

How to Complete the UCSF Subcontract/Subaward Request Form (SRF)

This document describes the required information and documents to review and execute subcontract agreements on behalf of UCSF. It also provides an explanation for each of the options that can be filled in for each part of the form and is broken down by section. The information needs to be verified for each transaction.

Please read each description carefully as it will tell you what parts do and do not need to be filled out. Attach any required documents separately to this form. If that is not possible, they can be emailed as separate attachments with the completed SRF to CGSubOutTeam@ucsf.edu.

There are 2 versions of the request form, and both are being accepted by the Subcontracts Team. Both collect the same information, yet the Long Form has more space for information and provides notes for completing the form. Difference between the 2 forms have been indicated in the instructions below.

Additions to Long Form: The Long Form includes three fields at the top of page 1. Information entered into these fields will automatically complete the same fields on subsequent pages.

Sponsor – The entity or agency that has awarded the funds to UCSF.

RAS Award ID – The UCSF award number under which the subawards will be created. The RAS Award ID has an “A” followed by 6 digits and is located in PeopleSoft Award module. Example: A123456

Subaward No. (sc#) – The sc# must be provided for all amendment actions. The Subcontracts Team tracks all subawards/subcontract with this number.

1. UCSF INFORMATION

This section provides the relevant information that the Subcontracts Team needs for the UCSF personnel associated with the project. In this section the Subcontracts Team needs to know who to contact about questions regarding the subaward request, the financial contact, the principal investigator for UCSF, and any additional UCSF contacts. Unless explicitly stated in the comments, all UCSF personnel listed on the form will be included on emails regarding the subaward.

- 1) Who submitted this Form** – The name of the person who completed the form and submitted it to the Subcontracts Team. This person shall serve as the primary contact between the Subcontracts Team and Principal Investigator/project team.
- 2) Financial Contact Information** – RSA in PeopleSoft, or another financial contact that can answer questions related to the financial administration of the subaward.
- 3) UCSF Award Principal Investigator** – PI named on the contract or grant as identified in PeopleSoft.
- 4) UCSF Project Principal Investigator** – Additional investigator that is overseeing a project under the main grant/contract and the subaward is under that specific project. Example, Dr. Smith is the name investigator in PeopleSoft yet Dr. Doe needs to issue a subaward under their project and Dr. Doe is the Project Investigator. This field allows you to identify that additional investigator.
- 5) UCSF Contacts to be copied in correspondence** – Include any additional UCSF contacts that need to be included on emails regarding the subaward. Only the name for the UCSF contacts is sufficient. UCSF email addresses will be used unless otherwise indicated.

2. SUBRECIPIENT INFORMATION

This section provides the relevant subrecipient information that the Subcontracts Team needs in order to process the subaward and comply with its requirements as a pass-through entity. **NOTE: If using a previously submitted old form, review the information, and update as necessary.** Previously submitted requests are not always corrected after they are submitted to the Subcontracts Team and uploaded into CACTAS.

- 1) **Subrecipient Legal Name** – Subrecipient’s legal name. For Federally funded projects, provide the name as it appears in SAM.gov.
 - a) If the Subrecipient is a for-profit entity, confirm the team manager and the Subcontracts Team manager have reviewed to ensure this action should be processed as a subaward/subcontract instead of a services agreement through procurement before submitting the SRF to the Subcontracts Team for processing.
- 2) **Subrecipient UEI** – Subrecipient’s Unique Entity Identifier. Only required for Federal subawards and subcontracts. Optional for all other matters. The alpha-numeric number is located in SAM.gov. The SAM.gov unique entity identifier will be a 12-character alphanumeric value.
 - a) Required for all subrecipients under Federal grants, cooperative agreements, other transaction authorities, and contracts. The UEI is a unique identifier used by the Federal government and is required for reporting purposes by the Subcontracts Team.
 - b) NOT REQUIRED FOR NON-FEDERAL flow through SUBAWARDS and SUBCONTRACTS, although helpful for determining that we are contracting with the correct entity.
- 3) **Subrecipient EIN** – Subrecipient’s Employer Identification Number. Only required for domestic entities that are subrecipients under Federal flow through subawards and subcontracts. Optional for all other matters.
 - a) Required for all domestic entities under Federal flow through grants, cooperative agreements, other transaction authorities, and contracts.
 - b) EIN is 9 digits and contains only numbers, no letters. The Subcontracts Team can only use the 9-digit EIN as assigned by the Internal Revenue Service. The EIN is required for the audit review process.
 - c) NOT REQUIRED FOR NON-FEDERAL SUBAWARDS and SUBCONTRACTS, although helpful for determining that we are contracting with the correct entity.
- 4) **Subrecipient Principal Investigator** – The name and email address of the subrecipient’s principal investigator. If the subrecipient would like to name multiple investigators, add additional names to the **Additional Subrecipients Contacts** section and add a note in the **Comments** section.
- 5) **Subrecipient Primary Contact** – The name and email address of the primary contact at the subrecipient. For other universities, this will be the subrecipient’s sponsored projects contact/authorized official.
- 6) **Subrecipient Central Email** - Central email box for subrecipient’s sponsored projects office.
- 7) **NIH Multi-PI** – Indicate whether the subrecipient PI is an NIH multi-PI and subject to the multi-PI plan submitted with the application.
- 8) **Additional Subrecipient Contacts** – Include any additional subrecipient contacts that need to be included on emails regarding the subaward.

