



February 24, 2021

Research Administration

Forum



THE UNIVERSITY
OF ARIZONA

Zoom etiquette reminder

- Please keep yourself muted unless you are actively speaking
- If you have a comment/question, please type it in the group chat and a facilitator will call on you as soon as we can
- Sessions are recorded and may be made available for future reference



Agenda



- Conflict of Interest (COI) at time of proposal
- Subaward Process & Revised Forms
- Zoom Meeting Attendance Best Practices
- Open Discussion/Q&A

CONFLICT OF INTEREST (COI) AT TIME OF PROPOSAL



COI Investigator

- A COI Investigator is “any person who is responsible for the design, conduct or reporting of Research.” This includes all persons who are responsible for the design, conduct or reporting of Research regardless of their title, employment status and percentage of effort.

Federal Regulation:

42 CFR 50 subpart F(c)(1) Require that by the time an application is submitted to PHS each Investigator who is planning to participate in the PHS-funded research has submitted to the designated official(s) a listing of his/her known Significant Financial Interests (and those of his/her spouse and dependent children):



UAR Routing Changes

- New Custom Data Question: Have all COI Investigators been identified either in proposal Key Personnel OR via COI Investigator template attachment?

Departments/Colleges must verify each COI Investigator has a current annual disclosure at the time of proposal submission.

Response: Yes/No



UAR Routing Changes

- New Attachment Type: Additional COI Investigators

For additional Conflict of Interest Investigators that are not included in the contacts tab of the UAR proposal.

- New Question: Is funding for additional scope of research project?

Response: Yes/No



Relevant Links:

- **Conflict of Interest Investigator Definition**

Who qualifies as an Investigator?

<https://rgw.arizona.edu/compliance/conflict-interest-program/faqs>

- **COI Investigator FAQ for Business Managers**

<https://rgw.arizona.edu/compliance/conflict-interest-program/coi-information-business-managers>

- **42 CFR 50 Subpart F**

https://grants.nih.gov/grants/compliance/42_cfr_50_subpart_f.htm

- **COI Investigator Dashboard**

<https://analytics.uaccess.arizona.edu/analytics/saw.dll?Dashboard>

Coming Soon!

- Change of Scope Definition
- Additional COI Investigator Template



SUBAWARD PROCESS & REVISED FORMS



Meet the Team

Subaward Services – Sponsored Projects & Contracting Services

- Manager: Brandi Gaulin
- Admin: Aileen Quezada (presenter)
- Admin: Susanne Borchaloui (presenter)
- Admin: Deborah Holmstrom

- Contract Officer: Melissa Kramer



Goals

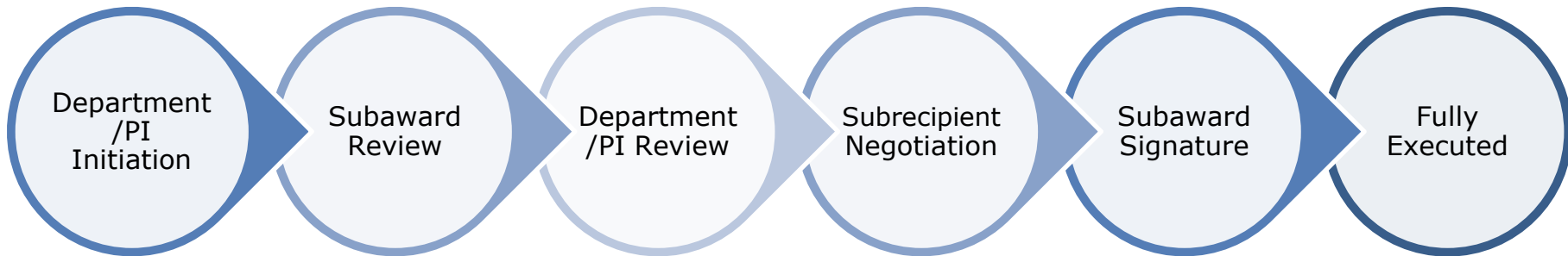
- Subaward Definition
- Subaward Process
- Revised forms for Subaward Submission
- Q & A

What is a Subaward?



