

# Subcontracts (Outgoing Funds)

September Team Talks  
Grants and Contracts



University of Colorado  
Denver | Anschutz Medical Campus

# Agenda

- Introduction – Ryan Holland
- Proposal Stage – David White
- Subcontract Request – Eric Maize
- Postaward Management – Stephanie Thompson

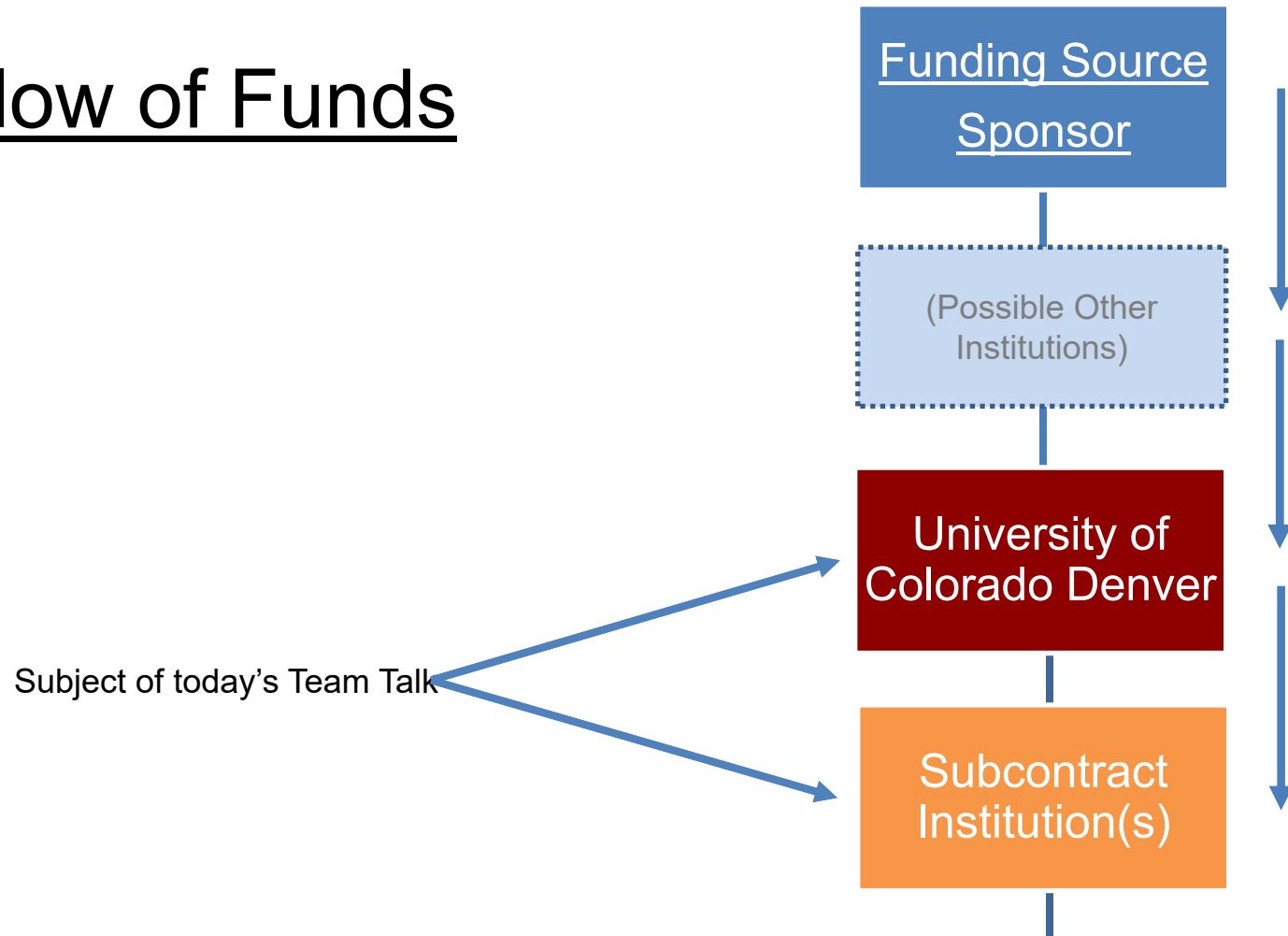


# Subcontract

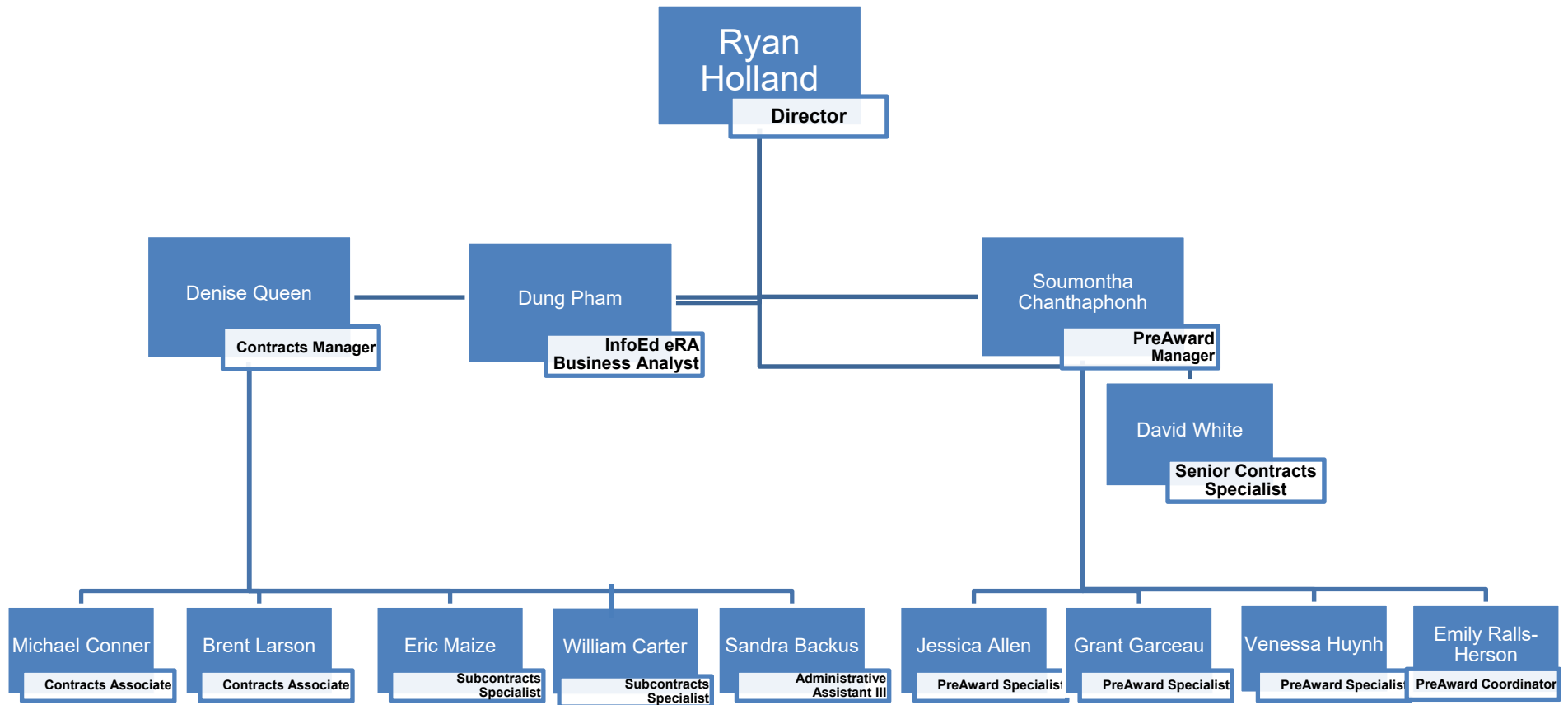
- Outgoing Funds – CU Anschutz|Denver is the prime recipient
- Purpose of carrying out a portion of a Federal award and create a Federal assistance relationship with the subrecipient (2 CFR 200.330)
  - Performance requirements
  - Programmatic decision making ability
  - Accountable to Federal program requirements
  - Carry out public purpose vs benefit of prime recipient
- Subrecipient vs Contractor
  - [Subcontract Determination Checklist](#)