3. COMPLIANCE

Complete this section after consulting with the PI/PD, department contact, or someone with direct knowledge of the subrecipient's technical scope of work and the applicable human and/or animal subjects protocols. All sub-sections are required to be completed for new subawards and amendments that add funding and/or approve carryforward, or a combination thereof. For NCEs, the human subjects and animal subjects sections are still required.

1) Indirect Cost Rate

- a) Indicate whether the indirect cost rate is per prime sponsor policy, the de minimis rate, or a negotiated rate agreement.
 - i. Per prime sponsor policy: Choose this box if the funding sponsor has stipulated an indirect rate. This applies to foreign subawards on NIH grants/cooperative agreements, non-profits, and any other sponsored project where the sponsor's indirect rate is applied.
 1. Do not attach a copy of the negotiated rate agreement for the subrecipient if the rate being utilized is the sponsor's policy. For instance, if the awarding agency limits indirect costs to 8% of MTDC, the Subcontracts Team does not need the negotiated rate agreement.
 - ii. De minimis rate: For subawards under federal grants/cooperative agreements, subrecipients may elect to use the 10% of MTDC. Use of the de minimis rate must be in line with the Uniform Guidance and sponsor's policies.
 - iii. If using a negotiated rate, the applicable F&A agreement must be attached to the SRF packet. The rate must be verified for each transaction that includes an increase in funding and/or carryforward. See Section 8 "Attached Documents" for more information.
 1. The rate on the budget and SRF must match a rate on the negotiated rate agreement. If the subrecipient is using a previous rate, attach that rate agreement.
 2. If the subrecipient is a member of the FDP Expanded Clearinghouse and the site is using the rate agreement in the Clearinghouse, notate the following in the Comments Section:
 - a. FDP Expanded Clearinghouse Member. Applying rate agreement dated "MM/DD/YYYY."
 3. If the subrecipient is not a member of the FDP Expanded Clearinghouse and their rate is available online, in the "Comments" field include a link to the rate agreement and specify the one that applies.
 4. Split Rates – add a comment to the "Comments" field that a split rate is being applied. Also be sure to include a calculation of the indirects either on the budget or the justification including the bases to which the rates are applied. If the applicable base for both rates is not MTDC, TDC, or TC, then provide the base in the "Other" box. More information may be provided to comments section.
 - iv. Fixed Amount: Select this box if the budget for the subaward/subcontract is fixed amount or fixed rate and the rates are inclusive of the indirect costs.

