How to Complete the OCGA Subaward Checklist:

1. Are you requesting an outgoing subaward under a Grant or Cooperative Agreement that was handled through OCGA? To confirm, check the OCGA Award Snapshot for this award. The Snapshot (Section III: Award Demographics) should note the Award Type as either ‘Grant’ or ‘Cooperative Agreement.’

2. Is this requested action for a new subaward or an amendment to a current subaward? Check the appropriate box.
   a. For a **New** subaward request: Add the requisition number from the requisition submitted via BruinBuy for this specific subaward. A requisition must be submitted via BruinBuy prior to submission of the Subaward Checklist to the OST. Purchasing turns the requisition into a draft purchase order (PO) and transmits the PO via email to OCGA.
   b. For an **Amendment** request:
      i. Add the Purchase Order/Subaward number of the current subaward.
      ii. Add the Amendment number for this requested action. *Ex. If the last amendment sent to the subrecipient by the Outgoing Subaward Team was amendment #1, then this next requested action would be for amendment #2.*

**Section I: UCLA Information** *(to be filled out for new Subaward AND amendment requests)*

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. UCLA INFORMATION</strong></td>
<td></td>
</tr>
<tr>
<td>1. UCLA Account &amp; Fund No.:</td>
<td>________________</td>
</tr>
<tr>
<td>2a. Recharge ID (for mailing purposes only):</td>
<td>________________</td>
</tr>
<tr>
<td>2. UCLA Grant/Cooperative Agreement Award Number and Date:</td>
<td>________________</td>
</tr>
<tr>
<td>2b. Amendment #</td>
<td>________________</td>
</tr>
<tr>
<td>2b.i.</td>
<td>________________</td>
</tr>
<tr>
<td>2b.ii.</td>
<td>________________</td>
</tr>
<tr>
<td>4. UCLA PI:</td>
<td>________________</td>
</tr>
<tr>
<td>4b. PI Email:</td>
<td>________________</td>
</tr>
<tr>
<td>6. UCLA PI Email:</td>
<td>________________</td>
</tr>
<tr>
<td>5. UCLA Department:</td>
<td>________________</td>
</tr>
<tr>
<td>5. UCLA Department Contact:</td>
<td>________________</td>
</tr>
<tr>
<td>6. Email:</td>
<td>________________</td>
</tr>
<tr>
<td>6. Phone:</td>
<td>________________</td>
</tr>
<tr>
<td>5. UCLA Department Name and e-mail of person to whom invoices should be sent:</td>
<td>________________</td>
</tr>
<tr>
<td>6. Name:</td>
<td>________________</td>
</tr>
<tr>
<td>6. E-mail Address:</td>
<td>________________</td>
</tr>
</tbody>
</table>

3. Add the basic fund/award information for this subaward:
   a. Account & Fund No.: The FAU information for this specific action. **Tip:** For a new subaward, the FAU tied to this action can be found on the submitted requisition. For an amendment request, does the FAU from the original subaward need to be updated (i.e. is the action being requested under a different fund number)?
b. Grant/Cooperative Agreement Award Number and Date: So that the Outgoing Subaward Team knows which prime award action this subaward request falls under, be sure to note the award number of the prime award and the date of the award. For example, if this Subaward Checklist request is to allocate year 2 funding to the subrecipient, you would note the prime award number and date of the award that awarded year 2 funding to UCLA. Or, if this Subaward Checklist request is to allocate supplemental funding to the subrecipient, you would note the prime award number and date of the award that awarded the supplemental funding to UCLA.

4. UCLA PI and UCLA PI e-mail: Enter the name of the UCLA PI, under UCLA’s prime award, and the UCLA PI’s e-mail address.

5. UCLA Department, Department Contact: Enter the name of the administering department for this subaward, and the name, e-mail and phone number of the department contact for this requested subaward agreement/amendment.

6. UCLA Contact for Invoices: Enter the contact information of the person who should receive the subrecipient’s invoices.

