

SUBAWARD UPDATES

NEW AND REVISED FORMS

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REMINDER: eRA Office Hours – Tuesday, June 9th, 9:00am-12:00pm AIRB 1020

Summer QRAM – Wednesday, June 10

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Applications & Forms

The below are all Applications & Forms applicable to Sponsored Projects Administration, categorized by type. For forms from other Office of Research units, please visit our global [Applications & Forms](#) page.

Sponsored Projects

- [+] Agreements and MOUs
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- [-] Subaward Forms**
 - ▶ MCA Commitment Form – for Subawards to other UC campuses
 - ▶ Sole Source Justification Form
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<http://www.research.uci.edu/sponsored-projects/applications-forms/index.html>

SUBRECIPIENT VS. CONTRACTOR DETERMINATION FORM

Subrecipient vs. Contractor Determination Form

In accordance with §200.330 of the Uniform Guidance, UCI must determine, on a case by case basis, whether the entity receiving federal funds is a subrecipient or a contractor. Please complete and submit this form to Sponsored Projects via Kuali Coeus for proposals which include direct costs for a potential subaward or subcontract to a third party (not required for subawards/subcontractors to another UC campus). Please direct any questions to your assigned contract and grant officer.

Subrecipient / Contractor Name: [Click here to enter text.](#)

Project Title: [Click here to enter text.](#)

Prime Sponsor (i.e. Name of Prime Federal Agency): [Click here to enter text.](#)

UCI PI: [Click here to enter text.](#)

Check all that apply

Subrecipient:

- Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the federal program.
- There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions.
- Work could result in the development of intellectual property.
- Is expected to author or co-author publications on the results of its work.
- Will need animal and/or human subject approval for its work.
- Provides cost sharing or matching funds.
- Is responsible for adhering to applicable federal program requirements specified in the federal award.
- Will use the federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCI.

Contractor:

- Provides the goods or services purchased with the federal funds within its normal business operations.
- Provides similar goods or services to many different purchasers.
- Performs a series of repetitive tests or activities requiring little or no discretionary judgment.
- Normally operates in a competitive environment.
- Provides goods or services that are ancillary to the operation of the federal program.
- Is not subject to the compliance requirements of the federal program as a result of the agreement with UCI (although similar requirements may apply for other reasons).

All of the characteristics listed above might not be present in all cases. Therefore, judgment must be used in classifying the agreement as either a subaward or a contract. In determining whether the agreement is a subaward or a contract, the substance of the relationship is more important than the form or name of the agreement.

Based on my analysis of the above, the organization is a:

Subrecipient: Contractor:

Principal Investigator Signature

Date

Principal Investigator Name (Please Print)

SUBRECIPIENT COMMITMENT FORM

University of California, Irvine

Office of Research – Sponsored Projects Administration

SUBRECIPIENT COMMITMENT FORM

All subrecipients (as defined in Section G below) as well as potential subcontractors who anticipate funding under a federal or non-federal “contract” must complete this form when submitting a proposal to UCI. It provides a checklist of documents and certifications required by prime sponsors and it must be endorsed by the subrecipient’s authorized institutional representative prior to proposal submission.

Section A: Prime Proposal Information

Sponsor: RFA/RFP/PAR No:	UCI’s PI: Anticipated Prime Award Instrument: <input type="checkbox"/> Grant/Cooperative Agreement <input type="checkbox"/> Federal or Non-Federal “contract” (if checked, except for section G, the term “Subrecipient” as used on this form will mean “Subcontractor”)
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Section B: Subrecipient Information

Subrecipient’s Legal Name (must match registered name in DUNS): Address: DUNS #: EIN #:	Subrecipient’s PI: Address: Phone: Email:
Subrecipient’s Financial Contact: Address: Phone: Email:	Subrecipient’s Authorized Official: Address: Phone: Email:

Section C: Proposal Documents

The following documents are included in our subaward proposal submission and covered by the certifications below:

- STATEMENT OF WORK (Required)
- BUDGET AND BUDGET JUSTIFICATION (Required)
- Small/Small Disadvantaged Business Subcontracting Plan, in agency-required format (if required by prime sponsor)
- Biosketches
- Other:

Section D: Certifications

1. **Facilities & Administrative Rates** included in this proposal have been calculated based on the following:

- Our federally negotiated F&A rate for this type of work

SUBRECIPIENT COMMITMENT FORM

Section G: Subrecipient Requirements and Responsibilities Must be completed by all entities who will receive funding under a grant or cooperative agreement. (This section is not applicable to Subcontractor's who will receive funding under a federal or non-federal prime "contract")

Before submitting a subaward proposal, the subrecipient must verify that it fits the characteristics of a subrecipient, rather than those of a contractor. The following chart outlines the differences. Please check all that apply.

Subrecipient	Contractor
<ul style="list-style-type: none"><input type="checkbox"/> Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the Federal program<input type="checkbox"/> Will use the Federal funds to carry out a program for a public purpose, as opposed to providing goods or services for the benefit of UCI<input type="checkbox"/> Is responsible for adhering to applicable Federal program requirements specified in the Federal award<input type="checkbox"/> There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions	<ul style="list-style-type: none"><input type="checkbox"/> Provides goods or services that are ancillary to the operation of the Federal program<input type="checkbox"/> Provides the goods or services purchased with the Federal funds within normal business operations<input type="checkbox"/> Provides similar goods or services to many different purchasers<input type="checkbox"/> Is not subject to the compliance requirements of the Federal program as a result of the agreement with UCI<input type="checkbox"/> Normally operates in a competitive environment

Yes **No** For the purpose of this proposal, my organization is properly categorized as a subrecipient as described above.
If "No," please contact the UCI PI about procuring your organization's products and services as a contractor.

REVISED WEBPAGE: SUBRECIPIENT MONITORING

The screenshot displays the UCI Irvine Office of Research website. The header includes the UCI Irvine logo, the text 'OFFICE OF RESEARCH', and navigation links for 'Researcher's Toolbox', 'Applications & Forms', 'Contact Us', and 'Calendar'. A search bar is located to the right of the header. Below the header is a horizontal menu with categories: 'About the Office', 'Sponsored Projects', 'Regulatory Compliance', 'Research Development', and 'Integrity in Research'. Under 'Sponsored Projects', there are sub-links for 'Centers & Institutes', 'Facilities & Services', 'Training & Education', and 'Policy Library'. The main content area is titled 'Subrecipient Monitoring' and includes sections for 'Background', 'Definitions', and 'Subrecipient Monitoring Guidelines'. A sidebar on the left contains a 'Sponsored Projects' menu with items like 'About', 'Contracts & Grants Administration', 'Getting Started', 'Proposal Preparation', 'Subawards', 'Pre-Award Administration', 'Post-award Administration', 'Closeout', 'Electronic Research Administration Systems', 'Clinical Trials', 'Rates & Fees', 'Applications & Forms', 'Policies & Procedures', and 'Training & Education'. At the bottom of the sidebar is a 'News & Announcements' section with a reminder about eRA Office Hours and a link to 'View More'.

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Subrecipient Monitoring

Background

UCI is responsible for ensuring that sponsor funds, including those provided by UCI to other entities, are spent in accordance with all applicable laws and regulations. UCI is required to monitor its subrecipients as if it were the sponsor. This monitoring requirement places UCI in much the same position as if it were a federal agency dealing with its own primary recipient.

The Uniform Guidance, specifically §200.305, §200.330, §200.331, §200.332 and §200.338, sets forth the responsibilities and obligations of institutions such as UCI, for determining eligibility of subrecipients, issuance of subawards, monitoring subrecipients and applying remedies for noncompliance, when federal funds are transferred to subrecipients. As such, whenever UCI issues a subaward to a subrecipient, the University must first assess the subrecipient's eligibility to receive federal funds and follow up by monitoring the subrecipient to ensure its compliance with federal laws and regulations.