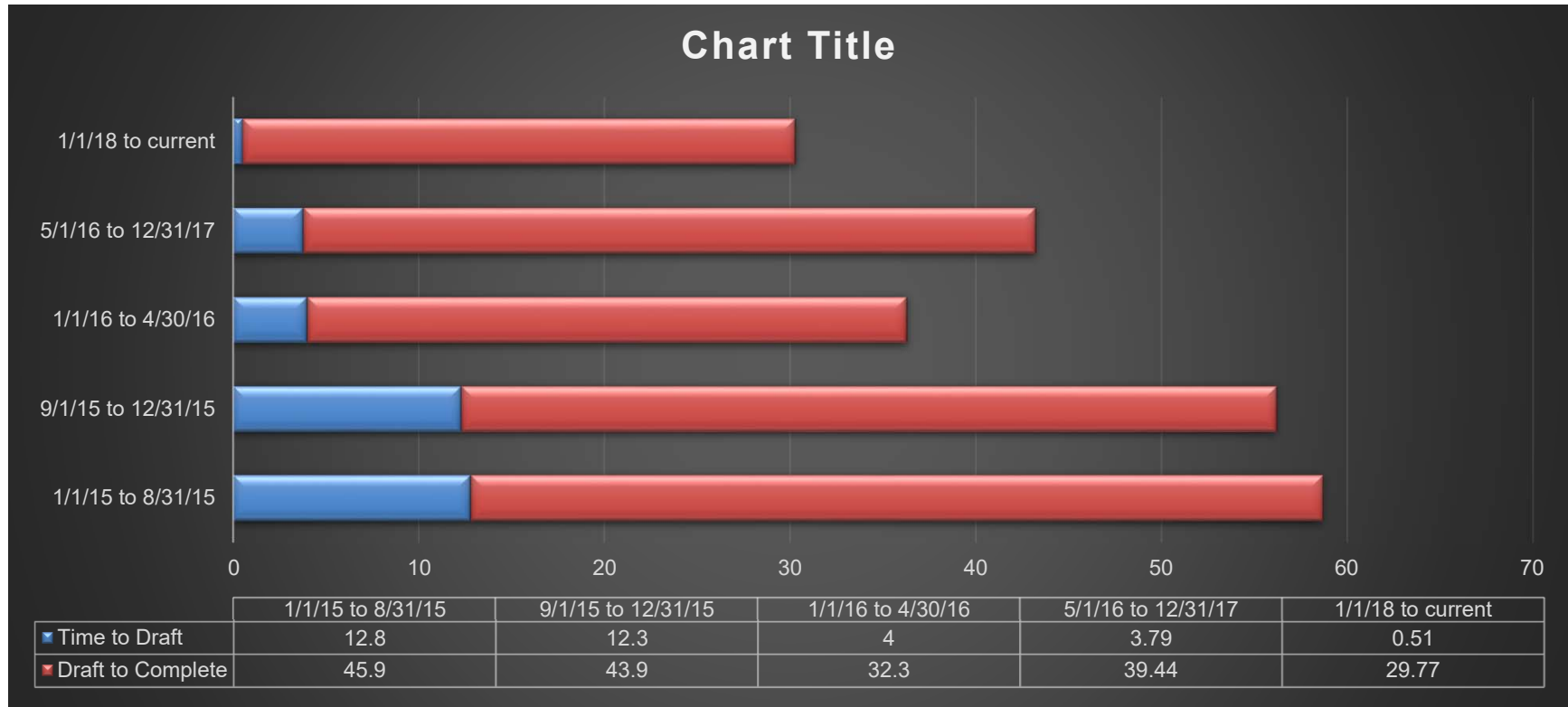
# Flow of Funds



# PreAward and Contracting Services



# Subcontracts Team Metrics



# Proposal Stage

David White  
Senior PreAward Specialist



University of Colorado  
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# PreAward

## Subcontract Proposal Routing Requirements

### **Subcontract information to be provided at the proposal review stage**

Note: Adding a subcontract to your proposal will increase your proposal preparation time requirements. Take into consideration the UCD proposal routing deadlines when adding a subcontract(s).

1. All UCD sponsor requested subcontract proposal documents. (except the science)
2. Signed consortium letter or signed PHS 398 face page from each subrecipient institution.
  - a. The signed document(s) must include the subcontract budget figure(s) and subcontract project period dates.
3. Budget documents. If the UCD sponsor does not require a subcontract detail budget, then, at a minimum, OGC requires a budget with budget figures that include direct and indirect costs for each year of the proposed subcontract. These budget figures must match the signed consortium letter/face page.
4. For any UCD sponsors that do not use our federally negotiated rate agreement, provide any UCD sponsor specific subcontract F&A information with the proposal routing.
5. Conflict of Interest certification for those sponsors that require it. (Not needed if subcontract institution is FDP compliant).





# What We Review

- Conflict of Interest certification (if required).
- Ensure all required subcontract routing documentation is provided.
- While we do not do a complete review of the subcontract information, (the signatures of the subcontract institution is their verification that the information is correct and sponsor compliant) we will confirm that any sponsor forms are filled out correctly and (in regards to NIH/system to system) to reduce errors on submission.
- We will make sure the subcontract budget is correctly shown in the UCD sponsor proposal budget.



