



SUBCONTRACT, SUBAWARD, OR SUBAGREEMENT Checklist

A **subcontract, subaward, or subagreement** is a document written under the authority of, and consistent with the terms and conditions of an award (a grant, contract or cooperative agreement), that transfers a portion of the research or substantive effort of the prime award to another institution or organization.

Characteristics: *(It is not expected that all of the characteristics will be present in every case).*

- A defined portion of a sponsored project is designed and consulted by another entity.
- Sub-recipient personnel might be a legitimate author or co-author of a paper written about the project.
- An invention might arise from the work performed by the sub-recipient.
- Subawardee technical lead is usually a scientific collaborator, or even a Co-PI on the Prime Recipient project.
- The sub-recipient assumes full responsibility; including intellectual leadership, for completing the assigned work.
- Work is generally performed by sub-recipient's personnel (including graduate students) using their resources, usually at their site.
- The sub-recipient must comply with the terms and conditions of the subaward agreement, including terms from the University's sponsor.
- The sub-recipient will need to obtain approvals from their IRB or IACUC if human or animal subjects are used in their portion of the work.
- Subawardee services are uniquely designed in response to each project, and not provided commercially.
- Subawardee retains right to intellectual property.
- Subawardee participates in development and execution of statement of work.
- Subawardee results are likely to be published in the scientific literature and/or Subawardee is likely to be co-author on a Prime Recipient publication.

When UPRRP is considered as the Subrecipient Institution, the following documents will have to be submitted to the Prime Recipient Institution as soon as possible in order to allow sufficient time to be incorporated into the overall proposal being submitted to the prime funding agency.

- Scope of Work
- Detailed Budget and Budget Justification
- Signed commitment to establish a subaward from the proposed Sub-recipient's authorized representative (Letter of Intent)
- Biographical Sketch for Key Personnel