University of Iowa
Checklist for Including Outgoing Subawards* in UI Proposals

UI proposals that involve one or more subawards should include the following items for each subaward as determined by the sponsor’s requirements:

- Detailed budget and budget justification within the prime sponsor’s required format (e.g., PHS 398, SF424, or other format specified by the prime sponsor).
  - For cost-reimbursement budgets with federal funding, include documentation of the subrecipient’s negotiated fringe benefits rate and negotiated F&A cost rate agreement to verify that the subrecipient budget is based on federally negotiated rates. If the sponsor has a cap on F&A, confirm the subrecipient F&A costs are within the sponsor’s cap.
    - In the event that federally negotiated F&A and/or fringe rates do not exist, a maximum of 8% F&A will be allowed, and supporting documentation for fringe benefits must be provided.
  - For cost-reimbursement budgets with non-federal funding, confirm the subrecipient’s proposed F&A costs are within the sponsor’s allowance.
  - For other types of budgets (e.g., fixed-fee, fee-per-milestone/deliverable, etc.), provide justification of the reasonableness of the fee.

- Key personnel information:
  - Biosketch for each key person in the format as required by the sponsor.
  - Depending on sponsor requirements, some or all of the following may also be required for each key person:
    - Full name and title;
    - Organization, department, division;
    - Street address;
    - County;
    - City, State, Zip (9 digit);
    - Phone, fax, email;
    - NIH eRA Commons ID;
    - Congressional district.

- Statement of work.

- Description of Facilities, Equipment, and Other Resources in the format as required by the sponsor.

- Information on whether the study involves human subjects, animal studies, human embryonic stem cells, or select agents in the format as required by the sponsor.

- Performance site information:
  - Organization name;
  - DUNS number;
  - Street address;
  - City, State, Zip (9 digit);
  - County; and
  - Congressional district.
• Contact information for subrecipient’s PI, Institutional Official, and any other party (e.g., departmental administrator, co-PI, etc.) who should be included in communications.

• Leadership Plan (for Multiple PI/PD proposals only as required by the sponsor):
  - Rationale for choosing a multiple PD/PI approach;
  - Description of the governance and organizational structure of the leadership team and the research project including communication plans, process for making decisions on scientific direction, and procedures for resolving conflicts;
  - Delineation of the roles and administrative, technical, and scientific responsibilities for the project or program including responsibilities for human or live vertebrate animal subject studies as appropriate; and
  - Distribution of budget resources.

• Public Health Service (PHS) funded applications - Conflict of Interest - Before a PHS funded subaward can be included in a University of Iowa proposal, the departmental administrator/PI must determine whether the subrecipient is in compliance with the applicable conflict of interest in research regulations (http://www.gpo.gov/fdsys/pkg/FR-2011-08-25/pdf/2011-21633.pdf). Complete “Form A - Outgoing Subaward Conflict of Interest Questionnaire”. Follow the instructions on the form and attach it, as well as any required supporting forms/documentation, to the routing form before submitting the application to DSP. All outgoing subaward forms can be downloaded at URL: http://dsp.research.uiowa.edu/subawards-university-iowa. Links can be found at the bottom of the page.

• Small Business Subcontracting Plan – may be required when submitting a proposal in response to a federally funded RFP and the proposal amount will exceed $650,000. Confer in advance with DSP for information to complete the plan and confer with UI Purchasing in advance to help identify small businesses.

• Note: A sole-source justification or selection justification will be required with the PReq to issue the subaward.

• Note: UI departments may share the Checklist for Subrecipients in advance of initiating the preq.

Once your project is funded, refer to the outgoing subaward instructions here – http://dsp.research.uiowa.edu/subawards-university-iowa – for additional information on issuing the subaward.

* Subawards are easily confused with consulting agreements and other vendor relationships. Please call the Division of Sponsored Programs at 335-2123 or refer to the DSP website at http://dsp.research.uiowa.edu/subaward-or-fee-service to determine whether a particular arrangement should be a subaward, consulting agreement, or other vendor relationship. Making the appropriate determination at the proposal stage will prevent the need for sponsor approval of a change at award.