

EAST TENNESSEE STATE UNIVERSITY
OFFICE OF RESEARCH AND SPONSORED PROGRAMS

Subaward Request Form

To be completed by ETSU PI and returned to: Office of Research and Sponsored Programs research@etsu.edu

ETSU Principal Investigator/Project Director Submitting this Request:

Name: _____ Phone: _____ Email: _____@etsu.edu

Department: _____ Division of Health Sciences: Yes No

Prime Sponsor: _____ CFDA _____

Prime Award #: _____ Prime Banner Index #: _____ ORSPA # _____

Title of Proposal: _____

Provide Subrecipient Information Below:

Institution/Agency: _____

Principal Investigator/Project Director: _____

Title: _____ Phone: _____ Email: _____

PO Box _____ Ground Address _____ City _____ State _____ Zip _____

Subaward Year: Year 1 Year 2 Year 3 Year 4 Year 5

Note: Subawards are drafted and issued per current year term

TYPE OF SUBAWARD

*** REQUIRED ATTACHMENTS ***

Subrecipient's Scope of Work/Deliverables; Budget & Budget Justification

New Subaward – same in award as in proposal

Period of Performance: Start Term _____ End Term _____
Amount Funded: \$ _____ Total amount if incrementally funded more than 1 year: \$ _____

Invoicing: Monthly Quarterly, Provide details for Scheduled Other Final
Details: _____

Payment terms: Standard (30 days from the date of invoice) Other (explain below)

Explanation: _____

Reporting: Check all applicable: monthly quarterly 6 months Final Due Date: _____

*** REQUIRED ATTACHMENTS ***

Subrecipient's Revised Scope of Work/Deliverables; Budget and Budget Justification

Revised Subaward – revised in award or revised in subsequent term

Period of Performance: Original: Start Term _____ End Term _____
New: Start Term _____ End Term _____

Amount Funded: Original: \$ _____ Total if incrementally funded more than 1 year: \$ _____
New: \$ _____ Total if incrementally funded more than 1 year: \$ _____

Revised Invoicing: Monthly Quarterly, Provide details for Scheduled Other Final
Details: _____

Revised Reporting: Check all applicable: monthly quarterly 6 months Final Due Date: _____

Subrecipient's Revised Scope of Work/Deliverables; Budget and Budget Justification

Subaward Amendment – amended during the term of the subaward agreement

Addition or Reduction of funding

Original: \$ _____ Total if incrementally funded more than 1 year: \$ _____
New: \$ _____ Total if incrementally funded more than 1 year: \$ _____

No Cost Extension (NCE)

Original: End Term _____ New: End Term _____ (Prime NCE must be attached)

Revised Reporting Dates due to NCE?

Explanation: _____

Other reason(s) for amendment

Revised Invoicing: Monthly Quarterly, Provide details for Scheduled Other Final
Details: _____

Revised Reporting: Check all applicable: monthly quarterly 6 months Final Due Date: _____

Scope of Work/Deliverables

Budget/Budget Justification

PI or key personnel

Administrative correction

Terms and Conditions

Other (explain below)

Explanation: _____

Subrecipient's federally negotiated F&A Rate Agreement attached or website provided.

Equipment has been reviewed and appears reasonable and necessary given the proposed scope of work.

If applicable, the title of the Equipment resides with: Subawardee ETSU Sponsor

Approval letter from IRB or IACUC for the current year term (if applicable) is attached.

ETSU has designated the PI as the individual primarily responsible for monitoring the programmatic and financial performance and progress of a subaward. As part of ETSU's monitoring responsibilities, the duties of the PI during the life of the subaward are as follows:

1. Insure that Subrecipient's invoices are prepared in accordance with subaward requirements and are aligned in terms of cost and type of expense with the scientific progress reported to date; and that the costs are allowable, allocable and reasonable as they relate to the terms and conditions imposed by the sponsor and the subaward issued by ETSU.
2. Monitor the Subrecipient's scientific progress in terms of the Statement of Work and any required milestones. If scientific progress is not satisfactory, or if technical reports required of the Subrecipient are not prepared timely, the PI is responsible for contacting the Subrecipient to address these issues. If continued performance is not satisfactory, PIs should contact ORSPA to discuss appropriate remedial actions or termination of the subaward.
3. Verify that the Subrecipient is adequately meeting any cost-sharing commitments made for the subaward.
4. Verify that any human subject, animal subject, biosafety or other compliance approvals from the Subrecipient's boards or committees are kept current throughout the performance of the subaward.
5. Be the primary point of contact for the Subrecipient during performance of the subaward.
6. Ascertain whether the subaward Statement of Work or Budget, or both, require modification to add funding, time, or other considerations, and to notify ORSPA in a timely manner so a Modification may be prepared.
7. Plan for efficient completion of performance and close-out of the Subaward. This includes requiring that the Subrecipient's final invoice, final technical report, and any required reports, including those on inventions, be submitted to ETSU no later than 45 days after the end of the Subaward period of performance or as otherwise stated in the subaward terms and condition.

Principal Investigator: PI signature authorizes issuance of the Subaward Agreement.

Signature: _____ Date: _____