1. Leave the percentage blank and do not select a base.
 2. Do not attach the negotiated rate agreement unless UCSF is providing indirects on top of the fixed rate amount (this should be rare).
- b) Enter the rate in the appropriate box and indicate what base this rate applies to. Utilize the “Other” box if the other options do not apply.
 - c) If the subrecipient site is using multiple rates, provide the applicable rates and bases in the comments section. The budget and/or justification must include a calculation of the indirect costs.
 - d) Subrecipient waiver – In the event, the subrecipient is not applying the applicable rate due to a waiver by the subrecipient:
 - i. DO NOT CHECK any of the three boxes;
 - ii. Enter the rate in the % box;
 - iii. And in “Other” add “See Comments Section.”
 - iv. Provide back-up document from the subsite regarding the waiver.
- 2) Carryforward Authorization** - Unobligated funds remaining at the end of any budget period that, may be carried forward to another budget period to cover allowable costs of that budget period. Review sponsor’s policies for applicability of carryforward.
- a) Select which option from the dropdown menu applies to this subaward/subcontract.
 - i. Restrict per NOA – Notice of award/funding agreement restricts carryforward.
 - ii. Restrict per UCSF – Principal investigator is restricting carryforward.
 - iii. Grant Automatic Carryforward - Award allows automatic carryforward and the principal investigator wants to grant automatic carryforward.
 - iv. Fixed Rate, Fixed Amount, N/A – select if the subaward is a fixed rate or fixed amount subaward. Carryforward is not applicable for these types of subawards.
 - b) NOTE: Depending on the terms of the award, carryover may be automatic, automatic up to a threshold, restricted (by sponsor or PI), or not addressed. Review the specific guidance from the awarding agency as it may have more restrictive guidelines that need to be followed when granting automatic carryover to a subrecipient.
- 3) Cost-Sharing** – Cost Sharing may be mandatory or voluntary committed cost-sharing. Indicate whether cost sharing is occurring in the subaward.
- a) If “Yes”, enter the amount of the cost-sharing in the “Cost Share Amount” box.
 - b) Special scenarios do exist where the subsite PI is providing effort but not drawing salary. Review sponsor’s policies and provide an explanation if this scenario exists. Depending on the scenario, this may not be cost-sharing.
- 4) Working Capital Advance** – Check the box and indicate the advance amount, if the subrecipient requests a working capital advance.
- a) For all working capital advances, the SRF must include a budget/calculation for the working capital advance amount, hardship letter, and PI monitoring letter.
 - i. If the subaward/subcontract already has a hardship letter in the CACTAS folder for this subaward/subcontract an additional hardship letter is not required. State in the comments that a hardship letter is already on file in CACTAS for this subaward/subcontract.
 - b) See working capital advance guidance on the OSR public website for more information.
- 5) International Site** - Indicate whether or not the subrecipient is an international site. Any site outside of the United States and its territories is an international site.

- a) If the funding sponsor is a US federal agency, use the drop down to specify the location of the sponsor approval. All foreign subawards under federal awards require prior approval from the federal agency.
 - i. Approval in NOA - The site is specifically named (not just the country) in the award notice.
 - ii. Site included in proposal – The site was included in the proposal/progress report, and the funding agency approved the inclusion of the international site.
 - iii. Sponsor approval attached – Email confirmation from the federal agency that the international site has been approved.
- b) For amendments, the drop-down menu may be left blank but still indicate that this is an international site. Do not include any approval documents with amendments as these were included with the initial subaward request.

6) Human/Animal Subjects Research

- a) **Human Subjects Research** – Use the dropdown menu to indicate whether the subrecipient requires an IRB approval or not for the subaward.
 - i. Yes – An IRB approval (expedited or full committee) is needed for the subaward and is active.
 - 1. If the subrecipient is an international site, then the Subcontracts Team requires a copy of the current IRB for the subrecipient (and not the UCSF IRB) be submitted with the request.
 - 2. The Subcontracts Team does not need the IRB approval for the domestic subrecipients nor the UCSF IRB.
 - ii. No – An IRB approval (expedited or full committee) is NOT needed for the subaward.
 - iii. Pending/IRB will be needed at a later date – An IRB approval (expedited or full committee) is needed for the subaward but is not active yet. Either the IRB is still under review by the subrecipient’s IRB committee, will be submitted once the subaward is received, or the IRB is not needed until later in the project, i.e., after year 1 of the award. The Subcontracts Team can issue the subaward without the IRB being approved.
 - iv. Clinical Research Recruiting Site – Check this box if the subrecipient is recruiting participants in a study under an IRB approved protocol.
- b) **Animal Subjects Research** – Use the dropdown menu to indicate whether the subrecipient requires an IACUC approval or not for the subaward.
 - i. Yes – An IACUC approval is needed for the subaward and is active.
 - 1. If the subrecipient is an international site, then the Subcontracts Team requires a copy of the current IAUCU for the subrecipient (and not the UCSF IACUC) be submitted with the request.
 - 2. The Subcontracts Team does not need the IACUC approval for the domestic subrecipients nor the UCSF IACUC approval.
 - ii. No – An IACUC approval (expedited or full committee) is NOT needed for the subaward.
 - iii. Pending/IACUC will be needed at a later date – An IACUC approval (expedited or full committee) is needed for the subaward but is not active yet. Either the IACUC is still under review by the subrecipient’s IACUC committee or the IACUC is not needed until later in the project, i.e., after year 1 of the award. The Subcontracts Team can issue the subaward without the IACUC being in place.

