



# Research Administration Forum

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April 9, 2020

Thank you for joining us. The webinar will begin momentarily at 10:00am.



# Research Administration Forum

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April 9, 2020

# Welcome and Announcements

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## First RAF Live Webinar

- This is NOT being recorded
- We will answer questions at the end of each segment as time permits
- Submit questions via Zoom Q&A window
- Slides will be posted on ORA website following the meeting, along with written answers to questions

# Research Policy and Compliance



- Conflict of Interest
- Export Control
- Cannabis
- Foreign Engagement Website

<https://rpc.research.ucla.edu/foreign-engagement>

# Questions?



Ann Pollack, Associate Vice Chancellor-Research  
[apollack@research.ucla.edu](mailto:apollack@research.ucla.edu)

Claudia Modlin, Assistant Director  
[cmodlin@research.ucla.edu](mailto:cmodlin@research.ucla.edu)

General Inquiries  
[RPC@research.ucla.edu](mailto:RPC@research.ucla.edu)

# Agenda

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- **Welcome & Announcements** – *Marcia Smith*
- **Human Research Protection Program** – *Moore Rhys*
- **Extramural Fund Management** – *Yoon Lee, Monida Hean*
- **Contract and Grant Administration** - *Patti Manheim, Kristin Lund, Cindy Gilbert*
- **RSAWA Updates** – *Jennifer Perkins*
- **Questions** – *All*



# OHRPP Updates

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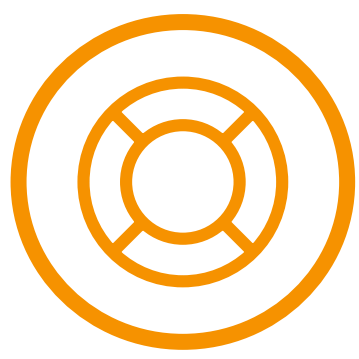
April 9, 2020

# OHRPP Updates

OHRPP's COVID-19 response

Preview of PAR guidance update

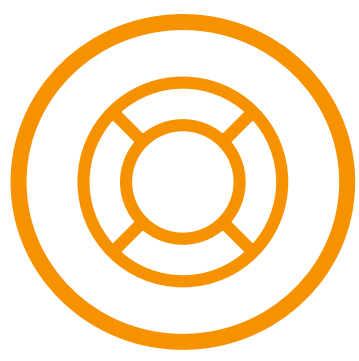
Human Research News



# OHRPP and COVID-19

## COVID-19 Policy for Human Subjects Research:

- **Policy is *temporary* (effective from March 16, 2020 until revoked)**
- **Applies to all human subjects research under the auspices of UCLA**
  - Conducted by faculty, staff, or students in their UCLA-affiliated capacity
  - Campus, UCLA Health locations, and off-campus



# OHRPP and COVID-19

## COVID-19 Policy for Human Subjects Research:

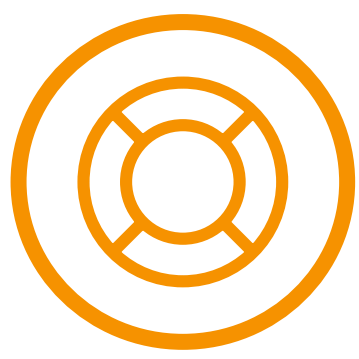
- In-person research visits **should NOT be conducted** unless *the specific research visit provides an immediate benefit to a participant's health and/or well-being*



# OHRPP and COVID-19

## COVID-19 Policy for Human Subjects Research:

- ***It is the responsibility of the PI to assess whether a specific in-person research visit provides an immediate benefit to the participant's health and/or well-being in light of the changed circumstances with COVID-19***
  - *The IRB will not make these assessments for currently approved research*
  - *The investigator should document in a note to file their assessment of the above criteria*



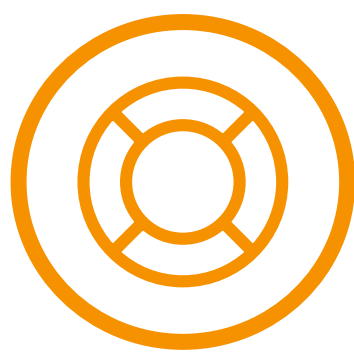
# OHRPP and COVID-19

## COVID-19 Policy for Human Subjects Research:

- **Those procedures that can be moved to remote may be changed to remote *without prior IRB review* as long as:**
  - 1) *The change to remote does not impact the safety of participants;*
  - 2) *The change does not compromise the integrity of the data;*

