



### UH-Issued Subaward Checklist

Dear Principal Investigator:

Your extramural award proposes the use of a subrecipient. In order for UH to issue a subaward, please obtain the following items, have your fiscal administrator (FA) review the entire subaward packet, and email the completed packet to [subaward@hawaii.edu](mailto:subaward@hawaii.edu). Please also provide the myGRANT prime award ID (e.g., 012345-00002) which is included in the email subject line of your extramural award notice.

1. Attachment 3A "Pass-Through Entity (PTE) Contacts" (pre-filled form posted at: [https://research.hawaii.edu/files/ors/compliance/FDP\\_Subaward\\_Attachment\\_3A.pdf](https://research.hawaii.edu/files/ors/compliance/FDP_Subaward_Attachment_3A.pdf)).
2. Fill in the following attachments posted under Agreement Templates at <https://research.hawaii.edu/ors/resources/#forms> and email them with the attached Subrecipient Checklist to your subrecipient for review and/or completion:

- Attachment 3B "Subrecipient Contacts"
- Attachment 3B-2 "Highest Compensated Officers" (if applicable)
- Attachment 4 "Reporting and Prior Approval Terms"
- Attachment 5 "Statement of Work, Cost Sharing, Indirects & Budget"

NOTE: If there are special circumstances, or if the FDP template will not be utilized, please contact ORS at [subaward@hawaii.edu](mailto:subaward@hawaii.edu) to determine which forms need to be submitted.

3. Using the attached "Subrecipient Checklist", obtain the documents listed below from your subrecipient. Additional information and instructions are provided on the checklist.
  - Compliant Certificate of Vendor Compliance / Hawaii State Tax Clearance Certificate
  - Applicable S-1 "Subrecipient Commitment Form" or S-1 FDP "Project Specific Questionnaire – FDP Expanded Clearinghouse Participant", including all applicable supporting documents (e.g., F&A rate agreement, IRB/IACUC approvals, audit report, non-UH FCOI form)
  - S-2 "Subrecipient Questionnaire" if the subrecipient is not required to undergo a Single Audit.
  - Record of an active System for Award Management (SAM) registration or a Unique Entity Identifier (UEI) if the subrecipient does not receive any direct federal awards. Note: Not required for FDP Expanded Clearinghouse participants.

Please note that an incomplete or incorrect submission will delay issuance of a subaward. Please email [subaward@hawaii.edu](mailto:subaward@hawaii.edu) if you have any questions.



## Subrecipient Checklist (Request from Subrecipient)

SUBRECIPIENT'S REGISTERED NAME IN SAM: \_\_\_\_\_

NOTE: THE SUBAWARD WILL BE ISSUED TO THE REGISTERED NAME ASSOCIATED WITH ITS UNIQUE ENTITY IDENTIFIER (UEI) AS REQUIRED BY 2 CFR 200.331.

SUBRECIPIENT'S PI: \_\_\_\_\_ UH PI: \_\_\_\_\_

SUBMITTED PROPOSAL TITLE: \_\_\_\_\_

PERFORMANCE PERIOD START DATE: \_\_\_\_\_ END DATE: \_\_\_\_\_

SUBAWARD AMOUNT: \_\_\_\_\_

In order for UH to issue a subaward to your entity, please follow the instructions below and provide the requested documents to your UH PI.

1. Complete/confirm information on the following forms received from UH:  
(These forms are also available under [Agreement Templates](https://research.hawaii.edu/ors/resources/#forms) at <https://research.hawaii.edu/ors/resources/#forms>)
  - Attachment 3B "Subrecipient Contacts"
  - Attachment 3B-2 "Highest Compensated Officers" (if applicable)
  - Attachment 4 "Reporting and Prior Approval Terms"
  - Attachment 5 "Statement of Work, Cost Sharing, Indirects & Budget / Payment Schedule"
2. Provide a Compliant "Certificate of Vendor Compliance / Hawaii State Tax Clearance" from Hawaii Compliance Express (see <https://vendors.ehawaii.gov/hce/splash/welcome.html>).  
NOTE: Hawaii Revised Statutes §103-53 requires subrecipients to provide proof of tax clearance from the State of Hawaii Department of Taxation and the Internal Revenue Service prior to entering into agreements with cumulative totals of \$25,000 or more. A tax clearance is not required for agreements under \$25,000 or with domestic, foreign, municipal, county, state or federal government agencies, or with public higher education institutions. By law, UH cannot execute an agreement without your entity's current tax clearance. Any work performed without a fully executed subaward agreement and a Hawaii State Tax Clearance is at your own risk.
3. S-1 "Subrecipient Commitment Form" or S-1 FDP "Project Specific Questionnaire – FDP Expanded Clearinghouse Participant" (These forms are available under [Subrecipient Forms](https://research.hawaii.edu/ors/resources/#forms) at <https://research.hawaii.edu/ors/resources/#forms> ).  
An "S-1" must be completed in order for UH to obtain required certifications and ensure the subrecipient's compliance with applicable rules and regulations. If you are an FDP Expanded Clearinghouse participant, complete the "S-1 FDP" form instead. Detailed instructions for each form are posted at the above link.
4. [S-2 "Subrecipient Questionnaire"](#). This form must be completed if your entity is not required to undergo a Single Audit.
5. Record of an active System for Award Management (SAM) registration. ( Refer to <https://www.sam.gov/SAM/>) If you do not receive any direct federal awards, a UEI obtained through SAM is acceptable. (Refer to [Quick Guide](#) at fsd.gov) Note: Not required for FDP Expanded Clearinghouse Participants.