



Sponsored Programs Subcontracting Manual

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DEFINITIONS

Throughout this Manual, the term "subaward" is used to indicate any of a number of possible types of subawards, including subcontracts, subgrants, and cooperative subagreements, depending upon the nature of the prime award. The term describes those situations when substantive work that is a primary part of a sponsored program supported by a grant, contract, or cooperative agreement, is to be conducted by another institution. The activities involved must constitute a significant portion of the sponsored program and require the leadership and direction of a responsible investigator located at the worksite of the cooperating institution.

A subaward does not include (1) vendor-type relationships, i.e., routine purchase of equipment, supplies, and services or (2) employment of outside consultants.

**SECTION I
OFFICE OF SPONSORED PROGRAMS
SUBAWARD POLICIES AND PROCEDURES
OVERVIEW**

1. The Subaward Proposal

The subrecipient's proposal is sent directly to the PI, who reviews the budget and work statement. The PI incorporates the subrecipient's proposal in the proposal for transmittal to the prospective sponsor.

2. Establishing the Subaward

When the award is made to SURA, the Office of Sponsored Programs informs the PI and other staff as appropriate. At this time, the subaward is initiated. Sponsored Programs prepares, negotiates, and executes the subaward. OSP informs the Finance Department when the subaward is fully executed. The original of the subaward is retained in the Sponsored Programs file.

3. Monitoring the Subaward

A complete file of all subaward documentation and correspondence is maintained along with the prime grant file in the Office of Sponsored Programs. All invoices are reviewed and approved by the PI or his/her designee and Sponsored Programs for appropriateness of charges prior to payment. Amendments to the subaward are requested by the PI, prepared by Sponsored Programs, and executed on behalf of SURA and the subrecipient.

4. Subaward Close-Out

Upon completion of the subaward, the PI is responsible for assuring that an acceptable final report and any other required deliverables have been received from the subrecipient. Sponsored Programs reviews the subaward at the time of completion to assure that all necessary closing actions have been achieved, including receipt from the subrecipient of appropriate closing documents. These documents should be received before approval and payment of the final invoice. The complete subaward file is retained with the prime award as required by sponsor regulations.

**SECTION II
OFFICE OF SPONSORED PROGRAMS
SUBAWARD POLICIES AND PROCEDURES
FLOWDOWN TERMS AND CONDITIONS**

1. Definition

When SURA subcontracts out part of the work it has agreed to perform for the Federal Government, the subaward must contribute to the furtherance of the Federal Government's interests as expressed in the prime agreement. As a result, there is generally a "flowdown" of obligations and responsibilities, based on federal regulations, from the prime sponsor through the first-tier contractor or grantee (SURA), to any and all lower-tier subrecipients. This flowdown is generally expressed as a series of agreement clauses, whose force applies throughout the grant or contracting chain.

2. Governing Regulations

Various combinations of the following federal regulations govern flowdown requirements which must appear in particular subawards; they are reflected in the standard subaward (Appendix A) as well as variations on the standard subaward.

a. Federal Acquisition Regulation (FAR) Parts:

48 CFR 52 - Clauses

48 CFR 31 - Contract Cost Principles and Procedures

b. Office of Management and Budget (OMB) Circulars (as appropriate to the type of organization):

A-21 Cost Principles for Educational Institutions

A-87 Cost Principles for State and Local Governments

A-102 Grants and Cooperative Agreements with State and Local Governments

along with **Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments** ("Common Rule" of March 11, 1988)

A-110 Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations

A-122 Cost Principles for Nonprofit Organizations

A-133 Audits of Institutions of Higher Education and Other Nonprofit Organizations

c. Agency-Specific Regulations

For contracts and grants, sponsoring agencies often require flowdown of specific published agency regulations. For example, NSF requires flowdown of certain provisions contained in **NSF Grant General Conditions**, NIH in the **NIH Grants Policy Manual**, and USDA in **Special Terms and Conditions (A or B)** and **7 CFR Parts 3017, 3018 and 3019**.

f. Other Information Sources

- The **SURA Purchasing Manual** provides SURA-specific purchasing policies and procedures.