**AND**

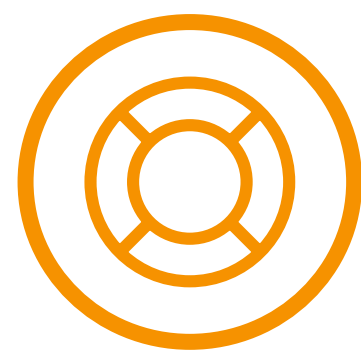
  - 3) *The change would not affect subjects' willingness to participate*
  
- **Note these change to remote procedures as COVID-19 related deviations *in the deviation log* submitted at continuing review (if remote procedures are not in approved protocol)**



# OHRPP and COVID-19

## COVID-19 Policy for Human Subjects Research:

- ***For study procedure changes that don't meet the criteria on the previous slide, there are 2 pathways:***
  - 1) ***Submit an amendment and secure IRB approval **in advance of the change*****
    - *Consult with your OHRPP Administrator to determine if review can happen before the change needs to be implemented*
  - OR
  - 2) ***Enact the change **in advance of IRB review only if the deviation is necessary to avoid apparent immediate hazard to participants*****
    - *Submit PAR notification within 3 business days after the deviation per the PAR Guidance*



# OHRPP and COVID-19

## Additional Resources:

- [FDA Guidance on conduct of clinical trials of medical products during COVID-19 pandemic](#)
  - Includes guidance on acceptable methods of obtaining consent during COVID-19 medical isolation
- [OHRPP COVID-19 FAQ](#)
  - Please send in your questions if they haven't yet been answered in the FAQ



# Revised PAR Guidance

## ***Goals of the revised PAR Guidance:***

1. To ensure the IRB receives ***everything that they need*** to meet regulatory and compliance oversight functions.
2. To stop submission of materials the IRB does not need to receive in order ***to reduce the burden on:***
  - **The IRB**, especially the Chairs, reviewing and making determinations on unnecessary submissions
  - **OHRPP staff** processing unnecessary submissions
  - **Researchers and their proxies** submitting/responding to queries on unnecessary submissions



# PAR guidance – what's changed

- The guidance is *more specific* (what we do and don't want to be submitted via PAR) to help limit submissions to what is necessary for the IRB to review
  - Examples for *biomedical* and *social/behavioral* research have been added throughout
- For reports/information we will no longer receive via PAR, *instructions are provided on what to do with them.*



## PAR guidance – what's changed

- **Remove the term “violation”** throughout the document, as we want to **encourage investigators to report relevant deviations**
  - “Violation” is **not** a regulatory term
- Clarify that **this guidance is only for IRB reporting** and that **other entities may have other requirements**



# PAR guidance – what's changed

## ADVERSE EVENTS:

- ***Limit follow-up reports for external AEs*** to only those that provide information that the event is now ***of greater severity than initially reported.***



# PAR guidance – what's changed

## DSMB REPORTS:

- Only reports that indicate the DSMB *has a concern* about the research or that indicate the DSMB has *suspended or terminated the research* should be submitted
- DSMB reports that indicate the study may “continue as planned” should no longer be submitted



# PAR guidance – what's changed

## OTHER REPORTS:

- *Investigator's brochures/device brochures* will NO LONGER be submitted by PAR
  - submitted via initial application and amendment application only



# PAR guidance – what's changed

## SINGLE SUBJECT EXCEPTIONS:

- Single Subject Exceptions are now limited to ***only inclusion/exclusion criteria variance*** on *treatment* studies where there is a time constraint that would make submission/processing of an amendment application not a plausible mechanism.
  - Specific ***details/justification needed*** for the IRB chair/designee to consider authorizing a Single Subject Exception are now described



# PAR guidance – what's changed

## DEVIATIONS:

- Clarify that *all* research-related *breaches of confidentiality* meet the threshold for reporting
- Put the *responsibility to notify the IRB of non-compliance trends* on the Principal Investigator
- Include directions to *consult with campus and/or health system compliance offices* for specific types of reportable deviations.



# PAR guidance – what's changed

## SINGLE IRB/RELIANCE PARS:

- Guidance for submission (or not) of PARs under sIRB is now provided for both when
  - The UCLA IRB is *reviewing* on behalf of other institutions
  - The UCLA IRB is *relying* on the review of another IRB



# PAR guidance – rollout

## webIRB revisions:

- Revised questions and answer choices in line with revised guidance
- ***Automated functions*** have been added to support the guidance
  - Auto-acknowledgement of AEs that don't meet the criteria



# PAR guidance – rollout

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: 2.1 - Auto-Acknowledged ▾

## ▼ Reviewer Note

Type
There are no items to display

### Auto-Acknowledged

Based on the selections provided in this post-approval report, the information does not need to be reviewed. Please note that this report will be automatically acknowledged once the form has been submitted. Once the "Submit" activity has been used, a letter will be available in the History tab of this PAR application. If you have any questions, please contact OHRPP at (310) 825-5344 **before** submitting.

