



Overview

This resource provides an overview of the subaward modification process, including common reasons for amendments such as adding or decreasing funding, terminating early, extending the end date, or changing a PI. It also outlines the Principal Investigator's (PI) ongoing monitoring responsibilities, such as tracking programmatic progress and approving subrecipient invoices.

Subaward Modifications

Changes to a research project often require formal modifications to an existing subaward agreement. It is important to remember that certain changes, may require prior approval from the prime sponsor.

Common reasons for a subaward amendment include:

- Project Date Change / No Cost Extension
- Termination
- Funding increase
- Funding decrease
- Carryover
- RU PD/PI Change
- Scope of Work Change
- Budget Change
- Subrecipient PD/PI or Senior Key Person Change

Requesting a Subaward Amendment

The PI must complete and sign a [Subaward Modification Request Form](#) and submit it, along with the following documents, as applicable to: subawards@research.rutgers.edu

- Subrecipient's updated Scope of Work
- Subrecipient's updated Budget and Budget Justification
- Any new or updated compliance approvals (IRB/IACUC)
- Updated subrecipient contact information (Attachment 3B-2)
- A completed [Subaward Modification Request Form](#).



Subaward Pre-award Spending

If you receive notice of a pending award but the official notice is delayed, it may be possible for a subrecipient to begin work early.

- An Intent to Subcontract Letter can be issued to the subrecipient for new awards under pre-award spending or for continuation years of an existing project.
- The letter is prepared, signed and sent to the Subrecipient by RSP. The information included in the letter will address a period of no more than one year and the respective budget expected to be obligated
- Important: Just as Rutgers assumes the financial risk for its own pre-award spending, the subrecipient institution assumes all liability for any costs it incurs before the final subaward agreement is fully executed.

Subaward Monitoring Responsibilities

Once a subaward is in place, the Principal Investigator is responsible for monitoring the subrecipient's progress and expenses to ensure the project goals are met in a compliant manner.

Key PI responsibilities include:

- Monitoring programmatic performance and progress towards project goals.
- Reviewing and approving subrecipient invoices in a timely manner through Marketplace.
- To assist with these duties, please use the following resources:
- [Subrecipient Monitoring Procedure](#)
- [Subaward Invoice Approval Procedure](#)

For any questions about subaward management, please contact the Research and Sponsored Programs Subaward Team at: subawards@research.rutgers.edu.