- Subaward – legal agreement by which UArizona provides **outgoing** funds to a subrecipient to perform a portion of the sponsor supported project (grant, cooperative agreement or contract).
- Subrecipient – an outside entity receiving funds to collaborate with UArizona to perform a portion of a project and is closely involved with **programmatic decision-making**

Subaward Process



Subaward Submission

Current Process	New Process/ Revised Forms	Changes
New Subaward Initiation Form	New Subaward Initiation Form	Revised Form
Subaward Budget Negotiation Documentation Form	Subrecipient Qualification Form	Combined BND & SSJ into one form
Subaward Sole Source vs. Competitive Bid Request Form		PI Signature requirement is now only on this form
Subrecipient Commitment Form	Subrecipient Commitment Form OR Letter of Intent*	Acceptance of LOI for FDP Clearinghouse Members only
Scope of Work, Budget & Budget Justification	Scope of Work, Budget & Budget Justification	No Change

*only if Subrecipient is an FDP Clearinghouse Member



Subaward Submission

- Revised Forms available for Subaward Submission beginning **March 1st**
 - New Subaward Initiation Form
 - Subaward Modification Initiation Form
 - Subrecipient Qualification Form
- Previous forms will no longer be accepted for subaward submission effective **April 1st**
- Proposal Submission
 - Subrecipient Qualification Form required for proposal submission beginning **March 15th**
 - Only for proposals that include subawards/
subrecipients



New Subaward Initiation Form

New Subaward Initiation Form



In order to initiate a new subaward, please submit this form, along with any additional forms and information as indicated below, to SPS-Subawards@email.arizona.edu. If you are requesting a modification to an existing subaward, please use the Subaward Modification Initiation Form instead. Please contact us by email if you have any questions or need assistance.

UAccess Financials Account #:	Date Submitted:	
UA Principal Investigator:	UA Department:	
Submitted by:	Email:	Phone:

A. Subaward Information

- Subrecipient Name:
- Subaward Project Title:
- Subrecipient Contracting Contact: Email:
- Please enter the following information for the initial period of the subaward:
 Subaward Start Date: Subaward End Date: Amount Funded:
 Cost Share Amount Required (leave blank if none):
 Is automatic carryforward of unspent previous period funding approved? Yes No
- If the subaward will be incrementally funded, please enter the information for the estimated period of the entire project:
 Estimated Project End Date: Estimated Total to be Funded:
- Start Date of Prime Award: Estimated End Date of Prime Award:

B. UA Contact/Invoice Information

- Principal Investigator Contact Information**
 Email: Phone:
 Surface Mail Address:
- Financial Contact Information**
 Name: Email: Phone:
 Surface Mail Address:
- Invoice Information**
 Email Invoices? Yes No
 Email Address for Invoices (if different than Financial Contact email address):
 Surface Address for Invoices (if different than Financial Contact surface mail address):

C. Subaward Details

- Data Sharing.** If the prime award is federal or sub-federal, does it include a requirement that a data management/sharing plan be established with the subrecipient?
 Yes – Please attach data management/sharing plan
 No
 N/A – not a federal or sub-federal prime award

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2. Human Subjects

Will the subrecipient be conducting human subjects research under this subaward?
 Yes – It is the department's responsibility to ensure that appropriate IRB review is in place prior to the initiation of any human subjects research at the subrecipient
 No

Will human subjects data be exchanged with the subrecipient?
 Yes – Please complete the [Human Subjects Data Questionnaire](#)
 No

3. Vertebrate Animals.

Will the subrecipient's research involve work with vertebrate animals?
 Yes – Please contact IACUC at ORCR-IACUC@email.arizona.edu. The subagreement cannot be signed until the UA IACUC office provides Subaward Services with approval to proceed
 No

4. Equipment

Yes No
 Will the subrecipient acquire equipment with awards funds in order to fulfill the scope of work for this project?
 Will the prime sponsor furnish equipment to the subrecipient?

