

This session will *not* be recorded, but this PowerPoint can found

<https://medschool.ucla.edu/research/research-infrastructure/administrative-support/department-of-medicine-office-of-research/fund-management-training>

Subawards Award Set Up & Management

UCLA DEPARTMENT OF MEDICINE
OFFICE OF RESEARCH ADMINISTRATION
ZOOM TRAINING

Subawards: Post-Award

OUTGOING SUBAWARD

Scenario #1 – Outgoing Subaward
NIH (Sponsoring Agency)



UCLA (as Subawarder/Parent)



Stanford (as Subawardee/Child)

Subaward Set-Up

OUTGOING SUBAWARDS

Outgoing Subaward: UCLA as the Subawarder

- Key Players:
 - UCLA Department: PI & fund manager (you!)
 - Subawardee Institution: fund manager
 - OCGA's Outgoing Subaward Team (OST) (Assistant Director: Kristin Lund)
 - Campus Purchasing/Procurement Solutions Group (PSG) (Injeel Harris)
- Timeline:
 - Catalyst/When to start the process: **Receive a Snapshot for the new award! Or even when PI provides evidence that award will be executed by Sponsor, ex. JIT**
 - **Execution times** vary so START ASAP!
- Reminder: This is a subaward/subgrant example. **Subcontracts** follow different form sets/routing. See slides 22-23.

Outgoing Subaward: Steps

- 1) Review [Snapshot](#), especially Sponsor approved budget
- 2) Work with UCLA PI to confirm budget distribution, esp for Subaward
- 3) Contact Sub's Admin contact to request/collect admin data ([Subaward Forms Checklist #11](#)), if you don't already have from pre-award phase, & sub's updated budget/BJ, w/ amt approved by UCLA PI, animal/human subject approvals
- 4) [Create requisition in BruinBuy Plus \(BB+\)](#) | Upload **draft** [Outgoing Subaward & MCA Request Form](#) completed except w/o PI signature or PO #
- 5) Complete [Outgoing Subaward & MCA Request Form \(instructions\)](#) w/items #1-4 above
- 6) Compile required Backup Documentation from Outgoing Sub/MCA Request Form
- 7) Enter PO # to top of Checklist once received from PSG
- 8) Have PI complete conflict of interest, sign, & date Outgoing Sub/MCA Request Form
- 9) Email a single PDF packet to OCGAsubawards@research.ucla.edu
- 10) Follow-up with OST until you receive fully executed (FE) agreement ([timeline](#))
- 11) Upload fully executed (FE) subaward agreement to BB+ under Comments tab

Outgoing Subaward: Required Information

INFORMATION

- Award Information
- Sub's final TC \$ annual budget
- UCLA Contact Information
- Sub's Contact Information
- Sub's Detail Info for Checklist
- Forms (see next slide)

INFORMATION SOURCE

- [Award Snapshot](#)
- UCLA PI
- Your supervisor, if unsure
- Sub's PI for their FM contact
- Sub's Fund Manager (FM)
- Request new annual forms from Sub or *take from pre-award phase

Outgoing Subaward: Required Forms

NEW/REVISED EACH YEAR

- [Outgoing Subaward & MCA Request Form](#)
- Sub's Statement of Work (SOW) (if changed)
- Sub's Line Item Budget & Justification
- UCLA OCGA [Award Snapshot](#)

FROM PRE-AWARD PHASE*

- [Subrecipient Letter of Intent \(LOI\)/MCA Commitment](#)
- Sub's Statement of Work (SOW) (if NO change from proposal)

Outgoing Subaward: As Needed Forms

NEW/REVISED EACH YEAR

- Sub's F&A Rate Agreement, if changed
- Sub's IRB Approvals*
- Sub's IACUC Approvals*
- Sub's Stem Cell Approval*
- Sub's Cost Share Budget & Justification

* If sub has research that involves human/animal/stem cell on their site

PROVIDED ONCE, UNLESS CHANGES

- Sub's F&A Rate Agreement, if no change
- Fair & Reasonable Cost Analysis, for profit subs only
- Subrecipient Institutional Information Form (SIIF) – required for all non-FDP members
 - Sub's Most Recent UG Audit
 - Financial Audit Management Questionnaire (FAMQ) - for non-FDP members (if no audit)

Subaward Amendment

OUTGOING SUBAWARDS

Subaward Amendments

- If there is an update to subaward agreement (change in \$ or dates), a new checklist must be submitted to OST
- Common updates:
 - Continuation funding (\$)
 - Add Additional Funds (\$)
 - Release Encumbrance/De-Obligate Funds (\$)
 - No Cost Time Extension (date changes)
 - Change FAU or Closeouts (admin)
- Process of submitting subawards is similar to original set up, with different [BB+ subaward amendment steps](#)
- **Hint/Tip:** Suggest keeping fillable version of Outgoing Subaward/MCA Request Form for editing to avoid recreating the wheel. BUT new PI signature is required for each amendment! **Note version date on **Checklist & always use most updated version!****

