

Subaward Compliance and Reporting Requirements

Complete this form and attach to the Preq or Subaward Amendment Request Form. This form is **required for all subawards and amendments**

Subawardee Information (this section is **REQUIRED**)

Subawardee Name

Subawardee Contact, if applicable

Subawardee Email, if applicable

Subawardee Dun and Bradstreet Number (DUNS)

Subawardee Employee Identification Number (EIN)

Yes No Subawardee is enrolled in System for Award Management (SAM)

Compliance (this section is **REQUIRED**)

Yes No N/A Will **animal subjects** research be performed by the Subawardee?

Yes No N/A Will **human subjects** research be performed by the Subawardee?

Yes No N/A Will **human subjects data** (identifiable/de-identifiable) be exchanged under this Subaward?

Yes No N/A Has a **Data Management/Sharing Plan** been submitted to the awarding agency?

Reporting Requirements* (**MANDATORY** for federal funding; **RECOMMENDED** for all other funding)

Choose the frequency and # of days of when technical/progress reports are due to the Principal Investigator.

A Final technical/progress report will always be required; Please select the # of days for receipt (we recommend 30 days before the final prime report is due).

A Final technical/progress report will be submitted to University of Iowa's Principal Investigator (UI PI) within 30 days after the end of the period of performance.

Please select one of the following options and # of days for receipt (we recommend receipt be 15-30 days before the prime report is due).

Monthly technical/progress reports will be submitted to the University of Iowa's Principal Investigator within XXX days of the end of the month.

Quarterly technical/progress reports will be submitted within XXX days after the end of each project quarter to the University of Iowa's Principal Investigator.

Technical/progress reports on the project **as may be required** by the University of Iowa in order that the University of Iowa may be able to satisfy its reporting obligations to the Federal Awarding Agency.

Annual technical/progress reports will be submitted at least XXX days prior to the end of each project period to the University of Iowa's Principal Investigator. 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.

An invention report will always be required. Please select the # of days for receipt (we recommend 30 days).

In accordance with 37 CFR 401.14, Subrecipient shall notify the UI PI within XXX 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 UI PI within sixty (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.

Additional Information/Comments

*The UI PI is responsible for receiving progress and invention reports, maintaining documentation of receipt of progress and invention reports, and including subawardee progress and invention reports in the UI PI's reports as required by the prime awarding agency. The UI PI's responsibility to maintain documentation of subawardee progress and invention reports applies for the record retention period of the prime award, generally three years after completion for federal awards.

The UI Grant Accounting Office (GAO) and Division of Sponsored Programs may add additional subawardee reporting requirements to the subaward as required by the UI's prime award. For example, GAO collects certificates of completion and property reports from subawardees.