5. Foreign Travel.

Will there be any foreign travel funded on this subaward action?
 Yes – Please describe the location and purpose of the foreign travel:
 No

D. Risk Assessment

Has the UA PI or department had recent or relevant experience with this organization as a subrecipient?
 No
 Yes – Please answer the following question:
 Yes No
 Did the subrecipient complete project objectives, submit timely invoices, backup documentation, and technical and financial progress reports?

E. Additional Information

Include the following documents with your New Subaward Initiation form, and indicate below which items have been included. [Forms for items 4-7 can be found here.](#) Failure to include the required items will cause the review to be put on hold.

- Subrecipient Scope of Work.** Required. Please provide an accurate and clean copy, since this will be inserted directly into the contract. This should be specific for subrecipient activities, not UA activities, and cover the work funded under this action. It should include details on what the project hopes to accomplish, methodology used, timelines, and deliverables.
- Subrecipient Budget.** Required. Please provide an accurate and clean copy, since this will be inserted directly into the contract. If this will be incrementally funded, the budget must clearly separate the budgeted amount for the period funded under this action, matching the amount listed in Sec. A.3 above.
- Subrecipient Budget Justification.** Required. The budget justification must be specific for the subrecipient activities, not UA activities, and cover the work funded under this action.
- Subrecipient Commitment Form or Letter of Commitment/Intent.** Required.
- Subrecipient Qualification Form.** Required.
- Human Subjects Data Questionnaire.** If required per Sec. C.2 above.
- Data Management/Sharing Plan.** If required per Sec. C.1 above.
- Additional Attachments.** Please list any additional attachments included with the form:

F. Comments

Please provide any additional comments or information below:

New Subaward Initiation Form


Subaward Identifiers

Section A: Subaward Information

- Subaward information per Notice of Award and project specific information

Section B: UA Contact/Invoice Information

- Captures UA's PI and Fiscal Officer contact information

New Subaward Initiation Form			 THE UNIVERSITY OF ARIZONA SPCS – Subaward Services
<p>In order to initiate a new subaward, please submit this form, along with any additional forms and information as indicated below, to SPS-Subawards@email.arizona.edu . If you are requesting a modification to an existing subaward, please use the Subaward Modification Initiation Form instead. Please contact us by email if you have any questions or need assistance.</p>			
UAccess Financials Account #:	Date Submitted:		
UA Principal Investigator:	UA Department:		
Submitted by:	Email:	Phone:	
A. Subaward Information			
1. Subrecipient Name:			
2. Subaward Project Title:			
3. Subrecipient Contracting Contact:		Email:	
4. Please enter the following information for the initial period of the subaward:			
Subaward Start Date:	Subaward End Date:	Amount Funded:	
Cost Share Amount Required (leave blank if none):			
Is automatic carryforward of unspent previous period funding approved? <input type="checkbox"/> Yes <input type="checkbox"/> No			
5. If the subaward will be incrementally funded, please enter the information for the estimated period of the entire project:			
Estimated Project End Date:	Estimated Total to be Funded:		
6. Start Date of Prime Award:	Estimated End Date of Prime Award:		
B. UA Contact/Invoice Information			
1. Principal Investigator Contact Information			
Email:	Phone:		
Surface Mail Address:			
2. Financial Contact Information			
Name:	Email:	Phone:	
Surface Mail Address:			
3. Invoice Information			
Email Invoices? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Email Address for Invoices (if different than Financial Contact email address):			
Surface Address for Invoices (if different than Financial Contact surface mail address):			

New Subaward Initiation Form

Section C: Subaward Details

- Additional agreement information that must be attached to subaward (if applicable), requires further review and must be addressed in agreement.

Section D: Risk Assessment

- To adjust subrecipient monitoring if required.

