



SUBAWARDS

THE BIG PICTURE



SUBAWARDS: THE BIG PICTURE

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TALKING POINTS

- DOCUMENTS / INFORMATION NEEDED FOR A SUBAWARD
- LIFE CYCLE OF A SUBAWARD
- FOREIGN ENTITIES
- BUDGETING / INDIRECT COSTS
- REAL LIFE EXAMPLES / POINTERS
- Q & A



ICEBREAKER

WHERE DO I BEGIN?

DOCUMENTS / INFO NEEDED FOR A SUBAWARD

DOCUMENTS / INFO

MATRIX: Required Documents for Outgoing Subaward Requests

	Transaction Type	Detailed Budget	Scope of Work	Prime Award	Sponsor Prior Approval	LOI / Facepage	Internal/UN C PI Approval
Amendments	No-Cost Extension			(x)	(x)		(x)
	Additional Funding	x		x			
	Carryover Only	x		x	x		
	Carryover and Additional Funds	x		x	x		
	Change in SOW		x		x		x
	Additional Terms & Conditions			x			
	Deobligation of Funds without Early Termination	x			(x)		x
	Deobligation of Funds and Early Termination				(x)		x
	Change in Subrecipient PI				(x)		x
	Change in Subrecipient Budget	x			(x)		x
	Change in UNC PI				(x)		
	Early Termination without Deobligation				(x)		x
Initial Issuance	New Subaward	x	x	x		x	
	NIH: Change in Account type from G to P	x	x	x			
	Break in Period of Performance	x	x	x		x	

x = Requirement for Sub Team to draft issuance.

(x) = Requirement only if action required Sponsor's prior approval.

DOCUMENTS / INFO



OSR PRIOR APPROVAL REQUEST FORM

- Review the contract/grant, application instructions, and sponsor guidelines to confirm sponsor requirements for Prior Approval
- Submit form with all required documents to OSR for review, internal approval, and submission to the Sponsor (for external approvals)
- OSR provides the final determination on which approval method (internal UNC-CH approval or external Sponsor approval) is required
- All communications with the sponsor **MUST** be conducted through OSR
- Submit the completed form by using the 'Submit' button below or emailing the form as an attachment to ResAdminOSR@unc.edu

1. General Information

Project ID	RAMSeS IPF Number	PI Name	Department Number
Submitter Name	Email	Phone Number	Date

2. Prior Approval Action:

Select a Prior Approval Action from the dropdown menu.

Creation of a new plan to perform research or by personnel employed by the institution, or the involvement of human or animal subjects in research activity of that may impact US foreign relations.

New Foreign Component

Foreign Travel

Institution Change

Key Personnel Change

Key Personnel Effort Reduction

New Foreign Component

New Foreign Subrecipient

New Subrecipient

No Cost Extension - Initial

No Cost Extension - Subsequent



Upload required documents in the boxes below.

Research conducted outside the United States, either by the PI or by personnel employed by the institution, or the involvement of human or animal subjects in research activity of that may impact US foreign relations. Examples include the use of research staff for programmatic reasons, any

or Guidelines? Yes No

3. Does this require Sponsor Approval?

Your OSR Sponsored Projects Specialist can confirm the approval method (internal or external). Please contact your SPS if there are questions about the approval method before submitting this form.

4. Required documents associated with the Prior Approval action(s):

NEED TO ADD A NEW SUBAWARD AFTER NOA HAS BEEN ISSUED?



5. Does this Prior Approval require a Budget Revision? Yes No

If a Budget Revision is required, complete the Budget Revision form generated on page 2 by selecting "Yes" above.

