CHECKLIST FOR OBTAINING AND MANAGING A SUBAWARD
FROM THE UNIVERSITY OF MINNESOTA

PLANNING STAGES – PROPOSAL PREPARATION

*Site Principal Investigator (PI) /Department should send to UMN Principal Investigator (PI) /Departments

☐ Commitment Form – signed by an authorized official of your site (this form is recommended at time of proposal but may alternatively be provided at time of award (before subaward issuance) if necessary to meet the proposal deadline
☐ Work plan/description
☐ Budget and Justification – this should include your site’s F&A rate, if applicable
☐ Financial Conflict Of Interest (FCOI) Documents & Training – If the funding source for the project is a Public Health Service agency, or another agency following PHS regulations, certain FCOI documents and training requirements are needed prior to UMN submitting its proposal to the sponsor. See UMN Forms Packet for information and forms.
☐ Other Proposal Forms – The UMN PI will tell you if additional proposal forms (e.g., biosketches, current and pending support, representations and certifications, etc.) are needed

For questions regarding these documents, please contact the UMN Investigator you are working with.

AT TIME OF AWARD – PRIOR TO SUBAWARD ISSUANCE

*Site Grant Administrator (GA) should send the following to the UMN Grant Administrator (GA)

UMN follows federal guidelines and regulations when it issues subawards, regardless of the project’s funding source. Part of UMN’s process when following the federal guidelines and regulations involves a risk assessment of each subrecipient prior to issuing a subaward agreement. UMN requests certain financial information from subrecipients as a part of this risk assessment process, and it does so by way of one of first two bulleted items below:

☐ Single/A-133 Audit – Non-profit organizations expending more than $750,000 a year in federal assistance funds are required to obtain a Single Audit. If your site is subject to a Single Audit, UMN will use that information for its risk assessment with your subaward.
☐ Financial Questionnaire Form – If your organization is not subject to a Single Audit, UMN requests you to complete and return the Financial Questionnaire Form. This Form will be used for UMN’s risk assessment with your subaward.
☐ Financial Conflict Of Interest (FCOI) Documents & Training – If the funding source for the project is a PHS agency, or another agency following PHS regulations, and the disclosure forms previously provided indicate a potential conflict of interest, documentation that the conflict has been managed is required prior to subaward issuance. In addition, subrecipient key personnel must have completed FCOI training (available from UMN at no cost –see the forms packet).

*Note: Any of the terms listed above that are applicable to your project will be obtained on an annual basis throughout the life of your subaward.
Once the proposal documents and audit information are in place, UMN will provide a draft subaward agreement to your site. The subaward agreement should be reviewed, negotiated if needed, and signed by an authorized official of your site. UMN will return a copy of the fully signed subaward agreement to your site to enable the project to begin.

AWARD STAGE – AFTER SUBAWARD ISSUANCE
MANAGEMENT AND MONITORING DURING THE LIFE OF THE SUBAWARD

Throughout your project, it is likely that your site will be required to submit the following documents to UMN. Specific time frames, milestones, benchmarks, etc., will be outlined in your specific subaward agreement.

- **Invoices** – submitted to sub-inv@umn.edu
- **Progress and/or technical reports**
- **Modifications / Amendments** – any modification requests should be directed to the UMN PI that you are working with. The UMN PI will contact the UMN Grant Administrator (GA) as needed with any requests.
- **Updated Audit (Single Audit or Financial Questionnaire) Documents** (annually)

For questions regarding these documents, please contact the UMN Investigator you are working with.

FINAL STAGES – CLOSING YOUR SUBAWARD

Once your project is completed (or terminated), the following documents are needed:

- **Final Invoice** – the last invoice submitted to UMN under the subaward must be marked “FINAL”
- **Subaward Release Form** – provided to your site from and should be returned to UMN GA