C. Subaward Details

1. **Data Sharing.** If the prime award is federal or sub-federal, does it include a requirement that a data management/sharing plan be established with the subrecipient?
 Yes – Please attach data management/sharing plan
 No
 N/A – not a federal or sub-federal prime award

2. **Human Subjects**
Will the subrecipient be conducting human subjects research under this subaward?
 Yes – It is the department’s responsibility to ensure that appropriate IRB review is in place prior to the initiation of any human subjects research at the subrecipient
 No
Will human subjects data be exchanged with the subrecipient?
 Yes – Please complete the [Human Subjects Data Questionnaire](#)
 No

3. **Vertebrate Animals.** Will the subrecipient’s research involve work with vertebrate animals?
 Yes – Please contact IACUC at ORCR-IACUC@email.arizona.edu. The subagreement cannot be signed until the UA IACUC office provides Subaward Services with approval to proceed
 No

4. **Equipment**
Yes No
 Will the subrecipient acquire equipment with awards funds in order to fulfill the scope of work for this project?
 Will the prime sponsor furnish equipment to the subrecipient?

5. **Foreign Travel.** Will there be any foreign travel funded on this subaward action?
 Yes – Please describe the location and purpose of the foreign travel:
 No

D. Risk Assessment

Has the UA PI or department had recent or relevant experience with this organization as a subrecipient?
 No
 Yes – Please answer the following question:
Yes No
 Did the subrecipient complete project objectives, submit timely invoices, backup documentation, and technical and financial progress reports?

New Subaward Initiation Form

Section E: Additional Information

- List of forms required upon New Subaward initiation.
 - Description of all required forms to process agreement.

Section F: Comments

- Provided for comments or additional information.

No signature required on this form

E. Additional Information

Include the following documents with your New Subaward Initiation form, and indicate below which items have been included. [Forms for items 4-7 can be found here.](#) Failure to include the required items will cause the review to be put on hold.

- 1. Subrecipient Scope of Work. Required. Please provide an accurate and clean copy, since this will be inserted directly into the contract. This should be specific for subrecipient activities, not UA activities, and cover the work funded under this action. It should include details on what the project hopes to accomplish, methodology used, timelines, and deliverables.
- 2. Subrecipient Budget. Required. Please provide an accurate and clean copy, since this will be inserted directly into the contract. If this will be incrementally funded, the budget must clearly separate the budgeted amount for the period funded under this action, matching the amount listed in Sec. A.3 above.
- 3. Subrecipient Budget Justification. Required. The budget justification must be specific for the subrecipient activities, not UA activities, and cover the work funded under this action.
- 4. Subrecipient Commitment Form or Letter of Commitment/Intent. Required.
- 5. Subrecipient Qualification Form. Required.
- 6. Human Subjects Data Questionnaire. If required per Sec. C.2 above.
- 7. Data Management/Sharing Plan. If required per Sec. C.1 above.
- 8. Additional Attachments. Please list any additional attachments included with the form:

F. Comments

Please provide any additional comments or information below:

- * Data Management/Sharing Plan Required Per section C.1
- * Human Subjects Data Questionnaire Required Per section C.2

Subaward Modification Initiation Form

Subaward Modification Initiation Form



SPCS – Subaward Services

In order to initiate a modification or amendment to an existing subaward, please submit this form, along with any additional forms and information as indicated below, to SPS-Subawards@email.arizona.edu. Please contact us by email if you have any questions or need assistance.

UA Subaward PO Number: []	Date Submitted: []
UA Principal Investigator: []	UA Department: []
Submitted by: []	Email: [] Phone: []
Current Subaward End Date: []	Current Prime Award End Date: []

A. Modification Actions

- End Date Change.** Is the end date of the subaward being changed?
 No
 Yes – Please enter the new end date: []
- Budget Change.** Is funding being increased/decreased with this action?
 No
 Yes – Please enter the funding changes as appropriate and attach the new budget and budget justification as described in E2 and E3 below. *If the budget and budget justification for this period were already included in the original agreement, and there are no changes, the budget and budget justification (see E2 and E3 below) do not have to be attached.*
Funding for period covered by this modification: []
Carry forward approved for this modification: []
Funding decreased by this amount: []
Comments or other budget instructions: []
- Workscope Change.** Is the workscope being modified with this action?
 No
 Yes – Please attach the new workscope as described in E1 below.
- Other Changes.** Please describe any other changes that need to be made to this subaward. []

B. Subaward Details

- Human Subjects**
Will the subrecipient be conducting human subjects research under this subaward?
 Yes – It is the department's responsibility to ensure that appropriate IRB review is in place prior to the initiation of any human subjects research at the subrecipient
 No
Will human subjects data be exchanged with the subrecipient during the period covered by this modification?
 Yes – If you did not complete the [Human Subjects Data Questionnaire](#) at the time the initial subaward was put into place, please complete it and submit with this modification request.
 No

4. **IRB Review Required.** Will the subrecipient's research involve work that requires approval from the prime sponsor's IRB?