<< Back Save | Exit | Hide/Show Errors | Print... | Jump To: 2.1 - Auto-Acknowledged ▾



## Reminder - Subscribe to Human Research News

**To be the first to know when OHRPP releases guidance and other updates, please subscribe to our listserv**

➤ ***To subscribe:***

➤ go to <https://form.research.ucla.edu/ora/ora-news-subscription/>

- 1) *Provide your email address in the box at the top of the page*
- 2) *Scroll down to “Human Research News”*
- 3) *Click “subscribe”*
- 4) *Click “submit” at the bottom of the page*

# Any Questions?

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## Contact Information

### Website URL

<http://ora.research.ucla.edu/ohrpp>

### Kristin Craun, OHRPP Director

Phone: x33150

Email: [kristin.craun@research.ucla.edu](mailto:kristin.craun@research.ucla.edu)

### Moore Rhys, OHRPP Asst. Director, Education & QI

Phone: x46339

Email: [moore.rhys@research.ucla.edu](mailto:moore.rhys@research.ucla.edu)



# Extramural Fund Management

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April 9, 2020

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**EFM is open for business and fully operational!**

Standard hours: 8am – 5pm

# Agenda

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- **UCPath updates**
- **COVID-19 Guidelines for Financial Management of Sponsored Projects**

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# UCPath Updates

Yoon Lee

# What is new in 2020?

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- **UCPath Center (UCPC) added business analysts and developers to address UCPath defects**
  - As of February 2020,
    - GL team: 1120 hours per month with 8 members working on issues affecting labor ledger and GL.
    - ERS team: 840 hours per month with 6 members dedicated to work to release effort reports.
  - UCPC communicated to add 4, 3, and 1 more staff to GL team in April, May, and June respectively.
- **UCLA created “UCPath Stabilization Taskforce”**
  - AVC/Controller Allison Baird-James organized this group in January 2020.
  - Includes 10 members from Central Resource Unit, Corporate Financial Services, Extramural Fund Management, and Business Transformation Office, including 6 -7 members dedicated full time.

# How are UCPath issues prioritized?

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- UC Controllers prioritize issues for UCPC to resolve through UC Controllers' meeting.
- UCPC plans monthly fix schedule ("*monthly sprint*") based on the level of effort required for each issue following the priority determined by UC Controllers.
- UCPC provides weekly status update to UC Controllers.
- UCLA's top 10 issues affecting sponsored project funds are included in monthly sprints for March and April 2020 except for 1 issue that is scheduled in June 2020.
  - 5 issues have been fixed in system for going forward in March 2020.
  - 4 issues are in process and scheduled to be completed in April 2020.
  - 1 issue has not started and is planned to be fixed in June 2020.

# Status of Major Issues - Completed

Description of the issue	Is fix in System?	Are historical errors corrected?
Earn Codes (NNC & RSP) Reflect 0% Effort in Labor Ledger.	<b>Yes</b> Completed in July 2019	In process April Sprint
Usage of vacation (or any other exception earn codes) is recorded to one fund instead of getting allocated across funds when an individual's salary is funded by multiple funding sources.	<b>Yes</b> Completed in November 2019	No
Ineligible employees having Vacation Leave Accrual assessed.	<b>Yes</b> Completed in March 2020	No
Sponsored project funds were allowed to be used to cover over the salary cap amount.	<b>Yes</b> Completed in March 2020	No
Certain Direct Retros processed were not recorded to labor ledger. Payroll transaction still showed in the original funding source in the payroll reports as if direct rectors were never processed.	<b>Yes</b> Completed in March 2020	No
During the week of 3/15/2020 GL initiators could not enter or edit funding entry and Approvers and were unable to approve the Transaction with the following error message: <i>"Error Message: Fund ##### has a Salary Cap configured. Please verify the Fund is appropriate before proceeding (32001,350)"</i>	<b>Yes</b> Completed in March 2020 <i>(This was a new incidental issue and quickly resolved)</i>	N/A