**SECTION III
OFFICE OF SPONSORED PROGRAMS
SUBAWARD POLICIES AND PROCEDURES
THE PROPOSAL STAGE**

1. Subaward Proposal

A subaward proposal includes, at a minimum, the statement of work, the project budget, and the written evidence that an authorized organizational official has endorsed the subrecipient's proposal. Additional documents might include a resources/facilities page, checklist page, biosketch, other support, and a signed face page. It is the responsibility of the Principal Investigator (PI) to discuss and negotiate the scope of work to be performed by the subrecipient. The subrecipient submits a statement of work or subaward proposal that outlines the procedures and methods to be employed in accordance with the goals of the project proposed by the SURA PI. The statement of work should be submitted to the SURA PI well in advance of the agency deadline to allow for review and negotiation

A budget is also submitted which includes appropriate salaries, fringe benefits, supplies, travel, equipment, and other direct costs as well as appropriate F&A costs that are needed to perform the discrete aspect of research that the subrecipient has been called upon to perform. It is also the responsibility of the SURA PI to evaluate the proposed budget for cost and price reasonableness against the proposed statement of work. The subcontracting institution's designated business representative who is authorized to commit the institution's resources should sign the subaward proposal. This signature can be provided in several formats, including a signed copy of the agency cover page, a signed budget page, a letter of commitment, an email or an electronic submission.

Just as it is the responsibility of the PI to discuss and negotiate the scope of work and assess the budget, it is also the PI's responsibility to assure that there is no conflict of interest in subcontracting to a third party. (See the SURA policy on conflict of interest.)

2. Building the Subaward Proposal into the SURA Proposal

Prior to submitting the proposal to the funding agency, Sponsored Programs will review the subaward portion to ensure that the applicable items discussed above have been incorporated. The subrecipient's budget should be reviewed by Sponsored Programs and costs must be determined to be appropriate and reasonable. If submitted under a federal program, subrecipient F&A should be budgeted in accordance with the "fixed for the life of the award" principle. It may be necessary to clarify costs or other items with the subcontractor business official.

**SECTION IV
OFFICE OF SPONSORED PROGRAMS
SUBAWARD POLICIES AND PROCEDURES
ESTABLISHING THE SUBAWARD**

1. Initiating the Subaward

- a. When an award is received by SURA that contains a subaward to another institution, the PI provides the following preliminary information about the subaward to the Office of Sponsored Programs:
- Request to Issue a Subaward ([Appendix B](#))
 - Detailed budget, signed by an authorized business official of the subrecipient. (The PI should have included this with the original proposal.)
 - Statement of work.
 - Period of performance of the subaward.
 - Principal investigator and contact person at subrecipient institution.

For those cases where a subaward was not requested at the proposal stage, prior written approval of the sponsor is usually required before a subaward can be issued. If sponsor approval is required, all of the information normally required at the proposal stage should be submitted to the sponsor in a letter requesting approval for issuing the subaward.

- b. Occasionally the question arises on whether to use a subaward or an Independent Contractor/Consultant agreement. Refer to Section VII of this Manual ~~and Section of the SURA Purchasing Manual~~ for more information on this distinction. Once the subrecipient's qualifications have been established, the appropriate agreement type is identified. In most cases cost-reimbursement type agreements will be issued.
- c. The subaward is prepared using standard boilerplate language, incorporating changes or additions as necessary. The prime grant, contract, or cooperative agreement is the controlling document in determining the terms and conditions that must be included in the subaward. A standard subaward includes institutional clauses, sponsor specific and general clauses, and any required certifications. Variations of the boilerplate exist for subcontracting under NOAA, NSF, NIH and other major Federal Agency prime agreements and grants.
- d. Two copies of the subaward are sent to the subrecipient, both to be signed and returned. A third copy is kept in Sponsored Programs' subaward pending file for negotiation purposes. The letter of transmittal of the subaward (see sample, [Appendix C](#)) also requests the following materials from the subrecipient (as necessary):
1. Audit/Certification Assurances ([Appendix D](#))
 2. Subrecipient's most recent federally-negotiated indirect cost rate agreement (if applicable).

All of the above documents are kept in the subaward file. If the audit certification detects areas of concern, a copy is sent to the SURA CFO. After review, the material is returned so that it can be maintained in the subaward file. The CFO or designee will indicate whether the audit material is sufficient, or whether a follow-up request to the subrecipient regarding audit deficiencies is necessary. Usually, subawards can be executed in either case.

