



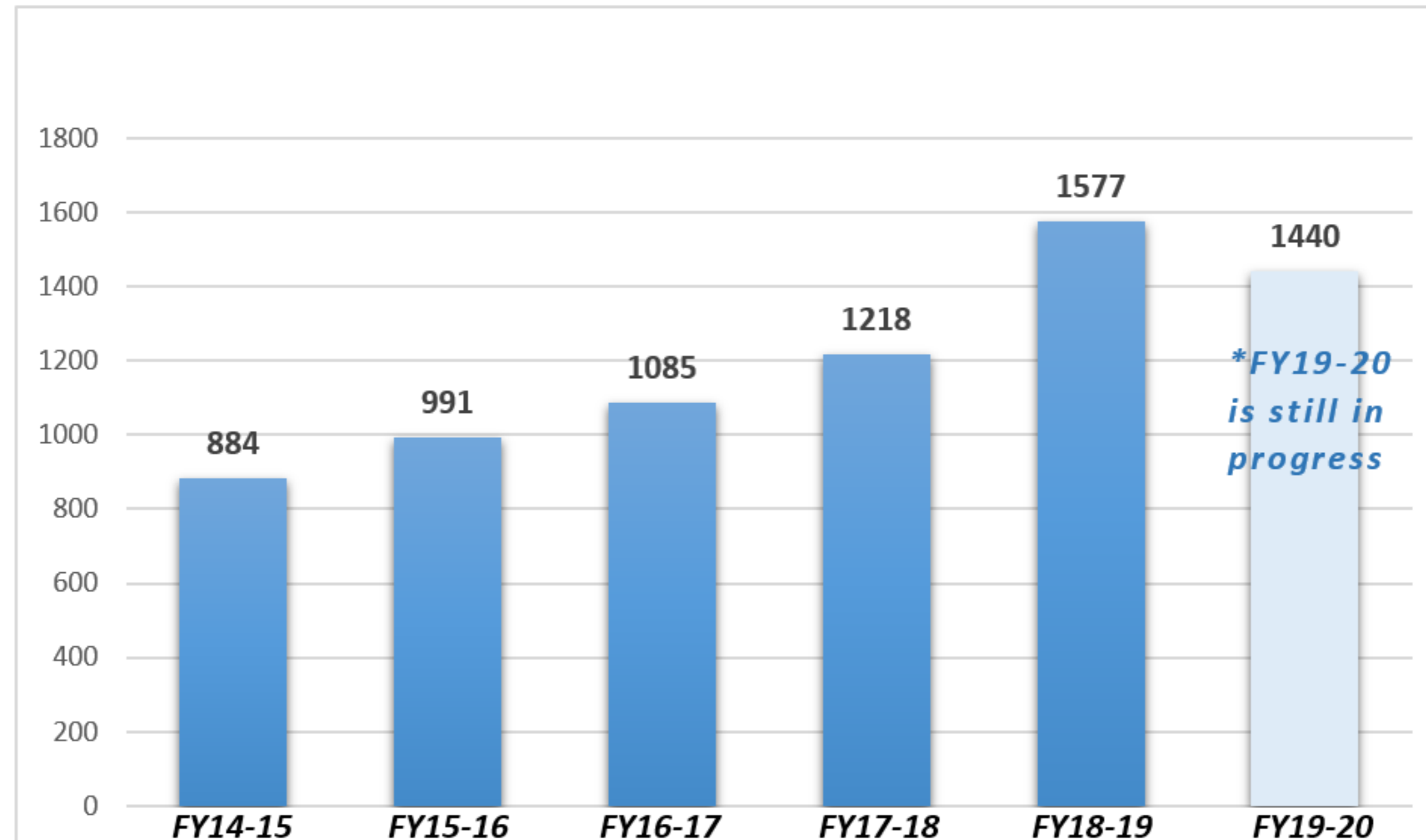
# *OCGA's Outgoing Subaward Team (OST)*

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Research Administration Forum