Section II: Subrecipient Information (to be filled out for new Subaward AND amendment requests)

<table>
<thead>
<tr>
<th>II. SUBRECIPIENT INFORMATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>7. Subrecipient Legal Name:</td>
</tr>
<tr>
<td>8. Subrecipient Address:</td>
</tr>
<tr>
<td>9. Subrecipient Name &amp; address of person to whom payment should be sent:</td>
</tr>
<tr>
<td>10. Subrecipient Administrative Contact:</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

7. Add the basic information for the Subrecipient: the Subrecipient Legal Name; Entity Type; and main Address, Telephone and Central OCGA E-mail.
   a. Keep in mind:
      i. If you are working with a for-profit entity, has a Fair and Reasonable Cost Analysis form been completed by the UCLA PI?
      ii. This is the overall entity information. If your subrecipient is not a Federal Expanded Clearinghouse member, you can reference the subrecipient’s Commitment Form for basic contact information. If your subrecipient is a Federal Expanded Clearinghouse member, you can reference the Clearinghouse for the basic contact information.
      iii. The e-mail address in this section is the main e-mail address for the subrecipient’s Sponsored Projects Office. This central e-mail address can also be found on the Subrecipient Commitment Form and Letter of Intent. Just reference the Authorized Official contact information on either form – what is the listed e-mail address for where awards should be sent? (Ex. In the case of UCLA OCGA, the Central e-mail is awards@research.ucla.edu.)
8. Add the Subrecipient’s contact information for where payments should be sent. Keep in mind that this address should match the VCK that was used in your requisition for this subaward.

9. Add the contact information for the administrative contact for the Subrecipient – this contact information is specific to this project.

Section III: Subaward Information (to be filled out for new Subaward AND amendment requests)

10. Subrecipient PI: Add the name and e-mail contact information of the Subrecipient’s PI for this specific project.

11. Estimated award information: This section is for estimated project information only – what is planned for the subaward. So, for the Estimated overall Project Period Start date and end date, these are the dates that are planned for the subaward. So, if it is planned that the subaward will run for 5 years, this is the area where you should make note of that. The Estimated total amount of funding should also reflect the planned overall amount of the subaward (ex. If you are only awarding the subaward $25,000 at this time, but plan to fund the subrecipient in the amount of $100,000 for their work over the full project period, you would make note of the $100,000 amount here.).

12. Award information for THIS ACTION: This is the area where you would add the dates and dollars for this specific action. So, if it is planned that your subaward will run for 5 years, but this action is only for the first year – you would note the dates of that first year here. If you are planning to provide $100,000 for their work over the full project period, but at this time are only awarding the subrecipient $25,000, you would note that $25,000 here.

13. Cumulative: Add the total amount of funding that has been obligated to the subrecipient so far, including the funding that is being requested for this action. (Ex. If your original award obligated $50,000 to the subrecipient, and you are now requesting amendment 1 to that subaward, and amendment 1 is for an additional $50,000, you would note the cumulative amount of $100,000 here.)
Section IV: Amendment and/or Change Order to Current Subaward *(to be filled out for amendment requests ONLY)*

IV. AMENDMENT and/or CHANGE ORDER TO CURRENT SUBAWARD

(checkboxes may be checked for this action; funding amounts will be in Field 13.)

15. This amendment includes the following:

- Continuation funding: Next funding year of the project.
- Supplement funding: Additional funding and/or scope to be added outside of what was originally planned.
- Incremental funding: A portion of the funding for the next year.
- No Cost Time Extension: For time only. There is no funding involved.
- Prior Approval:
  - Carryforward: Will this amendment provide approval to the subrecipient for the use of an unobligated balance from the previous project year(s)?
  - Other: Does this amendment provide any other approval to the subrecipient? Example: approval to rebudget, approval for a change in the subrecipient PI, etc.
  - TIP: If this amendment is for a subrecipient prior approval, is approval from UCLA’s sponsor first needed? If so, please reach out to your OCGA Grants contact to coordinate submission of the prior approval request.
- Change of Subrecipient Name: Does this amendment confirm a change to the Subrecipient’s name? If so, please reach out to Accounts Payable to first confirm whether a new PO is required due to the change in name.
- For any other reasons for amendment, please be sure to describe your request in the Comments field in section VI.

