

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

<https://medschool.ucla.edu/research/researcher-resources/administrative-support/department-medicine-office-research-administration/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 (Alex Rico)
- Timeline:
  - Catalyst/When to start the process: [Receive a Snapshot for the new award!](#)
  - Execution times vary so START ASAP!
  - General workflow: See "[Subaward Set Up](#)" chapter
- 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 admin data (@ bottom of forms [checklist](#)), if you don't already have from pre-award phase
- 4) New Subs: [Create the requisition](#) in BruinBuy (BB)
- 5) Complete [Subaward Checklist](#) Form w/items from #1-4
- 6) Compile required forms in Section VII
- 7) Have PI complete conflict of interest, sign, & date Subaward Checklist
- 8) Email a single PDF packet to [OCGAsubawards@research.ucla.edu](mailto:OCGAsubawards@research.ucla.edu)
- 9) Follow-up with OST until G class order posted

# 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

- UCLA [Subward/MCA Checklist](#)
- Sub's Statement of Work (SOW) (if changed)
- Sub's Line Item Budget & Justification
- UCLA OCGA [Award Snapshot](#)

## FROM PRE-AWARD PHASE\*

- [Sub Commitment Form/LOI/MCA Commitment](#)
- [Sub vs Contractor Determine](#)
- Sub's Statement of Work (SOW) (if NO change from proposal)



# Outgoing Subaward: As Needed Forms

## NEW/REVISED EACH YEAR

- Sub's IRB Approvals
  - If human subjects @ sub site
- Sub's IACUC Approvals
  - If animal subjects @ sub site
- Sub's Stem Cell Approval
  - If stem cells @ sub site
- Sub's Cost Share Budget & Justification

## FROM PRE-AWARD PHASE\*

- Misc Forms as noted in Sub Commitment Form

# Subaward Amendment

OUTGOING SUBAWARDS

# Subaward Amendments

- Each time there is any update to subaward contracts, a new checklist must be submitted to OST
- Common updates:
  - Continuation funding
  - Additional funds
  - Decrease of funds
  - No cost time extension
- Process of submitting subawards is similar to original set up, minus BruinBuy (BB) step. i.e. NO further changes will be made in BB
- Hint/Tip: Suggest keeping fillable version of Checklist for editing to avoid recreating the wheel. BUT new PI signature is required for each amendment!

# 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 reviews to ensure sufficient funds & categories spent are within approved budget.
  - 2) Forward invoices to PI for review. **PI must sign** actual invoice as indication of approval.
  - 3) PI signs the Subaward Invoice Certification form. Keep on file. Do not send to A/P.
  - 4) FM "does receiving" in BB to release payment for invoice.
  - 5) FM uploads signed invoice only (not inv cert form) to Accounts Payable for payment.
  - 6) Review general ledgers to ensure invoice gets paid. If not, follow up!
- PI is responsible for assuring work has been completed by the subawardee **PRIOR** to approving invoices.
- Save copies of all signed invoices in shared drive, along with certification form.

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

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

**Receiving** [Receiving Items History](#) Receiving Items

Submit Cancel

<b>PO Number</b> 1553GZA51100	<b>VCK Number</b> 005448003	<b>Vendor Name</b> UNIVERSITY OF SOUTHERN CALIFORNIA
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Start from line:  Go

Displaying: 1-4 / 4

Line #	Type	Quantity Receive/Return	Quantity Remaining	Quantity Ordered	Unit	Amount Receive/Return	Amount Remaining	Amount Ordered	Rec Date	Status	Actions
1	Receive					0.00	\$19,923.27	\$25,000.00	07/25/2022	Open	
		Description		Supplier Part Num	Unit Price	Rec Document	Rec UOM	Comments			
		SUBAWARD FOR THE PROJECT TITLED: "INTERPLAY BETWEEN			.00			Inv#2_Date 7/25/22_6/1/22-6/30/22_\$21,576_1 of 2			

- 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



# Outgoing Subaward: Sub Maintenance

- Hint & Tips: **Receiving**
  - Take note of which line # and sequence # receiving was processed against
  - Use “Receiving Items History” to help reconcile payment