If no A-133 type audit has been performed at the potential subrecipient's organization, the CFO may be consulted with regard to the risk involved in signing an agreement. If the potential subrecipient has an audit scheduled in the future, an agreement can usually be signed. Otherwise, SURA will be at risk if it subcontracts with an institution whose fiscal responsibility cannot be documented.

2. Negotiating the Subaward

After receiving copies of the subaward, the subrecipient may request clarification of an article or clause, or certain points may require negotiation before the agreement is finalized. It is possible for negotiations to become complex, especially with for-profit subrecipients. SURA's interests must be maintained, and all requisite federal regulations must be flowed-down.

3. Finalizing the Subaward

- a. Upon receipt of a signed copy of the subaward from the subrecipient, and all required documents, the subaward is submitted to the ~~CFO~~ General Counsel for signature on behalf of SURA.
- b. A fully-executed copy of the subaward is returned to the subrecipient and a copy of the subaward is forwarded to the PI.
- c. The subaward file now contains the fully-executed subaward and all correspondence, documents, memos, etc. The Subcontract Information sheet ([Appendix E](#)) is printed out from the grants management database and kept at the top on the right hand side. As amendments, etc. are issued during the life of the subaward, they will be entered into the grants management database and an updated Subcontract Information Sheet will be printed out and affixed to the right hand side of the subaward file. The Office of Sponsored Programs retains all subaward files until close out.
- d. The pertinent subaward information is added to ~~Sponsored Program's~~ the grants management database,

SECTION V
OFFICE OF SPONSORED PROGRAMS
SUBAWARD POLICIES AND PROCEDURES
MONITORING THE SUBAWARD

1. [Subaward Administration](#)

- a. Payment of Invoices
 - i. The subrecipient will invoice SURA according to terms set forth in the subaward. When an invoice arrives, Sponsored Programs checks it for appropriateness of charges (correct line items, appropriate time periods, sufficient funds, etc.), notes the invoice number and amount in the grants management database. The invoice along with a Subaward Performance” form ([Appendix F](#)) is sent to the PI or his/her designee for authorization of payment and certification of progress.
 - ii. When the approved invoice is returned to Sponsored Programs, Sponsored Programs notes its approval, indicates the balance remaining, and forwards the invoice to the Finance Department for payment.

- b. Amendments
 - i. Many times a subaward must be amended before completion. Most commonly, amendments add dollars to the total subaward value, extend the end date, or both.
 - ii. When an amendment is required, the PI notifies the Office of Sponsored Programs. The amendment is issued using a standard format ([Appendix G](#)).
 - iii. After the amendment is prepared, two copies are sent to the subrecipient for signature and return.
 - iv. After being signed and returned by the subrecipient, the amendment is signed by SURA and one fully-executed copy of the amendment is returned to the subrecipient. A copy is placed in the subaward file and a copy is forwarded to the PI. The amendment is entered into the grants management database. A New Subcontract Information Sheet is printed out and affixed to the front right-hand side of the subaward file.
 - v. Finance Department is notified of change to subaward. ([Appendix H](#)).

**SECTION VI
OFFICE OF SPONSORED PROGRAMS
SUBAWARD POLICIES AND PROCEDURES
CLOSING OUT THE SUBAWARD**

1. Subaward Close-Out

When Sponsored Programs receives an invoice marked “final,” this will trigger formal close-out procedures:

- a. Sponsored Programs sends a certification of completion of technical report (Appendix I) to PI which is completed and returned for inclusion in the subaward file.
- b. Two copies of each of the following standard closing documents are sent to the subrecipient for completion; one fully executed copy of each document is to be returned:
 1. Report of Inventions. NOTE: The forms for this report will depend on the prime sponsor. (i.e., for NIH use form HHS 568, for DoD use form d882, etc.).
 2. Final Inventory of Property, if applicable. ([Appendix J](#)).
- c. When the fully-executed closing documents are returned by the subrecipient, they are placed in the subaward file and the subrecipient's final invoice is approved for payment. Sponsored Programs will complete a Subaward Closeout Checklist ([Appendix K](#)) as well as a Closing Statement ([Appendix L](#)) which will be filed in the subaward file. The subaward file may be marked as closed and filed with the appropriate prime project folder.

