Caltech

Subaward and Modification Processing Checklist

SUBAWARD SET UP

Caltech PI/and or division personnel must submit requisition package to Purchasing Services:

☐ Completed *TechMart Research Subcontract Requisition* that includes the following required information and attachments:

- ☐ Subrecipient's contact information
- ☐ Statement of work
- ☐ Budget and/or Budget Justification (including any cost sharing)
- ☐ Subaward period of performance
- ☐ Technical/financial reporting requirements
- ☐ Payment terms and schedule
- ☐ Verification that Subrecipient is compliant with IRB, IACUC approvals (if applicable)
- ☐ Commitment Letter/Letter of Intent or Subrecipient's Proposal (if applicable)
- ☐ Other information as needed (e.g., additional requirements imposed by the Sponsor)

MODIFICATIONS

Caltech PI and/or division personnel must ensure the following prior to submitting a requisition:

Continuing monitoring of the Subrecipient's technical progress and adherence to the terms and conditions of the Subaward and cost sharing requirements, if applicable;

- ☐ Communicate regularly with Subrecipient PI to monitor progress on the project
- ☐ Monitor receipt of technical reports for timeliness and content
- ☐ Communicate with Purchasing Services if changes need to be made to statement of work, reporting requirements, and/or budgeting

Monitoring Subrecipient's adherence to financial reporting terms and conditions;

- ☐ Are invoices and financial reports arriving on schedule?
- ☐ Do they contain the right level of detail to allow adequate review?

Monitoring Subrecipient's compliance approvals remain current for Subrecipient's portion of statement of work, if applicable;

- ☐ Verification of Subrecipient's compliance with IRB, IACUC, and IBC approvals

Reviewing invoices

- ☐ Ensure all costs are allowable, allocable, and reasonable
- ☐ Ensure all costs were incurred within the period of performance of the Subaward
- ☐ Confirm that expenses are aligned with technical progress and all required reports are received
- ☐ Cost sharing is appropriately reflected, if required
- ☐ If acceptable, the PTA to be charged (or credited in the case of a credit) is written on the invoice and the PI (or delegate) approves

Caltech PI/and or division personnel submits requisition package to Purchasing Services:

☐ Completed *TechMart Change Request Requisition* that includes the following information and attachments if applicable:

- ☐ Revised statement of work
- ☐ Revised Budget and/or Budget Justification (including any cost sharing)
- ☐ Any additional Technical/financial reporting requirements
- ☐ Revised Subaward performance period
- ☐ Other information as needed

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