4. NEW SUBAWARD REQUEST

Complete this section for all new subaward requests. **Do not** submit the subaward request to the Subcontracts Team until the award has been setup in PeopleSoft and the award document is in PeopleSoft. The Award ID and Project ID allow the Subcontracts Team to set up the new subaward in our financial system. The Subcontracts Team needs the initial budget period dates and the amount requested. The amounts and dates must be consistent across all documents including the award, PeopleSoft, the SRF, budget/budget justification/payment schedule, and scope work.

- 1) **Sponsor** – The entity or agency that has awarded the funds to UCSF.
- 2) **Prime Sponsor** – If the Sponsor is a Pass-Through Entity or is flow through funding, add the prime funding source.
- 3) **RAS Award ID** – The UCSF award number under which the subawards will be created. The RAS Award ID has an “A” followed by 6 digits and is located in PeopleSoft Award module. Example: A123456
- 4) **RAS Project ID** – Request the Project ID from the department. The RAS Project ID is located in PeopleSoft, and the department determines which Project ID the subawards will go under. The RAS Project ID is 7 characters and typically has the digits from the RAS Award ID followed by a letter. Example: 123456A
 - a) *SC#s are setup under specific Project IDs.*
 - b) The Subcontracts Team **CANNOT** move SC#s to another Project ID after the SC#s have been created.
 - c) SC#s cannot be under 2 or more Project IDs.
 - d) If the department wants to track the subawards under different Project IDs, then the department must request the additional Project IDs from CGA, and the Project ID must be setup prior to the requests are submitting to the Subcontracts Team. The Subcontracts Team cannot move an SC# once it has been created.
- 5) **Initial Budget Period** – Provide the start and end dates of the budget period. The dates must be consistent across all associated documents and align with the dates in PeopleSoft and the award document.
 - a) Pre-award spending – If the UCSF PI is approving pre-award spending, add a note to the comments section. The start date on the SRF will be the beginning of the pre-award spending period.
 - b) End date – The end date can never be after the end date in PeopleSoft.
 - c) SRFs with incorrect/inconsistent dates will be returned for correction.
 - d) NOTE – For non-federal subawards, it may be possible to issue the subaward for longer than 1 year. Contact the Subcontracts Team prior to submitting the request if the PI or department would like to request a subaward for longer than 1 year.
- 6) **Initial Budget Amount** – Provide the budget amount for the initial budget period.
 - a) Cost-Reimbursable Budgets – The requested amount of the SRF must match the amount on the attached budget document. A detailed budget and budget justification are required. The budget may only be submitted in PDF or Word format. Excel budgets will be returned.
 - b) Fixed Amount – The requested amount on the SRF must match the amount on the attached payment schedule. The payment schedule may only be submitted in PDF or Word format. Do not send an Excel document or a detailed cost-reimbursable budget.