- Yes – If you did not obtain approval from IACUC at the time the initial subaward was put into place, please contact IACUC at ORCR-IACUC@email.arizona.edu. The modification cannot be signed until the UA IACUC office provides Subaward Services with approval to proceed
 No

3. Equipment

- Yes No Will the subrecipient acquire equipment with award funds in order to fulfill the scope of work for this project during the period covered by this modification?
 Yes No Will the prime sponsor furnish equipment to the subrecipient during the period covered by this modification?

4. Foreign Travel.

 Will there be any foreign travel funded on this subaward action?

- Yes – Please attach documentation regarding the location and purpose of the foreign travel, if it was not previously provided
 No

C. Subrecipient Monitoring

Has the performance of the subrecipient been satisfactory, and has the subrecipient submitted the required invoices, backup documentation, and progress reports?

- Yes
 No – Please explain: []

D. Cost/Price Analysis and Certification

Complete this section only if this action increases the budget, and the budget increase is not described in the original multi-year budget contained in the parent agreement.

- All costs proposed by the subrecipient under this subaward modification were reviewed and approved by the UA Principal Investigator as reasonable and necessary for the proposed scope of work. Items reviewed include:
- Salaries and level of effort have been reviewed and appear to be reasonable for the proposed scope of work
 - Specific equipment, fabricated equipment, and/or supplies are separately listed and are appropriately based on standard or catalog prices, or vendor quotes
 - Travel, if any, appears to be necessary, and trips are priced separately and correctly, based on both technical review and review of published air fares, hotel rates and per diem rates.
 - Indirect cost rates and fringe benefits were based on either the current negotiated rate with the federal government, or a 10% de minimus indirect cost rate (8% for foreign recipients with an NIH prime) was used.

I, the UA Principal Investigator on the prime award, certify that the information I have provided above is, to the best of my knowledge, an accurate assessment of the subrecipient's budget, and I have retained supporting documentation.

PI Signature _____ Date: []

Please retain supporting documentation for the above certification in departmental files for seven years. You may be required to produce this documentation in the event of a federal audit.

E. Additional Information

Include the following documents with your Subaward Modification Initiation Form, and indicate below which items have been included. *Failure to include the required items will cause the review to be put on hold.*


- Subrecipient Scope of Work.** Only include if required per Sec. A3 above. Please provide an accurate and clean copy, since this will be inserted directly into the contract. This should be specific for subrecipient activities, not UA activities, and cover the work funded under this action. It should include details on what the project hopes to accomplish, methodology used, timelines, and deliverables.
- Subrecipient Budget.** Only include if required per Sec. A2 above. Please provide an accurate and clean copy, since this will be inserted directly into the contract. If this will be incrementally funded, the budget must clearly separate the budgeted amount for the period funded under this action, matching the amount listed in Sec. A.3 above.
- Subrecipient Budget Justification.** Only include if required per Sec. A2 above. The budget justification must be specific for the subrecipient activities, not UA activities, and cover the work funded under this action.
- Additional Attachments.** Please list any additional attachments included with the form: []

F. Comments

Please provide any additional comments or information below:
[]

Subrecipient Qualification Form

Subrecipient Qualification Form



If a subrecipient will be named in a prime proposal, this form must be completed and signed by the UA Principal Investigator and submitted to SPCS as a proposal attachment when the prime sponsor proposal is submitted through UAR. This ensures that the prime award will be properly structured and there will be no barriers to flowing funds to subrecipients. This form must also be submitted to Subaward Services with the subaward initiation documentation. This certification and the supporting documentation you retain will be required in the event of a federal audit.

UAR Proposal Doc. # _____	or	UA Financials Account # _____
UA PI: _____		
Subrecipient: _____		Subrecipient PI: _____

A. Subrecipient vs. Vendor Determination

1. Please assess the characteristics of the role of the contributing entity, checking only those boxes that apply. Boxes in both columns may be checked.

