

Instructions for Completing the UCSF Subaward Request Form (SRF)

This form allows supporting documents to be uploaded directly into the form; however, attachments may be included as separate attachments when the completed SRF is emailed to CGSubOutTeam@ucsf.edu. Much of the required information can be found in the Subrecipient Commitment Form as well as other Subrecipient documentation collected at proposal time which can be found in the eProposal record.

Section 1 – UCSF Information

- a. Prime Sponsor – the UCSF sponsor for the incoming award (as it is listed in RAS or the common name: NIH, Gates Foundation, etc.)
- b. RAS Award ID – located in People Soft; it is the Award ID for the prime award.
- c. RAS Project ID – The subaward record in RAS must be associated with a Project ID at the time the subaward number is assigned. The award will have a main Project ID automatically assigned when the award is initially set up; however, because an award may contain multiple Project IDs (which can happen when awards contain more than one subrecipient), this information should be confirmed with the post award contact. NOTE: Once the subaward record is established and the agreement is in place with the subrecipient, the Project ID cannot be changed!
- d. Provide contact information for:
UCSF Principal Investigator
RMS RSC: person who manages PI portfolio
Department Contact – project manager or post award.

Section 2 – Subrecipient Information

- a. Subrecipient Legal Name in DUNS
Indicate if site is domestic or foreign.
- b. Subrecipient DUNS –the Subrecipient’s 9 digit DUNS number; required for federal awards only.
- c. Subrecipient EIN (9-digit) –the Subrecipient’s 9 digit IRS Employee Identification Number; required for federal awards only. It is also not required for non-US entities.
- d. Provide contact information for:
Subrecipient Principal Investigator
Subrecipient Office of Sponsored Research Contact – Authorized Official responsible for endorsing the agreement.
- e. Change in PI – Please note if there is a change in PI at either UCSF or at the Subrecipient.

Section 3: New Subawards: check this box and complete Section 3.

- a. Current Budget Period –the current budget period being awarded to the subrecipient; indicates the

- period for which the Subrecipient has permission to spend.
- b. Budget for Initial Period –the total budget amount for the Current Budget Period (direct and indirect costs). Indicates the total amount the Subrecipient is authorized to spend for the Current Budget Period.
- c. Total Estimated Period –the dates for the total project period that we expect to award the Subrecipient. This should be included whenever possible.
- d. Total Estimated Budget –the total award amount that we expect to award to the Subrecipient for the full project period. This should be included whenever possible.
- e. Indirect Cost Rate – Indicate the indirect cost information applicable to the Subrecipient’s budget. Include both the rate percentage and base.
 - i. Federal Rate – Check box if the Subrecipient’s Federally Negotiated Rate is being used, and include a copy of the Subrecipient’s applicable rate agreement with the request.
 - ii. Per Sponsor Policy – Check box if the UCSF Sponsor’s rate is being applied to the Subrecipient’s budget. Includes the NIH 8% MTDC limitation on indirect costs to non-US entities and any other program specific Federal Agency rate.
 - iii. De Minimus Rate (10%) – Check box if the Subrecipient has opted to use the Federal de minimus rate in accordance with 2 CFR 200.414 Indirect (F&A) costs.
- f. Final Subaward Project Documentation – Include the final scope of work, budget and justification with the request.
- g. Automatic Carryforward – Indicate by checking the appropriate box if the PI/PD wishes to extend automatic carryforward approval to the Subrecipient for this subaward agreement. Please note that UCSF must have automatic carryforward approval in the incoming award before we can grant it to a Subrecipient.

- h. Working Capital Advance Request – Complete this section if the Subrecipient has requested a Working Capital Advance. The request must include:
- i. A detailed budget for the advance
 - ii. A PI monitoring Letter
 - iii. Subrecipient’s Hardship Letter
- See [How to Request Advance of Funds on Outgoing Subawards](#) for more information.

Section 4 – Amendment: for an amendment to an existing subaward, check this box and complete Section 4 and include the Subaward Number (eg. 1234sc).

- a. Amendment Actions – Check all that apply and include any applicable documents: updated/revised scope of work, updated/revised budget (required when adding funds), sponsor approval, etc. Budget justifications for amendments are optional.
- b. Amendment Details – Include the information on changes to the approved project period and funding amounts here.
 - i. Revised End Date – If the amendment is a no cost extension or an early termination, only the revised end date is required.
 - ii. Budget Period – For requests where both time and money are being amended, include the new budget period dates, and the new budget amount. For decreases in funding, enter the new budget amount for the specified budget period after the reduction has been made. Use Section 7, Comments, to provide any additional information.
- c. Carryforward Worksheet: complete this section if:
 - a. The subrecipient DOES NOT have automatic carryforward approval under the terms of the subaward agreement;
 - b. and an unspent balance from a previous budget period has been approved to be carried forward to the current budget period;
 - c. or there is a special circumstance where a formal amendment is needed.

