

Subrecipient New Award Process Guide

- The Post Award Subaward Funding Administrator will review the subrecipient documents in the Funding Proposal in PERA to confirm all information has been received. If any documents are missing, the Post Award Subaward Funding Administrator will reach out to the subrecipient to obtain. If a subcontractor indicates they do not have a COI policy, the Post Award Subaward Funding Administrator will need to include the subrecipient in the PDD. **Note: The Post Award Subaward Funding Administrator will notify the Post Award Subaward Officer of the upcoming subcontracts that will need issued for urgent requests so drafts can be initiated while Post Award works to obtain finalized documents.**
 - Letter of Intent
 - Entity Profile (if not from current FY)
 - Statement of Work
 - Budget & Budget Justification
- The Post Award Subaward Funding Administrator will complete the Risk Analysis Form. If the subrecipient does not have a Risk Summary in the Organization data in PERA, the Post Award Subaward Funding Administrator will email RQA using the template that provides the Subrecipient Name, Number and UEI and request a Subrecipient Audit Risk summary be created and uploaded to the Organization in PERA. If the subrecipient is a Foreign Entity and either flagged on the Regulatory tab or has not yet been screened by Pre Award will need screened in [Visual Compliance](#). The Funding Administrator will download the pdf of the active registration in sam.gov for the subrecipient, as well as a snippet of the Visual Compliance when applicable, complete the new subaward checklist within the Agreements module of PERA.
- The Post Award Subaward Funding Administrator will complete the subrecipient information in the PERA Agreements Module. High risk should be indicated when confirmed through the risk assessment and comments should be provided on the risk assessment form.
- The Post Award Subaward Manager will review the subrecipient information, the subrecipient documents, the Risk Analysis Form and sam.gov registration in PERA and send a notification to the Post Award Subaward Officer.
- The Post Award Subaward Officer will review the documents and notes to create the subaward. If the subaward is high risk, the Post Award Subaward Officer will create the risk mitigation strategy (RMS) to include any "Waiver of Risk Mitigation Requirements" as applicable with appropriate justifications and/or approvals. The RMS will be saved in PERA under logged correspondence and documents.
 - The Post Award Subaward Officer will work with the Risk Assessment Committee (RAC) to review mitigation strategies as needed.
 - If dual review is needed, the Post Award Subaward Officer will send an ancillary review to the Post Award Subaward Manager for review and signature.
- Once the Post Award Subaward Officer has Fully Executed the subaward it will be uploaded in PERA Agreements Module, and a notification will be sent to the Post Award Subaward Funding Administrator.
- The Post Award Subaward Funding Administrator will then complete the FFATA requirements in SAM.gov.

Subrecipient Amendment Process

Unilateral

- The Post Award Subaward Funding Administrator will complete the Amendment template, the Risk Analysis Form, download the pdf of the active Sam.gov registration for the subrecipient and put the Risk Analysis Form and Sam.gov snippet into the PERA Agreements module.
- The Post Award Subaward Funding Administrator will create an amendment record from the original subagreement in PERA. The Post Award Subaward Funding Administrator will send an ancillary review to the Post Award Subaward Manager for review and signature.
- The Post Award Subaward Manager will review the Amendment template, Risk Analysis Form, sam.gov registration and sub amendment information in PERA to ensure there are no changes that would need further review from the Post Award Subaward Officer. The amendment will be signed by the Post Award Subaward Manager or sent to the Director of Post Award if above the delegated amount and then sent back to the Post Award Subaward Funding Administrator.
- The Post Award Subaward Funding Administrator will send the Fully Executed (FE) amendment to the appropriate subrecipient contact.
- The PERA Agreements module will be updated to reflect the latest amendment, and FFATA will be updated if it is applicable based on cumulative dollar amount at or exceeding \$30,000 at the time of the amendment. If applicable, a pdf of the successful FFATA submission will be put into PC.

Bilateral

- The Post Award Subaward Funding Administrator will complete the Amendment template, the Risk Analysis Form, obtain a snippet of the active Sam.gov registration for the subrecipient, and put the Risk Analysis Form and Sam.gov snippet into the PERA Agreements module.
- The Post Award Subaward Funding Administrator will create an amendment record from the original subagreement in the PERA Agreements module. The Post Award Subaward Funding Administrator will send an ancillary review to the Post Award Subaward Manager to review and sign the amendment in PERA Agreements Module.
- The manager will review the Risk Analysis Form, sam.gov registration and sub amendment information in PERA to ensure there are no changes that would need further review from the Post Award Subaward Officer. The amendment will be signed by the Post Award Subaward Manager or by the Director of Post Award if above the delegated amount and then sent back to the Post Award Subaward Funding Administrator.
- The Post Award Subaward Funding Administrator will send the amendment to the appropriate subrecipient contact.
- The Post Award Subaward Funding Administrator will upload the email and template in PERA and mark the record as External Review. The subrecipient agreement section of PERA will be updated to reflect the latest amendment, and FFATA will be updated if it is applicable based on cumulative dollar amount at or exceeding \$30,000 at the time of the amendment. If

applicable, a pdf of the successful FFATA submission will be put into PERA.

- A weekly report from PERA will be provided to the Post Award Subaward Funding Administrator can follow up on the pending amendments. The Post Award Subaward Funding Administrator will follow up with the subrecipient on any pending amendments.

Once the signed subrecipient amendment is returned, the fully executed subrecipient amendment will be uploaded to the PERA record.

Subrecipient Risk Analysis Process for Post Award Subaward Officer

- The Post Award Subaward Officer will locate risk analysis worksheet in PERA Organization record.
- The Post Award Subaward Officer will review the worksheet completed by Post Award Subaward Funding Administrator, along with any supporting documentation to determine the nature of the risk and appropriate template (risk mitigation strategy) to use.
- If risk analysis worksheet indicates Special Considerations, Post Award Subaward Officer should work with Post Award Subaward Funding Administrator to determinate nature of the special consideration. Add additional language to the contract as appropriate and outline risk mitigation strategy under Contracting Comments Section D. Elevate to Post Award Director if you need assistance in determining additional language.
- The Post Award Subaward Officer will create the risk mitigation strategy (RMS) to include any "Waiver of Risk Mitigation Requirements" as applicable with appropriate justifications and/or approvals.
- The Post Award Subaward Officer will save the completed RMS in PERA under Logged Correspondence and Documents.