# Most Common Errors and Delays

- No signed consortium letter/face page with proposal routing.
- Incomplete subrecipient documentation.
- Incomplete/No COI.
- Budget does not match consortium letter/face page budget amount.
- UCD Sponsor Subcontract forms not filled out correctly.
- Incorrect subcontract/consortium letter form used.
- Incorrect application of UCD sponsor subcontract F&A policy.
- Multiple consortium/subcontract/statement of intent letters/forms included with proposal routing when only one signed form from a subcontract institution is needed.



# Current Links to Forms

Subcontract institution can use their form if it meets UCD requirements or you can provide them our form. They add their letterhead to our form.

- UCD consortium letter one page form (subcontract institution adds their Letterhead).  
<http://www.ucdenver.edu/research/Research%20Administration%20Documents/Subrecipient%20Form%20-%20HSC%20As%20Prime%202011.doc>
- UCD subcontract six page commitment form. Can be used instead of consortium letter.  
[http://www.ucdenver.edu/research/Research%20Administration%20Documents/Subrecipient%20Commitment%20Form%20\(Proposal%20stage\)\\_2016Sept.docx](http://www.ucdenver.edu/research/Research%20Administration%20Documents/Subrecipient%20Commitment%20Form%20(Proposal%20stage)_2016Sept.docx)
- PHS 398 Face Page. Can be used instead of consortium letter.  
[https://grants.nih.gov/grants/funding/phs398/398\\_fp1.docx](https://grants.nih.gov/grants/funding/phs398/398_fp1.docx)



# Location and form for Consortium (Subcontract) Letter - CU Denver is Prime Grantee

## OGC website form location

A to Z Resources  
Office of Grants & Contracts

Search by key word/s (in Search box) from an alphabetical listing of links, documents and help files.

Search:

None A B **C** D E F G H I J K L M N O P Q R S T U V W X Y Z

COGR - Council on Governmental Relations

Confidentiality Disclosure Agreement (CDA)

Confidentiality Disclosure Agreement Form (CDA)

Conflict of Interest (COI)

**Consortium (Subcontract) Letter - CU Denver is Prime Grantee**

Consortium (Subcontract) Letter - CU Denver is Subrecipient

Contract Signature Matrix

Contracting Services / Contracts & Subcontracts

Contracting Services Shared Mailbox

Cost Sharing

Showing 21 to 30 of 33 entries (filtered from 188 total entries) Previous 1 2 3 4 Next

## One Page Form

### STATEMENT OF INTENT TO ESTABLISH A CONSORTIUM AGREEMENT

Application Title:

Primary Sponsor:

Proposed Project Period:

Proposed Subrecipient (Consortium) Amount:

	Year 1	Sum for Project Period
Direct Costs	\$	\$
Facilities and Administrative Costs	\$	\$
Total Costs	\$	\$

Facilities and Administrative Cost Rate Applied: \_\_\_\_%

List exclusions from the calculation of Facilities and Administrative Costs: \_\_\_\_

In the event this grant application is funded, the appropriate programmatic and administrative personnel of each institution involved in this grant application are aware of the sponsor's consortium grant policy and are prepared to establish the necessary inter-institutional agreement consistent with that policy.

Subrecipient Organization

Principal Investigator Signature

Name:

Date:

Authorized Representative Signature

Name:

Date:

# Location and form for 6 Page Subcontract / Subrecipient Commitment Form, Proposal Stage

## Six Page Form

### OGC website form location

#### A to Z Resources Office of Grants & Contracts

Search by key word/s (in Search box) from an alphabetical listing of links, documents and help files.

Search:

None A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

**Subcontract / Subrecipient Commitment Form, Proposal Stage**

Subcontract Determination Checklist

Subcontract FIRST STEPS, Overview and Documents

Subcontract Management Document - Outlines the process for subcontracts and sub recipient monitoring

Subcontract Monitoring Invoice Checklist

Subcontract Monitoring Record

Subcontract Risk Assessment Questionnaire

Subcontract Shared Mailbox - Questions and Status

Showing 11 to 18 of 18 entries (filtered from 188 total entries)

Previous 1 2 Next

 Office of Grants and Contracts <small>UNIVERSITY OF COLORADO DENVER   ANSCHUTZ MEDICAL CAMPUS</small>	<b>SUBRECIPIENT COMMITMENT FORM</b>
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This subrecipient commitment form must be completed at the proposal stage by an organization that intends to enter into a subrecipient relationship with the University of Colorado Denver (CU Denver).

**NOTE:** Missing or incomplete information may delay the proposal review process.

#### SECTION A. CU DENVER PROPOSAL INFORMATION

Name of CU PI: \_\_\_\_\_ CU Denver Department: \_\_\_\_\_

Prime Sponsor: \_\_\_\_\_

Title of Proposal: \_\_\_\_\_

CU Denver Period of Performance: From: \_\_\_\_/\_\_\_\_/\_\_\_\_ To: \_\_\_\_/\_\_\_\_/\_\_\_\_

Proposed Period of Performance of Subrecipient (if different): From: \_\_\_\_/\_\_\_\_/\_\_\_\_ To: \_\_\_\_/\_\_\_\_/\_\_\_\_

#### SECTION B. SUBRECIPIENT ELIGIBILITY

Any organization planning to enter into a collaborative subrecipient relationship with CU Denver must complete this form at the proposal stage. Please answer the following questions to determine if a formal subrecipient partnership can be established between your organization and CU Denver. This form will be considered valid for one year from the date of signature by your organization's Authorized Official.

Please answer the following questions **BEFORE** completing the rest of the form.

- ☐ Yes ☐ No Is your organization presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in any Federal department or Agency?
- ☐ Yes ☐ No Is your organization delinquent on repayment of any Federal debt including direct and guaranteed loans and other debt as defined in OMB Circular A-129, "Managing Federal Credit Programs"?

If you answered "Yes" to either of the above questions it will not be possible to establish a subagreement with your organization and you need not complete the remaining sections of this form. Please notify the CU Denver Principal Investigator (PI) as soon as possible.

