statement on File: [ ]

Current F&A Rate Sheet on File: [ ]

Rate included in Budget:      %, if different from negotiated rate, please explain:

Rate capped by Sponsor:       %

Correct Rate Applied:[ ]

**Instructions for completing the Request to Issue a Subaward**

The Request to Issue a Subaward form combined with Subrecipient Contact Information Sheet are used to establish the subaward and to facilitate post award monitoring.

Critically important is submission of:

* An accurate and sufficiently detailed statement of work
	+ Note: the original statement of work may have to be modified in the event the award was reduced by 10% or more from the amount requested.
* *Statement of work: Recommended elements to be provided by subrecipient and authorized by their OSP or equivalent*
* Name of the external (subrecipient) PI(s);
* What, if any, additional project staffing will be needed;
* What the project hopes to accomplish; (brief narrative)
* Where the work will be conducted; (location)
* What the measurable activities (objectives) and tasks/activities are, who will perform at what level of effort,
	+ - Objectives must be defined in a sufficient level of detail such that a reasonable individual can determine if the objective(s) are met;
* What are the estimated milestones or deliverables to trigger or justify adequacy of performance to justify payment
* What, if any, special resources are required; and
* When meetings are to occur and reports required, as applicable
* Human subjects / animals used – approvals obtained (n/a consultant)
* An authorized budget that corresponds to the funds to be awarded to the collaborator.
* When applicable, expiration dates of human or animal subjects’ approvals.

*Elements to be included in resulting subaward – (information from SU PI)*

*Degree of documentation required*

* Degree of financial back-up (originals required, or records accessible for review, other options). This information will be used to help you determine the allowability, reasonableness, and necessity of costs or otherwise approve invoice expenditures.
* Cost-sharing back-up (similar)
* Nature of project Deliverables and or reporting requirements, e.g., monthly reports, spreadsheets, activity-based report, data, etc.
	+ For fixed price, high risk agreements,  what are the performance indicators that will allow you to approve payment to proceed. Do you make clear the standard by which work will be deemed acceptable for payment purposes?
	+ Milestones or performance standards should be clear in the statement of work.

*Agreement components*

* Subaward Period of performance
* Award amount, and if cost sharing is required
* F&A/Indirect Rates differing from the prime award as a result of decisions to waive or limit charges
* *Frequency* of invoicing (no less frequently than quarterly), level of detail (budget - line-item;  expenditures current period;  total expenditures to date;  remaining balance
	+ - * If back-up detail required, invoicing should be monthly.
		- Similar detail / info for cost-sharing – cost sharing must be reported with sponsor’s expenditures
		- Comments on significant deviations (10% of line or total budget, whichever is less) in expenditures from line item budget which require OSP and or prime sponsor approval.

**Rationale for subrecipient selection:**

Except in cases where the subrecipient is specified in the application and the collaboration has been peer reviewed and subsequently funded, federal subawarding regulations (OMB Circular A110) require that sub-awards be issued following an open and fair competition, except in the case where a sole or single source is justifiable. *Having a pre-existing collaboration is not adequate justification.*  Rather, please address the unique qualifications and skills of your collaborator, as well as specific resources that are uniquely available at the subrecipient’s institution that will facilitate the conduct of your project. Please also comment on the reasonableness of the budget.

1. Recommended elements of statement of work are available below in the instructions to this document. [↑](#footnote-ref-1)