Instructions for Completing the UCSF Subaward Request Form (SRF)

This form allows supporting documents to be uploaded directly into the form; however, attachments may also 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.

1 – UCSF INFORMATION

a. **Prime Sponsor**

b. **RAS Award ID**

c. **RAS Project ID**

d. **Provide contact information for:** UCSF Principal Investigator and RMS RSC: person who manages PI portfolio Department Contact – project manager or post award.

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 all awards when requesting new subaward.

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 and Subrecipient Office of Sponsored Research Contact – Authorized Official responsible for endorsing the agreement.

*UCSF CONTACT FOR QUESTION ABOUT THIS SUBAWARD OR THE INFORMATION ON THIS FORM:

PLEASE ENTER THE NAME OF THE DEPARTMENTAL PERSON WHO WOULD BEST BE ABLE TO ANSWER QUESTIONS. IT COULD BE THE RSA, THE RSC, OR THE FINANCIAL CONTACT. IF NO ONE STANDS OUT, GIVE THE CONTACT INFORMATION FOR THE PERSON WHO COMPLETED THE FORM.

3 – NEW SUBAWARD

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 estimated award amount to the Subrecipient for the full project period. This should be included whenever possible.

*NOTE ON BUDGETS FOR NEW SUBAWARDS AND AMENDMENTS – THE BUDGET AMOUNT SHOULD MATCH THE AMOUNT ON THE SRF. IN CASES WHERE THE PROPOSAL BUDGET HAS BEEN REDUCED BY A PERCENTAGE LESS THAN 25%, A NEW BUDGET IS NOT REQUIRED. INSTEAD, PROVIDE THE NEW AMOUNT IN THE SRF AND THE ORIGINAL BUDGET WITH A NOTE ON THE BUDGET INDICATING THAT IT HAS BEEN REDUCED BY X%. PLEASE ALSO NOTE THIS IN THE COMMENTS. THE SUBAWARD WILL BE ISSUED WITH THE PROPOSAL BUDGET AND A NOTE INDICATING THERE IS A X% REDUCTION.
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 the box if the Prime Sponsor’s rate is being applied to the Subrecipient’s budget. This includes the NIH 8% MTDC limitation on indirect costs to non-US entities and any other program specific Federal Agency rate.
   
   iii. **De Minimis Rate (10%)** – Check box if the Subrecipient has opted to use the Federal de minimis 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. **Carryforward** – Check this box if you wish to restrict carryforward, otherwise it will be automatic. Please note that if it is restricted UCSF must have automatic carryforward approval in the incoming award in order to grant it to the Subrecipient.

h. **Fixed price** - Indicate whether this is a fixed price subaward. The most common instance of fixed-price awards is when payment is made solely on the basis of per-patient costs. Be sure that the budget is consistent with a fixed price award where payment is due based on deliverables, either enrolling a patient or delivering a report etc. Execution of the agreement is not an acceptable milestone. DHHS agencies require that approval by the sponsor be obtained prior to issuing a fixed price award, therefore evidence of this approval needs to be included with the SRF.

i. **Working Capital Advance Request** – This is only applicable to foreign subrecipients. Please check this box and include all documentation noted in the SRF under “Working Capital Advance Request”.

See [How to Request Advance of Funds on Outgoing Subawards](#) for more information.

---

4 – AMENDMENT: DON’T FORGET TO ENTER THE SUBAWARD NUMBER AT THE TOP OF THE FORM

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. **New End Date** – If the amendment is a no cost extension or an early termination, only the revised end date is required.

   ii. **Budget Date** – For requests where both time and money are being amended, include the new budget period dates, and the new budget amount
      
      - A. Enter only new money.
      - B. Enter amount of decrease (deobligation)
      - C. Enter carryforward amount only, if carryforward is not automatic. Use Section 7, Comments, to provide any additional information.

   iii. **Change in PI** – Please note if there is a change in PI at either UCSF or the Subrecipient institution. If so, please record the effective date of change.
5 – COMPLIANCE

Complete this section after consulting 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.

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 and/or 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. Always check either “yes” or “no.”

c. **If the Subrecipient is foreign**, include appropriate IRB and/or IACUC approvals and Sponsor site approval, as applicable.

SECTION 6: SUBRECIPIENT REPORTING REQUIREMENTS

At a 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.

7 – COMMENTS

This section can be used to provide any additional information or requests not addressed elsewhere in the form that would assist the Subaward Officer in preparing and sending the transaction.

8 – PRINCIPAL INVESTIGATOR’S SIGNATURE AND CERTIFICATION

All requests are required to be reviewed and approved by the UCSF PI/PD, who 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 are different from 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

FOR MORE INFORMATION ON THE SUBAWARD PROCESS, SEE: HTTPS://OSR.UCSF.EDU/SET-SUB-AWARDS#REQUEST

Version:05/03/2018