14. When requesting an amendment to a current subaward, check the appropriate boxes to let the OST know what you’re requesting:

- Continuation funding: Next funding year of the project.
- Supplement funding: Additional funding and/or scope to be added outside of what was originally planned.
- Incremental funding: A portion of the funding for the next year.
- No Cost Time Extension: For time only. There is no funding involved.
- Prior Approval:
  - Carryforward: Will this amendment provide approval to the subrecipient for the use of an unobligated balance from the previous project year(s)?
  - Other: Does this amendment provide any other approval to the subrecipient?
    - Example: approval to rebudget, approval for a change in the subrecipient PI, etc.
  - TIP: If this amendment is for a subrecipient prior approval, is approval from UCLA’s sponsor first needed? If so, please reach out to your OCGA Grants contact to coordinate submission of the prior approval request.
- Change of Subrecipient Name: Does this amendment confirm a change to the Subrecipient’s name? If so, please reach out to Accounts Payable to first confirm whether a new PO is required due to the change in name.
- For any other reasons for amendment, please be sure to describe your request in the Comments field in section VI.

15. For Continuations, Supplements or Carryforward:

- Does the FAU associated with the subaward PO need to be updated? If so, please be sure to note that here. The updated FAU will be added to the requested action and Purchasing will be notified of the updated FAU when it is bcc’d on the fully executed action.
16. Other information regarding the subrecipient’s role in the project:
   a. If the subrecipient is expected to provide cost share, matching funds or program income for this project, note that information here.
   b. If UCLA’s project is a clinical trial – is the subrecipient also expected to be completing a clinical trial?
   c. If human subjects work is taking place under the project – will human subjects data be transferred between UCLA and the subrecipient?

17. So that the OST has a better understanding of the subaward request, if any additional details should be included regarding the subrecipient’s cost share, matching funds, program income, etc., add that here. If you have any additional reporting requirements or terms that you would like to add to the subaward, make note of those here. The OST will review your requests and get in touch if there are any questions.
Section VII: Required Documents *(to be filled out for new Subaward AND amendment requests)*

18. This section guides you through the documents that should be submitted in your Subaward Checklist request package – Required Documents vs. those documents that are only required when applicable to the project (i.e. human or animal subject approvals, indirect cost rate agreements if those indirect cost rates are used in the subrecipient budget, etc.). When submitting a request for a new subaward agreement, if related proposal documents were submitted complete to OCGA at the proposal or JIT stage, you can note that on the checklist (highlighted section above) and, when submitting your request for a new subaward agreement, you’ll only need to attach any updated forms or documents (such as an updated scope of work or budget) along with any subject use approvals (if applicable). This option is also available for any amendments – if all required documents were submitted to the OST for a previous action, you would note that here and just attach any new or updated documents. Please keep in mind that you need to review all subrecipient documents to ensure that they are complete. For example, if a subrecipient commitment form was collected make sure it is complete – this means collecting any additional documentation that may have been triggered by the subrecipient commitment form, such as a copy of the institution’s indirect cost rate agreement, a link to the institution’s UG audit, or, if the institution doesn’t have annual UG audits, then a copy of the institution’s completed Financial Audit Management Questionnaire.
Conflict of Interest *(to be filled out for new Subaward AND amendment requests)*

UCLA Principal Investigator certifies that a financial interest □ does / □ does not exist between the Subrecipient and any of the UCLA investigators under this project (i.e. investigators responsible for the design, conduct, or reporting of the research), or any spouses or registered domestic partners, or dependent children of any UCLA investigators under this project. If a financial interest does exist, please notify the OCGA Subaward team at OCGASubawards@research.ucla.edu.

I have reviewed the Subrecipient’s budget and believe all costs stated therein to be reasonable and appropriate for the work to be performed in Subrecipient’s statement of work. In the event this action represents an increment, continuation or a no cost time extension, I certify that the Subrecipient’s performance goals have been achieved and to the best of my knowledge, the costs included are reasonable and appropriate for the work performed.***

---

19. The final section of the checklist, sign-off by the Principal Investigator or an Authorized Representative. This section must be completed with each Checklist. In this section, the Principal Investigator or Authorized Representative is certifying as to whether any financial interests exist between UCLA and the subrecipient. The Principal Investigator or Authorized Representative is also confirming the review of the budget, and in the case of an amendment, certifying that the subrecipient’s performance goals are being met. The OST has updated the conflict-of-interest language for this latest version of the Checklist. Instead of just certifying to the Principal Investigator’s financial interest alone, we’re now looking to certify whether any financial interests exist between the subrecipient and any of the UCLA investigators on the project. An important reminder for this section, if your PI feels that the subrecipient’s performance goals are not being met, please reach out to the Outgoing Subaward Team.