# Status of Major Issues – In Process

Description of the issue	Is fix in System?
As usage of vacation (or any other exception earn code) is recorded in the subsequent month, they are recorded based on the funding distribution of the current month instead of the funding distribution of the period when vacation or sick days were taken.	<p><b>In progress</b> To be completed in April 2020</p>
Direct Retro page does not see separate rows for VAC reduction. Transactions for different earn period are lump summed in one line and this disable the user to do direct retro for specific transition.	<p><b>In progress</b> To be completed in April 2020</p>
When direct retro is processed, benefit amount is calculate based on the current CBR rate instead of the original CBR rate applied to the payroll transaction.	<p><b>In progress</b> To be completed in April 2020</p>
Inability to tie payroll to benefits by person, by earn date when transactions for multiple earn periods are processed in one pay cycle.	<p><b>In progress</b> To be completed in April 2020</p>
Payroll recorded on general ledger does not match to the amount recorded in the labor ledger at FAU level.	<p><b>Not started</b> Planned in June 2020</p>

*Per UCPC presentation for GL Prioritization Meeting on April 7, 2020*

# Recycled Funds Effective Date Issue: Resolved

- **Users were unable to process funding entries and Direct Retros when using certain recycled funds. This issues exited when**
  - Fund was deleted in FS after UCPATH go live AND
  - Fund was recycled for a new award AND
  - The new award has a retroactive start date earlier than the date the fund was deleted before recycled.
- **For funds to be deleted and recycled in future**
  - A fix to the data feed has been made so this issue will not occur going forward.
- **For recycled funds impacted by this issue**
  - Besides a number of funds reported by campus, 96 funds were identified and the mass fix has been applied to all recycled funds impacted by this issue in UCPATH in March 2020.
- **For funds that will be impacted by this issue as they are recycled**
  - CRU will run weekly monitoring reports to identify these funds and place the fix in UCPATH every Fridays.
  - The frequency of this issue is anticipated to decrease as it is less likely to receive the award with a retroactive start date earlier than September 2019, the last time EFM deleted funds in FS.
- **Refer to CRU website for more details.**
  - <https://www.centralresourceunit.ucla.edu/s/article/Recycled-Funds-Issue-Resolved>

# Welcome Monida Hean!

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- Joined EFM on February 3, 2020 as Manager for Research Finance Compliance
- 6+ years of experience in contract and grant management
  - Lead Research Administrator at USC – College of Letters, Arts and Sciences, focusing post award activities.
  - Grants and Contracts Administrator at CSU Long Beach, managing both pre and post award activities.
  - Fund Manager at UCLA – Life Sciences.
- As Research Finance Compliance Manager, she is responsible for overseeing audit support, effort reporting, fiscal closing, quality assurance and training in EFM and communication of changes to the policies and procedures of industry, sponsors, and university with campus.

# **COVID-19 Guidelines for Financial Management of Sponsored Projects**

Monida Hean

# Recent Events

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## COVID-19 Guidelines

- **Many federal agencies have issued memorandums to provide administrative relief for recipients and applicants of federal assistance directly impacted by COVID-19.**
- **The UC have released several announcements on paid administrative leave in response to COVID-19.**
- **UCLA have provided general guidance on how to track COVID-19 expenses.**
- **EFM has gathered this information to help campus stay up-to-date with the latest guidelines.**

# Federal Agencies

## COVID-19 Guidelines

- **ORA is monitoring federal agency guidelines on a daily basis to provide campus with the latest updates.**
  - Reference [ORA COVID-19 Agency Guidance Matrix](#) on EFM website for guidelines on financial management of C&G.

## Welcome to EFM

Extramural Fund Management remains open for business. For Coronavirus Disease 2019 (COVID-19) updates related to sponsored research, please see the [ORA COVID-19 Agency Guidance Matrix in Box](#).

# University of California

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## COVID-19 Guidelines

### **Paid Administrative Leave**

- UC allows paid administrative leave in response to COVID-19 up to 128 hours
- It is an allowable expense for C&G funds because it is an institution policy to pay administrative leave across all funding sources
- COVID-19 administrative leave is considered as part of employee benefits, similar to sick, vacation, jury duty, etc.
- Effort percentage will not be affected

# UCLA

## COVID-19 Guidelines

### Tracking COVID-19 – Related Expenses

CFS/APB announcement (3/31/2020): <https://www.finance.ucla.edu/news/tracking-covid-19-related-expenses>

- **Qualified expenses: any expense that incurred that would have not been incurred had it not been for the COVID-19 crisis.**
- **Non-Payroll Expenses**
  - Use "COVID" in the project segment in FAU; effective 3/31/2020
  - Use object code "3478" for COVID-19 – related emergency child care expenses; effective 4/1/2020 (per CFS)
- **Payroll Expenses**
  - Per CFS/APB announcement on 3/31/2020, additional guidance will be issued for payroll expenses.

