



# Department Perspective

Lisa King

Electrical and Computer Engineering

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# Overview

- Proposal Preparation
- Managing Subcontracts
- Closeout
- Problem Areas

# Proposal Preparation

- Collecting Required Forms and Back-up
  - Find your “counterpart” ASAP (deadline 1 week ahead)
  - Provide the BAA
  - Provide as much detail as possible to aid them in completing the Forms
  - Look for accurate cost data in their budget (subtotals, IDC)
  - For profit companies may not disclose detailed budget

# Proposal Preparation

- Additional BAA Subaward Requirements
  - Technical Data with Limited Rights
  - SETA affirmation
  - Small Business Subcontracting Plan (\$700k – Contracts)

# Managing The Subaward

- GUS Liens and Control Number
  - One Lien for first \$25,000 with 7305 Object Code
  - Balance create a Lien with 7300 Object Code
- Consider a Separate Project Code for tracking the Subcontracts

# Managing The Subaward

- Invoices are sent (via e-mail) to Dept Contact
- Departmental Review is done first in support of review by the PI.
  - Compare to original budget (equip., travel, etc.) are expenses allocable, allowable, reasonable ?
  - Request Cost share expenditures if applicable
  - Check cumulative totals and period of performance
  - Check spend rate and consistent (monthly) billing
  - PI approval retained in the Dept – Subaward Cert.
  - Dept ... “Approved for Payment” with Account String

## **SUBAWARD INVOICE CERTIFICATION**

(To be completed; signed and kept with each invoice)

Subaward Number: \_\_\_\_\_

UCSB PI Name: \_\_\_\_\_

The Regents of the University of California, Santa Barbara campus, have made a subaward (the Subaward) to [Insert Name of subrecipient institution] (the Subrecipient) as part of the performance of [Insert Award Title/award number]. As the principal investigator for [Award Title/award number], I have monitored the activities of the Subrecipient that were funded by the Subaward and I have reviewed all financial and programmatic reports (if any) that were submitted to me by the Subrecipient for this Subaward.

I certify that all of the Subrecipient's activities that were funded by the Subaward were carried out for authorized purposes, as defined by the terms and conditions of the Subaward. I further certify that the Subrecipient has carried out all work, as necessary at this stage in the Subaward timeframe, toward achieving the Subaward's performance goals, as specified in the Subrecipient's statement of work. To the best of my knowledge, the costs included on the attached invoice are reasonable and appropriate for the work performed.

\_\_\_\_\_  
Principal Investigator Signature

\_\_\_\_\_  
Date

Department: Keep this certification with a copy of each invoice with your files.

## SUBAWARD INVOICE CERTIFICATION

Subaward Number: KK2124

UCSB PI Name: Clint Schow

Invoice # and Date: INV1008 2/5/21

The Regents of the University of California, Santa Barbara campus, have made a subaward (the Subaward) to Quintessent Inc. (the Subrecipient) as part of the performance of Coherent wavelength switched co-packaged optics to disrupt datacenters/HPC (QRock)/ Award DE-AR0001273. As the principal investigator for ARPAE Award DE-AR0001273, I have monitored the activities of the Subrecipient that were funded by the Subaward and I have reviewed all financial and programmatic reports (if any) that were submitted to me by the Subrecipient for this Subaward.

I certify that all of the Subrecipient's activities that were funded by the Subaward were carried out for authorized purposes, as defined by the terms and conditions of the Subaward. I further certify that the Subrecipient has carried out all work, as necessary at this stage in the Subaward timeframe, toward achieving the Subaward's performance goals, as specified in the Subrecipient's statement of work. To the best of my knowledge, the costs included on the attached invoice are reasonable and appropriate for the work performed.

