

## Roles & Responsibilities Guidance for International Subaward Setup<sup>1</sup>

These tables describe the roles and responsibilities of the individuals at MSU involved in international subawarding. The categories are not all inclusive but rather provide the primary activities and services needed for a successful Subaward. Subaward information should be submitted at the proposal stage (when possible).

Typically, the college/department Research Administrator (RA) is the liaison between the Office of Sponsored Programs (OSP) and Contract and Grant Administration (CGA) and the PI; however, in some instances, the PI may act in that lead role.

### Legend:

L = Lead Contact

R = Reviewer

\* = Communicator with OSP/CGA

### Step 1 – Research Administrator/PI gathers and reviews information for Subaward compilation:

	OSP/CGA	PI	RA	Task
1.1			L	<input type="checkbox"/> Requests from and works with the subrecipient on completing the <a href="#">Subrecipient Commitment Form</a> , and upon receipt, ensures that all information is complete and accurate.
1.2			L	<input type="checkbox"/> <i>From Subrecipient Commitment Form</i> - Checks to make sure DUNS number (federal only) is listed. If Subrecipient does not have one, assists subrecipient with <a href="#">obtaining one</a> . Note an Employer Identification Number (EIN) is not required to register for a DUNS number.
1.3			L	<input type="checkbox"/> <i>From Subrecipient Commitment Form</i> - Checks to make sure Subrecipient Contact Information (PI name, address, and sponsored programs contact information) is on form.
1.4			L	<input type="checkbox"/> <i>From Subrecipient Commitment Form</i> - Verifies subaward performance period
1.5			L	<input type="checkbox"/> <i>From Subrecipient Commitment Form</i> - Confirms project title
1.6			L	<input type="checkbox"/> <i>From Subrecipient Commitment Form</i> - If available, collects Negotiated Indirect Cost Rate Agreement (NICRA) and confirms rate on agreement with Budget. If a NICRA is not available, the subrecipient may be able to use the de minimus rate of 10% for federally funded projects. Verify with the agency guidelines or restrictions, RFP, and/or award.
1.7		L	R*	<input type="checkbox"/> Reviews and confirms statement of work
1.8		R	L	<input type="checkbox"/> Reviews and consults with subrecipient on Budget (including cost share if applicable) & Budget Justification
1.9		R	L	<input type="checkbox"/> REGULATORY APPROVALS: Collects <a href="#">human subject approval</a> or <a href="#">animal use approval</a> if applicable to the project. If prime award is from the National Science Foundation (NSF) or a Public Health Service (PHS) agency, obtains all Investigators <a href="#">Annual Disclosures</a> . Verifies Investigators complete <a href="#">Financial Conflict of Interest (FCOI) Training</a> if prime award is from the National Institutes of Health (NIH). <a href="#">Conflict of Interest Business Procedure FAQs</a> .
1.10		R	L	<input type="checkbox"/> Requests recent subrecipient audit information, verifies audit is within 21 months of end of fiscal year for which the financial audit is issued and is in English or certified English translation.
1.11		L	R*	<input type="checkbox"/> Confirms type of work subrecipient will be conducting (research, service, etc.)
1.12		L	R*	<input type="checkbox"/> Drafts plan of payment and schedule (if applicable). OSP/CGA will review/approve in Step 2.
1.13		R	L	<input type="checkbox"/> Submits a request to OSP/CGA to include a payment advance in a subaward, with the applicable approvals.
1.14		R	L	<input type="checkbox"/> Reviews, verifies salary/consultancy rates, and initials salary/consultancy rates on Employee Biographical Data Sheet (EBD). EBDs are only for USAID projects.
1.15			L	<input type="checkbox"/> Check to make sure Subaward was included on Export Control and Open Research Review Worksheet (ECORRW), if applicable (normally required only for subawards issued in sanctioned countries)
1.16			L	<input type="checkbox"/> Email all documents above to OSP/CGA <sup>2</sup>

<sup>1</sup> This tool was developed by SPA/OSP/CGA with input from research administrators. The roles and responsibilities may vary by unit/department/college.