# Any Questions?

## Contact Information

### EFM Website

<http://ora.research.ucla.edu/efm/>

### Yoon Lee

Phone: X40375

Email: [yon.lee@research.ucla.edu](mailto:yon.lee@research.ucla.edu)

### Monida Hean

Phone: X69479

Email: [monida.hean@research.ucla.edu](mailto:monida.hean@research.ucla.edu)





# OCGA Updates

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Research Administration Forum

April 9, 2020

# Today's Topics

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- OCGA Open for Business
- OCGA COVID-19 Website
- 700U Forms
- Assistant Director – Outgoing Subawards

# OCGA Open for Business

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- All operations fully functional
- Standard business hours: 8:00 AM – 5:00 PM
- No change in receiving and submitting proposals and receiving and executing awards
  - [proposals@research.ucla.edu](mailto:proposals@research.ucla.edu)
  - [awards@research.ucla.edu](mailto:awards@research.ucla.edu)

Identify COVID-19 proposals and awards so we can expedite these!

# OCGA Open for Business

	Daily Productivity Numbers: 3/30 - 4/3						Daily Productivity Numbers: 3/23 - 3/27						Daily Productivity Numbers: 3/16 - 3/20						Total
	03/30	03/31	04/01	04/02	04/03	Week Total	03/23	03/24	03/25	03/26	03/27	Week Total	03/16	03/17	03/18	03/19	03/20	Week Total	
Proposal Assignments																			
Proposals Assigned	17	11	14	20	8	70	7	14	17	15	0	53	11	13	9	7	11	51	174
Proposals Completed (Submitted)	18	9	17	9	11	64	2	6	10	12	0	30	21	8	9	4	8	50	144
Agreement Assignments																			
Awards Assigned	41	27	23	32	18	141	15	23	23	21	0	82	26	19	20	28	18	111	334
Awards Completed (Fully-Executed)	19	29	20	18	28	114	47	25	30	24	0	126	19	12	24	19	19	93	333
Outgoing Subaward Assignments																			
Outgoing Subaward Requests Received	3	1	3	3	3	13	2	0	0	3	0	5	6	0	2	2	3	13	31
Outgoing Subawards Completed (Fully-Executed)	4	8	2	4	16	34	5	4	2	10	0	21	0	17	8	0	13	38	93

# OCGA Open for Business

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- We are capturing COVID-19-related funding in proposals and awards.
  - Funding opportunities for COVID-19 research.
  - Supplemental funding related to COVID-19 for active awards.
  - Information being reported to:
    - Campus Leadership
    - UC Office of the President
    - Government Relations – both campus and OP

Please help us identify these transactions quickly so we can expedite these!

# OCGA COVID-19 Website

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- COVID-19 Updates Related to Sponsored Research
- Updated Daily
- Categories
  - UCLA/UC
  - Federal Sponsors/The White House
  - Non-profit
  - State/Local Government
- Check back often

## COVID-19 Updates Related to Sponsored Research

Updated April 2, 2020

This page will be updated frequently with information from our sponsors and other resources as the COVID-19 health emergency develops. Please check back often, and consult with your OCGA [Officer or Analyst](#) for questions related to specific proposals or awards.

<https://ocga.research.ucla.edu>

# 700U Forms

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- No relaxation of the FPPC requirement to collect originally signed (“wet ink”) 700U forms.
- OGC and RPAC agree:
  - Copies of signatures accepted.
  - Electronic signatures accepted.
    - Original signatures must be affixed later with the signing date of the wet signature
    - Lack of an original signature will not hold up CIRC review.
  - Lack of original signature will not hold up award processing (AFE).
  - Please continue to send originals to OCGA if you have them, or upon full resumption of campus operations.

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# Any Questions?

# Assistant Director – Outgoing Subawards

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- Kristin Lund re-joined OCGA in January 2020
- Previously with OCGA for over eleven years.
- Distinguished herself with various positions, responsibilities and seniority within OCGA.
- Prior to returning to UCLA, held senior positions at CalTech and USC.

Welcome Kristin!



