

CAYUSE (S2S) NIH SUBAWARD CHECKLIST

Revised July 17, 2020

Project/Performance Site Locations

- If your budget is Modular, the Subaward's Performance Site information should be entered directly into UCLA's Performance Site section. If the budget is Detailed, the Subaward's Performance Site information should be entered into the Subaward proposal Performance Site section. Once the data is entered into the Subaward proposal, it will autofill into the UCLA Performance Site section.
- There should be a Performance Site listed for each Subaward location.

Other Project Information

- Section 6.a. – “Does this project involve activities outside the U.S. or partnership with International Collaborators?”
 - If the Subaward is to a foreign institution/organization, check the YES box, and answer 6.b. and 6.c. (6.c. is optional).
- Sections 10 & 11 – Resources and Equipment sections should include information for each of the Subawards, as well as for the UCLA PI.

Senior/Key Person Profile

- If your budget is Modular, the Subaward's Key Persons should be entered directly into UCLA's Key Person section. If the budget is Detailed, the Subaward's Key Persons should be entered into the Subaward proposal Key Persons section. Once the data is entered into the Subaward proposal, it will autofill into the UCLA Key Persons section.
- Make sure there is a Profile for each Subaward Senior/Key Person and Other Significant Contributor named in the Subaward Budget and/or Budget Justification. Use the Non-UCLA, PI #01, etc. to establish a Key Person Profile for subaward personnel. Do NOT create Professional Profiles for non-UCLA personnel!
- Project Role for Subaward PI:
 - From the NIH SF424 Guide: When completing the Project Role for the investigator leading the portion of the project at the consortium site, the project role of “PD/PI” should only be used **IF** the entire application is being submitted under the Multiple PI policy. Also, the role of Co-PD/PI is NOT currently used by NIH and other PHS agencies. Do not assign any individual this role. **If applicants wish to use the role of “Consortium PI”, select “Other” for the Project Role field and then insert the appropriate role descriptor in the Other Project Role Category field.**

Research Plan

- Section 15 “Consortium/Contractual Arrangements”
 - NIH SF424 Guidelines state: **Explain the programmatic (statement of work), fiscal, and administrative arrangements to be made between the applicant organization and the consortium organization(s).** If consortium activities represent a significant portion of the overall project, explain why the applicant organization, rather than the ultimate performer of the activities, should be the grantee.
 - This file should include the following information for each Subaward:
 - Name of Subaward Institution
 - Name of Subaward PI
 - Project period dates for Subaward
 - Total cost for each year
 - Scope of Work
 - Do **NOT** upload a Statement of Intent

- Do **NOT** upload a signed [Subrecipient Commitment Form](#), [Subrecipient Letter of Intent](#) or [Multi-Campus Award \(MCA\) Commitment Form](#) from the subaward. These Commitment forms are for internal uses only and should be uploaded to the Documents section of the prime UCLA proposal.
- Section 16 “Letters of Support” – it is recommended that you include a Letter of Support from each of the subaward PIs.

Subaward Budget – Directions for use with Modular Budget submissions

- Add each subaward as a Worksheet Row in the Subaward Budget section of Cayuse.
 - No Institutional Profile is necessary for the Subaward.
 - Enter the Subaward’s direct & indirect costs directly into the worksheet.
 - Once the data is entered in the Worksheet Row, the Subaward’s budget data will auto-fill and auto-calculate into the prime Modular Budget. There should be no reason to overwrite and of the budget figures*.
 - * Zero out “Allocated to IDC base” for all UC Subawards since 100% of UC sub costs are exempt from indirect cost calculations.
 - In the navigation menu, do **NOT** check the box next to the Subaward Budget section. The information in the section is for internal Cayuse use only, and should not be included in the submission to the NIH.

Enter the Subaward’s Direct & Indirect budget figures directly into these worksheet row fields.

Worksheet Row – For use with Subawards on a Modular Budget ONLY

This box should remain unchecked.