#### SECTION C. PROPOSAL DOCUMENTS

- ☐ STATEMENT OF WORK (Must describe the subrecipient's specific role within the CU Denver project-REQUIRED IN ALL PROPOSALS)
- ☐ BUDGET (REQUIRED IN ALL PROPOSALS)
- ☐ NARRATIVE BUDGET JUSTIFICATION (REQUIRED IN ALL PROPOSALS)
- ☐ BIOSKETCHES OF KEY PERSONNEL (in agency-required format, if required)
- ☐ SMALL/SMALL DISADVANTAGED BUSINESS SUBCONTRACTING PLAN (in agency-required format, if required)
- ☐ OTHER: \_\_\_\_\_
- ☐ OTHER: \_\_\_\_\_
- ☐ OTHER: \_\_\_\_\_

Ver. 3/2015

## Alternate website location of the same forms

### A to Z Resources Office of Grants & Contracts

Search by key word/s (in Search box) from an alphabetical listing of links, documents and help files.

Search:

None A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

[Subcontract / Subrecipient Commitment Form, Proposal Stage](#)

[Subcontract Determination Checklist](#)

[Subcontract FIRST STEPS, Overview and Documents](#)

[Subcontract Management Document - Outlines the process for subcontracts and sub recipient monitoring](#)

[Subcontract Monitoring Invoice Checklist](#)

[Subcontract Monitoring Record](#)

[Subcontract Risk Assessment Questionnaire](#)

[Subcontract Shared Mailbox - Questions and Status](#)

Showing 11 to 18 of 18 entries (filtered from 188 total entries)

### Subcontracts Office of Grants & Contracts

#### Overview

Subcontract agreements are used when CU Denver is purchasing services related to research from an external source or vendor, such as another university, with funds from an external sponsor, such as National Institutes of Health.

#### First Steps

Please review the "[Requesting a Subcontract](#)" document. For a more in depth explanation of the entire process, please review the "[Subcontract Management](#)" document. If you have questions, email the general subcontracts mailbox.

#### Process Documents

#### PreAward Documents

The following documents can be used with the PreAward stage if you plan to issue a subcontract.

- [Consortium \(Subcontract\) Letter - CU Denver is Prime Grantee](#)
- [Consortium \(Subcontract\) Letter - CU Denver is subrecipient](#)
- [Proposal Stage Subrecipient Commitment Form](#)

#### Subcontract Request Forms

#### Subrecipient Monitoring Documents

One Page Form  
Six Page Form



University of Colorado  
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# Subcontract Request

Eric Maize

Subcontract Specialist



University of Colorado  
Denver | Anschutz Medical Campus

# When to request a subcontract?

- Subcontract requests can only be processed after the award has been set up in InfoEd by Setups Group





# Subcontract Request Process

- Grants and Contracts Website
  - [www.ucdenver.edu/research/ogc](http://www.ucdenver.edu/research/ogc)
    - *Click on “A to Z Resources”*
    - *Type in “subcontract”*
    - *Click on “Subcontract FIRST STEPS, Overview and Documents”*
    - *Click on Arrow to the left of “Subcontract Request Forms”*
      - This is where all of the templates are found



www.ucdenver.edu/research/OGC/Pages/default.aspx

Office of Grants & Contracts

UNIVERSITY OF COLORADO DENVER | ANSCHUTZ MEDICAL CAMPUS

Quick Links ▾

A-Z | Portals | Blackboard | eCollege | Web Mail

All Sites ▾

Colorado Multiple Institutional Review Board | Environmental Health & Safety | Grants & Contracts | Regulatory Compliance

Laboratory Animal Resources | Research Committee Support | Office of Research Development and Education

Office of Research Services | Connection Points | Research Events | Research Information Technology

About OGC

**A to Z Resources**

Campus Policies

Contact List (by topic)

Training

PeopleSoft Elevate - Town Hall

**Office of Grants and Contracts**

**Pre-Award**

Find Funding | Prepare Proposal | Submission of Proposal | Award Acceptance

**Post-Award**

Award Set Up | Monitoring | Close Out

**Regulatory Compliance**

**Mission**

The mission of Grants and Contracts is to provide service to principal investigators and administrators for the purpose of obtaining and administering extramural funds in compliance with University and sponsor guidelines.

**Services**

Grants and Contracts assists University of Colorado Denver faculty in their efforts to secure external support for their instructional, research, public service, and scholarly activities. This includes:

1. Budget review;
2. Grant application and contract proposal review;
3. Contract review, negotiation, and acceptance;
4. Subrecipient agreement development, negotiation, and acceptance; and
5. Providing advice on sponsor and University requirements.

Grants and Contracts is also responsible after award for compliance with non-technical sponsor requirements which include:

1. Financial reporting and standard invoicing (e.g. does not include non-governmental clinical trial invoicing which is done by academic units);
2. Providing advice on sponsor and University requirements;
3. Acting as a liaison with sponsor contract/financial representatives;
4. Cash management; and

**Mailing Address**

Grants and Contracts, Mail Stop F428  
Anschutz Medical Campus, Bldg 500  
13001 E 17th Pl, Room W1124  
Aurora, CO 80045-2571

**Hand Delivery Address**


UC Denver, Grants and Contracts  
Anschutz Medical Campus, Bldg 500  
13001 E 17th Place, Room W1124  
Aurora, CO 80045-2571

**Denver Campus Office**

Lawrence Street Center,  
Suite 300  
Assistance: 8:00am - 4:00pm  
Tuesday - PreAward  
Wednesday - PostAward

**OGC Central Phone**

303-724-0090  
Email: [Xenia@ucdenver.edu](mailto:Xenia@ucdenver.edu)




Amy Gannon, Associate Vice  
Chancellor - Financial Services  
& Controller

A to Z Resources | Univ... x A to Z Resources | Univ... x A to Z Resources | Univ... x

www.ucdenver.edu/research/OGC/Pages/AtoZ.aspx

Apps OGC Subcontracts infoED CFDA DocuSign USPS.com® - ZIP Code PassportID Web Login SAM FSRs TIAA-CREF Secure Account Training Summary E-Directory

Quick Links ▾

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All Sites


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Laboratory Animal Resources Research Committee Support Office of Research Development and Education  
Office of Research Services Connection Points Research Events Research Information Technology

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## A to Z Resources

Office of Grants & Contracts

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- Consortium (Subcontract) Letter - UC Denver is subrecipient
- Contracting Services / Contracts & Subcontracts
- Subcontract / Subrecipient Commitment Form, Assessment State
- Subcontract / Subrecipient Commitment Form, Proposal Stage
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- Subcontract Management Document - Outlines the process for subcontracts and sub recipient monitoring
- Subcontract Monitoring Invoice Checklist
- Subcontract Monitoring Record

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Research Contacts  
Connection Points  
About Research Administration

Vice Chancellor for Research  
Associate Vice Chancellor for Research  
Associate Vice Chancellor for Regulatory Compliance

Colorado PROFILES  
Ethics Point  
Scientific Misconduct




University of Colorado  
Denver | Anschutz Medical Campus

A to Z Resources | Univ... X A to Z Resources | Univ... X A to Z Resources | Univ... X

www.ucdenver.edu/research/OGC/Pages/AtoZ.aspx

Apps OGC Subcontracts infoED CFDA DocuSign USPS.com® - ZIP Co... PassportID Web Logi... SAM PSRS TIAA-CREF Secure Ac... Training Summary E-Directory

Quick Links ▾

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Research Contacts  
Connection Points  
About Research Administration

Vice Chancellor for Research  
Associate Vice Chancellor for Research  
Associate Vice Chancellor for Regulatory Compliance

Colorado PROFILES  
Ethics Point  
Scientific Misconduct



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[A to Z Resources](#)

[Campus Policies](#)

[News and Training](#)

[Updates](#)

[Grants Optimization -  
Funding & Spending  
Project Controls](#)

## Subcontracts

### Office of Grants & Contracts

#### Overview

Subcontract agreements are used when CU Denver is purchasing services related to research from an external source or vendor, such as another university, with funds from an external sponsor, such as National Institutes of Health.