- i) Payment Schedule – A document that details the deliverables and the corresponding payment amount.
- c) Fixed Rate/Per Patient (amount of payment known, but total enrollment at the site is unknown) – The requested amount on the SRF is the estimated dollar amount that will be entered into PeopleSoft. The Subcontracts Team is required to enter a dollar amount into PeopleSoft prior to activating the subaward. The SRF must include a payment schedule. The payment schedule may only be submitted in PDF or Word format. Do not send an Excel document or a detailed cost-reimbursable budget.
 - i) Payment Schedule – A document that details the deliverables and the corresponding payment amount.
 - ii) Fixed Rate/Per Patient subawards may have a cap on the enrollments or they may be open ended. If the PI or department wish to issue an open-ended fixed rate subaward, contact the Subcontracts Team prior to submitting the request.
 - iii) Only the NIH has provided guidance that fixed rate is not a fixed amount subaward and has defined fixed rate. For all Federal agencies, review the applicable policy statement and choose the appropriate box based on the sponsor’s guidelines. If the sponsor has similar guidance as NIH fixed rate, then fixed rate may be selected.
- 7) **Total Estimated Period** – If the subaward will be a multi-year subaward, the request may include the total estimated period of the subaward. For Federally funded subawards, the total estimated period is a required data point under 2 CFR 200.332(a)(1)(v). Enter the total estimated period in these fields. The dates must align with the dates in PeopleSoft and the award document.
 - a) NOTE – The total estimated period is NOT the proposed project period from the proposal stage but based on the actual award dates.
- 8) **Total Estimated Budget** – Provide the total estimated amount across all years of the subaward. For Federally funded subawards, the total estimated budget is a required data point under 2 CFR 200.332(a)(1)(viii). The amount is just an estimate and does not obligate UCSF, Department, or PI to provide this amount of funding to the subrecipient in the future.
 - a) A detailed budget for the total estimated budget may be included if available. If a budget for the entire project period is included, the Total Estimated Amount must match the total amount on the budget. The detailed budget may only be submitted in PDF or Word. Excel documents will be returned.
 - b) Dates – Review the dates and update as needed to be consistent with the budget periods in PeopleSoft and on the award document.
 - c) If the sponsor cuts the awarded budget, discuss with the PI how to cut the subrecipients budgets. For the total estimated amount, the same percentage can be applied across all the years.
 - d) If unsure of the number to use, please contact the Subcontracts Team before submitting the request.
- 9) **Type of Subaward** – Select the appropriate type of subaward for this request.
 - a) Cost-Reimbursable – Subrecipient will invoice for allowable incurred expenses and then be reimbursed for those expenses.
 - i) All cost-reimbursable subaward requests must include a detailed budget, budget justification explaining all expenses on the detailed budget, and as applicable the associated negotiated rate agreement.
 - (1) The rate used on budget must match one of the rates on the submitted rate agreement, if using the negotiated rate agreement.

- (2) The budget document may only be a PDF or Word document. No Excel documents will be accepted.
- (3) The budget must include the applicable indirect cost rate and base.
- b) Fixed Rate: Subrecipient will invoice for a negotiated cost per unit. The total number of units is unknown at the time of contracting. *At this time only applicable to NIH subawards because the NIH has defined these as fixed rate subawards; however, review sponsor guidelines because they may have similar guidelines but are not called fixed rate.*
 - i) The request must include a payment schedule instead of a detailed cost-reimbursable budget and budget justification.
- c) Fixed Amount: Subrecipient will invoice for set payments for specific tasks and the total amount of the contract is known at the time of contracting.
 - i) The request must include a payment schedule instead of a detailed cost-reimbursable budget and budget justification.
 - ii) Fixed Amount subawards under federal awards must include approval from the federal agency.

5. AMENDMENT REQUEST

Complete this section for amendment requests (any action other than a new subaward). Select all the amendment actions that apply. Requests are **NOT** limited to one action per amendment. As applicable, the budget period and award document must be open/uploaded into PeopleSoft before the Subcontracts Team can issue the amendment. The Amendment Request section contains the most common amendment requests. Incomplete requests will be returned for completion. The amounts and dates must be consistent across all documents including the award, PeopleSoft, the SRF, budget/budget justification/payment schedule, and scope work.

- 1) **Subaward No. (sc#)** – The sc# must be provided for all amendment actions. The Subcontracts Team tracks all subawards/subcontract with this number.
- 2) **Next Year/Additional Funding** – This field will be used if the amendment includes adding the next year and funding for a subaward/subcontract, or if additional funding is needed for an existing period of the subaward/subcontract. Long Form contains a separate field for adding funding to the current period.
 - a) **Budget Period** – Enter the dates to which the additional funding or amendment applies.
 - i) Add information about a gap from the previous end date
 - b) **Increase By** – Enter the amount of the increase. The form has been formatted to include a \$, commas, and includes cents after the amount has been entered.
 - c) **Documents needed for this amendment**
 - i) **Budget** – Include a budget that matches the amount of the increase. If the amount on the budget does not match the amount entered into the “Increase By” field, a note must be added to the “Comments” field explaining the discrepancy. Requests without this explanation will be returned.
 - (1) If the full budget document was provided in the initial subaward and there are no changes, do not include with the amendment request but note in the “Comments” section that there are no changes to the previously included budget.

