

## Roles and Responsibilities

| Subrecipient Stage   | Activity   | PI | Pre-Award | Contracting | EVPRP | Research Quality Assurance | Post Award | Data & Support |
|--|--|----|-----------|-------------|-------|----------------------------|------------|----------------|
| <b>Proposal</b>  | Subrecipient vs Contractor Review  |    | X         |             |       |                            |            |                |
|  | Identify potential High Risk   |    | X         |             |       |                            |            |                |
|  | Gather SOW, budget, budget justification, and authorized institutional approval          |    | X         |             |       |                            |            |                |
|  | Review SOW/Budget  | X  |           |             |       |                            |            |                |
|  | Obtain institutional data via FDP Expanded Clearinghouse or Entity Profile/LOI           |    | X         |             |       |                            |            | X              |
|  |  |    |           |             |       |                            |            |                |
| <b>Award</b>   | New Sub: Subrecipient vs Contractor Review   |    |           |             |       |                            | X          |                |
|  | New Sub: Identify potential High Risk  |    |           |             |       |                            | X          |                |
|  | New Sub: Gather SOW, budget, budget justification, and authorized institutional approval |    |           |             |       |                            | X          |                |
|  | New Sub: Review SOW/Budget   | X  |           |             |       |                            |            |                |
|  | New Sub: Obtain institutional data via FDP Expanded Clearinghouse or Entity Profile/LOI  |    |           |             |       |                            | X          | X              |
|  | Evaluate Risk Level  |    |           |             |       |                            | X          |                |
|  | Ensure entity and PI are not debarred or suspended                                       |    |           |             |       |                            | X          |                |
|  | Obtain a Small Business Subcontracting Plan (if applicable)                              |    |           | X           |       |                            | X          |                |
|  | Recommend appropriate language for the Subcontract language                              |    |           | X           |       | X                          | X          |                |
|  | Determine methods to mitigate risk   |    |           | X           |       | X                          | X          |                |
|  | Update Subrecipient Risk Assessment Spreadsheet/Portal                                   |    |           |             |       | X                          |            | X              |
|  | Draft, negotiate, and execute agreement and amendments                                   |    |           | X           |       |                            | X          |                |
|  | Verify research compliance and export controls   |    |           |             |       | X                          |            |                |
|  | FFATA Reporting  |    |           |             |       |                            | X          |                |
|  | Receipt of invoices and preparation for payment  |    |           |             |       |                            | X          |                |
| Receive Technical Reports  | X  |    |           |             |       |                            |            |                |
| Review invoices for consistency against performance or accomplishments | X  |    |           |             |       |                            |            |                |

|                                   |   |   |   |  |  |   |   |   |
|-----------------------------------|---|---|---|--|--|---|---|---|
|                                   | Initiate formal project changes via amendments                              |   |   |  |  |   | X |   |
|                                   | Verify progress of cost share commitments                                   |   |   |  |  |   | X |   |
|                                   |   |   |   |  |  |   |   |   |
| <b>Closeout</b>                   | Receive Final Technical Report  | X |   |  |  |   |   |   |
|                                   | Obtain Final Invoice  |   |   |  |  |   | X |   |
|                                   | Ensure cost share commitment was fulfilled                                  |   |   |  |  |   | X |   |
|                                   | Review final invoice for consistency against performance or accomplishments | X |   |  |  |   |   |   |
|                                   |   |   |   |  |  |   |   |   |
| <b>Single Audit</b>               | Complete SEFA/File Data Collection  |   |   |  |  |   |   | X |
|                                   | Review Audit Reports with Findings  |   |   |  |  | X |   |   |
|                                   |   |   |   |  |  |   |   |   |
| <b>FDP Expanded Clearinghouse</b> | Maintain and Update Purdue Entity Profile (Director)                        |   | X |  |  |   |   |   |