DocuSigned by:  
  
CCD4ED0F7223480

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Principal Investigator Signature

2/25/2021

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Date



Quintessent Inc.  
120 Cremona Dr  
Suite 155  
Goleta, CA 93117



QUINTESSENT

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**INVOICE**

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**To:**  
University of California  
ECE  
Santa Barbara, CA 93106  
ATTN: Lisa King  
Email: Lisa@ece.ucsb.edu

**Invoice #:** INV1008  
**Date:** 02/05/2021

**Subaward #**KK2124

Item	Description of Goods or Services	Total Price	Notes
1	Effort under above named agreement	\$33,830.38	See page 2 for details

**Terms:** Net 30

**Approved for Payment** \_\_\_\_\_  
ECE Department  
Mike Moore, Financial Manager

8-442530-22434-7-7305 \$25,000.00  
8-442530-22434-7-7300 \$ 8,830.38

Quintessent Inc.  
 120 Cremona Dr  
 Suite 155  
 Goleta, CA 93117  
 alan@quintessent.com  
 cc: accounting@quintessent.com



	<u>9/25/2020 - 12/31/2020</u>	<u>Project to Date:</u>
TOTAL LABOR & FRINGE		
TRAVEL	-	-
SUPPLIES	-	-
OTHER DIRECT COSTS		
TT&O	-	-
TOTAL OTHER DIR. COST	<u>-</u>	<u>-</u>
TOTAL COST	<u>33,830.38</u>	<u>33,830.38</u>
FEE	-      0.00%	-      0.00%
TOTAL AMOUNT DUE	<u><u>33,830.38</u></u>	<u><u>33,830.38</u></u>

**Certification:**

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

AlanLiu-CEO

02/05/2021

Date

# Managing The Subaward

- MCA Awards
  - Spend rate ...
  - Contact: Pam Cabrera in EMF Accounting

# Managing The Subaward

- Administrative Issues:
  - Prior Approvals and NCEs
  - Facilitate representing the Subaward's needs to the Prime Agency

# Closeout

- Check spend rate 60-90 days prior to the period end date. Is a NCE needed ? Can any unused funds be utilized at UCSB ?
- Deobligation of unused funds and lien adjustment
- Follow up to request the Sub' s reports and Final Invoice (start at project end date).
- Typical Elements: DD882 Patent Form, Final Property Report, Final Technical Report

## SUBAWARD CLOSE-OUT CERTIFICATION

Subaward Number: \_\_\_\_\_

UCSB PI Name: \_\_\_\_\_

Subrecipient's (check all that apply):

- Final Technical Report has been submitted and is acceptable.
- Final Financial Report has been submitted and is acceptable.
- Final Property Report is attached. If the Subaward indicates that title to Subrecipient property vests in UC, does the PI now wish title to the property to be transferred to the Subrecipient?     Yes     No    Please explain "No" below.
- Final Report of Inventions is attached (Note: If the prime award is from DoD, then Subrecipient must submit this report on Form DD882.)
- Other Deliverables have been submitted and are acceptable. Please list below.
- Final Invoice is attached.

Comments:

The Regents of the University of California, Santa Barbara campus, have made a subaward (the Subaward) to [Name of Subrecipient institution] (the Subrecipient) as part of the performance of [Award Title/award number]. As the principal investigator for [Award Title/award number], I have monitored the activities of the Subrecipient that were funded by the Subaward, and I have reviewed all financial and programmatic reports (if any) that were submitted to me by the Subrecipient for this Subaward.

I certify that all of the Subrecipient's activities that were funded by the Subaward were carried out for authorized purposes, as defined by the terms and conditions of the Subaward. I further certify that the Subrecipient has carried out all required work toward achieving the Subaward's performance goals, as specified in the Subrecipient's statement of work. To the best of my knowledge, the costs included on the attached invoice are reasonable and appropriate for the work performed.

\_\_\_\_\_  
Signature of Principal Investigator

\_\_\_\_\_  
Date

# When Problems Arise

- Spending rate is low
- PI is not satisfied with performance
- Close out information is not provided in a timely manner

Please feel free to contact me with questions !