This session will *not* be recorded, but this PowerPoint can be found [here](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 Subawardee/Parent)

Stanford (as Subawardee/Child)
Subaward Set-Up

OUTGOING SUBAWARDS
Outgoing Subaward: UCLA as the Subawarder

- **Key Players:**
  - UCLA Department: PI & fund manager (you!)
  - Sub awardee 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 form *checklist*), if you don’t already have from pre-award phase, & sub’s updated budget/BJ, as approved by UCLA PI

4) New Subs: **Create the requisition** in BruinBuy (BB)

5) Complete **Subaward Checklist** Form w/items from #1-4 above

6) Compile required forms in Section VII from Sub Checklist

7) Have PI complete conflict of interest, sign, & date Subaward Checklist

8) Email a single PDF packet to **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 Subaward/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 Determination Checklist
• 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.

• 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

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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.
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 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)
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 Subawardee/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 subawardeer (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](#)
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!

Survey Link
http://goo.gl/forms/C3gdjsL5y1