- ii) Budget Justification – Include a budget justification for cost-reimbursable subawards if there are expenses that have not been previously described in the subaward.
 - iii) Scope of Work – Include a scope of work if there is an additional scope of work or if something has changed that needs to be captured in the subaward.
 - (1) Do not include the original scope of work if there are no changes. The Subcontracts Team will return the request and ask for clarification about what has changed.
 - iv) F&A Rate Agreement – Include a copy of the applicable negotiated rate agreement, provide the information from the FDP Expanded Clearinghouse, or in the “Comments” field include a link to the rate agreement and specify the one that applies. Indirect rates must be verified every time the Subcontracts Team issues an amendment to increase funds. See the section on Indirect Costs under Compliance for more information.
 - d) NOTE – The dates and amounts must be consistent across all documents. If there is a discrepancy, add a note in the “Comments” section or the request will be returned.
 - e) If decreasing funding, use “Other” and not this field.
 - f) Also utilize this field for adding time and other transactions even if there are no monetary changes.
 - i) Enter dates for start date and end date.
- 3) Additional Funding to Current Period (Long Form only)** – Use this field if the amendment is for adding additional funds to the current budget period of the subaward. The form has been formatted to include a \$, commas, and includes cents after the amount has been entered.
- a) Documents needed for this amendment
 - i) Budget – Include a budget that matches the amount of the increase. If the amount on the budget does not match the amount entered into the “Increase By” field, a note must be added to the “Comments” field explaining the discrepancy. Requests without this explanation will be returned.
 - ii) Budget Justification – Include a budget justification for cost-reimbursable subawards if there are expenses that have not been previously described in the subaward.
 - iii) Scope of Work – Include a scope of work if there is an additional scope of work or if something has changed that needs to be captured in the subaward.
 - (1) Do not include the original scope of work if there are no changes. The Subcontracts Team will return the request and ask for clarification about what has changed.
 - iv) F&A Rate Agreement – Include a copy of the applicable negotiated rate agreement, provide the information from the FDP Expanded Clearinghouse, or in the “Comments” field include a link to the rate agreement and specify the one that applies. Indirect rates must be verified every time the Subcontracts Team issues an amendment to increase funds. See the section on Indirect Costs under Compliance for more information.
- 4) No Cost Extension** – Use this field ONLY when the end date of the subaward requires extending. Enter the new end date into the “New End Date” field.
- a) If adding funding or any other action, do not use this field.
- 5) Early Termination** – Use this field for when the subaward needs an earlier end date than what has been contracted. Enter the new end date into the “Revised End Date” field.
- 6) Change in Subrecipient PI** – Use this field to indicate that the subrecipient PI has changed.
- a) Previous Sub PI – Provide the name of the previous PI.
 - b) New Sub PI – Provide the name of the new PI.

- i) The new PI's contact information must be included in the "Subrecipient Information" section.
 - c) Effective Date of Change – Provide the date on which the new PI took over.
 - i) A change in subrecipient PI request that does not include an effective date will be returned for completion.
- 7) Change in UCSF PI (Long Form)** - Use this field to indicate that the UCSF PI has changed.
 - a) Previous UCSF PI – Provide the name of the previous UCSF PI.
 - b) New UCSF PI – Provide the name of the new UCSF PI.
 - i) The new PI's contact information must be included in the "UCSF Information" section.
 - c) Effective Date of Change – Provide the date on which the new PI took over.
 - i) A change in UCSF PI request that does not include an effective date will be returned for completion.
- 8) Carryforward Approval** – Use this field if approving carryforward. If the subaward has not restricted carryforward and it is automatic, do not use the Carryforward Approval section because there is no carryforward restriction.
 - a) Carryforward from the period of – Enter in the period from when the carryforward funds were allocated.
 - b) Budget period to be applied – Enter in the period to which the carryforward funds are being authorized.
 - c) Carryforward Amount – Enter the amount of the carryforward.
 - d) Please Select – Use the dropdown menu to indicate how the funds will be used.
 - i) No Change – There are no changes to how the funds will be spent because a previous subaward already captures the use of the funds.
 - ii) Revised use of funds – The carryforward funds will be used for a different purpose than previously described in the subaward. Attach negotiated rate agreement if applying the site's negotiated rate.
 - (1) A scope of work, budget, and budget justification may be needed if the funds will be used for a different purpose.
 - (2) If there is no change in SOW but the funds will be used for a different purpose, just provide a revised budget and budget justification.
 - (3) A revised SOW is needed when the work under the subaward needs modification. This could include adding additional work, enrolling additional patients (if a cap was provided), or even removing work.
 - iii) **Long Form** – "Will the use of the funds changes?" Indicate how the carryforward funds will be used. If there is a change in the use of the funds as previously captured in the subaward, provide a budget and/or scope work for the carryforward.
 - e) Reference the carryforward guidance sheet and FDP website as additional resources.
- 9) Revised Documents** – Use this field if either the budget/budget justification or the scope of work require revisions from what has been previously included in the subaward. Review the previous subaward documents to determine whether a revision has been made.
 - a) **Revised Budget** – Use this field when a budget that has been include in a previous subaward requires revision.
 - i) Attach a revised budget to the request.
 - ii) NOTE: Adding a budget for the next year or supplemental funding are NOT budget revisions. They are additional funding.