#### First Steps

Please review the "[Requesting a Subcontract](#)" document. For a more in depth explanation of the entire process, please review the "[Subcontract Management](#)" document. If you have questions, email the general subcontracts mailbox.

► **Process Documents**

► **PreAward Documents**

▼ **Subcontract Request Forms**

Please select the appropriate budget form to include with your subcontract / amendment request form.

- [Subcontract Request Form - Fixed Price](#)
- [Subcontract Request Form - Cost Reimbursable](#)
- [Amendment Request Form - Fixed Price](#)
- [Amendment Request Form - Cost Reimbursable](#)
- [Research Services Request Form](#)
- [New Budget Period Template](#)
- [Same Budget Period Template](#)
- [Budget Scenarios](#)
- [Assessment Stage Subrecipient Commitment Form](#)

► **Subrecipient Monitoring Documents**





## Subcontract Request Form

University of Colorado Denver – Anschutz Medical Campus  
Office of Grants and Contracts



For multiple subcontracts funded by the same award complete one form for each subcontract being requested and submit all forms to [OGC.Subcontracts@ucdenver.edu](mailto:OGC.Subcontracts@ucdenver.edu)

This subcontract request form should be used for new or competing continuation projects. If an amendment is required, please use the Amendment Request Form and submit it to [OGC.Subcontracts@ucdenver.edu](mailto:OGC.Subcontracts@ucdenver.edu).

### SECTION A: PROJECT INFORMATION

<b>UCD Principal Investigator: (include titles)</b>			
<b>Prime Funding Source:</b>			
<b>Sponsor:</b>			
<b>Sponsor's Award Number:</b>			
<b>Project Title:</b>			
<b>Proposal Routing Number:</b>			
<b>Marketplace Requisition Number: (if created already)</b>			
<b>Project Number:</b>		<b>Speedtype:</b>	
<b>Budget Period (Current):</b>		<b>Start:</b>	<b>End:</b>
<b>Anticipated Project Period of Subcontract:</b>		<b>Start:</b>	<b>End:</b>
<b>Was this subcontract proposed in the funding application</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>If no, has sponsor subsequently given approval?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>Is PHI (Protected Health Information under HIPAA) being provided by either party?:</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>Is PHI being provided from Subcontractor to UCD?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>Is this a clinical trial?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>Does the project include work covered by ITAR or EAR?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>Is cost-share required or included?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>Is participant support included in the Subcontractor's budget?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>What are the Subcontractor's deliverables?</b> The Subcontractor will only submit progress reports.			
<b>Where is the Subcontractor's place of performance?</b> All Subcontractor's work will be performed at Subcontractor's Institution.			
<b>Do you want the Subcontractor to have automatic carryforward?</b> <input type="checkbox"/> YES <input type="checkbox"/> NO			
<b>Please do not forget to include the Subrecipient Commitment Form (Federal Funds only)!!!</b>			

**Attachment 3A**  
**Research Subcontract Agreement**  
Contractor Contacts

**Contractor Contacts**

Name: Regents of the University of Colorado, a body corporate, for and on behalf of the University of Colorado Denver

Address: University of Colorado Denver, Office of Grants and Contracts, Anschutz Medical Campus  
Bldg. 500, W1126, 13001 E. 17th Place, Mail Stop F428

City: Aurora State: CO Zip Code+4: 80045-2571 Zip Code [Look-up](#)

**Administrative Contact**

Name:

Address:

City: State: Zip Code:

Telephone: Email:

COI Contact email (if different to above):

**Principal Investigator**

Name:

Address:

City: State: Zip Code:

Telephone: Email:

**Financial Contact**

Name:

Address:

City: State: Zip Code:

Telephone: Email:

Email invoices? ☐ Yes ☐ No Invoice email (if different):

Invoice Address (if different):

**Authorized Official**

Name: Thomas "TK" Keith, JD, Contracts Manager

Address: University of Colorado Denver, Office of Grants and Contracts, Anschutz Medical Campus  
Bldg. 500, W1126, 13001 E. 17th Place, Mail Stop F428

City: Aurora State: CO Zip Code: 80045-2571

Telephone: 303-724-0090 Email: [thomas.keithiii@ucdenver.edu](mailto:thomas.keithiii@ucdenver.edu)

Central email: [ogc.subcontracts@ucdenver.edu](mailto:ogc.subcontracts@ucdenver.edu)



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**Attachment 3B**  
**Research Subcontract Agreement**  
Subcontractor Contacts

Institution/Organization ("Subcontractor") \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code+4: \_\_\_\_\_ Zip Code [Look-up](#)

EIN No.: \_\_\_\_\_ DUNS: \_\_\_\_\_ Parent DUNS: \_\_\_\_\_

Institution Type: \_\_\_\_\_ Congressional District: \_\_\_\_\_

Is Subcontractor currently registered in [SAM.gov](#)? ☐ Yes ☐ No

Is Subcontractor exempt from reporting executive compensation? ☐ Yes ☐ No If no, complete 3B, page 2

**Subcontractor Administrative Contact**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

**Subcontractor Principal Investigator**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

**Subcontractor Financial Contact**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

Central email: \_\_\_\_\_ Is this the remittance address? ☐ Yes ☐ No

Remittance Address (if different): \_\_\_\_\_

**Subcontractor Authorized Official**

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

Central email: \_\_\_\_\_





#### Attachment 4

##### Reporting Requirements

Subrecipient agrees to the following:

- ☐ A Final technical/progress report will be submitted to the PTE's **Principal Investigator** identified in Attachment 3 within **45** days after the end of the period of performance.
- ☐ Monthly technical/progress reports will be submitted to the PTE's **Financial Contact** identified in Attachment 3, within **45** days of the end of the month.
- ☐ Quarterly technical/progress reports will be submitted within thirty (30) days after the end of each project quarter to the PTE's **Administrative Contacts** identified in Attachment 3.
- ☐ Technical/progress reports on the project as may be required by PTE's **Administrative Contacts** in order that PTE may be able to satisfy its reporting obligations to the Federal Awarding Agency.
- ☐ Annual technical /progress reports will be submitted within **45** days prior to the end of each project period to the PTE's **Administrative Contacts** identified in Attachment 3. Such report shall also include a detailed budget for the next budget period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.
- ☐ In accordance with 37 CFR 401.14, Subrecipient agrees to notify PTE's **Financial Contact** identified in Attachment 3A within **45** days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Awarding Agency specific forms to the PTE's **Principal Investigator** identified in Attachment 3A within 60 days of the end of the period of performance so that it may be included with the PTE's final invention report to the Awarding Agency. A negative report ☐ is ☐ is not required.
- ☐ A Certification of Completion, in accordance with 2 CFR 200.201(b)(3), will be submitted within **45** days after the end of the project period to the PTE's Attachment 3 **Administrative Contacts** identified in Attachment 3A (for Fixed Price subawards only.)
- ☐ Property Inventory Report; frequency, type, and submission instructions listed here and only to be used when required by PTE Federal Award.

Other Special Reporting Requirements:



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### **Payment Schedule**

*All amounts are in United States Dollars*

## **PAYMENT SCHEDULE**

**Start-up Costs (if there are any):**

**Amount per patient (list the type of deliverable, any specifications, etc): (eg \$100)**

**Number of patients: (eg “up to 30”)**

**Total amount for all patients: (eg \$3,000)|**



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Denver | Anschutz Medical Campus

## Amendment Request Form

University of Colorado Denver – Anschutz Medical Campus  
Office of Grants and Contracts



For multiple subcontracts funded by the same award complete one form for each subcontract being requested and submit all forms to [OGC.Subcontracts@ucdenver.edu](mailto:OGC.Subcontracts@ucdenver.edu)

This subcontract request form should be used for subcontract amendments. If a new subcontract is required, please use the Subcontract Request Form.

### SECTION A: PROJECT INFORMATION

UCD Principal Investigator (include titles):			
Sponsor's Award Number:			
Proposal Routing Number:			
Previous FY Number:		FY18.090.001	
Marketplace SPO Number:			
New Project Number:		New Speedtype:	
New Budget Period:	Start:		End:
Funds Added (if applicable):			
Cumulative Total (Required for NCEs):			
PLEASE NOTE: Please attach a revised budget in the appropriate Budget template for each amendment request. Budget templates are available on OGC's website:			
If any of the following has changed from the previous year, please check the appropriate box and include a description of the change below:			
<input type="checkbox"/> PI Change	<input type="checkbox"/> Revised 3A or 3B form	<input type="checkbox"/> Revised SOW	
<input type="checkbox"/> Invoice Template	<input checked="" type="checkbox"/> Subrecipient Commitment Form (Federal Funding only)		
<input type="checkbox"/> New cost share	<input type="checkbox"/> New participant support	<input type="checkbox"/> New deliverables	
<input type="checkbox"/> Prime Award (if new)	<input type="checkbox"/> Export Controlled Information	<input type="checkbox"/> Different place of performance	
Enter Changes Here or Attach the Appropriate Form:			



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	A	B	C	D
1	<b>NEW BUDGET PERIOD+NEW MONEY (NON-CUMULATIVE BUDGET)</b>			
2				
3	Budget Period:	<b>MM/DD/YY-MM/DD/YY</b>		
4	Personnel	\$0.00		
5	<i>Salary</i>	\$0.00		
6	<i>Benefits</i>	\$0.00		
7	Equipment	\$0.00		
8	Supplies	\$0.00		
9	Travel	\$0.00		
10	Other Expenses	\$0.00		
11				
12				
13	Patient care	\$0.00		
14	<i>Inpatient</i>	\$0.00		
15	<i>Outpatient</i>	\$0.00		
16				
17	<b>Total Direct Costs</b>	<b>\$0.00</b>		
18	<b>Total BASE for F&amp;A</b>	<b>\$0.00</b>		
19	F&A Costs	\$0.00		
20	0.00%			
21	*Exclusions			
22	<b>TOTAL COSTS</b>	<b>\$0.00</b>		
23				
24				
25				
26				
	NEW BUDGET PERIOD			



	A	B	C
1	<b>NEW BUDGET+ADDING NEW MONEY (CUMULATIVE BUDGET)</b>		
2			
3	<b>Budget Period:</b>	<b>MM/DD/YY-MM/DD/YY</b>	
4	Personnel	\$0.00	
5	<i>Salary</i>	\$0.00	
6	<i>Benefits</i>	\$0.00	
7	Equipment	\$0.00	
8	Supplies	\$0.00	
9	Travel	\$0.00	
10	Other Expenses (List below)	\$0.00	
11			
12			
13	Patient care	\$0.00	
14	<i>Inpatient</i>	\$0.00	
15	<i>Outpatient</i>	\$0.00	
16			
17	<b>Total Direct Costs</b>	<b>\$0.00</b>	
18	<b>Total BASE for F&amp;A</b>	<b>\$0.00</b>	
19	F&A Costs	\$0.00	
20	0.00%		
21	<b>*Exclusions</b>		
22	<b>TOTAL COSTS</b>	<b>\$0.00</b>	
23	<b>TOTAL CUMULATIVE</b>	<b>\$0.00</b>	
24			



# Subcontract Request Process (cont.)

- Subrecipient Commitment Form?
  - Needed for federal funding under following conditions:
    - *New budget period + New money*
    - *Same budget period + New money greater than \$50,000*
  - Not needed on any outgoing agreement under the following conditions:
    - *No Cost Extension*
    - *Same budget period + New money less than or equal to \$50,000*
    - *Any outgoing subcontract with a Non-Federal prime*



# Subcontract Request Process (cont.)

- Documents needed in order to request a subcontract or amendment:
  - Request Form
  - Budget (if cost reimbursable) or Payment Schedule (if fixed price)
  - Statement of Work
  - Assessment Stage Subrecipient Commitment Form (Federal Funds only!)
  - Protocol (Clinical Trials only!)
- Once all documents are ready to send, department administrator will send all of the documents to [ogc.subcontracts@ucdenver.edu](mailto:ogc.subcontracts@ucdenver.edu)
- Once all documents are received by Subcontracts team (Eric Maize and Will Carter), a draft of the subcontract or amendment is sent to the department administrator.



