Subaward Proposal Toolkit

Research Management Services requires a subaward package at time of proposal. Follow the links below for details, examples and templates of the documents required for the subaward package.

- **Required Documents from Each Proposed Subrecipient**
- **Resources for Subrecipients**
  - Templates and Forms
  - PHS-FCOI Resources for Subrecipients
  - Audit Certificate and Financial Status Questionnaire

### Required Documents From Each Proposed Subrecipient:

(see Resources for Subrecipients for templates and samples)

Subrecipient proposal elements are expected to conform to the sponsor requirements for UCSF’s prime proposal and should be in the format required by the sponsor. *For foreign subrecipients, all documents required must be provided in English.*

The following documents must be provided by the subrecipient at the time of proposal:

- **The Subrecipient Commitment Form** is designed to collect information about the subrecipient organization at the proposal stage and to help subrecipients understand what will be required of them by UCSF should an award be made. To be completed and signed by the subrecipient. Note: if the subrecipient is another UC campus the **Multiple Campus Award (MCA) Commitment form** must be completed instead of the UCSF Subrecipient Commitment form.

- **Statement of Work (SOW)**, the SOW should describe the work to be conducted by the subrecipient, define the deliverables, if applicable, and outline the time frame in which they are to be delivered. The SOW may also define all personnel and their responsibilities. It should be accurate and concise as to what, when, and if appropriate, how your organization will accomplish the work to be performed.

- **Budget and Budget Justification** to be prepared in accordance with applicable sponsor guidelines and forms. Total costs will include the subrecipient’s direct costs for the project and indirect costs (if applicable).

- **Subrecipient’s federally-negotiated F&A rate agreement**, if applicable.

- **Multiple PD/PI NIH Assurance Form**, (NIH, if applicable). This form is designed to comply with the requirements of NIH Notice NOT-OD-06-054; NIH requires that when multiple PD/PIs are proposed in an application, a written assurance be retained for all
named PD/PIs and retain by the Prime Institution. If the subrecipient PI will be named as a PI/PD in UCSF’s proposal, this assurance must be signed and returned with the proposal packet and collected prior to submitting progress reports.

Additional Documents Commonly Collected

- Biosketches (NIH) or CV, as applicable, for all key personnel
- Facilities and Resources (NIH)
- Equipment (NIH)
- Letters of Support, if applicable

Resources for Subrecipients

Templates and Forms for Subrecipients

- UCSF Subrecipient Commitment form
- Multiple Campus Award (MCA) Commitment form (for use with sister UC campuses)
- R&R Subaward Budget template
- Budget Template (generic)
- Budget Justification sample
- PHS 398 Checklist
- PHS 398 Face Page
- Statement of Work template
- Multiple PD/PI NIH Assurance Form
- NIH Biosketch instructions and sample
- NIH Biosketch template
- NIH Facilities & Other Resources template

PHS-FCOI Resources for Subrecipients

Effective August 1, 2012, for all Public Health Service (PHS)-funded subawards the University is required to monitor subrecipient compliance with the PHS Financial Conflict of Interest regulations. PHS Agencies include: NIH, CDC, FDA, HRSA, AHRQ, IHS, SAMHSA, and ATSDR.

The UCSF Subrecipient Commitment Form (Section B.6) helps identify whether the subrecipient has a PHS compliant conflict of interest policy. For subrecipients that have certified compliance through the FDP Clearinghouse, the signed SCF will confirm the compliance. For subrecipients that do not have a PHS compliant conflict of interest policy, UCSF requires that the subrecipient adopt one before a subaward can be issued. The resources below are provided to help with the adoption of a PHS compliant policy on conflict of interest.
A. Public Health Service FCOI regulations may be found at:
   http://grants.nih.gov/grants/policy/coi/

B. Frequently Asked Questions regarding Responsibility of Applicants for Promoting Objectivity in Research for which PHS Funding is Sought (42 CFR Park 50 Subpart F) (2011 Revised Regulations):

C. Checklist for Policy Development related to the 2011 Revised Financial Conflict of Interest (FCOI) Regulation:

D. FDP Model Financial Conflict of Interest Policy? (for potential adoption by Subrecipients who do not yet have an internal FCOI policy in place):
   http://sites.nationalacademies.org/PGA/fdp/PGA_061001

Audit Certification and Financial Status Questionnaire

The UCSF Subrecipient Commitment Form (Section C) helps identify whether the subrecipient meets the audit requirements of OMB Circular A-133. If a subrecipient does not receive an A-133 audit or has audit findings, UCSF may require the entity to complete an Audit Certification and Financial Status Questionnaire prior to establishment of a subaward.