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