Subrecipient	Vendor (Contractor)
<input type="checkbox"/> The subrecipient's statement of work represents an intellectually, scholarly significant portion of the programmatic effort to the overall project	<input type="checkbox"/> Vendor provides the goods or services within normal business operation and to many different purchasers
<input type="checkbox"/> The contribution of the subrecipient is uniquely designed in response to each project	<input type="checkbox"/> Vendor competes against other entities providing the same or similar goods or services
<input type="checkbox"/> The subrecipient technical lead is a scientific collaborator, or even a co-investigator on the UA project	<input type="checkbox"/> Vendor performs a series of repetitive tests or activities requiring little or no discretionary judgement
<input type="checkbox"/> The subrecipient participates in the development of the overall project statement of work	<input type="checkbox"/> Vendor technical lead makes contributions that do not result in qualifying as a co-author on UA publications, or that do not warrant independent publication in scholarly journals
<input type="checkbox"/> The subrecipient's results are likely to be published in the scientific literature independently, and/or the subrecipient is likely to be a co-author on a UA publication	<input type="checkbox"/> Vendor submits a bid in response to UA's definition of the scope of work to be performed

2. Based upon the above analysis, the contributing entity is judged to be a

Subrecipient – please proceed with completion of this form.

Vendor (Contractor) – please file this form for reference at time of award. Please include this work as a service in the proposal budget, with appropriate F&A costs, and contact PACS for assistance with a vendor/services agreement at time of award.

B. Sole Source Justification

1. Please choose of one of the two options below:

Subrecipient's proposal is included in UA's proposal package to the prime sponsor and is evaluated by the prime sponsor along with UA as part of the overall selection process conducted pursuant to the sponsor's guidelines. Sponsor's award of this proposal indicates that the technical aspects of the subrecipient's proposal are acceptable, and therefore, this subrecipient is the logical and justifiable choice for this subaward. *Please skip the remaining questions in Sec. B and proceed to Sec. C.*

The subrecipient's proposal is not included in UA's proposal package to the prime sponsor.

2. Were competitive bids sought?

Yes – Please retain in your file the documentation that evidences the competitive bid process, including justification for why the other sources could not be used, for a period of seven years, if we receive the prime award and proceed with this subaward. You may be required to produce this data in the event of an audit. *Please skip the remaining questions in Sec. B and proceed to Sec. C.*

No

3. Provide specific justification for selecting the subrecipient on a sole source basis by answering the following questions.

a. Based on what expertise or resource was this particular subrecipient selected to perform this work?

b. Why is this particular subrecipient's expertise or resource critical to the project?

C. Cost/Price Analysis

All costs proposed by the subrecipient under this subaward were reviewed and approved by the UA Principal Investigator as reasonable and necessary for the proposed scoped of work. Items reviewed include:

- Salaries and level of effort have been reviewed and appear to be reasonable for the proposed scope of work
- Specific equipment, fabricated equipment, and/or supplies are separately listed and are appropriately based on standard or catalog prices, or vendor quotes
- Travel, if any, appears to be necessary, and trips are priced separately and correctly, based on both technical review and review of published air fares, hotel rates and per diem rates.
- Indirect cost rates and fringe benefits were based on either the current negotiated rate with the federal government, a 10% *de minimis* indirect cost rate (8% for foreign recipients with an NIH prime), if allowed, or 0%.

Yes

No – Please explain:

Please retain supporting documentation for the above certifications in departmental files for seven years if we receive the prime award and proceed with this subaward. You may be required to produce this documentation in the event of an audit.

D. UA Conflict of Interest

Do you or a relative (spouse, partner, child (including step), parent, grandparent, in-laws, siblings and their in-laws), or any UA staff involved in this project or their relatives have a personal or financial interest in the proposed subrecipient organization?

No

Yes – Please contact the Conflict of Interest Program at coi.arizona.edu immediately. The proposal cannot be submitted listing this entity as a subrecipient unless SPCS receives approval from the Conflict of Interest Program to proceed.

