



GCAAlert!

Yale University
Grant and Contract Administration
Grant and Contract Financial Administration
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Alerts:

- **Required Subrecipient Documentation at time of Proposal Submission**
- **Subrecipient Compliance and Assurance Guidance**

“Proposals to external sponsors that include a subrecipient or subawardee institution, require PIs and departments to provide documentation to GCA before the proposal can be submitted.”*

“Approvals, assurances and certifications relative to human subject and/or animal research, and conflict of interest must be obtained from the subrecipient prior to issuing a subaward.”

Grant & Contract Administration

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Required Subrecipient Documentation at time of Proposal Submission

Proposals to external sponsors that include a subrecipient or subawardee¹ institution will require PIs and departments to provide documentation to GCA **before** the proposal can be submitted.

GCA requires the following information from each proposed subrecipient:

- Consortium Letter of Intent or PHS398 or

SF424 R&R Face Page, that is signed by the subrecipient's signing official for GCA records (should not be included in the application)

- Budget and Justification
- Statement/Scope of Work (SOW) for that portion of the work to be undertaken at the subrecipient institution

- Biosketches for all key personnel in the format required by the sponsor
- Copy of the federally negotiated rate agreement (if applicable to the sponsor)
- Other requirements noted in specific solicitation if applicable

Subrecipient Compliance and Assurance Guidance

As the recipient of external sponsor awards, Yale is responsible for ensuring that all research is conducted and administered in compliance with federal requirements. If a subrecipient is involved, all approvals, assurances and certifications relative to human subject and/or animal research, and conflict of interest must be obtained from the subrecipient prior to issuing a subaward². In addition, “Just in Time” (JIT) materials cannot be submitted

to NIH without these subrecipient documents and approvals.

It is the PI's and department's responsibility to obtain from each subrecipient all required materials. The *Proposal Summary and Certification Form* (ProSum) revised 11/08 contains additional guidance, which is outlined on the *Subrecipient Compliance and Certification Form*:

Tab 4 of the ProSum at <http://www.yale.edu/grants/f>

[orms/docs/ProposalSummary and Certification Form.xls](#).

This documentation, which includes the subrecipient's authorized official's signature and copies of all required attachments, is required for all new subawards issued as of Nov. 1, 2008 or later.

Subaward agreements cannot be issued until all compliance requirements are met, both at the subrecipient institution and at Yale.

1. Subrecipients/subawardees are the legal entities to which a subaward is made. They are accountable to the University for the use of funds provided to carry out a portion of the University's programmatic effort under a sponsored project. The term may include institutions of higher education, for-profit corporations, and foreign or international organizations.

2. A subaward is an award (also referred to as a subgrant if the prime award is a grant, or a subcontract if the prime award is a contract) of financial support from a prime awardee (e.g. Yale) to a qualified organization for the performance of a substantive portion of the program funded under the prime award. The term also includes awards made by a subrecipient to a lower-tier subrecipient. It does not include procurement of goods and services funded by a prime award (i.e. vendors are not considered subrecipients).