b) Revised Scope of Work – Use this field when a scope of work that has been include in a previous subaward requires revision.

i) Attached a revised scope of work to the request.

ii) NOTE: If the original scope of work covers the entire proposed subaward period, do NOT include the same scope of work with the amendment request. Only include if there is a change.

10) Decrease in Funding (Long Form) – Use this field to indicate a decrease in funding.

a) Budget Period to Decrease – Enter the dates to which the decreased funding applies.

b) Decrease By – Enter the amount of the decrease. The form has been formatted to include a \$, commas, and includes cents after the amount has been entered. Adding a (-) at the beginning to additional indicate a decrease is preferred but is not required.

11) Other – Use this field for all other amendment requests or it can be used as an additional comment section for Amendment Requests.

a) Use this box to:

i) Expand on the requested amendment actions; or

ii) Address any amendment actions that are not explicitly stated above (i.e. de-obligation of funds, or a change in the UCSF PI, etc.). Long Form SRF contains spaces for decrease in funding and change in UCSF PI. If using the Long Form, utilize the specific fields instead of “Other.:

b) NOTE: The Subcontracts Team cannot change project IDs after a subaward has been issued.

6. COMMENTS

Use this section to provide additional information or requests not addressed elsewhere in the form that will assist the Subcontracts Team in processing the request. Please expand on any above sections that are not fully described above. This section can also be used as an extension of the “Other” box in the amendment section.

7. PRINCIPAL INVESTIGATOR’S SIGNATURE AND CERTIFICATION

Signature needs to be obtained for every subaward request. The signature must be the person identified in PeopleSoft for this award as the “Award PI.” The signature of the PI may be via Adobe signature, DocuSign, other electronic signature, or scanned ink. Be sure any attachments on the PDF are still attached after signature. Some electronic signature programs drops attachments attached via the paperclip function. The signature line must include a date of signature as well.

8. ATTACHED DOCUMENTS – ADDITIONAL INFORMATION

Scope of Work

Also called a Statement of Work, the Scope of Work (SOW) describes the work to be conducted by the subrecipient. The SOW must have sufficient detail about the proposed work to allow someone reviewing the statement, and who has familiarity with the project to determine whether or not the work agreed to was actually performed. The SOW must contain the deliverables (if any) including scientific/programmatic reporting requirements and a time frame for delivering those items.

DO NOT INCLUDE TERMS AND CONDITIONS IN THE SCOPE OF WORK.

Considerations:

If the site is enrolling patients or process samples (or some other similar work), the SOW must include an estimated amount of those enrolled patients or samples processed. Increases or decreases to the budget where those amounts are also changing, constitute a change in the SOW. Therefore, a revised SOW must be included. If providing supplemental funding to a subrecipient, review the SOW to ensure that the original SOW covers the use of the supplemental funding. More often than not, supplemental funding means additional work and that the original SOW did not cover this additional work.

Reporting:

If scientific/programmatic reports are required, those reports along with required due dates must be added to the SOW.

Budget

The Budget must be submitted in PDF or Word formats. Excel workbooks are not an acceptable format and will be returned for correction. The budget will only contain the budget details for that particular subaward and not all parties on the project.