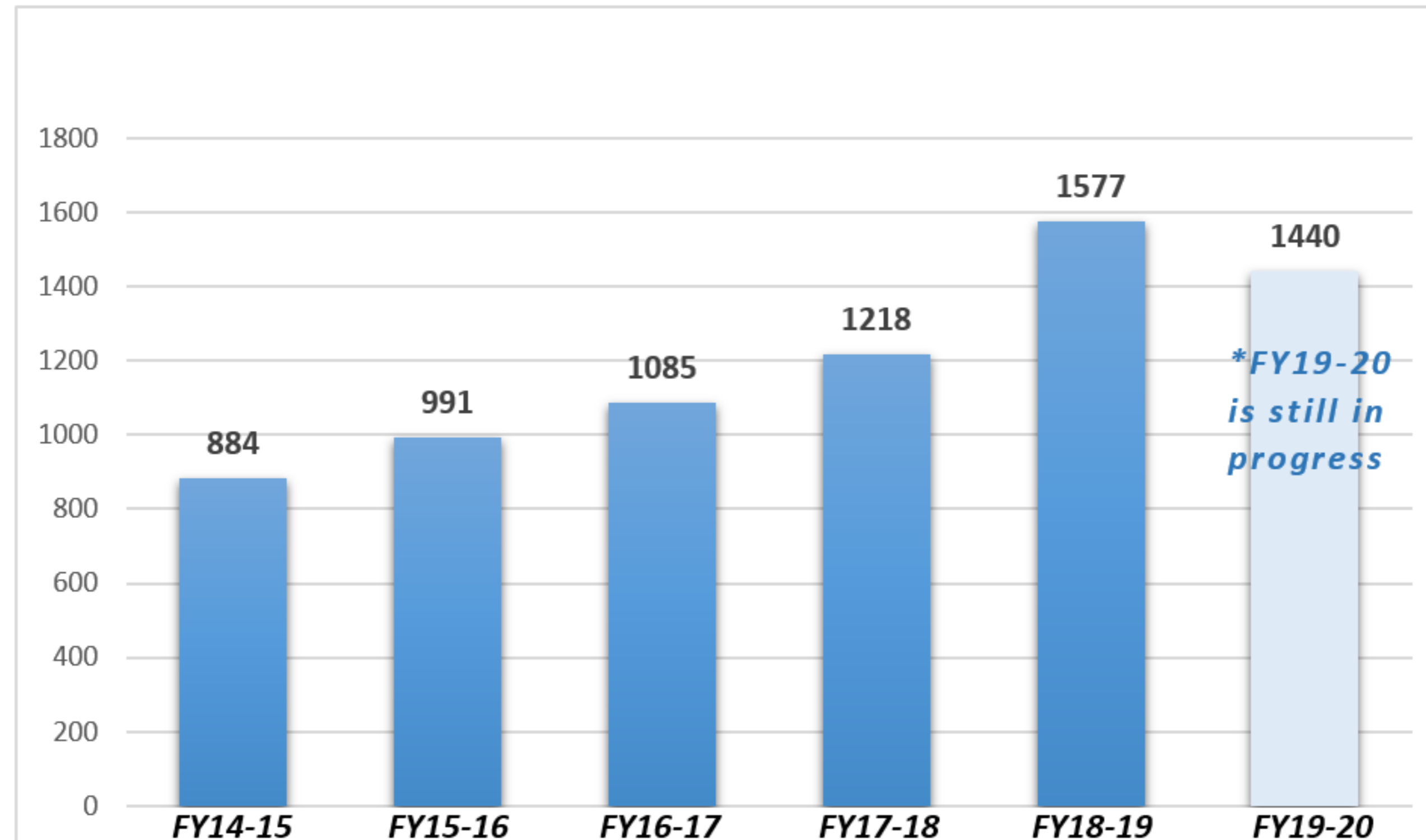
# *OCGA's Outgoing Subaward Team (OST)*

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Research Administration Forum

April 9, 2020

# Increase in Outgoing Subaward Agreements



*Outgoing Subaward Agreements Assigned*

# How Departments Can Help

- REDUCE processing times by submitting **complete** Subaward Checklist packages to the Outgoing Subaward Team (OST) at [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu).
- A complete Subaward package includes:
  - The current Subaward Checklist form (**version dated 12/1/2015**) with all items answered. This includes answering the Conflict of Interest question and the PI/Authorized Representative signature on page 2.
    - <https://ocga.research.ucla.edu/wp-content/uploads/UCLA-OCGA-subaward-checklist.pdf>

Attachment C

**UCLA OCGA SUBAWARD CHECKLIST**  
(USE FOR ALL NEW OR AMENDED SUBAWARDS ISSUED BY UCLA)

*EMAIL THIS COMPLETE FORM WITH ALL REQUIRED BACKUP DOCUMENTATION TO:*  
[ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu)

NEW SUBAWARD  
(Complete all information, except \*section)

\* AMENDMENT and/or CHANGE ORDER TO CURRENT SUBAWARD  
(Complete all information, including \* section)