SECTION VII INDEPENDENT CONTRACTOR AGREEMENT VS. SUBRECIPIENT

OMB Circular A-133 provides guidance in differentiating between a subrecipient (substantive work) and a vendor or independent contractor:

- A subrecipient is defined as "any person or government department, agency, establishment, or nonprofit organization that receives financial assistance to carry out a program through a primary recipient or other subrecipient..."
- A vendor is defined as "an organization providing a recipient or subrecipient with generally required goods or services that are related to the administrative support of the Federal assistance program."

Circular A-133 states (§ ____.210) that an organization is considered to be a **subrecipient** of a federal award when it:

- determines who is eligible to receive what financial assistance;
- has its performance measured against whether the objectives of the federal program are met;
- has responsibility for programmatic decision-making;
- has responsibility for adherence to applicable federal program compliance responsibilities;
- uses the federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

Under A-133, an organization is considered to be a **vendor** when it

- provides goods and services within normal business operations;
- provides similar goods and services to many different purchasers;
- operates in a competitive environment;
- provides goods and services that are ancillary to the operation of the federal program; and
- is not subject to compliance requirements of the federal program.

Not all of the characteristics need to be or will be present to determine whether the organization is a subrecipient or a vendor, and the circular states that judgment should be used in each case.

The clear distinction between a subrecipient providing substantive programmatic work and a vendor providing goods and services provides the basis for the decision as to whether a subaward or purchase order will be issued.

SECTION VIII
CONFLICT OF INTEREST

Whenever SURA subcontracts out a portion of work under an externally-funded project, the potential for conflict of interest arises. Information about SURA's definitions, policies, and procedures can be found in the following sources:

1. SURA Conflict of Interest Policy
2. SURA Purchasing Manual

Subaward Agreement

Southeastern Universities Research Association, Inc. ("SURA") Address: _____ 1201 New York Ave., NW _____ Suite 430 _____ Washington, DC 20005		Institution/Organization ("COLLABORATOR") Name: _____ Address: _____ _____ EIN No.: _____	
Prime Award No. _____		Subaward No. _____	
Awarding Agency _____		CFDA No. _____	
Subaward Period of Performance _____		Amount Funded this Action \$ _____	Est. Total (if incrementally funded) \$ _____
Project Title _____			
Reporting Requirements [Check here if applicable: <input type="checkbox"/> See Attachment 4]			
Terms and Conditions			
1) SURA hereby awards a cost reimbursable subaward, as described above, to Collaborator. The statement of work and budget for this subaward are (check one): _____ as specified in Collaborator's proposal dated _____; or _____ as shown in Attachment 5. In its performance of subaward work, Collaborator shall be an independent entity and not an employee or agent of SURA.			
2) SURA shall reimburse Collaborator not more often than monthly for allowable costs. All invoices shall be submitted using Collaborator's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification as to truth and accuracy of invoice. <i>Invoices that do not reference SURA's subaward number shall be returned to Collaborator.</i> Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachment 3.			
3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to SURA's Financial Contact NOT LATER THAN sixty (60) days after subaward end date. The final statement of costs shall constitute Collaborator's final financial report.			
4) All payments shall be considered provisional and subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Collaborator.			
5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Project Director, as shown in Attachment 3. Technical reports are required as shown above, "Reporting Requirements."			
6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachment 3. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachment 3.			
7) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.			
8) Either party may terminate this agreement with thirty days written notice to the appropriate party's Administrative Contact, as shown in Attachment 3. SURA shall pay Collaborator for termination costs as allowable under OMB Circular A-21 or A-122, as applicable.			
9) No-cost extensions require the approval of the SURA. Any requests for a no-cost extension should be addressed to and received by the Administrative Contact, as shown in Attachment 3, not less than thirty days prior to the desired effective date of the requested change.			
10) The Subaward is subject to the terms and conditions of the Prime Award and other special terms and conditions, as identified in Attachment 2.			
11) By signing below Collaborator makes the certifications and assurances shown in Attachments 1 and 2.			
By an Authorized Official of SURA: _____ _____ _____ Date		By an Authorized Official of COLLABORATOR: _____ _____ _____ Date	

**Attachment 1
Subaward Agreement**

By signing the Subaward Agreement, the authorized official of COLLABORATOR certifies, to the best of his/her knowledge and belief, that:

Certification Regarding Lobbying

1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Collaborator, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Collaborator shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to SURA within 10 days following the end of the calendar quarter in which there occurs an event that requires disclosure.