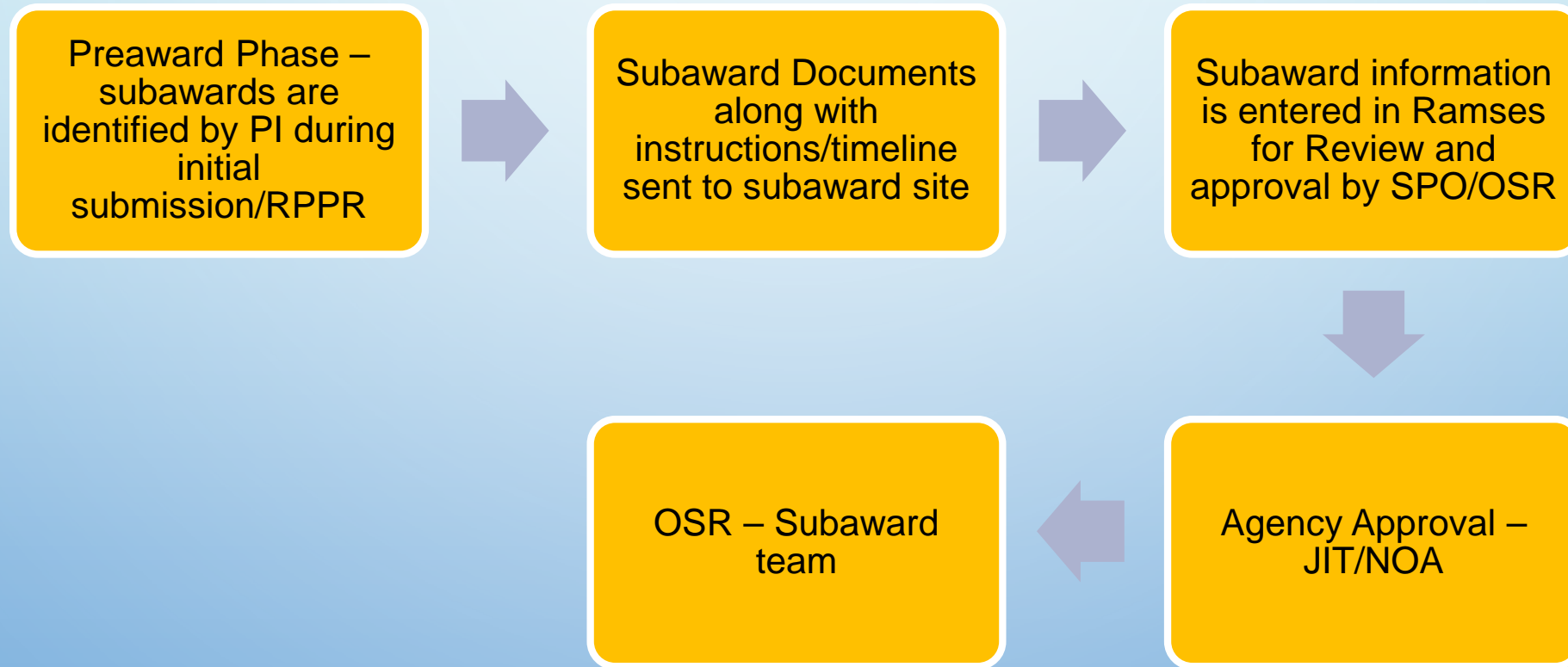
6. Explanation & Justification (This does not replace the Justification Letter for External Prior Approval Requests)

Text input field for explanation and justification.

