

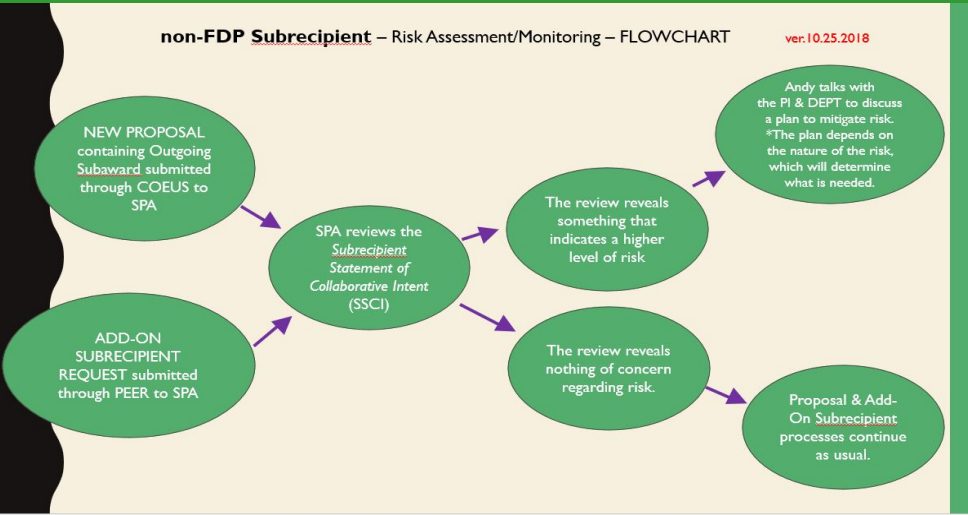
FINAL

Outgoing Subaward Checklist

*** Anything underlined relates to international subrecipients**

Stage/Task	Details related to Task	SPA	Dept/PI	Subrecipient	Export Compliance Office
Proposal in COEUS	<p>Submit:</p> <p>1. Subrecipient Statement of Collaborative Intent (SSCI)—possibly requiring the submission of the "Subrecipient PHS Financial Disclosure & Training form" depending on responses to the SSCI (page 2 for non-FDP institutions). Must be included with every Proposal that includes an Outgoing Subaward every Add-On Subrecipient Request for an Outgoing Subaward. All applicable pages must be completed to receive approval on your request Pages 3 & 5 for FDP Expanded Clearinghouse participants. <u>*Pages 3, 4 & 5 for non-FDP Expanded Clearinghouse participants</u> Please note: Page 5 is solely for the VU Department to complete and is now a signature-only page, checklist page is still available in SPA Website on the Forms Library page, Please read Page 1 for full details on the latest version.</p>		√		
	2. Subrecipient Budget which <u>includes Period of Performance</u>		√		
	3. Subrecipient Budget Justification		√		
	4. Subrecipient Statement of Work (SOW)		√		

SSCI reviewed, *risk assessment prepared and approved or plan discussed to proceed with subaward (non-FDP Subrecipient)



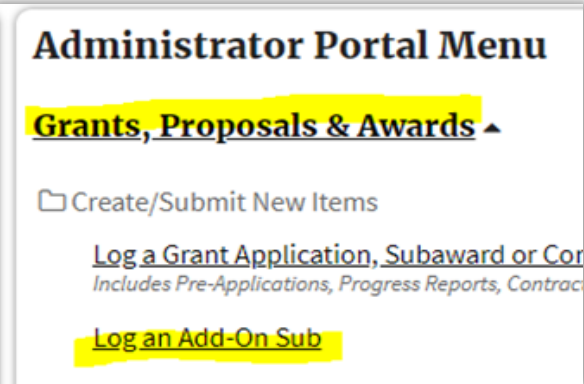
-If SSCI (for non-FDP Subrecipient) submitted with Add-On Sub, risk assessment will be completed after Contract Analyst assigned.

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Stage/Task	Details related to Task	SPA	Dept/PI	Subrecipient	Export Compliance Office
Approval of Prime Award	PI receives copy of Prime Award		√		
Add-On Subrecipient Request through PEER <i>(i.e., was NOT included in COEUS Proposal) / Contract Request linked to Approved Add-On Subrecipient</i> (SEE NEXT SECTION FOR SUBs INCLUDED IN COEUS PROPOSAL)	Submit (once your PI receives Prime Award) if Subrecipient was <u>not</u> included as an Outgoing Sub Organization in Coeus. (If Subrecipient was included as an Outgoing Sub Organization in Coeus, see next section "Contract Request submitted in PEER from G log linked to Coeus Award.") "Log an Add-On Sub" option under "Grants, Proposals & Awards" then "Complete/submit CONTRACT REQUEST through G Log in PEER (for Subcontracts Team to begin work)" 	√	√		

