

# Subaward Roles and Responsibilities Matrix

Updated: 05/03/2019

Responsibility:		Principal Investigator	Departmental Administrator	Office of Sponsored Projects	Sponsored Programs Accounting	Property Control
1	OSP determines at proposal stage whether a subrecipient or vendor relationship exists; ensures that adequate documentation regarding the selection process is on file.	X	X	X		
2	OSP determines whether equipment will be purchased or if government furnished equipment is issued under the subaward.			X		
3	Conduct a risk assessment to determine if the subawardee has adequate property/equipment control systems in place if the prime award is a federal contract. OSP will be responsible for facilitating.			X	X	X
4	Develops a budget and scope of work for the proposal in consultation with the subrecipient.	X				
5	After prime award is executed, a statement is included in the fund notice that is distributed to the PI and Departmental Administrator. The statement includes general information on how to request any necessary subawards and a link to the OSP website.				X	
6	PI submits required subaward documents, including any special reporting/invoicing instructions, and authorizes OSP to initiate the subaward process.	X	X			
7	Contacts department/PI if any additional information is necessary to complete the subaward (ex: Prime Sponsor Approval).			X		
8	Reviews lists of Excluded Parties and Specially Designated Nationals to verify subrecipient is not debarred, suspended, or otherwise restricted from receiving federal funds.			X		
9	Determines appropriate contractual vehicle (cost reimbursement, fixed price, FDP).			X		
10	Conducts and documents risk assessment in consultation with PI and SPAccounting as appropriate.			X		
11	Completes pre-award risk assessment matrix.			X		
12	Prepares appropriate contract based on the statement of work and sponsor's terms and conditions in the prime award.			X		
13	OSP collaborates with SPAccounting to craft appropriate contractual language to reduce MSU financial risk for subrecipients in a medium or high risk category.			X	X	
14	Negotiates, modifies, and executes subaward documents.			X		
15	Notifies PI about any special issues relating to the terms of the subaward.			X		
16	Notifies all necessary units on campus that a subaward agreement has been issued or modified, and distributes copies of the agreement via email. This copy will include the results of the risk assessment. The original is sent to SPAccounting.			X		
17	OSP uploads and maintains the subaward account information in Banner form FZMSPSC.			X	X	
18	OSP determines if Contractor Acquired Equipment and/or Government Furnished Equipment is applicable and updates Banner form FZMSPSC.			X		
19	Verifies subrecipients have obtained any required compliance approvals. (IRB, IACUC, etc.)			X		
20	Collects and maintains FFATA data.				X	

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21	Reviews Subrecipient Commitment form Section D-Audit Status in subaward or obtains an annual certification from each subrecipient for compliance with the Circular.				X	
22	Follows up on instances of subrecipient noncompliance with annual audit certification requirements.				X	
23	Monitors subrecipient technical progress/reports.	X				
24	Subrecipient is notified when a property report is needed. An Excel spreadsheet is provided for use. Once returned to MSU by the subrecipient, the spreadsheet is forwarded to Property Control.				X	
25	Property Control includes subrecipient property in the MSU property report for the award to the sponsor.					X
26	Receives and reviews invoices prior to payment. Refer to Subrecipient Invoice Monitoring Guide. Stamps invoice reviewed and initials and forwards the invoice to the Departmental Administrator for approval.				X	
27	Reviews invoices and approves payment after ensuring that charges seem reasonable and progress to date on the project is satisfactory and within the statement of work. Refer to Subrecipient Invoice Monitoring Guide for guidance.	X				
28	SPAccounting conducts periodic review of invoice support based on risk assessment. SPA will forward the support to the department for review.	X	X		X	
29	Processes a direct pay voucher to pay approved invoices.		X			
30	PI submits required subaward modification forms and authorizes OSP to issue a modification to a subaward.	X	X			
31	Prior to issuing modifications, reviews risk assessment status to ensure any needed changes to risk level are appropriately reflected in the subcontract amendment.			X		
32	Issues and executes modifications to the subaward.			X		
33	Updates Banner form FZMSPSC for modification.			X		
34	Provides assistance in the event budgets/financial issues arise during the period of performance, works with subrecipient to resolve outstanding financial matters.				X	
35	Follows up with subrecipients regarding appropriate and timely corrective action on findings related to university's subawards.				X	
36	Performs periodic reviews of subrecipient's property management system throughout the active award period to include on-site visits, if applicable. Property Control will facilitate this process.	X	X	X	X	X
37	Final closeout process of subaward is initiated by SPA prior to subaward end date. Email notification is sent to Subrecipient, PI/Dept Administrator, OSP and Property Control, if applicable. PI will notify OSP/SPA if an extension is needed for the subaward.				X	
38	If the PI requests an extension for the subaward, OSP will notify sponsor if required, for modification of subaward and SPA that an extension has been requested so that a final report is not requested.	X	X	X		
39	Subaward Closeout Form is requested from the subrecipient once the subaward expires, if not received with the final invoice.				X	

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40	Once the completed Subaward Closeout Form is received by SPAccounting from the subrecipient, the form is sent to the PI/Department to approve and the form is returned to SPAccounting.	X			X	
41	The subaward closeout process includes completing the Subaward Closeout Checklist.				X	
42	Documentation of subrecipient monitoring, such as the Subrecipient Monitoring Record, is forwarded to SPAccounting for inclusion into the official subaward records. The PI initiates this process.	X			X	
43	If applicable, subrecipient property report is reviewed and verified to budget by SPAccounting, then emailed to Property Control. Subrecipient property, if applicable, is included in the property report submitted to the sponsor.				X	X
44	The Banner form FZMSPSC status is changed to Inactive once invoices are paid and Subaward Closeout Form is received.				X	
45	Subaward file is filed with Award file.				X	