



**University of California, Los Angeles (UCLA)
Office of Contract & Grant Administration (OCGA)
Subrecipient Institutional Information Form (SIIF)**

UCLA OCGA requires this Subrecipient Institutional Information Form (SIIF) be completed by non-FDP Expanded Clearinghouse subrecipients. If subrecipient is a member of the FDP Expanded Clearinghouse, this form does **not** need to be completed. This form provides UCLA's OCGA with the entity specific information needed to complete its subrecipient review process and must be submitted by the subrecipient to UCLA prior to the issuance of a subaward agreement.

Subrecipient General Information					
Legal Name					
Address				City	
State		Zip+4		Country	
UEI Number*		EIN		Registered in SAM.gov?	Yes No
Central Office E-mail <small>(if no Central, email of person who should receive subawards)</small>			Central Office Phone <small>(if no Central, phone of person who should receive subawards)</small>		
Entity Type			Entity Established Date		
Subrecipient Owned/Controlled by Parent Entity?		No Yes Parent entity information provided below:			
Legal Name					
Address				City	
State		Zip+4		Country	
Parent UEI Number		Parent EIN			

*UCLA OCGA requires all Subrecipients have a [Unique Entity Identifier \(UEI\)](#) number before any subaward agreement is issued.

Facilities & Administrative (F&A) Rates (check one):
Does the subrecipient have a U.S. federally-negotiated indirect cost (F&A) rate agreement? Yes, and a complete copy is either attached or can be found at the following link: No, organization does not have a U.S. federally-negotiated indirect cost (F&A) rate agreement

Audit/Financial Statements
Was the subrecipient required to conduct an annual audit in accordance with the U.S. Uniform Guidance (UG) Subpart F, Audit Requirements for the most recent Audit year? <i>(Note: such an audit would include an audit of U.S. federal award funds.)</i>
<input type="checkbox"/> YES , and a complete copy of the subrecipient's most recent UG audit report can be found at the following public internet URL link:
<input type="checkbox"/> NO , the subrecipient does not have an audit in accordance with the U.S. Uniform Guidance (UG) and must provide a complete UCLA Financial Audit Management Questionnaire (FAMQ) .
<i>(If questionnaire is not automatically added to this form upon selection of "No", a copy of the questionnaire can be found at: https://ocga.research.ucla.edu/forms/)</i>

Federal Funding and Accountability Transparency Act (FFATA)
U.S. Federal Funding Accountability and Transparency Act (FFATA). <i>Applicable to projects funded by the U.S. federal government.</i>
<input type="checkbox"/> YES <input type="checkbox"/> NO During the previous fiscal year subrecipient organization/institution received 80% or more of its annual gross revenues in U.S. federal awards; AND
<input type="checkbox"/> YES <input type="checkbox"/> NO \$25 million or more in annual gross revenues from U.S. federal awards; AND
<input type="checkbox"/> YES <input type="checkbox"/> NO The public does NOT have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the U.S. Securities and Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d) or section 6104 of the U.S. Internal Revenue Service Code of 1986 [26 USC 6104].

If 'YES' to all three FFATA questions above, provide the names and total compensations of the five (5) most highly compensated officers of the subrecipient entity:

<i>Name of officer:</i>	<i>Officer compensation:</i>
1.	
2.	
3.	
4.	
5.	

Insurance:

UCLA requires all Subrecipients to furnish current certificates of insurance that show the minimum coverages and meet the UCLA requirements found: at <https://irm.ucla.edu/general-liability/university-of-california-vendor-and-service-provider-requirements>. Please attach the Subrecipient's current certificate of insurance with this form. Note that any deviations from these levels require the approval of UCLA Risk Management and will be completed during Subaward negotiation and not before. Providing Subrecipient's current certificate of insurance is required for such negotiation.

Comments (please attach additional pages if necessary)

DEBARMENT AND SUSPENSION

By signing, Subrecipient certifies that:

- Subrecipient, the PI, or any other employee or student participating in this project are not debarred, suspended, proposed for debarment, declared ineligible, or otherwise excluded from or ineligible for participation in U.S. federal assistance programs, federal contracts, or activities.
- Subrecipient, the PI or any other employee or student participating in this project are not presently indicted for, or otherwise criminally or civilly charged by a government entity.
- Subrecipient has not within three (3) years preceding this offer, been convicted of or had a civil judgment rendered against them for commission of fraud or criminal offense in connection with obtaining, attempting to obtain, or performing a public (U.S. federal, state or local) contract or subcontract; violation of U.S. Federal or State antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements or receiving stolen property.
- Subrecipient has not within three (3) years preceding this offer, had any contract terminated for default by any U.S. federal agency.

All terms and conditions between the parties will be outlined in a separate formal subaward agreement(s). The information, certifications, and representations above have been read, signed, and made by an authorized institutional representative of the subrecipient named herein. Any work begun and/or expenses incurred prior to execution of a subaward agreement are at the Subrecipient's own risk.