FINAL

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	<p>Include the following documents with "Add-On Sub"</p> <p>1. Subrecipient Statement of Collaborative Intent (SSCI)—possibly requiring the submission of the "Subrecipient PHS Financial Disclosure & Training form" depending on responses to the SSCI (page 2 for non-FDP institutions).</p> <p>Must be included with every Proposal that includes an Outgoing Subaward every Add-On Subrecipient Request for an Outgoing Subaward.</p> <p>All applicable pages must be completed to receive approval on your request Pages 3 & 5 for FDP Expanded Clearinghouse participants.</p> <p>*<u>Pages 3, 4 & 5 for non-FDP Expanded Clearinghouse participants</u></p> <p>Please note: Page 5 is solely for the VU Department to complete and is now a signature-only page, checklist page is still available in SPA Website on the Forms Library page, Please read Page 1 for full details on the latest version.</p>		√		
	2. Subrecipient Budget which <u>includes Period of Performance</u>		√		
	3. Subrecipient Budget Justification		√		
	4. Subrecipient Statement of Work (SOW)		√		
	5. Prime Award NOGA		√		
	6. IRB Approval Letter/IACUC Approval Letter (if applicable to project) *<u>required prior to execution if international</u>		√		
	7. IRB/IACUC Checklist with questions (if applicable to project) *<u>required prior to execution if international</u>		√		
	8. Data Management Plan (if applicable to project)		√		
	9. Multi-PI Plan (if applicable to project)		√		

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Stage/Task	Details related to Task	SPA	Dept/PI	Subrecipient	Export Compliance Office
Subrecipient WAS included in COEUS Proposal/Contract Request submitted in PEER from G log linked to Coeus Award	Submit (once your PI receives Prime Award) if Subrecipient was included as an Outgoing Sub Organization in Coeus <i>(Note: Documents are not transferred from Coeus to PEER. Dept will need to resubmit these documents as attachments in contract request)</i> 1. Subrecipient Statement of Collaborative Intent (SSCI) —possibly requiring the submission of the "Subrecipient PHS Financial Disclosure & Training form" depending on responses to the SSCI (page 2 for non-FDP institutions). Must be included with every Proposal that includes an Outgoing Subaward every Add-On Subrecipient Request for an Outgoing Subaward. All applicable pages must be completed to receive approval on your request Pages 3 & 5 for FDP Expanded Clearinghouse participants. <u>*Pages 3, 4 & 5 for non-FDP Expanded Clearinghouse participants</u> Please note: Page 5 is solely for the VU Department to complete and is now a signature-only page, checklist page is still available in SPA Website on the Forms Library page, Please read Page 1 for full details on the latest version		√		
	2. Subrecipient Budget which includes Period of Performance		√		
	3. Subrecipient Budget Justification		√		
	4. Subrecipient Statement of Work (SOW)		√		
	5. Prime Award NOGA		√		
	6. IRB Approval Letter/IACUC Approval Letter (if applicable to project) <u>*required prior to execution if international</u>		√		
	7. IRB/IACUC Checklist with questions (if applicable to project) <u>*required prior to execution if international</u>		√		
	8. Data Management Plan (if applicable to project)		√		
	9. Multi-PI Plan (if applicable to project)		√		
Contract Request Approved/Contract Analyst Assigned	SPA approves contract request and Contract Analyst is assigned to new UNIV no. Department receives an email confirming the approval with assigned Contract Analyst.	√	√		

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Stage/Task	Details related to Task	SPA	Dept/PI	Subrecipient	Export Compliance Office
SSCI reviewed, * <u>risk assessment</u> prepared and approved or plan discussed to proceed with subaward (non-FDP Subrecipient)	(see Chart above after Proposal submission)				
Working draft prepared and sent to Export Compliance Office	If export red flags are identified by Contract Analyst , Contract Analyst prepares working draft (with notes of any concerns) and sends to Export Compliance Office for review and guidance on how to proceed with subaward.	√			√
Working draft returned by Export Compliance Office to SPA	Export Compliance Office returns reviewed working draft with confirmation to proceed or not proceed with subaward.	√			√
Final Draft sent to Dept/PI	Contract Analyst sends final draft to Dept/PI for eApproval through PEER.	√	√		
Approved final draft sent to Subrecipient	Contract Analyst sends approved final draft to Subrecipient.	√		√	
Subrecipient returns partially-executed subaward with required approval documents to SPA	Subrecipient reviews, signs, and returns partially-executed agreement with copies of supplemental approvals as required (IRB and/or IACUC approvals as required) to SPA.	√		√	

FINAL**Outgoing Subaward Checklist***** Anything underlined> relates to international subrecipients**

Stage/Task	Details related to Task	SPA	Dept/PI	Subrecipient	Export Compliance Office
Partially-executed agreement reviewed	Contract Analyst receives/reviews partially-executed agreement from Subrecipient.	√			
Project-related questionnaire to Subrecipient	Contract Analyst sends email with link to project-related questionnaire to Subrecipient through PEER.	√		√	
Subrecipient completes/submits questionnaire to SPA Contract Analyst	Subrecipient completes/submits questionnaire to SPA Contract Analyst.	√		√	
Questionnaire reviewed and signed-off	Contract Analyst reviews, resolves any issues, and signs-off on questionnaire.	√			
Partially-executed agreement signed by SPA	Contract Analyst sends partially-executed agreement with date to Director of SPA for signature. Director of SPA returns partially-executed agreement to Contract Analyst.	√			
Fully-executed subaward uploaded in PEER and copy distributed to all parties	Contract Analyst uploads fully-executed agreement to activate file and send a fully-executed copy to VU Dept/PI, Subrecipient, and SPA Awards Team.	√	√	√	