**UCLA INFORMATION**

1. UCLA Requisition or Purchase Order # \_\_\_\_\_ Amendment # \_\_\_\_\_

2. UCLA PI \_\_\_\_\_

3. UCLA Department \_\_\_\_\_ Dept Contact \_\_\_\_\_ Ext: \_\_\_\_\_

4. UCLA Account & Fund No \_\_\_\_\_ 4a. For mailing purposes only: Recharge ID \_\_\_\_\_

5. Award number of the UCLA Grant/Cooperative Agreement \_\_\_\_\_

6. Name & address of person to whom invoices should be sent: \_\_\_\_\_

Conflict of Interest-UCLA Principal Investigator certifies that he/she  Does /  Does Not have a financial interest of any kind in the proposed Subrecipient. If he/she does, please notify the OCGA Subaward team at [ocgasubawards@em.ucla.edu](mailto:ocgasubawards@em.ucla.edu).

I have reviewed the Subrecipient's budget (attached) and believe that all cost stated therein to be reasonable and appropriate for the work to be performed in Subrecipient's statement of work (attached). In the event this action represents an increment continuation or a no cost time extension, I certify that the Subrecipient's performance goals have been achieved and to the best of my knowledge, the costs included are reasonable and appropriate for the work performed.

\_\_\_\_\_  
Signature of Principal Investigator or Authorized Representative

\_\_\_\_\_  
Date

# How Departments Can Help

- A complete Subaward package includes (con't):
  - Consistent information throughout:
    - Budget numbers throughout the Subaward package match: Checklist, budget submitted by Subrecipient, etc.
    - Budget Period dates should match throughout and CANNOT exceed the budget period awarded by the Sponsor.
  - All corresponding Attachments
    - Subrecipient Commitment Form (or Letter of Intent for FDP Expanded Clearinghouse Participants)
    - For Nonprofit/For-profit/Foreign Subrecipient Institutions: the additional documents triggered by the Subrecipient's Commitment Form
    - Subrecipient Scope of Work (SoW) – Defining the Subrecipient's responsibilities and timeline to monitor progress
    - Subrecipient Subject Use Approvals

**ATTACH THE FOLLOWING DOCUMENTS (if applicable):**

- |   |  |
|---|--|
| • UCLA Award Snapshot                           | • Subrecipient IRB approval<br>(if Human Subjects are used)                                |
| • UCLA Subrecipient vs Contractor Determination | • UCLA Fair & Reasonable Cost Analysis Form  |
| • Subrecipient Commitment Form                  | • Subrecipient IACUC approval<br>(if animals subjects)                                     |
| • Subrecipient Statement of Work                | • Subrecipient F&A (indirect cost) rate<br>agreement (if subrecipient is not a university) |
| • Subrecipient Budget and Justification         |  |
| • PHS FCOI form                                 |  |

*If you have questions about what needs to be included, please reference the Subaward Checklist attachments section (pictured above). For further questions, contact the OST team at [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu)*

# Submission Timing

*When you receive an OCGA e-mail Notification for NEW Award Setup, confirming that a fund number has been activated for your award, if a subaward or subaward amendment needs to be issued, please be sure to submit your Subaward Checklist package as soon as you are able.*

Date: 16-Dec-2017

From: Reports, ORA

To: Dept Contact

CC: ORA

[ORDM](#)

Records, [ORAPATS](#)

UCLA [OCGA](#) Notification of Award Action

Principal Investigator: -----

Department: -----

Project Title: -----

Sponsor: -----

Sponsor Award Number: -----

Fund Number: -----

UCLA PATS Record Number: -----

Award Type: -----

Action: -----

Funds Awarded this Action: \$-----

Total Funds Awarded to Date: \$-----

Current Budget Period: 12/1/2017 - 11/30/2018

Project Period: 12/10/2013 - 11/30/2020

On behalf of the Office of Contract and Grant Administration (OCGA) within the Office of Research Administration (ORA), the above-referenced document is fully executed.

Please review and adhere to all terms and conditions in your award document, paying particular attention to the technical and financial reporting requirements in the grant, contract and/or sponsor guidelines.

Please also use our additional on-line tools to view valuable information about your award:

- Research Portal (<http://portal.research.ucla.edu>): You can now view a real-time updated copy of your award snapshot and award terms and conditions using this tool.
- PI Portal (<http://piportal.research.ucla.edu>): You can view expense information, including a real time fund balance for your award using this tool.
- **UCLA OCGA Outgoing Subaward Team (<http://ora.research.ucla.edu/OCGA/Pages/Outgoing-Subawards/outgoing-subawards-home.aspx>): If there is to be a Subaward or Subaward Amendment issued under this award, please remember to submit a current UCLA OCGA Subaward Checklist, with all applicable attachments.**