Although Principal Investigators have primary responsibility for monitoring the technical progress and claimed costs of subrecipients*, it is understood that some responsibilities are frequently delegated by Principal Investigators to departmental staff or administrators. The following guidance is provided to assist Principal Investigators and those to whom they have delegated some of these responsibilities.

Definitions

Pass-Through Entity is defined as a non-federal entity that provides a subaward to a subrecipient to carry out part of a federal program. The pass-through entity assumes responsibility for negotiation, issuance, oversight, and management of a subaward. The pass-through entity assumes many of the responsibilities typically assigned to a prime sponsor in issuance and oversight of an award to a grantee or contractor, including verification of the financial viability, adequacy of compliance controls and audit status of its subrecipients as well as oversight and verification of the subrecipient's fulfillment of its portion of the programmatic effort. UCI serves as the pass-through entity for subawards issued under its sponsored projects.

Subrecipient means a non-federal entity that receives a subaward from a pass-through entity (e.g., UCI) to carry out part of a federal program; but does not include an individual that is a beneficiary of such program. Characteristics which support the classification of the non-federal entity as a subrecipient include when the non-federal entity: (1) Determines who is eligible to receive what federal assistance; (2) Has its performance measured in relation to whether objectives of a federal program were

COMPLETE SUBAWARD PACKAGE

- 1. Subrecipient Commitment Form**
- 2. UCI PI's Subrecipient vs. Contractor Determination**
- 3. Subrecipient's Scope of Work**
- 4. Subrecipient's Budget**
- 5. Subaward Request Form (submitted by department with UCI PI's signature)**

SUBAWARD REQUEST FORM

UC IRVINE OFFICE OF RESEARCH

SPONSORED PROJECTS ADMINISTRATION

Subaward Request Form

Request for New Subaward

Complete **only** this section for a new subaward/renewal. Send this form with Subrecipient's scope of work and budget as PDF documents to subawards@research.uci.edu.

Principal Investigator Information:

Date: _____

Name: _____

Email: _____

Telephone: _____

Department Information:

Department: _____

Department Contact Name: _____

Telephone: _____

Email: _____

Subaward Information:

Prime Sponsor: _____

Award No.: _____

Subaward Institution Name: _____

Account & Fund # for Subaward: _____

Amount: _____

Begin Date: _____

End Date: _____

Subaward Contact:

Same as Subrecipient Commitment Form

Principal Investigator : _____

Administrative Contact: _____

Email: _____

Subaward Reporting Requirement: Annually Semi-annually Quarterly

Please answer the following, if this is a, i) subaward under a contract; or ii) a subaward that has not been approved by the sponsor:

How was the Subrecipient selected?

Competitive

Sole Source

If Sole Source, please complete Sole Source Justification Form: <http://www.research.uci.edu/ora/forms/sp/sole-source-justification-form.pdf>

Does anyone involved in the decision to secure services from the subaward recipient have an employee-vendor or near-relative relationship with subaward recipient as defined by UC Business and Finance Bulletin 43, which can be referenced at: <http://www.ucop.edu/ucophone/policies/bf/bf43.pdf>

Yes No

Request to Amend Existing Subaward:

Complete **only** this section to amend an existing subaward. Send this form and subrecipient's scope of work and budget (if different from the original) as a PDF to subawards@research.uci.edu.

UCI Principal Investigator: _____

Subaward Principal Investigator: _____

Prime Award No.: _____

Subaward No.: _____

Requested Action:

No - Cost Extension

New End Date: _____

Increase Funding by _____

to New Total: _____

Begin Date: _____

End Date: _____

Other - Explain: _____

PI Verification

QUESTIONS?

Questions/Comments to:

subawards@research.uci.edu

or

parkgj@uci.edu