SUBAWARDS CHECKLIST

Category	Item	Item Name	File Name Suffix	Required?	Where to Find It	Responsible Party	What to Look for
Proposal	A1	Statement of Work	SOW	New award Mod if SOW is being changed	ERA, Attached to Subrecipient Commitment Form, or request from RA	RA / Subrecipient	1) Organization is correctly categorized as a subrecipient as opposed to a vendor or consultant. Guidance is provided here. 2). The Subrecipient may not be a sole proprietor. 3) SOW is specific to Subrecipient's portion of work to be performed.
	A2	Budget/Cost Share Budget If award is fixed-price, you'll also need a payment-deliverables schedule.	BU and / or CS-BU	New Award Mod if BU/CS-BU is being changed	ERA, Attached to Subrecipient Commitment Form, or request from RA	RA / Subrecipient	1) Fringe benefits and F&A rates match rate agreements. 2)10% maximum rate on MTDC for subrecipients receiving funds under Federal Award without a federally negotiated rate. 3) If a Subrecipient intends to use unrecovered F&A, in absence of the FOA specifically allowing unrecovered F&A as cost share, prior agency approval may be required.
	A3	Budget Justification / Cost Share Budget Justification	BUJ and / or CS-BUJ	New Award Mod if BUJ/CS-BUJ is being changed	ERA, Attached to Subrecipient Commitment Form, or request from RA	RA / Subrecipient	1) Budget justification matches budget. 2) Budget items in Section A - Proposal Documents of the Subrecipient Form are justified, and we had agency prior approval or sought agency prior approval, when prior approval is required.
	A4	Subrecipient Commitment Form (non-FDP members) **OR** Subrecipient Letter of Commitment (FDP members)	Sub Form	New award	ERA Proposal Module Check to see if subrecipients are FDP members at fdpclearinghouse.org/organizations	RA / Subrecipient	SUB FORM: 1) All questions are answered and signed by an authorized official. 2) Cost sharing, human subjects, animal subjects are / are not included. 3) Mandatory Disclosure Certification is checked off. 4) Use info from sub form to update sub info in Master Store.
	A5	Fringe Benefits Rate Agreement	Fringe Rates	New award	ERA Master Store, FDP profile, or request from RA	RA / Subrecipient	1) Most recent version
	A6	Indirect Costs Rate Agreement	IDC Rates	New award	ERA Master Store, FDP profile, or request from RA	RA / Subrecipient	1) Most recent version

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Activation	B1	Prime Award	Prime Award	Always	ERA Awards	RA	1) Prime award matches subawards task request. 2) If prime sponsor is ASUF, add a red CONFIDENTIAL watermark on all pages of the prime award using the Edit PDF function.
	B2	Budget to Actuals - Grants / Grant Account	B2A	Always	Workday, ERA Grants	Subawards GCO	1) Check to see if the funds are loaded into the grant account and ready to be added to a supplier contract in Workday.

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Compliance Check	C1	Visual Compliance	VC	Always	Visual Compliance	Subawards GCO	1) "Fuzzy Level 2" is selected for domestic parties, "Fuzzy Level 1" is selected for foreign parties. 2) For non-universities and foreign entities, search includes subrecipient PI's name. 3) If foreign and wire transfers, must conduct search for bank. 4) If alerts found, contact export.control@asu.edu.
	C2	SAM Registration	SAM Exp. MM-DD-YY	Always, unless sub is foreign and prime doesn't require SAM registration.	ERA Master Store , SAM.gov	Subrecipient	1) Subrecipient is registered in SAM.gov. 2) Registration is current/not expired. 3) If subrecipient is foreign and prime does not require SAM registration, only a UEI number is needed to move forward.
	C3	PHS FCOI Certification	PHS FCOI	Always if sponsor is a PHS agency or a sponsor who adopted the PHS FCOI regulations	List of sponsors that are PHS agencies FDP Clearinghouse Search Certification Letters on SharePoint	Subrecipient	1) If required, subrecipient is listed in FDP Clearinghouse or Certification Letter is saved in SharePoint.
	C4	Audit Review	Low Risk, Not Low Risk, or High Risk	Always	ERA Master Store: Subrecipient Financial Audit and Risk Assessment Data	Subrecipient / FOT	1) Current FY audit has been received, reviewed, and approved. 2) If current FY audit has not been received, send Audit Letter Request to subrecipients@asu.edu. 3) If subrecipient is assessed as Not Low Risk or High Risk, review FOT guidance for additional terms and conditions to mitigate risk. 4) Cannot execute subaward or modification without conducting Audit Review 5) Review to see if risk level has changed since last agreement. If so, remove restrictions.
	C5	FFATA Checklist	FFATA Yes or FFATA No	Always	FFATA Checklist	Subawards GCO	

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New	D1,D2	Cost-price Analysis and Sole Source Justification- Under $100K	CPA,SSJ	New award if award for entire project period is under $100K	Cost-Price Analysis and Sole Source Justification - Under $100K	PI	1) PI has completed and signed form.
	D1	Cost-price Analysis - Over $100K	CPA	New award if award for entire project is over $100K OR Mod if initial CPA does not cover budget for entire project	Cost Price Analysis Form Commercial or International Subrecipients Over 100K Cost Price Analysis Form U.S. University or Non-Profit Subrecipients Over 100K	Subrecipient	1) Subrecipient has completed and signed form.
	D2	Sole Source Justification	SSJ	New award	Sole Source Justification	PI	1) PI has completed and signed form.
	D3	Risk Assessment	Risk Assessment Low Risk, Risk Assessment Not Low Risk, or Risk Assessment High Risk	New award	Risk Assessment Questionnaire	Subawards GCO	1) If risk assessment is not low risk, evaluate for the appropriate action to be taken.

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Subaward Setup Only	D4	Workday Supplier ID	Vendor No.	New award	ERA Master Store or Workday	Subawards GCO	1) Subrecipient "remit to" address matches address in system. 2) If "remit to" address doesn't match, complete Supplier Change Form
	D6	IRB Approval	IRB Approval	New award if human subjects are included	ERA, Attached to Subrecipient Commitment Form, or request from RA	Subrecipient	1) Subrecipient-issued IRB Approval 2) Forward to research.integrity@asu.edu
	D7	IACUC Approval	IACUC Approval	New award if animal subjects are included; mod if animal subjects are introduced	ERA, Attached to Subrecipient Commitment Form, or request from RA	Subrecipient	1) Subrecipient-issued IACUC approval 2) Forward to research.integrity@asu.edu
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Execution & Distribution	E1	PI Approval Request	PI Approval Request	Always	ERA Agreements	Subawards GCO	1) Email activity in ERA Agreements history 2) Email request uploaded to *Finalize Sub Task Request* Page
	E2	PI Approval	PI Approval	Always	ERA Agreements	PI	1) PI Approval email uploaded to ERA *Finalize Sub Task Request* Page
	E3	Sub Signature Request	Sub Sig Request	New award and Bilateral Mods	ERA Agreements	Subawards GCO	1) Email activity in ERA Agreements history
	E4	Fully Executed	Fully	Always	ERA Agreements	Student Worker or Subawards GCO	1) Upload of fully executed delivery email to ERA *Finalize Sub Task Request* Page 2) Fully executed agreement/mod uploaded to ERA *Finalize Sub Task Request* Page
	E5	Workday "Create Supplier Contract" or "Create Supplier Contract Amendment"	SCON Creation / SCON Amendment	Always	Workday	Subawards GCO	1) Add new supplier contract to Workday or amend an existing supplier contract 2) Upload PDF to *Financial Summary Report* location