Outgoing Subaward Set-up Hints & Tips

- **Timeline:** Subawards take a LONG time to set up, execute process as soon as you receive Award Snapshot.
 - Start process/get in contact with sub's admin/collecting documents as soon you hear of potential funding, i.e. Just-In-Time (JIT), or near the end of current budget period
- **BruinBuy Plus:** Only requires basic info & upload – Subaward/MCA Request Form w/o PI Signature. Start/save BB+ transaction. Once you get Snapshot, submit requisition ASAP so you get the PO # ASAP.
 - OCGA OST requires PO# to include in sub agreement
- **Documents:** Complete Subaward/MCA Request Form & collect documents you can (except budget/justification) *while you wait for Snapshot.*
- **Shared Drive:** Save all subaward set up documents in a single location as many docs will be revised/reused for any updates to subs.

Outgoing Subaward Set-up **Hints & Tips**

- **Pre-Award vs. Post-Award:** A lot of post-award steps can be addressed in pre-award. Suggest staying on top of pre-award, to streamline post-award
 - Collection of information/documents – [Sub Forms Checklist](#)
 - Name/contact information of Sub's admin contact
 - Budget/justification

Subaward Maintenance

OUTGOING SUBAWARDS

Outgoing Subaward: Sub Maintenance

- Ask Sub's FM for periodic detailed financial reports to reconcile applicability of expenses.
- Invoice processing steps:
 - 1) FM & PI will receive email notification to review/approve sub invoices in BB+
 - a) FM reviews to ensure sufficient funds & categories spent are within approved budget prior to approving
 - b) PI is responsible for assuring work has been completed by the subawardee **PRIOR** to approving invoices.
 - c) Double check assigned approves in BB+ via [invoice approver list](#) | [FM/PI assignment update form](#)
 - 2) FM ["does receiving" in BB+](#) to release payment for invoice. [PI receiving instructions](#)
 - 3) Review general ledgers to ensure invoice gets paid. See slide 17. If not, follow up!
- **Best practice:** Download copies of invoices to Sub shared drive for easy access & reconciliation purposes

[Role specific BB+ training](#)
must be complete to
obtain access to BB+

Outgoing Subaward: Sub Maintenance

- **Hint & Tips: Receiving**

- Add all below information to Comments field to assist in reconciliation

- Invoice #
- Invoice Date
- Period of Performance
- *Invoice Full Amount**

** Only if applicable, usually when receiving amount needs to span 2 different receiving lines due to amount not covered by single line.*

- *Transaction #* - i.e. 1 of 2, if you need to split receiving across 2 separate lines*

- Do receiving in order, if possible/applicable. i.e. complete receiving on line #1 before moving to line #2.
 - You may not want to do this if carryforward (CF) is restricted and the CF funds have not yet been approved
- Recommend tracking sub POs via Excel:
 - Original Allocation \$
 - Invoice #
 - Invoice Date
 - Invoice \$ Amount
 - Receiving #
 - Performance Period
 - General Ledger paid

Outgoing Subaward: Sub Maintenance

- Keep on top of Sub's expenses/performance period invoices to ensure they are spending in a timely manner.
 - If it appears they may be underspent near the end of the performance period, see if they would like to return unused funds so they can be used on research related expenses at UCLA
- To view Sub's remaining balance, look up
 - Open Commitment Subsidiary Ledger report (Web)
 - RAPID Project Quick Wins (Closeout Packet Tool) (Excel)
 - Subawards/Subcontracts/Subgrants
 - Remaining Encumbrances
 - School of Medicine QDB – Detail Open (Excel)

Open Commitment Subsidiary Ledger

As of July 31, 2021

Location : 4
 Account/CC : MED-CARDIO-FAC RES & SUP
 Fund : 29383 NIH-NIEHS
 Department : 1553 MEDICINE-CARDIOLOGY