April 9, 2020

# Increase in Outgoing Subaward Agreements



*Outgoing Subaward Agreements Assigned*

# How Departments Can Help

- REDUCE processing times by submitting **complete** Subaward Checklist packages to the Outgoing Subaward Team (OST) at [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu).
- A complete Subaward package includes:
  - The current Subaward Checklist form (**version dated 12/1/2015**) with all items answered. This includes answering the Conflict of Interest question and the PI/Authorized Representative signature on page 2.
    - <https://ocga.research.ucla.edu/wp-content/uploads/UCLA-OCGA-subaward-checklist.pdf>

Attachment C

**UCLA OCGA SUBAWARD CHECKLIST**  
(USE FOR ALL NEW OR AMENDED SUBAWARDS ISSUED BY UCLA)

*EMAIL THIS COMPLETE FORM WITH ALL REQUIRED BACKUP DOCUMENTATION TO:*  
[ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu)

NEW SUBAWARD  
(Complete all information, except \*section)

\* AMENDMENT and/or CHANGE ORDER TO CURRENT SUBAWARD  
(Complete all information, including \* section)

**UCLA INFORMATION**

1. UCLA Requisition or Purchase Order # \_\_\_\_\_ Amendment # \_\_\_\_\_

2. UCLA PI \_\_\_\_\_

3. UCLA Department \_\_\_\_\_ Dept Contact \_\_\_\_\_ Ext: \_\_\_\_\_

4. UCLA Account & Fund No \_\_\_\_\_ 4a. For mailing purposes only: Recharge ID \_\_\_\_\_

5. Award number of the UCLA Grant/Cooperative Agreement \_\_\_\_\_

6. Name & address of person to whom invoices should be sent: \_\_\_\_\_

Conflict of Interest-UCLA Principal Investigator certifies that he/she  Does /  Does Not have a financial interest of any kind in the proposed Subrecipient. If he/she does, please notify the OCGA Subaward team at [ocgasubawards@em.ucla.edu](mailto:ocgasubawards@em.ucla.edu).

I have reviewed the Subrecipient's budget (attached) and believe that all cost stated therein to be reasonable and appropriate for the work to be performed in Subrecipient's statement of work (attached). In the event this action represents an increment continuation or a no cost time extension, I certify that the Subrecipient's performance goals have been achieved and to the best of my knowledge, the costs included are reasonable and appropriate for the work performed.

\_\_\_\_\_  
Signature of Principal Investigator or Authorized Representative

\_\_\_\_\_  
Date

# How Departments Can Help

- A complete Subaward package includes (con't):
  - Consistent information throughout:
    - Budget numbers throughout the Subaward package match: Checklist, budget submitted by Subrecipient, etc.
    - Budget Period dates should match throughout and CANNOT exceed the budget period awarded by the Sponsor.
  - All corresponding Attachments
    - Subrecipient Commitment Form (or Letter of Intent for FDP Expanded Clearinghouse Participants)
    - For Nonprofit/For-profit/Foreign Subrecipient Institutions: the additional documents triggered by the Subrecipient's Commitment Form
    - Subrecipient Scope of Work (SoW) – Defining the Subrecipient's responsibilities and timeline to monitor progress
    - Subrecipient Subject Use Approvals

**ATTACH THE FOLLOWING DOCUMENTS (if applicable):**

- |   |  |
|---|--|
| • UCLA Award Snapshot                           | • Subrecipient IRB approval<br>(if Human Subjects are used)                                |
| • UCLA Subrecipient vs Contractor Determination | • UCLA Fair & Reasonable Cost Analysis Form  |
| • Subrecipient Commitment Form                  | • Subrecipient IACUC approval<br>(if animals subjects)                                     |
| • Subrecipient Statement of Work                | • Subrecipient F&A (indirect cost) rate<br>agreement (if subrecipient is not a university) |
| • Subrecipient Budget and Justification         |  |
| • PHS FCOI form                                 |  |

*If you have questions about what needs to be included, please reference the Subaward Checklist attachments section (pictured above). For further questions, contact the OST team at [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu)*

