



Procurement & Contract Services

Instructions for Completing the Subaward Templates

The October 2018 templates for use are as follows:

1. Cost Reimbursement Subaward- for use with both non-profits and for-profit organizations.
2. Cost Reimbursement Subaward- for use with the State of Alaska ONLY
3. Fixed Price Subaward- for use with subawards under \$150,000 with fixed price prior approval by the sponsoring agency.

The following terms are used interchangeably throughout this document:

“Subrecipient”, “Collaborator”, “PTE”

“Subaward” and “Collaboration”

The Subaward is sent to the Subrecipient to review and sign by P&CS after it's complete.

Please, DO NOT EVER SEND THE TEMPLATE TO THEM DIRECTLY.

The Department is responsible for entering the following fields:

FDP Cost Reimbursement Research Subaward Agreement Face page- page 1:

1. Federal Awarding Agency: Select from the list your prime award sponsor, if you select other, type in the agency name of the sponsor in the new field next to the drop down menu.
2. Pass-Thru Entity (PTE): Select the correct UA MAU from the drop down list, this is the MAU that the grant is issued to.
3. Subrecipient: This is the full and legal name of the Subrecipient, and must match the subrecipients name on their W-9.
4. PTE PI : UA’s Principal Investigator (PI) of record and technical contact for UA.
5. Sub PI : Name of the PI for the subawardee, their technical contact.
6. PTE Federal Award No.: The prime award number issued by the sponsor (See FRAGRNT Sponsor ID field).
7. Subaward No- DO NOT FILL IN, TO BE COMPLETED BY P&CS.
8. Project title: This is the title of the Subrecipient P.I.’s project and does not have to match the UA Project title. Should be pulled from the Subs proposal to your MAU.
9. Subaward Period of Performance Start & End: This is the period of work for the Subrecipient. It must fall within the MAU's prime award period (See FRAGRNT Project Start and Project End Dates), but does not have to match these dates if the subs work is a shorter period.
10. Amount Funded This Action: This is the amount funded for the initial year/period. This will match the amount encumbered on your requisition and on the PO that will fund the subaward.
11. Estimated Project Period Start & End: This is the total anticipated period of performance



Procurement & Contract Services

of the subaward if future years of time will be added at a later time (e.g. years 2 and 3 will be funded in grant years 2 & 3).

11. Incrementally Estimated Total: This is the total funding the subaward is anticipated to be funded at. This is not a commitment of funds at this time.

Attachment 1- Page 2

No entry required

Attachment 2- pages 3- 4

1. Required Data Elements: drop down options of as entered or in the attached Federal Award. Dept can select which they wish, but if they select as entered they MUST enter the Federal Award Issue Date, FAIN, CFDA No, CFDA Title, and Key Personnel if listed on the NOA. These data elements are on your prime award copy received from your campus Grants Office.
2. This Subaward is: Select yes or no based on the definition of R&D found at 2CFR Part 200.87 - Research and Development (R&D)
3. Subject to FFATA: This box must be checked if the prime award was issued after Oct 2010 and the subaward is over \$25,000.
4. General Terms & Conditions: When the sponsoring agency is selected from the list on page 1, the appropriate sponsor flowdown terms will autofill. If you selected Other - Leave General Terms 1, 3, 4 blank for your campus Grants Office to complete.
5. Treatment of Program Income: Select Additive or other and specify, per your prime award terms.
6. Special Terms & Conditions- Copyrights: Select Subrecipient Grants.
7. Data Sharing an Access- if a Data Management or Data Sharing Plan was submitted with the proposal is required by the Award, check the box and select from the drop down box that the plan is Attached. **THE DATA MANAGEMENT PLAN WILL BE PART OF THE SUBAWARD UNDER ATTACHMENT 6 AND NEEDS TO BE INCLUDED IN BACKUP!**
8. Promoting Objectivity in Research: If the Subrecipient has a FCOI policy in place that is compliant then select Subrecipient, if not then select PTE. If you don't know, don't enter and include in your email submission to P&CS that you weren't sure.
9. Work Involving Human or Vertebrate Animals: Refer to the Subrecipient Commitment Form submitted by the subaward during the proposal stage for the Subs Certification on if these issues are involved. If yes, check Human or Vertebrate as appropriate and P&CS will complete the balance. If none are indicated on the form, check NO. **If the Subrecipient Commitment Form was not done in the preaward stage, email the UA PI to confirm if either are included in the subrecipient's work and include the PI response in your backup submitted.**
10. Human Subject Data: Select Applicable or Not Applicable as appropriate. If Applicable, indicate the flow of the data as from Sub to PTE or from PTE to sub. If there is a flow of



Procurement & Contract Services

Human Subject Data- P&CS will be in contact to draft terms for the exchange.