Fund	Project	SubObject	Source	TE	Trans No	Reference	Doc Date	Description	Current	Total	Current	Total
									Encumbrance	Encumbrance	Memo Lien	Memo Lien
29383		034630		EN	AYF206	1553AYF206	06/18/21	THERMO FISHER SCIENT	500.00			
TOTAL COMM ID 1553AYF206 **									500.00	0.00	0.00	0.00
29383	USC	077300		EN	GWC599	1553GWC599	05/26/20	UNIVERSITY OF SOUTHE	90,032.00			
29383	USC	077300		EN	GWC599	1553GWC599	05/26/20	UNIVERSITY OF SOUTHE	(1,425.92)			
29383	USC	077300		EN	GWC599	1553GWC599	05/26/20	UNIVERSITY OF SOUTHE	(56,921.23)			
29383	USC	077300		EN	GWC599	1553GWC599	05/26/20	UNIVERSITY OF SOUTHE	(11,664.83)			
29383	USC	077300		EN	GWC599	1553GWC599	05/26/20	UNIVERSITY OF SOUTHE	(18,774.71)			
29383	USC	077300		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(8,469.26)			
29383	USC	077300		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	70,551.00			
29383	USC	077310		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	25,000.00			
29383	USC	077310		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(22,055.91)			
29383	USC	077300		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(28,577.69)			
29383	USC	077310		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(2,944.09)			
29383	USC	077300		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(10,049.47)			
29383	USC	077300		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(14,085.76)			
29383	USC	077300		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(366.84)			
29383	USC	077300		EN	GWC599	1553GWC599	12/17/18	UNIVERSITY OF SOUTHE	(9,001.98)			
29383	USC	077300		EN	GWC599	1553GWC599	12/18/20	UNIVERSITY OF SOUTHE	85,000.00			
TOTAL COMM ID 1553GWC599 **									86,246.31	0.00	0.00	0.00

Multi-Campus Award

OUTGOING SUBAWARDS TO SISTER UC CAMPUSES

Outgoing Subaward: Multi-Campus Awards (MCA)

- Paperwork is the same – [Outgoing Subaward & MCA Request Form](#) – but NO Bruin Buy Plus (BB+) requisition required!
- Annual budgeted funds are transferred by EFM to the 119850 account of the linked fund to set funds aside for MCA
- EFM receive intercampus request for reimbursement (IRR), aka UC campus invoices, to pay sister UC campus
- **Best Practice:** Request regular financial reports from sister UC for reconciliation purposes

Subaward Closeout

OUTGOING SUBAWARDS

Outgoing Subaward: Sub Closeout

- FINAL invoice should always have “FINAL” on them in order for EFM to close fund.
- Complete the [Subaward Final Close Out Certification](#)
 - Have PI complete/sign
 - Email fully executed copy, and any applicable attachments, to OCGA (ocgasubawards@research.ucla.edu)
 - MCAs do not require an official close out certification form, but requires the same protocol to ensure required deliverables are received/finalized
 - Work with EFM to retrieve any unused funds from 119850 account
- Create a Subaward Amendment in BB+ and choose [“Subaward Close-Out”](#) and follow steps
 - Does not pertain to MCAs

Subcontracts: Post-Award

OUTGOING SUBCONTRACTS

Outgoing Subcontract Resources

- Similar process as Subawards EXCEPT:
 - Different Subcontract specific forms:
 - Purchasing's [UCLA Subcontracts](#) documents
 - [Campus Purchasing Subcontract Checklist](#)
 - Purchasing's [Subcontract Close-Out Procedure](#)
 - Central Office executing agreements: Procurement Solutions Group (PSG) (Anthony Rice) NOT OCGA Outgoing Subaward Team (OST)

Subawards: Post-Award

INCOMING SUBAWARD

Scenario #2 – Incoming Subaward
NIH (Sponsoring Agency)



Stanford (as Subawarder/Parent)



UCLA (as Subawardee/Child)

Incoming Subaward: UCLA as the Subawardee

- Very similar to “regular” grant except prime Sponsor funds are “flowed through” a pass-through entity (PTE)
- Read through the subaward contract provided by the subawarder (attached to the Award Snapshot).
 - What Terms & Conditions were flowed down to UCLA?
 - What general NIH Terms & Conditions were NOT flowed down to UCLA?
 - Example: Is the UCLA PI allowed automatic carryforward?
- Be sure invoices are being sent out by EFM in a timely manner.
 - Check the [Accounts Receivables report](#) in the UCLA Financial Web Reports online.
 - Check the DGSOM FPM/QDB “Billing & Accounts Receivable” report

Links from Today's Class

- OCGA's [Subaward Initiation & Management Website](#)
- OCGA's Class: [Outgoing Subawards Basics](#)
- Purchasing's [UCLA Subcontract](#) documents
- Purchasing's [BruinBuy Plus Hub](#)
- DOM Fund Manager Manual Chapters
 - [Subaward Forms Checklist](#)
 - [Subaward BruinBuy Plus Requisition Setup](#)

Congratulations,
Graduates!



Survey Link

<http://goo.gl/forms/C3gdjsL5y1>

We appreciate if you would take a few moments to complete a short 7 question anonymous survey to help us improve your training experience. Thank you!