E. Principal Investigator Certification

I certify that the information and responses I have provided above are, to the best of my knowledge, an accurate assessment of the subrecipient's qualifications, and an accurate representation of the processes used to select the subrecipient and of my relationship to the subrecipient.

Signature _____ Date: _____

Replaces Subaward Budget Negotiation Form **AND** Subawards Sole Source vs. Competitive Bid Request Form

Completed by UA Principal Investigator

Subrecipient Qualification Form

<u>A. Subrecipient vs. Vendor Determination</u>	
1. Please assess the characteristics of the role of the contributing entity, checking only those boxes that apply. Boxes in both columns may be checked.	
<p style="text-align: center;"><u>Subrecipient</u></p> <p><input type="checkbox"/> The subrecipient's statement of work represents an intellectually, scholarly significant portion of the programmatic effort to the overall project</p> <p><input type="checkbox"/> The contribution of the subrecipient is uniquely designed in response to each project</p> <p><input type="checkbox"/> The subrecipient technical lead is a scientific collaborator, or even a co-investigator on the UA project</p> <p><input type="checkbox"/> The subrecipient participates in the development of the overall project statement of work</p> <p><input type="checkbox"/> The subrecipient's results are likely to be published in the scientific literature independently, and/or the subrecipient is likely to be a co-author on a UA publication</p>	<p style="text-align: center;"><u>Vendor (Contractor)</u></p> <p><input type="checkbox"/> Vendor provides the goods or services within normal business operation and to many different purchasers</p> <p><input type="checkbox"/> Vendor competes against other entities providing the same or similar goods or services</p> <p><input type="checkbox"/> Vendor performs a series of repetitive tests or activities requiring little or no discretionary judgement</p> <p><input type="checkbox"/> Vendor technical lead makes contributions that do not result in qualifying as a co-author on UA publications, or that do not warrant independent publication in scholarly journals</p> <p><input type="checkbox"/> Vendor submits a bid in response to UA's definition of the scope of work to be performed</p>
2. Based upon the above analysis, the contributing entity is judged to be a	
<p><input type="checkbox"/> Subrecipient – please proceed with completion of this form.</p> <p><input type="checkbox"/> Vendor (Contractor) – please file this form for reference at time of award. Please include this work as a service in the proposal budget, with appropriate F&A costs, and contact PACS for assistance with a vendor/services agreement at time of award.</p>	

Section A: Subrecipient vs. Vendor Determination

- Purpose: Assist in determining whether a subrecipient relationship is correct based on roles
- Properly classifying the relationship is important in reference to compliance, sponsored project and applicable regulations (F&A, 2 CFR 200, FAR, etc.)
- Form required at proposal only if the relationship is determined as a Subrecipient/Subaward

Subrecipient Qualification Form

Section B: Sole Source Justification

- Purpose: Document compliance with University and Board of Regents procurement policies for selecting the subrecipient
- Provide reasoning for subrecipient based on expertise or resource

B. Sole Source Justification	
1. Please choose of one of the two options below:	<input type="checkbox"/> Subrecipient's proposal is included in UA's proposal package to the prime sponsor and is evaluated by the prime sponsor along with UA as part of the overall selection process conducted pursuant to the sponsor's guidelines. Sponsor's award of this proposal indicates that the technical aspects of the subrecipient's proposal are acceptable, and therefore, this subrecipient is the logical and justifiable choice for this subaward. <i>Please skip the remaining questions in Sec. B and proceed to Sec. C</i>
	<input type="checkbox"/> The subrecipient's proposal is not included in UA's proposal package to the prime sponsor.
2. Were competitive bids sought?	<input type="checkbox"/> Yes – Please retain in your file the documentation that evidences the competitive bid process, including justification for why the other sources could not be used, for a period of seven years, if we receive the prime award and proceed with this subaward. You may be required to produce this data in the event of an audit. <i>Please skip the remaining questions in Sec. B and proceed to Sec. C</i>
	<input type="checkbox"/> No
3. Provide specific justification for selecting the subrecipient on a sole source basis by answering the following questions.	
a.	Based on what expertise or resource was this particular subrecipient selected to perform this work?
b.	Why is this particular subrecipient's expertise or resource critical to the project?

