

SPO Checklist for Issuing/Administering Subawards



SPONSORED PROJECTS OFFICER:

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Basic Information	JHU PI	IPN		
	Prime Sponsor			
	Subrecipient			
Proposal Stage	Subaward Proposal Documents Received			
	Letter of Intent	Date		
	Budget and Budget Justification <i>Budget reviewed for compliance with Uniform Guidance</i>	Date		
	Work Statement <i>OR Notation that work statement is incorporated into overall proposal</i>	Date		
Added Subaward	FOR SUBAWARDS NOT INCLUDED IN ORIGINAL APPROVED PROPOSAL			
	Sponsor Authorization Required (if "Yes," complete the following)	<input type="checkbox"/> No <input type="checkbox"/> Yes		
	Authorization Requested	Date	<input type="checkbox"/> Copy in File	
	Authorization Granted	Date	<input type="checkbox"/> Copy in File	
Award Issuance Stage	Prime Award			
	Prime Award Received	Date	<input type="checkbox"/> Copy in File	
	Prime award period of performance	Start Date	Termination Date	
	Grant Number Assigned	SAP Grant #	Subaward IO #	
	Subaward Request			
	Completed and signed Subaward Proposal Sheet on file	<input type="checkbox"/> No <input type="checkbox"/> Yes		
	Excluded Parties			
	<input type="checkbox"/> Excluded parties list checked	Date		
	Rate Agreements			
	F&A and fringe benefit rate agreement requested and checked against budget	Date	<input type="checkbox"/> Copy in File	
	Comments for agreements with commercial entities:			
	Risk Assessment			
	For those subrecipients with which the University has done business	Risk Rating	<input type="checkbox"/> Copy in File	
	For those subrecipients with which the University has not previously done business	Questionnaire Sent on (date)	Date Risk Rating Assigned	Risk Rating

	Subaward Negotiations		
	Select format used	<input type="checkbox"/> FDP Template <input type="checkbox"/> JHU Template <input type="checkbox"/> Other Format	
	For subrecipients with a “high” risk rating, list reasons for high rating with the corresponding additional/alternative award terms imposed to mitigate risk	<input type="checkbox"/> List attached <input type="checkbox"/> N/A	
Subaward Setup Stage	Unsigned subaward document sent to subrecipient	Date	
	Signed document received from subrecipient	Date	
	Subaward document fully executed	Date	<input type="checkbox"/> Copy in File
	Subaward document returned to subrecipient	Date	
	Copy of subaward document forwarded to department (RSA/PI)	Date	
	Scanned into Oculus	Date	
	Request for subaward purchase internal order number on file	Date	IO #
	Request for subaward purchase order number document on file	Date	Subaward #
	Department notified of special terms and conditions (if applicable)	Date	
FFATA Reporting	Subaward Subject to FFATA (If “yes,” forward file to Budget Specialist for labeling and reporting)	<input type="checkbox"/> No <input type="checkbox"/> Yes	
Closeout Stage	Confirmation of final technical report received by JHU’s PI	Date	
	Final equipment report – requested and sent to department - if necessary	Date	
	Final patent report – received by BARA	Date	
	Final invoice submitted to BARA – sent to PI	Date	
	**BARA performs a final desk audit of the final invoice and, if necessary, may request additional supporting documentation		
	Release documents – requested by BARA as necessary	Date	
Additional Comments			