LIFECYCLE OF A SUBAWARD

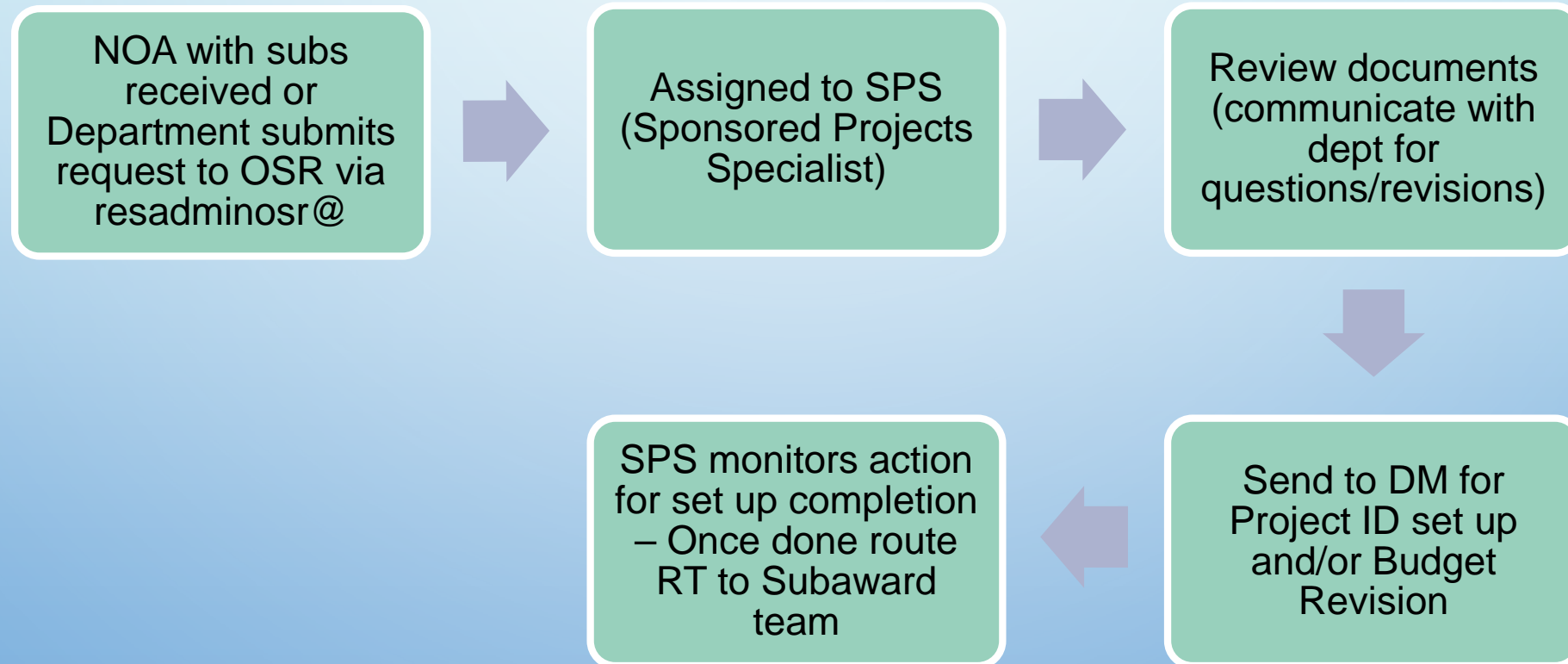
LIFECYCLE OF A SUBAWARD

DEPARTMENTAL



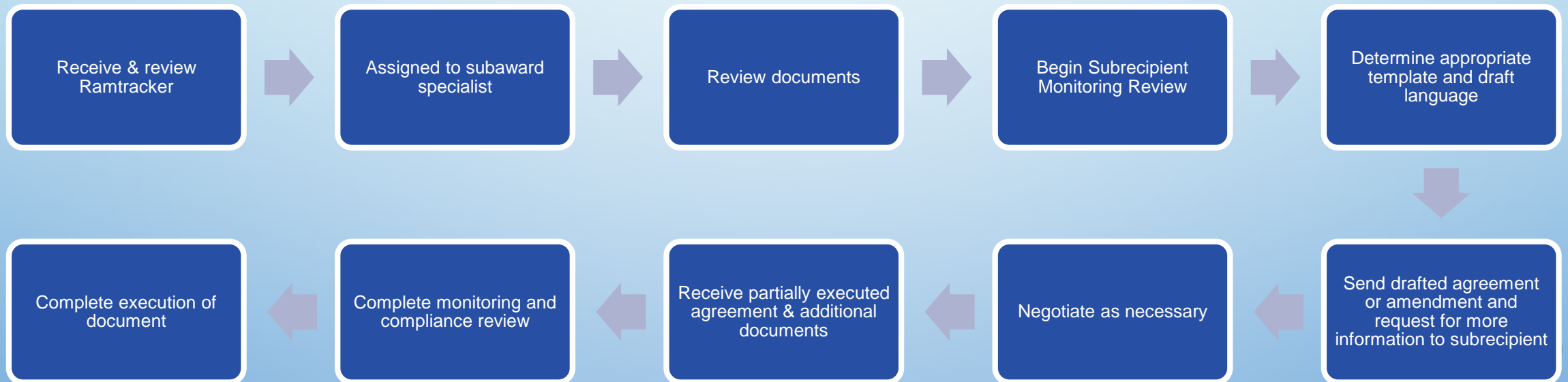
LIFECYCLE OF A SUBAWARD

OSR – SPONSORED PROJECT SPECIALIST



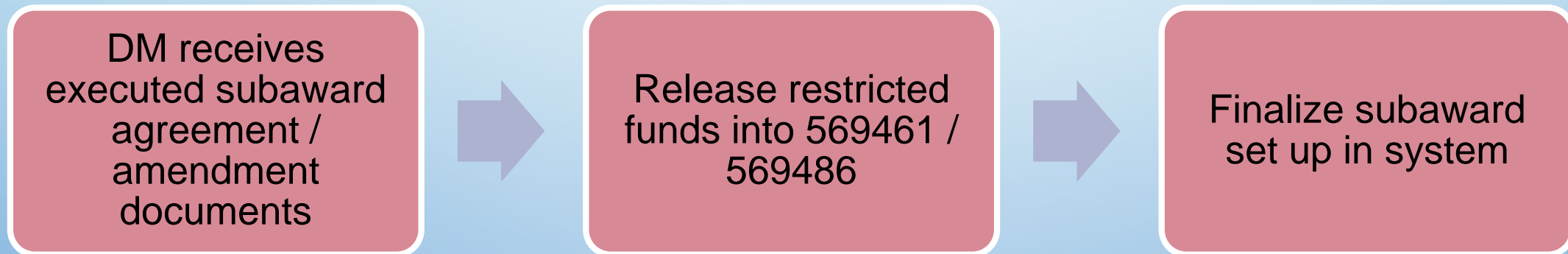
LIFECYCLE OF A SUBAWARD

SUBAWARD TEAM



LIFECYCLE OF A SUBAWARD

DATA MANAGEMENT – FINAL STEPS

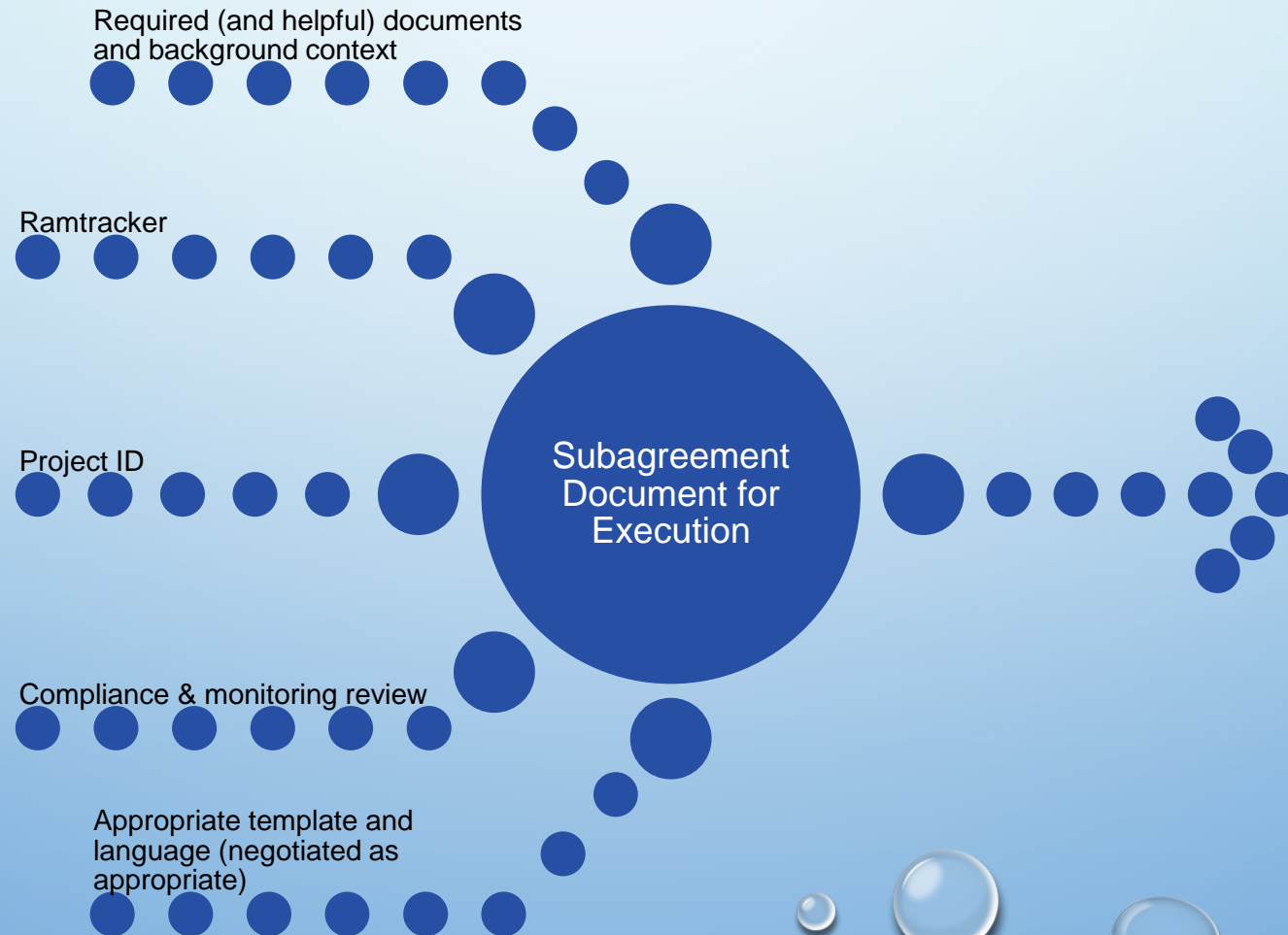


LIFECYCLE OF A SUBAWARD



LIFECYCLE OF A SUBAWARD

SUBAWARD SQUID



FOREIGN ENTITY

FOREIGN ENTITIES

- F&A LIMITATIONS
 - DE MINIMUS
- VAT (VALUE ADDED TAX)
 - COUNTRY SPECIFIC
- ADVANCED PAYMENTS
- SUBRECIPIENT COMMITMENT FORM (MONITORING DISCUSSION)
- EXPORT CONTROL