3) The Collaborator shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all Collaborators shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code, as implemented by Department of Commerce ("DoC") regulations at 15 C.F.R. Part 28, "New Restrictions on Lobbying." Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Debarment, Suspension, and Other Responsibility Matters

Collaborator certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

OMB Circular A-133 Assurance

Collaborator assures SURA that it complies with A-133 and that it will notify SURA of completion of required audits and of any adverse findings, which impact this subaward.

REQUEST TO ISSUE A SUBAWARD

- New Subaward
- Amendment to current Subaward (Subaward Number: _____)

SURA Account Number: _____

Subrecipient Institution: _____

Subrecipient PI and Title: _____

Subrecipient OSP Contact: _____

Telephone: _____

Email: _____

Please attach a revised Statement of Work and Budget if changes have occurred since proposal submission.

Sponsor Approval:

Sponsor has approved the subaward:

- Letter from sponsor (*attached*).
- Approved in proposal/award document.
- Other: _____

Period of Subaward: Start Date: _____ End Date: _____

Funding of Subaward: (Budget Attached)

Total estimated cost for period of subaward \$ _____

Funds obligated by this action \$ _____

-or-

No funding obligated by this action, no-cost extension only

Special Terms & Conditions:

Reporting Requirements: Standard Other

SIGNATURE:

Principal Investigator

Date

December 13, 2011

Ref: Agreement No. SURA-

Dear :

Enclosed are two copies of referenced agreement. Please review and, if the agreement meets with your approval, have both copies signed on behalf of and returned to me at the below address. Also, federal regulations require that we receive and review the following information before returning a fully executed agreement to you:

1. The attached audit certification form, duly completed.
2. A copy of your most recent federally-negotiated F&A rate agreement.

If you have any question, please contact me at 202-408-7872 ~~ext. 278~~ or via email at memahon@sura.orgspa@sura.org.

Thank you.

Sincerely,

~~Maureen B. McMahon~~
~~Director of Sponsored Programs and~~
~~Grants Administration~~ Jeri Marie Cravens
Controller

AUDIT CERTIFICATION

Please complete the following, as appropriate, for fiscal year 2005:

We have completed our A-133 audit. The audit disclosed no material instances of noncompliance with federal laws and regulations or reportable conditions. There were also no unresolved prior year findings. ~~Therefore, we are not enclosing a copy of the report.~~ Enclosed is a copy of the audit report.

We have completed our A-133 report. Material weaknesses, material instances of non-compliance or findings related to an award(s) from the Southeastern Universities Research Association, Inc. were noted. Enclosed is a copy of the audit report. Relevant findings, our responses and corrective action plan are discussed on page(s) _____.

We have not yet completed our A-133 report. We expect the audit to be completed by _____. Upon completion, we will provide you with a written certification and, if material findings are reported related to an award from the Southeastern Universities Research Association, Inc., we will send a copy of the audit report and corrective action plan.

We are not subject to the provisions of A-133 because:

Our organization is for-profit

Our organization expended less than \$500,000 in federal funds

Our organization is a foreign (non U.S.-based) entity

Other (please explain) _____

I certify that the above checked boxes are appropriate for the organization for which I am a representative. Further, I certify that all relevant material findings contained in the audit report, if complete, have been disclosed.


Signature: _____ Date: _____

Print Name and Title: _____

Institution: _____

Address: _____

E-mail: _____ Phone Number: _____



Subcontract Information

Prime Grant Number: 05-001 Subcontract Number: 2006-308
(Click on Grant Number to view Prime Record)

PD Title: Dr. PD First Name: Gabrielle PD Last Name: Allen

Institution: Louisiana State University

Project Title: The SURA Coastal Ocean Observing and Prediction (SCOOP) Program

Award History

Document	Amount	Start Date	End Date	Date Executed
Award	\$153,500.00	1/1/2006	8/31/2008	4/11/2008
Amendment	\$0.00			4/11/2008
No-cost Extension	\$0.00		8/31/2007	8/28/2008

Awarded Total: \$153,500

Invoice History

Invoiced Total:

DATE: December 13, 2011

TO:

FROM: Maureen B. McMahon, Director of Sponsored Programs^[MM2]

SUBAWARD PERFORMANCE

(To be completed for each invoice submitted for payment)

Subaward Number: SURA-

has submitted the attached invoice(s) for payment under the above-referenced subaward. Please review the invoice(s) and check TWO of the following:

- To the best of my knowledge, the costs included on the attached invoice are reasonable and appropriate for the work performed.
- I do **NOT** believe all the costs included on the attached invoice are reasonable or appropriate for the work performed – see comments below *(please provide commentary on discrepancy)*.
- I am satisfied with the subcontractor’s progress to date.
- I am **NOT** satisfied with the Subcontractor’s progress to date – see my comments below – *(please provide commentary on the insufficiency)*.

If either of the negative responses is checked, Sponsored Programs will hold payment of the invoice until the problem is resolved.

COMMENTS:

Principal Investigator Signature (required)

Date

Please return this completed form with each invoice to Sponsored Programs. Payment will be entered in the grants management database and documentation forwarded to the Finance Department for Payment.

Subaward Amendment

Prime Awardee		Subawardee	
Southeastern Universities Research Association, Inc. ("SURA") Address: _____ 1201 New York Ave., NW _____ Suite 430 _____ Washington, DC 20005 _____ _____		Institution/Organization ("COLLABORATOR") Name: _____ Address: _____ _____ _____ EIN No.: _____	
Prime Award No. _____ _____		Subaward No. _____ _____	
Effective Date of Amendment _____ _____		Amendment No. _____	
Amendment(s) to Original Terms and Conditions			
By an Authorized Official of SURA: _____ _____		By an Authorized Official of COLLABORATOR: _____ _____	
Name _____ Title _____	Date _____	Name _____ Title _____	Date [MM3] [MM4]

[MM5]

[MM6]

MEMORANDUM

Date: December 13, 2011

TO: Finance Department

FROM: ~~Maureen B. McMahon, Director~~
~~Sponsored Programs~~

SUBJECT: Change to Subaward No. on Award No.

The subject subaward agreement has been amended as follows:

Increase Dollar Amount:

Current Total	New \$'s	New Total
+		= \$

Decrease Dollar Amount

Current Total	Deoblig \$'s	New Total
-		= \$

Other:

cc: ~~Joanne Bintz~~

MEMORANDUM

DATE: December 13, 2011

TO:

FROM: Maureen B. McMahon, Director, Office of Sponsor Programs

MM7

SUBJECT: Certification of Completion of Technical Performance on Subaward No. _____
with _____ under Prime Grant/Contract No. _____ from _____

The final invoice for subject subaward has been submitted by the Subawardee. Please certify, if appropriate, that you have received the final technical report and that Subawardee has completed the agreed-to technical work plan by acknowledging this fact in the space provided below. Please return this form with your signature to the Office of Sponsored Programs so that we may process the final invoice and close-out this subaward.

If you have any questions or concerns, please feel free to contact me.

The undersigned hereby certifies that technical performance is complete on the subject subaward and that continued effort will not be necessary.

Date

SUBAWARD CLOSEOUT CHECKLIST

Subawardee: _____

Subaward Number: _____

As Modified by Amendments Numbered through _____

Period of Performance _____ through _____

- Final Invention Report
- Certification of Technical Performance
- Final Inventory of Property (if applicable)
- Other: _____
- Other: _____

Office of Sponsored Programs

Date

MEMORANDUM

Date: December 13, 2011

To: File, Subaward No.

From: ~~Maureen B. McMahon, Director, Office of Sponsored Programs~~

Subject: Closing Statement for Subaward No. with under Prime Grant
Number Awarded to SURA by

This subject subaward provided for a program entitled “ .” The awarded estimated cost was \$, with a period of performance from through . All provisions of the subaward, including administrative and technical requirements, have been met.

The cumulative amount invoiced and claimed under this subaward is \$ with excess funds in the amount of \$. There are no known systems deficiencies or recurring audit problems with this subawardee that we have been made aware of. Any prior approvals which may have been required were obtained as needed.

Based upon final review, we have concluded that claimed costs are allowable and reasonable and are therefore considered allowable under the terms and conditions of subject award.

~~Maureen B. McMahon, Director~~