1.0 Subaward Preaward Process Flow

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**1.0 Subaward Preaward Process Flow**

- **PI** identifies need for external parties on proposed project
  - **1.2** PI - Are external parties Subs or Contractors?*
    - **1.2.1** PI gets quote for proposal budget

- **Subrecipient (Sub)** agrees to scope of work and budget
  - **1.3** Sub completes Letter of Intent for proposal and other docs required for proposal
  - **1.4** Sub sends reminder to PI that Tax Clearance for sub will be required if project is funded

- **ORS** receives PD record, reviews, works on corrections (if necessary) with Unit and approves PD**
  - **1.8** ORS sends reminder to PI that Tax Clearance for sub will be required if project is funded**
  - **1.9** Proposal is submitted to sponsor

- **ORS** routes whole PD record for Chair, Dean/Director/Chancellor, FA, etc., to ORS
  - **1.6** PI identifies existence of subrecipient in myGRANT question set*
  - **1.7** PI uploads Letter of Intent and sub budget to myGRANT PD record

- **ORS** creates a myGRANT award record
  - **1.15** Prime Award Notice is sent to PI/FA

- **1.10** PI notifies sub that Tax Clearance will be required if project is funded
  - **1.11** Sub starts on Tax Clearance process prior to award

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* Uniform Guidance requirement. PIs will be prompted in the myGRANT proposal record to answer a question regarding Subs versus Contractors.

** Tax clearance instructions attached to email, so PI can forward to sub.
2.0 Subaward Initiation Process Flow

ORS

| 2.1 | Prime award notice is sent to PI/FA; memo is attached with subaward checklist* |
| 2.4 | ORS sends notice to sub’s contacts with instructions** |

PI/FA Support Staff

| 2.2 | Does Sub’s budget or scope need to be renegotiated? |
| 2.3 | Send all materials needed to initiate the subaward to central email subaward@ors.hawaii.edu |
| 2.5 | Sub submits S1/S2 and starts tax clearance |
| 2.6 | ORS reviews S1/S2 concurrently with subaward generation; returns it to the PI for approval with cc: to FA |
| 2.7 | PI approves final agreement; if no approval is received within one week, ORS will reply to email to provide notice that the subaward is moving forward |

Subrecipient (Sub)

| 2.8 | ORS sends subaward for execution |
| 2.9 | Sub signs agreement and submits agreement and tax clearance to ORS subaward email |

2.10 ORS Contracts and Grants Office reviews ½ executed agreement/negotiates changes with PI/FA approval, checks for tax clearance

2.11 ORS Director signs subaward agreement

2.12 Fully executed subaward is sent to sub with cc: to PI/FA

2.13 Fully executed subaward is received

2.14 Fully executed subaward is received <Go to 3.0>

* Subaward Start up Checklist: If prime is new - submit Final Budget, Scope of Work, Reports/Deliverables, and Contacts via email to subaward@ors.hawaii.edu.
Subaward Amendment Checklist: If prime is not new – indicate any changes on a form, sign, and email to subaward@ors.hawaii.edu.
** Instructions: Submit Tax Clearance (if applicable) and S1/S2 to subaward@ors.hawaii.edu.
3.0 Subaward Performance Process Flow

3.1 Payment
(concurrent with 3.2)

3.1.1 PI/FA encumbers RCUH PO for subaward

3.1.2 Sub receives fully executed subaward

3.1.3 Sub starts performance

3.1.4 PI monitors performance throughout the duration of subaward

3.1.5 Sub invoices unit for performance

3.1.6 PI approves invoice from sub (RCUH issues checks to sub)*

3.1.7 FA / Support Staff Processes Payment (RCUH issues checks to sub)

3.1.8 Sub collects payments for performance and provides required scope of work performance reports

3.1.9 PI - Will amendment be needed? (increment, carryover, etc.)

3.1.9.1 Amendment is prepared, reviewed and approved, per process described in 2.0

3.1.9.2 Sub Closes Project with Final Progress Report and Invoice

3.1.10 Subrecipient Monitoring (concurrent with 3.1)

3.2 Subrecipient Monitoring
(concurrent with 3.1)

3.2.1 ORS Compliance monitors sub activity on a select basis ("Subrecipient monitoring") required for OMB compliance; addresses weaknesses with Unit

3.2.2 PI/FA works with sub to provide needed documents for subrecipient monitoring reviews

3.2.3 Provides required documents for subrecipient monitoring reviews, if required

3.2.4 ORS sends reminders to PI/FA regarding closeout of the subaward

* Per Uniform Guidance, payment must be made to sub within 30 days of receipt of proper invoice.