



Subrecipient Full Name:	
Proposal #	
Project Title	
Project #	
Subrecipient PI Name	

As the Principal Investigator (PI) of this project, it is important to review the responsibilities that go along with the Prime Award the University has received. The management of the Prime Award includes the responsibility of the oversight of the Subrecipients (Subs). Please review the Sub's proposal, including their Statement of Work (SOW) and Budget and answer the following questions. Based on the answers, you may request additional language be added to the sub agreement that OCG will issue or that supporting documentation be provided by the sub. OCG will have final approval of additional agreement language. These additions can be noted in #4 below.

1. Do you consider the cost budgeted for the Sub reasonable for the level of work being proposed in response to the requirements as stated in the SOW?

Yes                      No              If no, please elaborate as to the weaknesses of the budget.

2. Does the Sub have the management, technical resources and infrastructure in place that are adequate to support and perform the research proposed as stated in the SOW?

Yes                      No              If no, please elaborate as to the weaknesses of the resources currently in place.

3. Has the Sub performed like or similar research successfully in the past?

Yes                      No              If no, please elaborate as to why we are working with this organization for this project.

4. Reporting Requirements for Subrecipient (will be included in Agreement sent to Sub):

A Final technical/progress report will be submitted to the Pass-through Entities (PTE) Principal Investigator (CU) identified in Attachment 3A of sub agreement within 90 days after the end of the period of performance.

Monthly technical/progress reports will be submitted to the PTE's Principal Investigator (CU) identified in Attachment 3A of sub agreement, within 90 days of the end of the month.

Quarterly technical/progress reports will be submitted within thirty (30) days after the end of each project quarter to the PTE's Principal Investigator (CU) identified in Attachment 3A of sub agreement.

Technical/progress reports on the project as may be required by PTE's Principal Investigator (CU) in order that PTE may be able to satisfy its reporting obligations to the Federal Awarding Agency.

Annual technical /progress reports will be submitted within 90 days prior to the end of each project period to the PTE's Principal Investigator (CU) identified in Attachment 3A. Such report shall also include a detailed budget for the next budget period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.



In accordance with 37 CFR 401.14, Subrecipient agrees to notify PTE’s Principal Investigator (CU) identified in Attachment 3A within 90 days after Subrecipient’s inventor discloses invention(s) in writing to Subrecipient’s personnel responsible for patent matters. The Subrecipient will submit a final invention report using Awarding Agency specific forms to the PTE’s Principal Investigator identified in Attachment 3A within 60 days of the end of the period of performance so that it may be included with the PTE’s final invention report to the Awarding Agency. A negative report is is not required.

A Certification of Completion, in accordance with 2 CFR 200.201(b)(3), will be submitted within 90 days after the end of the project period to the PTE’s Principal Investigator (CU) Contact identified in Attachment 3A (for Fixed Price subawards only.)

Property Inventory Report; frequency, type, and submission instructions listed here and only to be used when required by PTE Federal Award:

**\*Other Special Reporting Requirements, Deliverables or Supporting Documentation needed from Sub:**

**\*Special Invoicing Requirements for this Sub:**

5. QUESTIONS RELATED TO EXPORT AND DEEMED EXPORT

Is the work to be performed or the deliverables to be provided under this Subrecipient known or anticipated to be subject to import or export controls at any time during performance or at delivery? This question can apply to any technology, technical data, software, materials and hardware deliverables under ITAR or EAR?

Yes No

6. Is this Sub a foreign company or institution?

Yes No

7. Is the Sub from a country that is subject to OFAC controls (Office of Foreign Assets Control)?

Yes No

8. Will the University and the Sub be exchanging technical data, technology, materials, software or hardware that may be export controlled?

Yes No

9. Is there a Nondisclosure Agreement in place between PI and the Sub?

Yes No



\* Please note that the Fundamental Research Exceptions do not apply to entities outside the United States. Fundamental Research is defined as research in science, engineering, or mathematics, the results of which are published and shared.

**If you answered "Yes" to any of the "QUESTIONS RELATED TO EXPORT AND DEEMED EXPORT" above (questions 5-9), please contact The Office of Export Controls at [exportcontrolshelp@colorado.edu](mailto:exportcontrolshelp@colorado.edu) so an assessment can be performed to ensure export regulatory compliance.**

**CONFLICT OF INTEREST STATEMENT -**

The Department agrees that there is no real or potential Conflict of Interest in recommending this Subrecipient for a Subaward/Subcontract. (NOTE: The University's Conflict of Interest Administrative Policy is available at the following website: <https://www.cu.edu/ope/aps/1012>.)

**Principal Investigator Certification**

It is the PI's responsibility to review the Sub's proposal for reasonableness and adequacy to ensure successful performance of the project requirements as stated in the Subaward / Subcontract Agreement, Federal and State laws, and University Policies. It is the PI's responsibility to review the Sub's performance and progress, track deliverables and review and approve all invoices submitted throughout the period of performance to ensure they support the needs of the Project and the University and follow the Sub's SOW. It is also the PI's responsibility to review the reporting requirements stated in the Prime Award and determine which requirements should be flowed to Sub.

I have reviewed the documents received from the Sub and certify to the following:

- The costs stated in the proposed budget are reasonable for the Sub to successfully perform the requirements in the SOW
- The Sub is capable of performing the work as required in the SOW
- If "Yes" was indicated to any of the "QUESTIONS RELATED TO EXPORT AND DEEMED EXPORT" above, I have reached out to the Office of Export Controls at [exportcontrolshelp@colorado.edu](mailto:exportcontrolshelp@colorado.edu) to discuss the matter.

PI SIGNATURE	
DATE	

Please note that the Office of Contracts and Grants is here to assist you in meeting all of the stated requirements.