OCGA’s Outgoing Subaward Team (OST)

Research Administration Forum
April 9, 2020
Increase in Outgoing Subaward Agreements

Outgoing Subaward Agreements Assigned

FY14-15: 884
FY15-16: 991
FY16-17: 1085
FY17-18: 1218
FY18-19: 1577
FY19-20: 1440

*FY19-20 is still in progress
How Departments Can Help

- REDUCE processing times by submitting **complete** Subaward Checklist packages to the Outgoing Subaward Team (OST) at 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.
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
- UCLA Subrecipient vs Contractor Determination
- Subrecipient Commitment Form
- Subrecipient Statement of Work
- Subrecipient Budget and Justification
- PHS PCOI form
- Subrecipient IRB approval (if Human Subjects are used)
- UCLA Fair & Reasonable Cost Analysis Form
- Subrecipient IACUC approval (if animals subjects)
- Subrecipient F&A (indirect cost) rate agreement (if subrecipient is not a university)

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
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.
Documents Required at **Proposal Stage**

<table>
<thead>
<tr>
<th>Outgoing to:</th>
<th>An FDP Expanded Clearinghouse Member (Subaward)</th>
<th>Another UC Campus (Multi-Campus Award)</th>
</tr>
</thead>
</table>
| A Third Party that is NOT an FDP Expanded Clearinghouse Member or Other UC Campus (Subaward) | - Subrecipient vs. Contractor Determination Checklist (completed by UCLA department)  
- Subrecipient Commitment Form (completed by Sub)  
- And, if applicable:  
  - A copy of the Sub's U.S. Federal IDC/Fringe Rate agreement(s)  
  - PHS Financial Disclosure Form (completed by Sub)  
  - Fair and Reasonable Cost Analysis Form (completed by UCLA department)  
  - Audit and Certificate of Compliance (completed by Sub)  
  - Financial Audit Management Questionnaire (FAMQ) (formerly known as A-133 Mini Audit) (completed by Sub)  
  - The Sub's FFATA most highly compensated officers list | - MCA Commitment Form or Letter of Intent |
| Collect the following forms at Proposal Stage:                               | - Sub vs. Contractor Determination Checklist (completed by UCLA department)  
- Letter of Intent (Completed by Sub)                                           |                                                                                                   |
| Along with:                                                                 | - Subrecipient's Detailed Scope/Statement of Work,  
- Subrecipient's Detailed Line Item Budget & Justification, (including Cost Share Budget & Justification if applicable) | - Campus's Detailed Scope/Statement of Work,  
- Campus's Detailed Line Item Budget & Justification, (including Cost Share Budget & Justification if applicable) |

**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/](https://ocga.research.ucla.edu/required-forms/)
Documents Submitted to OST at **Subaward Stage**

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| **The following forms are required:**| • Subrecipient vs. Contractor Determination Checklist (completed by UCLA department)  
 • Subrecipient Commitment Form (completed by Sub)  
 • And, if applicable:  
   • A copy of the Sub’s U.S. Federal IDC/Fringe Rate agreement(s)  
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   • Fair and Reasonable Cost Analysis Form (completed by UCLA department)  
   • Audit and Certificate of Compliance (completed by Sub)  
   • Financial Audit Management Questionnaire (FAMQ) (formerly known as A-133 Mini Audit) (completed by Sub)  
   • The Sub’s FFATA most highly compensated officers list | • Sub vs. Contractor Determination Checklist (completed by UCLA department)  
 • Letter of Intent (Completed by Sub) | • MCA Commitment Form or Letter of Intent |
| **In addition to:**| • Subrecipient’s Detailed Scope/Statement of Work,  
 • Subrecipient’s Detailed Line Item Budget & Justification, (Including Cost Share Budget & Justification if applicable) | • Subrecipient’s Detailed Scope/Statement of Work,  
 • Subrecipient’s Detailed Line Item Budget & Justification, (Including Cost Share Budget & Justification if applicable) | • Campus’s Detailed Scope/Statement of Work,  
 • Campus’s Detailed Line Item Budget & Justification, (Including Cost Share Budget & Justification if applicable) |
| **And for final submission to the OST:**| • Subaward Checklist (completed by UCLA department)  
 • UCLA Award Snapshot  
 • For New Subawards: Requisition/Draft PO (Initiated in Bruinbuy by UCLA department)  
 • Subrecipient Subject Use Approvals (If applicable) | • Subaward Checklist (completed by UCLA department)  
 • UCLA Award Snapshot  
 • For New Subawards: Requisition/Draft PO (Initiated in Bruinbuy by UCLA department)  
 • Subrecipient Subject Use Approvals (If applicable) | • MCA Checklist (completed by UCLA department)  
 • UCLA Award Snapshot |
### Role of the Outgoing Subaward Team

<table>
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<tr>
<th>If your incoming award to UCLA is a:</th>
<th>Grant or Cooperative Agreement handled by the OCGA Grants Team</th>
<th>Contract handled by the OCGA Contracts Team</th>
</tr>
</thead>
<tbody>
<tr>
<td>And your project involves 3rd party work that represents:</td>
<td>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</td>
<td>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 little or no discretionary judgment.</td>
</tr>
<tr>
<td>Then your Outgoing Award is considered a:</td>
<td>Subaward to Subrecipient</td>
<td>Contract to a Contract Vendor*</td>
</tr>
<tr>
<td>And your Outgoing Award is Handled by:</td>
<td>OCGA’s Outgoing Subaward Team**</td>
<td>Purchasing</td>
</tr>
</tbody>
</table>

*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?

• 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 (for Multi-campus Awards: 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 and 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!