Receiving History								Receiving Items History	Receiving Items
Line Num	Seq Num	Rec Date	Type	Quantity/Amount Receive/Return	Quantity/Amount Remaining	Rec UOM	Rec Document	Comments	
1	1	4/2/2019	Received	\$11,108.96	\$13,891.04			INVOICE 1_9.30.18-1.31.19; INV DATE 2.5.19	
1	2	4/2/2019	Received	\$10,946.95	\$2,944.09			INVOICE 2_2.1.19-2.28.19; INV DATE 3.8.19	
1	3	7/24/2019	Received	\$2,944.09	\$0.00			INVOICE 3_3.1.19-3.28.19; INV DATE 4.4.19	
2	1	7/24/2019	Received	\$5,596.16	\$64,953.84			INVOICE 3_3.1.19-3.28.19; INV DATE 4.4.19	
2	2	7/24/2019	Received	\$9,519.28	\$55,434.56			INVOICE 4_3.29.19-4.30.19; INV DATE 5.8.19	
2	3	7/24/2019	Received	\$13,462.25	\$41,972.31			INVOICE 5_5.1.19-5.30.19; INV DATE 6.11.19	
2	4	8/9/2019	Received	\$10,049.47	\$31,922.84			INVOICE 7_PERIOD FOR 07/01/19-07/31/19; INV DATE: 8-8-19	
2	5	11/18/2019	Received	\$7,807.04	\$24,115.80			INVOICE 6_5.31.19-6.30.19; INV DATE 7.27.19	
2	6	12/18/2019	Received	\$366.84	\$23,748.96			INVOICE 9FINAL_9.30.18-8.31.19; INV DATE 12.12.19	
2	7	12/18/2019	Received	\$6,278.72	\$17,470.24			INVOICE 8_8.1.18-8.31.19; INV DATE 9.12.19	
2	8	3/13/2020	Received	\$9,001.98	\$8,468.26			INVOICE 10_9.1.19-2.27.20; INV DATE 3.6.20	
2	9	6/23/2020	Received	\$2,194.26	\$6,274.00			INVOICE 11_2.28.20-3.31.20; INV DATE 4.10.20	
2	10	6/23/2020	Received	\$6,274.00	\$0.00			INVOICE 12_4.1.20-4.30.20; INV DATE 5.13.20 PART 1 OF 2	
5	1	6/23/2020	Received	\$1,425.92	\$88,606.08			INVOICE 12_4.1.20-4.30.20; INV DATE 5.13.20 PART 2 OF 2	
5	2	9/22/2020	Received	\$37,725.03	\$50,881.05			INVOICE 14_5.29.20-06.30.20; INV DATE 07.28.20	

# Outgoing Subaward: Sub Maintenance

- Hint & Tips: **Submitting Subaward Invoices**
  - Include invoice amount(s) and line/sequence # against which you've done receiving for invoice being submitted to assist Accounts Payable in matching invoice w/receiving and expedite payment.

Invoice Category:	
Invoice Number:	<input type="text" value="Invoice number"/> If there is no Invoice Number, please use the following convention: PO Number-Invoice Date E.g. 1234ABC456-MMDDYY
Credit Invoice/Memo upload:	<input type="checkbox"/> Check this box if you are submitting a <u>credit invoice/credit memo</u> .
PO Number:	<input type="text" value="PO Number"/> Please make sure that the PO number appears on the document before uploading.
Invoice Date:	<input type="text" value="Invoice Date"/>  If invoice date is not applicable, enter the PO creation date.
Invoice Due Date:	<input type="text" value="Invoice Due Date"/> 
Email:	<input type="text" value="crujanuruks@mednet.ucla.edu"/>
Comments :	<div style="background-color: yellow; padding: 5px;">Receiving for \$10,948.95 done against Line 1 Sequence 2</div>
Upload Invoice:	<input type="button" value="Browse..."/> No file selected. Single PDF, file size 100 MB Max.
	<input type="button" value="Submit"/> <input type="button" value="Cancel"/>



# 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			
<b>TOTAL COMM ID 1553AYF206 **</b>									<b>500.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
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			
<b>TOTAL COMM ID 1553GWC599 **</b>									<b>86,246.31</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

# Multi-Campus Award

OUTGOING SUBAWARDS TO SISTER UC CAMPUSES

# Outgoing Subaward: Multi-Campus Awards (MCA)

- Paperwork is similar to other Subs except use the MCA versions of all forms
  - [MCA Checklist](#) Form
  - NOT Bruin Buy (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

# 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](#)
  - MCAs do not require close out certification form

# Subcontracts: Post-Award

## OUTGOING SUBCONTRACTS

# Outgoing Subcontract Resources

- Purchasing's [UCLA Subcontracts](#) document
- [Campus Purchasing Subcontract Checklist](#)
- Purchasing's [Subcontract Close-Out Procedure](#)

# 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 Subaward](#) documents
- DOM Fund Manager Manual Chapters
  - [Subaward Set-Up](#)
  - [Subaward Forms Checklist](#)
  - [Subaward BruinBuy Requisition Setup](#)



## Survey Link

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

We appreciate if you would take a few moments to complete a short 5 question anonymous survey to help us improve your training experience. Thank you!