# Submission Timing

*When you receive an OCGA e-mail Notification for NEW Award Setup, confirming that a fund number has been activated for your award, if a subaward or subaward amendment needs to be issued, please be sure to submit your Subaward Checklist package as soon as you are able.*

Date: 16-Dec-2017

From: Reports, ORA

To: Dept Contact

CC: ORA

[ORDM](#)

Records, [ORAPATS](#)

UCLA [OCGA](#) Notification of Award Action

Principal Investigator: ----

Department: ----

Project Title: ----

Sponsor: ----

Sponsor Award Number: ----

Fund Number: ----

UCLA PATS Record Number: ----

Award Type: ----

Action: ----

Funds Awarded this Action: \$----

Total Funds Awarded to Date: \$----

Current Budget Period: 12/1/2017 - 11/30/2018

Project Period: 12/10/2013 - 11/30/2020

On behalf of the Office of Contract and Grant Administration (OCGA) within the Office of Research Administration (ORA), the above-referenced document is fully executed.

Please review and adhere to all terms and conditions in your award document, paying particular attention to the technical and financial reporting requirements in the grant, contract and/or sponsor guidelines.

Please also use our additional on-line tools to view valuable information about your award:

- Research Portal (<http://portal.research.ucla.edu>): You can now view a real-time updated copy of your award snapshot and award terms and conditions using this tool.
- PI Portal (<http://piportal.research.ucla.edu>): You can view expense information, including a real time fund balance for your award using this tool.
- **UCLA OCGA Outgoing Subaward Team (<http://ora.research.ucla.edu/OCGA/Pages/Outgoing-Subawards/outgoing-subawards-home.aspx>): If there is to be a Subaward or Subaward Amendment issued under this award, please remember to submit a current UCLA OCGA Subaward Checklist, with all applicable attachments.**

# Documents Required at Proposal Stage

Outgoing to:	A Third Party that is <u>NOT</u> an FDP Expanded Clearinghouse Member or Other UC Campus (Subaward)	An FDP Expanded Clearinghouse Member (Subaward)	Another UC Campus (Multi-Campus Award)
Collect the following forms at Proposal Stage:	<ul style="list-style-type: none"> <li>• Subrecipient vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Subrecipient Commitment Form (completed by Sub)</li> <li>• <u>And, if applicable:</u> <ul style="list-style-type: none"> <li>• A copy of the Sub's U.S. Federal IDC/Fringe Rate agreement(s)</li> <li>• PHS Financial Disclosure Form (completed by Sub)</li> <li>• Fair and Reasonable Cost Analysis Form (completed by UCLA department)</li> <li>• Audit and Certificate of Compliance (completed by Sub)</li> <li>• Financial Audit Management Questionnaire (FAMQ) (formerly known as A-133 Mini Audit) (completed by Sub)</li> <li>• The Sub's FFATA most highly compensated officers list</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Sub vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Letter of Intent (Completed by Sub)</li> </ul>	<ul style="list-style-type: none"> <li>• MCA Commitment Form or Letter of Intent</li> </ul>
Along with:	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Campus's Detailed Scope/Statement of Work,</li> <li>• Campus's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>

## For pre-award questions:

Contact the Department DRA or OCGA Grant Representative who will submit the UCLA Proposal.

UCLA forms named in these charts are available at: <https://ocga.research.ucla.edu/required-forms/>