SUBRECIPIENT AUTHORIZED INSTITUTIONAL SIGNING OFFICIAL:

Name and Title

Signature

Date



University of California, Los Angeles (UCLA)
Office of Contract & Grant Administration (OCGA)
Financial Audit Management Questionnaire (FAMQ)

The purpose of this questionnaire is to help UCLA determine your organization's ability to comply with the U.S. federal government grant requirements. This questionnaire is required for organizations that have not received an annual audit in accordance with the [U.S. Uniform Guidance \(UG\) Subpart F, Audit Requirements](#). The below questions should be answered by an Independent Auditor or the Chief Financial Officer of your organization.

A **subrecipient** is a third-party organization that receives funding from the University of California, Los Angeles (UCLA) to collaborate in carrying out an externally funded program. The University is responsible for monitoring the programmatic, financial, and conflict of interest (COI) status of its subrecipients.

Subrecipient Organizational Data			
Legal Name			
UEI Number*		Fiscal Year End Date	

Threshold Questions
<p>1. For non-profits and institutions of higher education, does your organization have a current audit conducted in accordance with the U.S. Uniform Guidance (UG) Subpart F, Audit Requirements? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>a. If yes, please provide your organization's Entity Identification Number (EIN) _____, skip to the end of this form, sign and return it to the Office of Contract & Grant Administration at UCLA ocgasubawards@research.ucla.edu.</p> <p>b. If no, please attach the most current copy of your financial statements and/or annual audit report, if available, and complete this questionnaire.</p> <p>NOTE: Subaward agreements will not be issued by UCLA until a completed questionnaire along with available current financial statements/annual audit report have been provided. Documents should be submitted to ocgasubawards@research.ucla.edu.</p>

Subrecipient General Information
<p>2. Does your organization:</p> <ul style="list-style-type: none"> have an audit (including sponsor-specific, or Yellow Book) completed by an independent public accounting firm? and/or <input type="checkbox"/> Yes <input type="checkbox"/> No have its financial statements reviewed by an independent public accounting firm? <input type="checkbox"/> Yes <input type="checkbox"/> No <p>If the answer to either of these questions is yes please enclose a copy with this form.</p> <p>3. Are administrative duties separated so that no one individual has complete authority over an entire financial transaction? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>4. Does your organization have controls in place to prevent expenditure of sponsored funds in excess of approved, budgeted amounts? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>5. Other than financial statements, has any aspect of your organization's activities been audited within the last two years by a governmental agency or independent public accountant? Explain: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <div style="border: 1px solid black; height: 60px; width: 100%; margin-top: 5px;"></div>

Cash Management
<p>6. Are U.S. Federal funds deposited in a separate bank account or segregated into a separate fund account? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>7. Are all disbursements properly documented with evidence of receipt of goods or performance of services? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>8. Are all bank accounts reconciled monthly for sponsored funds? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>

Payroll

9. Are payroll charges compared to program budgets for reasonableness? Yes No
10. How does your organization ensure expenditures charged to sponsored agreements are reasonable for the effort expended? *Explain:*

Procurement

10. Are there procedures in place to ensure procurement at competitive prices? Yes No
11. Is there an effective system of authorization and approval of:
- a. Capital Equipment Expenditures? Yes No
 - b. Travel Expenditures? Yes No

Property Management

12. Are detailed records of individual capital assets kept and periodically balanced with the general ledger accounts? Yes No
13. Is periodic physical inventory conducted? Yes No
14. Briefly describe the organization's capitalization threshold.

Cost Transfers

15. How does the organization ensure that cost transfers to and from sponsored projects are legitimate and appropriate?

Indirect Costs

16. Does the organization have an indirect cost allocation plan or a U.S. federally negotiated indirect cost rate agreement? *Explain.* Yes No

17. Does your organization consistently treat costs as direct or indirect? Yes No

Compliance

18. Does your organization charge, directly or indirectly, lobbying or partisan political activity which is to a U.S. grant funds? Yes No
19. Does your organization have a formal policy of nondiscrimination and a formal system for complying with U.S. Federal civil rights requirements? Yes No
20. If UCLA issues your organization a cost reimbursable agreement do you have a system in place to ensure that only funds disbursed will be included in invoices to UCLA? Yes No

21. In the last three years, which U.S. federal agencies has your organization received direct or indirect award funding from (ex. National Institutes of Health (NIH), National Aeronautics and Space Administration (NASA), etc.?)

22. What was the dollar volume of U.S. federal funding received by your organization under grants, cooperative agreements, contracts or subawards during the last fiscal year?

SUBRECIPIENT FINANCIAL OFFICER OR AUTHORIZED INSTITUTIONAL SIGNING OFFICIAL:

Name and Title

Signature

Date