Subrecipient Qualification Form

C. Cost/Price Analysis

All costs proposed by the subrecipient under this subaward were reviewed and approved by the UA Principal Investigator as reasonable and necessary for the proposed scope of work. Items reviewed include:

- Salaries and level of effort have been reviewed and appear to be reasonable for the proposed scope of work
- Specific equipment, fabricated equipment, and/or supplies are separately listed and are appropriately based on standard or catalog prices, or vendor quotes
- Travel, if any, appears to be necessary, and trips are priced separately and correctly, based on both technical review and review of published air fares, hotel rates and per diem rates.
- Indirect cost rates and fringe benefits were based on either the current negotiated rate with the federal government, a 10% *de minimus* indirect cost rate (8% for foreign recipients with an NIH prime), if allowed, or 0%.

Yes

No – Please explain:

Please retain supporting documentation for the above certifications in departmental files for seven years if we receive the prime award and proceed with this subaward. You may be required to produce this documentation in the event of an audit.

Section C: Cost/Price Analysis

- Purpose: Compliance with OMB Uniform Guidance (2 CFR 200) and Federal Requisition Regulation (FAR)
- Certifying the budget is reasonable and necessary for the effort performed

Subrecipient Qualification Form

Section D: UA Conflict of Interest

- Purpose: Document compliance with University COI policy
- Allows evaluation of potential conflicts

Section E: PI Certifications

- Signed by PI

Form Retained only if award is issued

D. UA Conflict of Interest	
Do you or a relative (spouse, partner, child (including step), parent, grandparent, in-laws, siblings and their in-laws), or any UA staff involved in this project or their relatives have a personal or financial interest in the proposed subrecipient organization?	
<input type="checkbox"/> No	
<input type="checkbox"/> Yes – Please contact the Conflict of Interest Program at coi.arizona.edu immediately. The proposal cannot be submitted listing this entity as a subrecipient unless SPCS receives approval from the Conflict of Interest Program to proceed.	
E. Principal Investigator Certification	
I certify that the information and responses I have provided above are, to the best of my knowledge, an accurate assessment of the subrecipient's qualifications, and an accurate representation of the processes used to select the subrecipient and of my relationship to the subrecipient.	
Signature _____	Date: _____

<https://rgw.arizona.edu/administration/home/forms-and-templates>



Questions?



Contact Us:

Subaward Services Main Inbox: SPS-Subawards@email.arizona.edu


Brandi Gaulin, Manager: brandig@arizona.edu

Aileen Quezada, Admin: aileenr@arizona.edu

**ZOOM MEETING
ATTENDANCE
BEST PRACTICES**



Best Practices


- Zoom Meetings are frequently used now to record attendance at various training opportunities.
 - At times, we may want to distinguish between attendance at a general information session and a targeted training.
 - Certain methods of logging in allow us to accurately record and apply credit for those who have actually attended such training.
- 

Best Practices

- Log in with NetID at <https://arizona.zoom.us/>
- Log in with NetID through Zoom Desktop App
 - To download the application based on the type of device you are using:
 - Laptop or desktop computer: <https://arizona.zoom.us/download>
 - Tablet or smartphone: [App Store](#) (Apple device), [Google Play Store](#) (Android device)
 - Ensure you choose the **Sign in with SSO** option and **arizona.zoom.us** for the company domain. It will bring you to the UA WebAuth page.



Best Practices

- If you do not or cannot login with your NetID, please ensure you enter both your First and Last Name.
 - It is very difficult to record/match attendance for an individual with the login/screen name of James or Mary, for example.
 - Some meetings may be set up to only accept authenticated participants.
- 

<https://it.arizona.edu/service/zoom>



Future Forum Topics?

- Suggest/request future forum topics
shana@arizona.edu
- Present a topic
 - Share research administration tools (reports, agents, forms, etc.)
 - Lessons learned
 - Tips & tricks
 - Upcoming changes
 - Timely information gained from conferences/workshops



**QUESTIONS?
CONCERNS?
OPEN SHARE**