Cost Reimbursable Subawards – Detailed budgets are required for cost-reimbursable subawards. The budget must comply with the sponsors guidelines (and submission requirements) and at least provides costs by major budget categories (personnel, supplies, travel, equipment, consulting costs, patient care costs, other direct costs, and subawards). The detailed budget must also include the applicable indirect cost rate and base.

Fixed Rate/Fixed Amount Subawards – A milestone/payment schedule is required for fixed rate/fixed amount subawards. Do not send a detailed budget including PHS 398 Budget documents. Fixed rate/fixed amount subawards with detailed budgets attached to the request will be returned for correction. The payment/milestone schedule details the amount of each payment, what activities trigger a payment, and/or when that payment will happen. The detail needed for each payment/milestone schedule will be dependent on the project. The description of what triggers a payment must be clear and unambiguous. The payment can a lump sum or broken down according to different milestone time points. Include indirect costs in the per patient amount and indicate that the amounts are inclusive of indirect costs on the payment/milestone schedule. Note, Fixed Rate subawards only apply to NIH. Check the applicable grants policy statement or terms and conditions for how that particular agency may handle a fixed rate like subaward.

Considerations for cost-reimbursable detailed budgets:

Personnel should be detailed on the budget and include the percent effort/calendar months (follow sponsor guidelines), and the amount of salary and fringe benefits requested. If the subrecipient personnel are providing measurable effort and not drawing salary from the subaward, include the amount of mandatory/voluntary committed cost sharing in the request and budget justification. Voluntary committed cost sharing on a Federal subaward becomes a binding requirement of the Federal award and requires tracking and reporting by the

subrecipient. If the subrecipient PI may not draw salary from the subaward, this must be detailed in the budget justification. An example would be HHMI Investigators that are employees of HHMI.

De-obligation of funds – Considerations

When de-obligating or decreasing funding, consider if the scope of work needs adjusting as well. Tasks that are no longer being covered by the budget should be removed and a revised SOW should be included with the amendment request.

Budget Justification

A budget justification provides additional information for each of the budget categories on the detailed budget and supports the scope of work. They are not the same documents. A budget justification is required for all detailed cost-reimbursable budgets. For fixed rate/fixed amount subaward, the payment/milestone schedule acts as the budget and budget justification. The budget justification will only contain the budget justification for that particular subaward and not all parties on the project.

Consideration:

If the budget will remain consistent from year to year, the budget justification in the initial subaward may cover the entire period. However, if it is known that there will be significant increases or decreases from the initial budget period, additional information may be added to the initial budget justification to explain these fluctuations. If supplemental funding is provided to the subrecipient, a budget justification for this supplemental funding is required.

Indirect Cost Rate Agreement

If the subrecipient is using a negotiated rate on the budget, provide the applicable rate agreement for that rate. Note, some sites like UCSF will continue to use a previous rate agreement because that is what was proposed and were unable to obtain more funds for indirects at the time of award. If that is the case, provide that rate agreement and not the current one. If subrecipient is following the sponsor policy (for example, 0% indirects, 8%, 10%, etc. dictated by the funding announcement) do not attach the federally negotiated rate agreement, the Subcontracts Team does not need it.

Not all subrecipient apply indirects like UCSF. If the subrecipient is applying a split rate or utilizes a base that is not MTDC (as defined in 2 CFR § 200.1 and agency implementations), then the budget or justification must contain a calculation of the indirect costs.

Notice of Award/Grant or Contract

If not clear, attach to request or state in the comments which one to use. This is especially important when there are multiple NOAs for the current year or if we need to include the original NOA along with a specific amendment.

9. TERMS

Subaward - Subaward means an award provided by a pass-through entity to a subrecipient for the subrecipient to carry out part of a Federal award received by the pass-through entity. It does not include payments to a contractor or payments to an individual that is a beneficiary of a Federal program. From 2 CFR §200.1 – Subaward.

Note: This definition generally applies to non-Federally funded sponsored research as well.

Subcontract – Subcontract means any contract entered into by a subcontractor to furnish supplies or services for performance of the prime contract. FAR 52.244-2

Note: Subcontract is also used to identify clinical recruiting site on industry funded clinical trials.

Supplemental Funding – Additional funding not originally contemplated for the subaward/subcontract.