

Subaward Request Form

Please complete and submit this form to request subaward agreements or multi-campus agreements (MCAs) under extramural awards received by UCOP.

After you complete this Subaward Request Form, please collect the signatures as noted at the bottom of the form. Send the signed form and the subawardee's scope of work, budget, and budget justification to ucopawards@ucop.edu.

Send any questions about this form to RPAC at ucopawards@ucop.edu.

Section I - UCOP Award and Affiliated UCOP Staff

The following section requests information about the UCOP award under which the subawards are being requested, and information on the affiliated UCOP staff.

1. Name of UCOP staff completing this form (First and Last). Note: the person completing this form will be granted access to view the subaward record in Quali Research.
2. Email address of UCOP staff requesting the subaward
3. UCOP Principal Investigator Name (First and Last)
4. Name of UCOP programmatic contact (First and Last) if different than the Principal Investigator
5. Prime sponsor and award number (if applicable)

Section II - Subawardee Identification

The following sections request information about the subawardee or multi-campus award recipient.

1. Is this subaward for a UC campus/lab?
Yes Name of UC Campus:
No Legal Name of Subawardee Organization:
2. Subawardee Principal Investigator's Name
3. Subawardee Principal Investigator's Email
4. Subawardee Administrative Contact Name
5. Subawardee Administrative Contact Email

Section III - Information on Subaward

The following section requests information about the requested subaward.

1. Is this a new subaward or an amendment to an existing subaward?

New Subaward

Amendment to Existing Subaward

Other:

2. If this is for an amendment to an existing subaward, what is the existing RPAC-issued subaward number?

3. Start date of requested subaward

4. End date of requested subaward

5. Total Amount of request for this action (e.g., if for amendment, what is the amount for this amendment only)

6. Would you like to add any non-standard payment terms?

7. What are the technical reporting requirements and the subawardee's due date?

8. What are the financial reporting requirements and the subawardee's due date?

9. Do any UCOP employees (or their spouses, or dependent children) involved in this project in a key management or fiscal role have a financial interest in the Subawardee institution?

This question is asked to ensure compliance with financial conflict of interest policies and regulations.

Yes

No

Section IV - Sole Source Questionnaire

The next two questions concern sole source justification. To learn more about sole source justification, visit: <https://blink.ucsd.edu/buy-pay/responsible/bids/sole-source-justification.html>.

1. Is the value of the subaward expected to exceed \$100,000?

This question is asked to ensure compliance with UC BUS-43.

Yes No

2. If the project is federally-funded, is the value of the subaward expected to exceed \$10,000?

This question is asked to ensure compliance with 2 CFR § 200.320 and 48 CFR Part 6.

Yes No

If either of the above questions was answered “yes,” please answer questions 3 through 5 below.

3. Based on what expertise or resources was this particular subawardee selected to perform the work? Why is this subawardee unique?

4. Why is this particular subawardee's expertise or resource critical to the project?

5. The reasons (other than cost) that this subawardee was selected over others are:

Section V - Conflict of Interest

With respect to the Project Director/Principal Investigator, Co-Principal Investigator(s), and any senior or key personnel, the UCOP Principal Investigator certifies that they

Do not have a financial interest of any kind in the proposed subrecipient.

Are not a near relative to the owner of the Subrecipient or to the Subrecipient PI/Co-PI or key personnel.

Are not a director, officer, partner, trustee, consultant, employee, or in any other position of management in the Subrecipient.

Have not have a financial investment in the Subrecipient.

Have not have a spouse, registered domestic partner or dependent children with a financial investment in the Subrecipient.

Have not have not received income, loans, gifts or reimbursement for travel and/or entertainment from the Subrecipient.

For any positive responses to any of the above, please provide additional information below:

Section VI - Signatures

Principal Investigator - I approve this request and confirm that I have reviewed all costs proposed by the subawardee and found them to be allowable, allocable, and reasonable for the subawardee's proposed statement of work.

Name:

Date:

Vice President (or delegate) - I approve this request and confirm that I have reviewed all costs proposed by the subawardee and found them to be allowable, allocable, and reasonable for the subawardee's proposed statement of work.

Name:

Date:

For federal funding only, fill out and sign the below subrecipient vs. contractor determination form.

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 UCOP

Contractor:

Will not have any right to the intellectual property related to the research award

Provides the goods or services purchased with the Federal funds within its normal business operations

The contractor does not have a stake in, or any decision-making responsibilities with the research

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

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 checklist results, I recommend the funding be issued as a:

Subaward Procurement contractor

Principal Investigator Signature

Date

For RPAC use only: The contracts and grants operations officer does does not concur with the above determination. Additional rationale attached if needed.