# Documents Submitted to OST at Subaward Stage

Outgoing to:	A Third Party that is <u>NOT</u> an FDP Expanded Clearinghouse Member or Other UC Campus (Subaward)	An FDP Expanded Clearinghouse Member (Subaward)	Another UC Campus (Multi-Campus Award)
<i>The following forms are required:</i>	<ul style="list-style-type: none"> <li>• Subrecipient vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Subrecipient Commitment Form (completed by Sub)</li> <li>• <u>And, if applicable:</u> <ul style="list-style-type: none"> <li>• A copy of the Sub's U.S. Federal IDC/Fringe Rate agreement(s)</li> <li>• PHS Financial Disclosure Form (completed by Sub)</li> <li>• Fair and Reasonable Cost Analysis Form (completed by UCLA department)</li> <li>• Audit and Certificate of Compliance (completed by Sub)</li> <li>• Financial Audit Management Questionnaire (FAMQ) (formerly known as A-133 Mini Audit) (completed by Sub)</li> <li>• The Sub's FFATA most highly compensated officers list</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Sub vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Letter of Intent (Completed by Sub)</li> </ul>	<ul style="list-style-type: none"> <li>• MCA Commitment Form or Letter of Intent</li> </ul>
<i>In addition to:</i>	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Campus's Detailed Scope/Statement of Work,</li> <li>• Campus's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>
<i>And for final submission to the OST:</i>	<ul style="list-style-type: none"> <li>• Subaward Checklist (completed by UCLA department)</li> <li>• UCLA Award Snapshot</li> <li>• <u>For New Subawards:</u> Requisition/Draft PO (initiated in Bruinbuy by UCLA department)</li> <li>• Subrecipient Subject Use Approvals (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Subaward Checklist (completed by UCLA department)</li> <li>• UCLA Award Snapshot</li> <li>• <u>For New Subawards:</u> Requisition/Draft PO (initiated in Bruinbuy by UCLA department)</li> <li>• Subrecipient Subject Use Approvals (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• MCA Checklist (completed by UCLA department)</li> <li>• UCLA Award Snapshot</li> </ul>

# Role of the Outgoing Subaward Team

If your incoming award to UCLA is a:	Grant or Cooperative Agreement <i>handled by the</i> OCGA Grants Team		Contract <i>handled by the</i> OCGA Contracts Team	
And your project involves <u>3<sup>rd</sup> party work</u> that represents:	An intellectually significant programmatic effort, including intellectual decision-making, in a portion of UCLA's proposed project work in which the subrecipient is expected to author or co-author publications and the work could result in the development of intellectual property	Goods/services for UCLA: goods or services are used by UCLA in order for UCLA to accomplish its project. This could involve repetitive tests or activities requiring <u>little or no discretionary judgment</u> .	A very specific scholarly or programmatic task under a portion of UCLA's proposed contracted work	Goods/services for UCLA: goods or services are used by UCLA in order for UCLA to accomplish its project. This could involve repetitive tests or activities requiring <u>little or no discretionary judgment</u> .
Then your Outgoing Award is considered a:	<u>Subaward to Subrecipient</u>	Contract to a Contract Vendor*	Subcontract to a Subcontractor	Contract to a Contract Vendor*
And your Outgoing Award is Handled by:	OCGA's Outgoing Subaward Team**	Purchasing	Purchasing	Purchasing

\*The Contract to a Contract Vendor category also includes consulting, professional services, other agreements all handled by Purchasing.

\*\*OCGA's Outgoing Subaward Team also handles UC Multi-Campus Awards (MCAs). At proposal stage an MCA is treated similar to a third party agreement (except for UCLA IDC); however, since all UC campuses are part of the same legal system an MCA recipient (UC Participating Campus/Site) is not technically considered a "third party." Each of the three UCLA Sponsored Projects offices handle all outgoing MCAs under their own incoming awards.

# Questions?

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- For questions regarding specific subawards, contact the OCGA Outgoing Subaward Team member named in your subaward agreement or send an email to [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu) (for Multi-campus Awards: [outgoingMCA@research.ucla.edu](mailto:outgoingMCA@research.ucla.edu)). Your question will be forwarded to the Subaward Team member assigned to that Subaward or MCA.
- The e-mail addresses [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu) and [outgoingMCA@research.ucla.edu](mailto:outgoingMCA@research.ucla.edu) are only for communications regarding outgoing subawards (awards in which funding will flow *from* UCLA to the subrecipient)
- For quick reference on Outgoing Subaward Required Forms visit our website at: <https://ocga.research.ucla.edu/required-forms/>
- ***General questions?***

*Thank you!*