<sup>2</sup> If the sponsor funding the award is a member of the Federal Demonstration Partnership (FDP), CGA is responsible for the tasks in Steps 2 and 3 assigned to "OSP/CGA". For all non-FDP sponsor, OSP performs the tasks in Steps 2 and 3 assigned to "OSP/CGA".

**Step 2 – OSP/CGA reviews all information sent in Step 1 once ALL information is received and complete.**

	OSP/CGA	PI	RA	Task
2.1	L			<input type="checkbox"/> Reviews Subrecipient Commitment Form ensuring all information on form is complete and accurate
2.2	L			<input type="checkbox"/> Checks to make sure DUNS number is listed (federal only).
2.3	L			<input type="checkbox"/> Subrecipient Contact Information (PI name, address, sponsored programs contact information)
2.4	L			<input type="checkbox"/> Ensures Subaward performance period is within MSU's project period
2.5	L			<input type="checkbox"/> Verifies project title is on form
2.6	L			<input type="checkbox"/> Reviews statement of work
2.7	L			<input type="checkbox"/> Reviews Budget (including cost share if applicable) & Budget Justification for allowability and accuracy
2.8	L			<input type="checkbox"/> Confirms Negotiated Indirect Cost Rate Agreement, NICRA, (if applicable) with budget and validates effective period on NICRA
2.9	L			<input type="checkbox"/> Verifies with IRB/IACUC that the subrecipient's scope of work was approved under MSU's protocol (if applicable).
2.10	L			<input type="checkbox"/> Ensures COI forms are complete (if applicable).
2.11	L			<input type="checkbox"/> Checks Visual Compliance to be sure there are no known country restrictions or entity restrictions with the subrecipient.
2.12	L			<input type="checkbox"/> Checks ECORRW for Subaward review or if Visual Compliance check requires an approval from the Office of Export Control and Trade Sanctions (ECTS), asks the PI to complete the form.
2.13	L			<input type="checkbox"/> Reviews subrecipient recent audit information and assesses risk level
2.14	L			<input type="checkbox"/> Confirms type of work subrecipient will be conducting (research, service, etc.)
2.15	L			<input type="checkbox"/> Finalizes plan of payment and schedule (if applicable)
2.16	L			<input type="checkbox"/> Files payment Advance request, ensuring all appropriate approvals are on request.
2.17	L			<input type="checkbox"/> Reviews salary/consultancy rates for reasonableness, checks for initials from Research Administrator/PI on Employee Biographical Data Sheet (USAID only) and files for audit documentation
2.18	L			<input type="checkbox"/> Files PDF copy of <a href="#">SAM's website</a> search results demonstrating delinquent debt record for subrecipient
2.19	L			<input type="checkbox"/> Writes Subaward (estimated 10-15 business days after all correct documentation has been received).
2.20	L			<input type="checkbox"/> Emails draft Subaward to Research Administrator for PI/RA approval

**Step 3 – OSP/CGA and Research Administrator/PI finalize the terms of the Subaward with the Subawardee**

	OSP/CGA	PI	RA	Task
3.1		L	R*	<input type="checkbox"/> Approves draft Subaward and sends confirmation of approval to OSP/CGA
3.2			L <sup>3</sup>	<input type="checkbox"/> Sends draft Subaward to subrecipient for review and signature and is responsible for follow up on signature
3.3	L			<input type="checkbox"/> Negotiates legal terms of the subaward
3.4		L	R	<input type="checkbox"/> Negotiates programmatic terms of the subaward
3.5	L			<input type="checkbox"/> Executes Subaward for MSU
3.6	L			<input type="checkbox"/> Emails a copy of the fully executed Subaward to the RA and PI.
3.7			L <sup>4</sup>	<input type="checkbox"/> Emails a copy of the fully executed Subaward to the subrecipient.

**Step 4 – Subaward is setup by CGA**

<sup>3</sup> CGA is the Lead Contact for FDP subawards for this task.

<sup>4</sup> CGA is the Lead Contact for FDP subawards for this task.