# Back-end Process

- For new subcontracts only!
  - Department admin creates Marketplace Requisition Number (any questions about this process can be sent to [changeorder@cu.edu](mailto:changeorder@cu.edu))
- Department admin either sends DocuSign info or sends partially executed subcontract/amendment to [ogc.subcontracts@ucdenver.edu](mailto:ogc.subcontracts@ucdenver.edu)
  - Partially Executed Document → Subcontractor and UCD PI's signature
- Partially executed document and Internal Subcontracts Routing form are sent to OGC Post Award
- OGC Post Award approves document and it is send to Authorized Official
- Authorized Official signs and returns to OGC Post Award for upload into Marketplace
  - Email is automatically sent to Department Administrator with fully-executed document





# Postaward Management of Subcontracts

Presenter: Stephanie Thompson  
Postaward Manager



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# Review Process

- Subcontract
- CU Marketplace
- General Ledger



# Subcontract Review



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# Subcontract Review

- Dates and Amount

Cost Reimbursement Research Subaward Agreement ("Subaward")			
Pass-Through Entity ("PTE"): Regents of the University of Colorado, a body corporate, for and on behalf of the UNIVERSITY OF COLORADO DENVER, a public institution of higher education created under the constitution and the Law of the State of Colorado		Subrecipient ("Subrecipient"): Kaiser Foundation Research Institute 1800 Harrison St., 16th Floor Oakland, CA 94612-3433  DUNS: 150829349	
Principal Investigator ("PTE PI"): Ronald J. Sokol, MD		Principal Investigator ("Sub PI"): [REDACTED]	
PTE Federal Award No: [REDACTED]	Federal Award Date: 4/19/2018	Federal Awarding Agency: DHHS, NIH, NCATS	
Project Title: Colorado Clinical and Translational Sciences Institute			
Subaward Period of Performance: Start: 5/1/2018      End: 4/30/2019		Amount Funded This Action: \$ 120,462	PTE Subaward No. FY18.220.013
Estimated Project Period (if incrementally funded): Start: 5/1/2018      End: 4/30/2023		Incrementally Estimated Total: \$ N/A	PTE Project Number: [REDACTED]

**Budget  
Dates and  
Amount  
Funded**

# Subcontract Review

- Budget Review

Budget Period:	5/1/2018 to 4/30/2019
Personnel	\$74,359.00
<i>Salary</i>	\$48,712.00
<i>Benefits</i>	\$25,647.00
<b>Total Direct Costs</b>	<b>\$74,359.00</b>
<b>Total BASE for F&amp;A</b>	<b>\$74,359.00</b>
F&A Costs	\$46,103.00
62.00%	
*Exclusions	
<b>TOTAL COSTS</b>	<b>\$120,462.00</b>

**Budget Period  
Dates and  
Total Amount**



# Subcontract Review

- Carry forward Terms

**Automatic  
Carryforward?**

Automatic Carryforward to Subrecipient (Select One)

☐ Yes ☒ No (Select carryforward contact below)

Contact for carryforward request (If carryforward is restricted, requests for carryforward must be sent to Pass-Through Entity's contact below, details in Attachment 3)




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# CU Marketplace Review

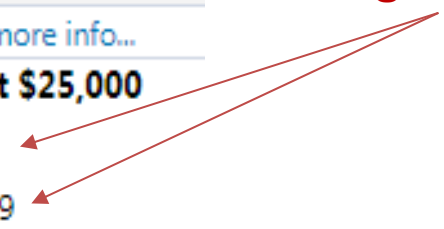


# CU Marketplace Review

- Dates

Product Description			
SPO - Sponsored Project Subcontract 		<a href="#">more info...</a>	
1	✓	SPO Description - F&A charged on first \$25,000	
		Begin Date	5/1/2018
		End Date	4/30/2019
		<a href="#">more info...</a>	

**Budget Period**





# CU Marketplace Review

- Subcontract Account Codes-1<sup>st</sup> 25K Example

Product Description		Catalog No	Size / Packaging	Unit Price	Quantity	Ext. Price	
SPO - Sponsored Project Subcontract <a href="#">more info...</a>							
1	✓ SPO Description - F&A charged on first \$25,000			1.00	25,000	25,000.00 USD	
	Begin Date	5/1/2018	Financial Report Comments	no value	Internal Note	no note	
	End Date	4/30/2019	Commodity Code	17	Internal Attachments		
	<a href="#">more info...</a>		Subcontracts / Sponsored Programs		External Note	no note	
					Attachments for supplier		
					PO Clauses	no clause	
SPO - Sponsored Project Subcontract <a href="#">more info...</a>							
2	✓ SPO Description - remaining balance excluded from F&A			1.00	95,462	95,462.00 USD	
	Begin Date	5/1/2018	Financial Report Comments	no value	Internal Note	no note	
	End Date	4/30/2019	Commodity Code	17	Internal Attachments		
	<a href="#">more info...</a>		Subcontracts / Sponsored Programs				

1<sup>st</sup> \$25K for  
F&A and >  
\$25K



# CU Marketplace Review

- Subcontract Account Code-Example > 25K

Accounting Codes							
Business Unit	Speedtype	Fund	Org	Program	Project_code	Subclass	Account
UCOLO The University of Colorado	████████ AHRQ SHEPERD	30 Sponsored Projects- Fed & Priv	21028 SOM-COHO Ctr SoonsrdPams/Gifts	no value	████████ AHRQ SHEPERD	no value	492621 Subcontract 2 - > \$25000

**Subcontract Code >  
\$25K**



# CU Marketplace Review

- Subcontract Account Codes

UCOLO	492600	Subcontract 0 - 1st \$25000
UCOLO	492601	Subcontract 0 - > \$25000
UCOLO	492610	Subcontract 1 - 1st \$25000
UCOLO	492611	Subcontract 1 - > \$25000
UCOLO	492620	Subcontract 2 - 1st \$25000
UCOLO	492621	Subcontract 2 - > \$25000
UCOLO	492630	Subcontract 3 - 1st \$25000
UCOLO	492631	Subcontract 3 - > \$25000
UCOLO	492640	Subcontract 4 - 1st \$25000
UCOLO	492641	Subcontract 4 - > \$25000
UCOLO	492650	Subcontract 5 - 1st \$25000
UCOLO	492651	Subcontract 5 - > \$25000
UCOLO	492660	Subcontract 6 - 1st \$25000
UCOLO	492661	Subcontract 6 - > \$25000
UCOLO	492670	Subcontract 7 - 1st \$25000
UCOLO	492671	Subcontract 7 - > \$25000
UCOLO	492680	Subcontract 8 - 1st \$25000
UCOLO	492681	Subcontract 8 - > \$25000
UCOLO	492690	Subcontract 9 - 1st \$25000
UCOLO	492691	Subcontract 9 - > \$25000
UCOLO	492700	Subcontract 10 - 1st \$25,000
UCOLO	492701	Subcontract 10 - > \$25K