INDIRECT COSTS RELATING TO SUBAWARDS

INDIRECT COSTS

- BUDGETING FOR SUBAWARDS

- DOCUMENTS REC'D FROM SUBSITE – DIRECT/INDIRECT COSTS BECOME UNC'S DIRECT COSTS UNDER CONSORTIUM (REFER TO AGENCY SPECIFIC FUNDING ANNOUNCEMENT FOR GUIDELINES ON DIRECT COSTS CAP)

CONSORTIUM/CONTRACTUAL COSTS	DIRECT COSTS	
SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD <i>(Item 7a, Face Page)</i>		\$
CONSORTIUM/CONTRACTUAL COSTS	FACILITIES AND ADMINISTRATIVE COSTS	
TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD		\$

- OUR F&A IS CALCULATED ON ONLY THE FIRST \$25,000 OF THE SUBAWARD COSTS
 - APPLIES TO THE ENTIRE PROJECT
 - F&A ON MULTIPLE SUBAWARDS – SAME SITE/SAME PRIME

INDIRECT COSTS

- SUBAWARD AGREEMENT HAS BEEN FULLY EXECUTED
 - SUBAWARD BUDGET ACCOUNT CODES
 - 568795 – RESTRICTED (FUNDS ARE HERE UNTIL THEY ARE CONTRACTUALLY AUTHORIZED)
 - 569461 – SUBAWARD \$25K OR LESS (F&A INCLUDED)
 - 569486 – SUBAWARD GREATER THAN \$25K (NO F&A)
 - 559000 – INDIRECT BUDGET

Account[568795 Restrict Fund Res](#)

Subtotal 568795 Restrict Fund Res

[569461 Subcontracts-C-G Only](#)

Subtotal 569461 Subcontracts-C-G Only

[569486 Subcontracts-Greater Than 25K](#)

Subtotal 569486 Subcontracts-Greater Than 25K

Direct Total[559000 Indirect Cost Budget](#)

REAL LIFE EXAMPLES / POINTERS

QUESTIONS