11. Additional Terms: Add here any special provisions needed to include any change in billing or deviations from the Terms & Conditions listed on the face page of the agreement. (e.g. Term and Condition #3 is hereby revised as follows: the final statement of cumulative costs must be submitted no later than 30 days)

Attachment 3A- page 5

1. Complete the following fields:
 - a. PI Email
 - b. PI Phone number
 - c. Admin Contact Name - this is the person responsible for invoice review and questions- may be the Financial Contact too.
 - d. Admin Contact Email
 - e. Admin Contact Phone
 - f. Financial Contact Name- this is the person who will receive match reports and the final financial report- may be the Admin Contact too.
 - g. Financial Contact Email
 - h. Financial Contact Phone
 - i. PI Address PO Box or Mailing Address (not physical address)
 - j. Administrative Address PO Box or Mailing Address (not physical address)

Attachment 3B- page 6

NO ENTRY REQUIRED- P&CS Sends pages 3B 1 & 2 to the sub to complete when we finalize the subaward. **Do NOT send this to the sub to complete EVER please.**

Attachment 3B Page 2- page 7

NO ENTRY REQUIRED- P&CS Sends pages 3B 1 & 2 to the sub to complete when we finalize the subaward. **Do NOT send this to the sub to complete EVER please.**

Attachment 4- page 8

1. The department Business Office shall collaborate with the PI to complete this section of the template by selecting the reports needed, the due dates, and the recipient of the report. The reporting requirements need to address specific needs of the prime award. If annual reporting is required by the prime award, the Subrecipient should have reporting requirements that are in line with the prime to ensure UA's reporting includes the activities of our Subrecipient. **– NO REPORTING REQUIRED IS NOT AN OPTION.**
2. Prior Approvals: Carryover- Automatic or requires Prior Approval per your prime award conditions and preferences with a specific Subrecipient (can be used to ensure subs don't stockpile funds for future years).
3. Other Reports- TO BE COMPLETED BY P&CS



Procurement & Contract Services

4. Other Special Reporting Requirements: If the subaward need additional reports or data not listed in the options on this page, detail the required reports here. Ensure that the reporting does not include terms and conditions as those should be included in Attachment 2. **DO NOT REFERENCE REPORTING OR DELIVERABLES PER THE ATTACHED SCOPE, STATE THEM SPECIFICALLY HERE.**

Attachment 5- page 9

1. Scope of work: The department may either note the number of pages of the attached scope of work (or submit a copy) or type into the attachment 5 the scope if it does not exceed 4000 characters. This scope is the scope of work for the subaward only and may not include work to be performed by any other entity. It must also be identical to the scope of work on file in campus Grants Office for the subaward.
2. Indicate the subaward's F&A rate (must be a negotiated and approved federal rate if other than 10%), and the basis. Note the total direct, indirect and total costs and if the F&A rate is the 10% de minimis rate.
3. Cost Sharing- Indicate (yes or no) if the subaward includes cost sharing, if yes, note the amount. **Cost Share Commitment Letters should be included in the backup submitted.**
4. Budget Information: The department may either note the number of pages of the attached budget and budget justification (or submit a copy) or type into the attachment 5 the budget and justification. This budget and justification must be for the subaward only, not the UA grant budget noting the subaward total. It must contain the detailed costs the subawardee intends to incur and not be an annual lump sum or be expressed in a rate per item or service. This budget and justification must be identical to the budget and justification on file in campus Grants Office for the subaward.

Submission:

Within 48 hours of creating of the requisition in Banner, the department will submit to P&CS the following documents:

1. Correct Completed Subaward Template – **in the editable form ONLY**
2. Scope of Work
3. Budget
4. Budget Justification
5. Data Management Plan
6. Justification for delay if start date is >3 months today
7. Subaward Commitment Form
8. Department requisition form and any relevant emails
9. PI Confirmation on IACUC or IRB if no Subaward Commitment Form is included
10. Subrecipient Cost Share Commitment Letters
11. Multiple PI Plan – NIH awards with Multiple PI's



Procurement & Contract Services

Email these documents with the requisition number in the subject line to **ua-pcs@alaska.edu**

P&CS will review the documents submitted then forward the subaward to the campus Grants Office to perform a compliance review on the Subaward then approve and send to P&CS with the prime award and all modifications.

P&CS will finalize the review, complete the remaining data elements and sends to Subrecipient for review and signature.

Things that slow down the process:

- Sending in a template with no requisition in Banner
- Submitting your requisition and not emailing backup to the backup email address
- Submitting a summary of the work, not a detailed scope of work for the subrecipient
- Emailing a NON-Editable or blank Subaward template Incomplete or missing documents
- Budgets that don't match the template amount or requisition amount
- Not having a W-9 for a new Subrecipient
- Including an F&A rate other than a Federally Approved Rate or using the de minimus rate
- Subrecipients budgets that don't include detail (salary, benefits, travel, services, F&A...)
- Budget's that include any profit or appear to be commercial rates
- Not following these directions
- **NOT ASKING FOR HELP!! WHEN IN DOUBT, PLEASE CALL US!!!**