R&R SUBAWARD BUDGET ATTACHMENT(S) FORM

Subaward IDC Ceiling: 25,000

Period	In-active	Subaward Direct Costs	Subaward Indirect Costs	Subaward Costs	Allocated to IDC base
USC Sub					
1	<input type="checkbox"/>	10,000	5,500	15,500	15,500
2	<input type="checkbox"/>	10,000	5,500	15,500	9,500
3	<input type="checkbox"/>	10,000	5,500	15,500	0
4	<input type="checkbox"/>	10,000	5,500	15,500	0
5	<input type="checkbox"/>	10,000	5,500	15,500	0
Total		50,000	27,500	77,500	25,000
UC Irvine					
1	<input type="checkbox"/>	10,000	5,000	15,000	0 ★
2	<input type="checkbox"/>	10,000	5,000	15,000	0 ★
3	<input type="checkbox"/>	10,000	5,000	15,000	0
4	<input type="checkbox"/>	10,000	5,000	15,000	0
5	<input type="checkbox"/>	10,000	5,000	15,000	0
Total		50,000	25,000	75,000	0
wards					
Total		100,000	52,500	152,500	25,000

- Modular Budget section
 - Section C.2. - Consortium Justification
 - From the NIH SF424 Guide: **List the name of the Subaward institution at the top of the page. Indicate whether the collaborating institution is foreign or domestic. Provide an estimate of total costs (direct plus F&A) for each year, rounded to the nearest \$1,000. Justify ALL personnel, including level of effort (in person months) and roles on the project.**

- Once you have entered the Subaward budget figures into the Subaward Budget section (as described above), the Subaward budget figures will auto-fill into the Modular Budget section of Cayuse (see figure below).

PHS 398 Modular Budget Budget Period 1 of 5

Budget Period: 1 Start Date: 09/01/2017 End Date: 08/31/2018

A. Direct Costs

	* Funds Requested (\$)
* Direct Cost less Consortium Indirect (F&A)	250,000
Consortium Indirect (F&A)	10,500
* Total Direct Costs	260,500

B. Indirect (F&A) Costs

Indirect (F&A) Type	Indirect (F&A) Rate (%)	Indirect (F&A) Base (\$)	* Funds Requested (\$)
1. Research On Campus	54.000	235,000	126,900
2.			
3.			
4.			

Cognizant Agency (Agency Name, POC Name and Phone Number) DHHS, Wallace Chan, 415-437-7820

Indirect (F&A) Rate Agreement Date 04/27/2011 Total Indirect (F&A) Costs 126,900

C. Total Direct and Indirect (F&A) Costs (A + B) Funds Requested (\$) 387,400

Cumulative Budget Information

1. Total Costs, Entire Project Period	
* Section A, Total Direct Cost less Consortium (F&A) for Entire Project Period	\$ 350,000
Section A, Total Consortium Indirect (F&A) for Entire Project Period	\$ 52,500
* Section A, Total Direct Costs for Entire Project Period	\$ 402,500
* Section B, Total Indirect (F&A) Costs for Entire Project Period	\$ 132,030
* Section C, Total Direct and Indirect (F&A) Costs (A+B) for Entire Project Period	\$ 534,530

Subaward Proposal – Directions for use with SF424 RR Budget (Detailed Budget) submissions

- An Institutional Profile will need to be created (if one doesn't already exist) for each Subaward. To have a new Institutional Profile established in Cayuse, have the Subawardee complete the [Cayuse Institutional Profile Request](#). Email the completed form to, erahelp@research.ucla.edu.
- In the Subaward Budget section, click on the Create Subaward button.
 - Once a Subaward link has been created, click on the link to take you to the Subaward's Proposal.
 - Complete the Subaward Performance Sites information. Once this data is entered, it will be auto-filled into the prime UCLA Performance Sites section.
 - Complete the Subaward Key Persons information. Once this data is entered, it will be auto-filled into the prime UCLA Key Persons section.
 - Complete the Subaward RR Budget (i.e. Detailed Budget).
 - **What if my Subaward budget does not start in year 01?**
Subawards with Empty Budget Periods:
Cayuse 424 expects all Subawards linked to a Prime to have the same number of budget periods as the Prime (and the same dates). You should leave empty the budget periods not in use (enter no costs). If a budget period truly has zero costs Cayuse424 will not submit it, thus adhering to the current NIH approach to empty budget periods.
 - Go back to the prime UCLA proposal, Subaward Budget section.
 - If the Subaward's budget figures are not automatically showing up in the worksheet, click on the green refresh button . The green refresh button will only appear when changes have been made to the Subaward detailed budget, but have not been refreshed into the worksheet rows. If the green refresh button does not appear, the data in the worksheet rows are up to date and correct.
- In the navigation menu, make sure the Subaward Budget box is checked to include with submission to the NIH.