(Do not complete this section if the subrecipient HAS automatic carryforward approval under the terms of the subaward agreement.)

- i. Original Budget Period Dates – Provide the dates for the budget period that is the source of the carryforward funds. For example, if you are awarding year 3 for the period 1/1/16 to 12/31/16, and need to include carryforward approval for funds from year 2, you would enter

the original budget period dates as 1/1/15 to 12/31/15.

- ii. Original Budget Period Amount – Provide the original total budget amount for the budget period that is the source of the carryforward funds, direct and indirect costs.
- iii. Carryforward Amount – Provide the total budget amount that needs to be carried forward into the new budget period, direct and indirect costs.
- iv. New \$ for Budget Period – Provide the total budget amount for new funds, if any, being awarded for the Budget Period in the Amendment Details section, direct and indirect costs.
- v. Total for Budget Period – This field automatically calculates. Use this amount for the Budget Amount field in the Amendment Details section.
- vi. Revised Total for Original Budget Period – This field automatically calculates, and is used by the RMS Subaward Team to make adjustments in RAS.

Section 5 – Compliance

This section should be completed in consultation with the PI/PD or someone with direct knowledge of the technical scope of work for the subrecipient and the applicable human or animal subject protocols. The PI/Department should provide a copy of subrecipient’s IRB/IACUC approval whenever possible*.

- a. This Subrecipient is a clinical research recruiting site – Check this box if the subrecipient is acting as a clinical research recruiting site.
- b. Subrecipient will be conducting Human Subjects Research under this Subaward – Check the appropriate box. This information is available in section A.2 of the Subrecipient Commitment Form, or may be obtained from the PI/PD.
- c. Status of Subrecipient’s Protocol Approval – Include the information about the approval status of the Subrecipient’s IRB Approval at the time of request.
 - i. Approved – Check if the Subrecipient’s human subject protocol has IRB approval in place and current at the time of request. Upload current IRB approval.
 - ii. Pending – Check if the Subrecipient’s human subject protocol has not yet been approved by the applicable IRB at the time of request.
 - iii. Add restriction – If the status of the Subrecipient’s human subject protocol is “pending” and we are awarding funds for human subject research, a human subject restriction must be included in the terms and conditions of the subaward agreement.

- iv. Check this box if the Subrecipient's human subjects protocol is pending, and we will be granting funds for human subject research in this transaction.
- d. Subrecipient will be conducting Animal Subjects Research Under this Subaward: check the appropriate box. This information is available in section A.2 of the Subrecipient Commitment Form or may be obtained from the PI/PD*. Upload current IACUC approval letter.

Section 6: Subrecipient Reporting Requirements

At minimum the Subaward Officer will include reporting requirements as needed for the UCSF PI/PD to comply with sponsor requirements as included in the UCSF award. The

Subaward Officer will also include an annual technical and financial reporting requirement for any project intended to exceed 12 calendar months. This section is included to provide for any additional technical reporting that the PI/PD may wish to require from the Subrecipient PI.

Section 7 – Comments

This section can be used to provide any additional information or requests that are not addressed elsewhere in the form that the Subaward Officer may need to be aware of to draft the transaction.

Section 8 – Principal Investigator's Signature and Certification:

All requests are required to be reviewed and approved by the UCSF PI/PD; may endorse the form electronically or provide a scanned version.

Special Instructions for Requesting Multiple Campus Agreements

MCAs are internal transfers within the University of California System and different than a traditional subaward. Therefore, a set format for these transactions has been established by the Office of the President. Each campus is responsible for ensuring that all of the compliance approvals are in place prior to releasing the award to their investigators. For submitting requests to issue an MCA to a collaborating campus, the following sections of the SRF are not required to be completed.

Section 2: Subrecipient DUNS, Subrecipient EIN, Subrecipient Sponsored Research Contact

Section 3: Total Estimated Period, Total Estimated Budget

Section 5: Human Subjects - Status of Subrecipient's Protocol Approval (including UCSF Protocol Approval Numbers), Animal Subjects - UCSF Protocol Approval Number and Subrecipient's IACUC Approval Letter

For more information on the subaward process, see: <https://osr.ucsf.edu/set-sub-awards#request>

* Whenever possible, obtain relevant IRB/IACUC approval for Subrecipient from the UCSF PI/Department; in some cases, the Sub Officer can request from the Subrecipient as part of the sub transaction.