1<sup>st</sup> 25K and > \$25K



# General Ledger Review



# General Ledger Review

- Subcontract Account codes

**TRIAL BALANCE SUMMARY**  
FISCAL YEAR 2019 THROUGH ACCOUNTING PERIOD 3 (Sep 30, 2018)

492600 -- SUBCONTRACT 0 - 1ST \$25000	25,000.00	0.00	25,000.00	<u>0.00</u>
492601 -- SUBCONTRACT 0 - > \$25000	274,400.00	0.00	274,400.00	<u>0.00</u>
492610 -- SUBCONTRACT 1 - 1ST \$25000	25,000.00	0.00	25,000.00	<u>0.00</u>
492611 -- SUBCONTRACT 1 - > \$25000	167,361.00	0.00	167,361.00	<u>0.00</u>
492620 -- SUBCONTRACT 2 - 1ST \$25000	25,000.00	0.00	25,000.00	<u>112,821.52</u>
492621 -- SUBCONTRACT 2 - > \$25000	95,462.00	0.00	95,462.00	<u>0.00</u>
492630 -- SUBCONTRACT 3 - 1ST \$25000	25,000.00	0.00	25,000.00	<u>0.00</u>
492631 -- SUBCONTRACT 3 - > \$25000	424,577.12	0.00	424,577.12	<u>0.00</u>
492640 -- SUBCONTRACT 4 - 1ST \$25000	25,000.00	0.00	25,000.00	<u>0.00</u>
492641 -- SUBCONTRACT 4 - > \$25000	495,610.00	0.00	495,610.00	<u>0.00</u>

**Budget and Expenses**




# General Ledger Review

- Budget Available

## TRIAL BALANCE SUMMARY FISCAL YEAR 2019 THROUGH ACCOUNTING PERIOD 3 (Sep 30, 2018)

**Budget, Expenses  
and Budget  
Available**



EXPENDITURES	1,187,767.30	0.00	1,187,767.30	<u>1,570.29</u>	<u>779,172.09</u>	408,595.21
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# Postaward Management



# Postaward Management

- Monthly Review of the Financial Statements
- Request for a Change to a PO

Please contact your Postaward Administrator if you need to make a change to a PO. Postaward will provide approval to Change Order to make the change(s).





# Postaward Management

- Invoicing

Due Date of the  
Invoice

3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL," must be submitted to PTE's Financial Contact, as shown in Attachments 3A, no later than sixty (60) days after Subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.



# Resources

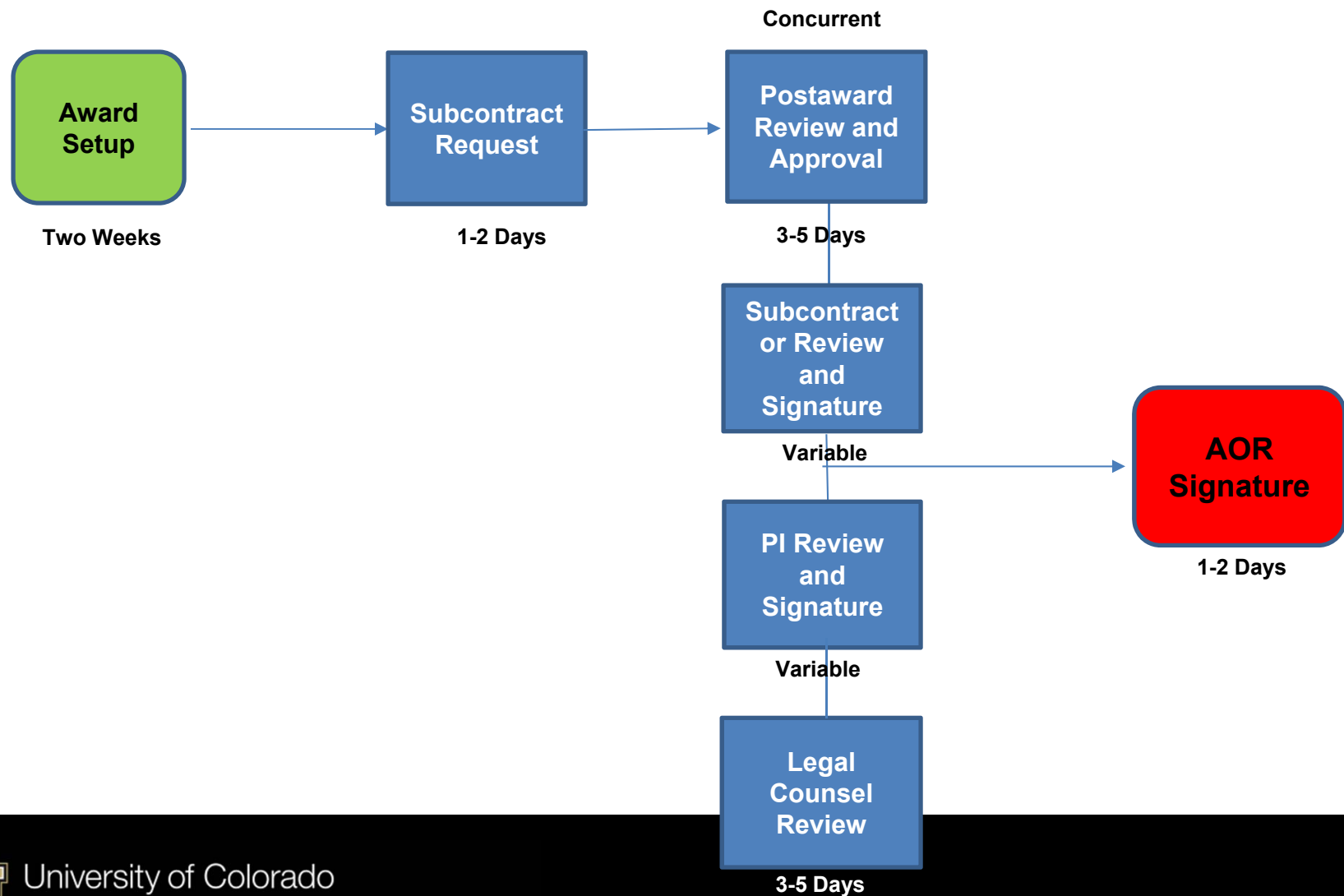
## CU Marketplace Training

<https://www.cu.edu/psc/training/cu-marketplace-training>

- Creating Subcontract SPOs
- Creating Subcontract SPOs with F&A split



# Subcontract Request Flowchart



# Questions



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