

ESTABLISHING A SUB-RECIPIENT AGREEMENT

UAB is responsible for the programmatic and financial monitoring of its sub-recipients. A sub-recipient is a third-party organization performing a portion of work on a sponsored project received by UAB. The following procedures have been developed to ensure that sub-recipient agreements are developed and conducted in compliance with all applicable laws, regulations, and terms and conditions included in UAB's prime award(s).

Prior to submission of a grant or contract proposal to the sponsor:

1. The UAB Principal Investigator must identify the sub-recipient in the proposal.
2. The proposal must contain the sub-recipient's scope of work and budget in sufficient detail to comply with the sponsor's requirements and to allow UAB to evaluate the ability of the Sub-recipient to maintain compliance with the terms and conditions of the award.
3. The sub-recipient's proposal must include a letter of intent, signed by the sub-recipient's institutional official, stating that the sub-recipient intends to participate as a UAB sub-recipient.
4. The proposal must contain a copy of the sub-recipient's most recent Colleges and Universities Rate Agreement or other federally negotiated rate agreement if the sub-recipient's budget requires reimbursement of facilities and administrative (F&A) costs based on its federally negotiated rate. If the sponsor's policy limits the reimbursement of F&A costs, the sub-recipient must agree to comply with the sponsor's policy. Include the policy with the proposal.

Once the proposal has been awarded:

1. UAB will not knowingly issue an agreement to a sub-recipient or its key personnel who are debarred, suspended, or otherwise prohibited from receiving federal grants or contracts. To prevent such issuance, the Office of Grants and Contracts Administration (OGCA) will check the debarment and suspension status of the sub-recipient and all key personnel named in the budget.
2. Regulatory approvals, such as Institutional Review Board (for humans as research subjects) and Institutional Animal Care and Use Committee (for animals as research subjects) approvals, must be obtained prior to issuing a sub-recipient agreement.
3. OGCA will write, negotiate, execute and distribute the sub-recipient agreement and any amendments to the sub-recipient agreement on behalf of UAB