R&R SUBAWARD BUDGET ATTACHMENT(S) FORM

- RR Performance Sites
- RR Other Project Information
- RR Key Persons
- RR Budget
- PHS 398 Modular Budget
- RR Subaward Budget Attachment
- PHS 398 Cover Page Supplement
- PHS 398 Research Plan
- PHS Inclusion Enrollment Report
- PHS Assignment Request

Proposal Summary

Period	In-active	Subaward Direct Costs	Subaward Indirect Costs	Subaward Costs	
Drexel University					
1	<input type="checkbox"/>	68,167	38,514	106,681	25,000
2	<input type="checkbox"/>	70,473	39,817	110,290	0
3	<input type="checkbox"/>	115,034	53,516	168,550	0
4	<input type="checkbox"/>	116,896	54,568	171,464	0
5	<input type="checkbox"/>	118,323	55,374	173,697	0
Total		488,893	241,789	730,682	25,000
Duke University					
Total		215,270	127,010	342,280	25,000
University of Vermont					
Total		309,332	173,225	482,557	25,000
University of Washington					
Total		79,306	43,960	123,266	25,000
All Subawards					
Total		1,092,801	585,984	1,678,785	100,000

Click on this link to take you to the Subaward's detailed budget

Click on "Create Subaward" to create a linked Subaward detailed budget.

Make sure the box next to the Subaward Budget is checked

The figures in the worksheet row will auto-fill once you complete the Subaward's detailed budget. If the worksheet row is blank, click on the green refresh button

- ❑ Subaward Budget Justification – Justify each individual category as you would on the on UCLA's budget justification. Be sure to include information on how benefits were calculated, escalation rates for future years, etc.
- ❑ Once you complete the Subaward detailed budget (as described above), the Subaward's budget figures will auto-fill and auto-calculate into UCLA's detailed budget, Section F. 5 (see figure below). There should be no reason to overwrite the data.

5. Subawards/Consortium/Contractual Costs

Total Other Direct Costs

G. Direct Costs **Funds Requested (\$)**

Total Direct Costs (A thru F)

H. Indirect Costs

Note: Indirect Cost types are defined in the Institutional Profile, under the Institutions tab. Bring any profile changes into budget by refreshing Applicant Organization.

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	* Funds Requested (\$)
1. <input type="text" value="Research On Campus"/>	<input type="text" value="54.000"/>	<input type="text" value="312,903"/>	<input type="text" value="168,968"/>

Auto-filled and/or auto-calculated based on the data entered in the Subaward Budget section.

HINT: Occasionally, the **Subaward's Performance Sites** and **Key Persons** section will not autofill from the Subaward sections to the prime UCLA sections. In this case, you may need to de-link the Subaward, and then re-link it. This will usually fix the issue.

Miscellaneous Information

- ❑ Make sure to upload the signed OCGA Subrecipient Commitment Form, Subrecipient Letter of Intent, or Multi-Campus Award (MCA) Commitment Form for each subaward PRIOR to grant submission in the Documents section of prime proposal.
- ❑ OCGA's Subaward resources: <https://ocga.research.ucla.edu/outgoing-subawards-overview/>
- ❑ **For Detailed Budgets Only:** Each Subaward Detailed Budget has its own set of Permissions separate from the main proposal's Permissions.
- ❑ **Other Resources:** [Subrecipient Forms Checklist](#)