# Documents Required at Proposal Stage

Outgoing to:	A Third Party that is <u>NOT</u> an FDP Expanded Clearinghouse Member or Other UC Campus (Subaward)	An FDP Expanded Clearinghouse Member (Subaward)	Another UC Campus (Multi-Campus Award)
Collect the following forms at <u>Proposal Stage</u> :	<ul style="list-style-type: none"> <li>• Subrecipient vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Subrecipient Commitment Form (completed by Sub)</li> <li>• <u>And, if applicable</u> :               <ul style="list-style-type: none"> <li>• A copy of the Sub's U.S. Federal IDC/Fringe Rate agreement(s)</li> <li>• PHS Financial Disclosure Form (completed by Sub)</li> <li>• Fair and Reasonable Cost Analysis Form (completed by UCLA department)</li> <li>• Audit and Certificate of Compliance (completed by Sub)</li> <li>• Financial Audit Management Questionnaire (FAMQ) (formerly known as A-133 Mini Audit) (completed by Sub)</li> <li>• The Sub's FFATA most highly compensated officers list</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Sub vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Letter of Intent (Completed by Sub)</li> </ul>	<ul style="list-style-type: none"> <li>• MCA Commitment Form or Letter of Intent</li> </ul>
Along with:	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Campus's Detailed Scope/Statement of Work,</li> <li>• Campus's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>

## For pre-award questions:

Contact the Department DRA or OCGA Grant Representative who will submit the UCLA Proposal.

UCLA forms named in these charts are available at: <https://ocga.research.ucla.edu/required-forms/>

# Documents Submitted to OST at Subaward Stage

Outgoing to:	A Third Party that is <u>NOT</u> an FDP Expanded Clearinghouse Member or Other UC Campus (Subaward)	An FDP Expanded Clearinghouse Member (Subaward)	Another UC Campus (Multi-Campus Award)
<i>The following forms are required:</i>	<ul style="list-style-type: none"> <li>• Subrecipient vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Subrecipient Commitment Form (completed by Sub)</li> <li>• <u>And, if applicable:</u> <ul style="list-style-type: none"> <li>• A copy of the Sub's U.S. Federal IDC/Fringe Rate agreement(s)</li> <li>• PHS Financial Disclosure Form (completed by Sub)</li> <li>• Fair and Reasonable Cost Analysis Form (completed by UCLA department)</li> <li>• Audit and Certificate of Compliance (completed by Sub)</li> <li>• Financial Audit Management Questionnaire (FAMQ) (formerly known as A-133 Mini Audit) (completed by Sub)</li> <li>• The Sub's FFATA most highly compensated officers list</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Sub vs. Contractor Determination Checklist (completed by UCLA department)</li> <li>• Letter of Intent (Completed by Sub)</li> </ul>	<ul style="list-style-type: none"> <li>• MCA Commitment Form or Letter of Intent</li> </ul>
<i>In addition to:</i>	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Subrecipient's Detailed Scope/Statement of Work,</li> <li>• Subrecipient's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Campus's Detailed Scope/Statement of Work,</li> <li>• Campus's Detailed Line Item Budget &amp; Justification, (including Cost Share Budget &amp; Justification if applicable)</li> </ul>
<i>And for final submission to the OST:</i>	<ul style="list-style-type: none"> <li>• Subaward Checklist (completed by UCLA department)</li> <li>• UCLA Award Snapshot</li> <li>• <u>For New Subawards:</u> Requisition/Draft PO (initiated in Bruinbuy by UCLA department)</li> <li>• Subrecipient Subject Use Approvals (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• Subaward Checklist (completed by UCLA department)</li> <li>• UCLA Award Snapshot</li> <li>• <u>For New Subawards:</u> Requisition/Draft PO (initiated in Bruinbuy by UCLA department)</li> <li>• Subrecipient Subject Use Approvals (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>• MCA Checklist (completed by UCLA department)</li> <li>• UCLA Award Snapshot</li> </ul>

# Role of the Outgoing Subaward Team

If your incoming award to UCLA is a:	Grant or Cooperative Agreement <i>handled by the</i> OCGA Grants Team		Contract <i>handled by the</i> OCGA Contracts Team	
And your project involves <u>3<sup>rd</sup> party work</u> that represents:	An intellectually significant programmatic effort, including intellectual decision-making, in a portion of UCLA's proposed project work in which the subrecipient is expected to author or co-author publications and the work could result in the development of intellectual property	Goods/services for UCLA: goods or services are used by UCLA in order for UCLA to accomplish its project. This could involve repetitive tests or activities requiring <u>little or no discretionary judgment</u> .	A very specific scholarly or programmatic task under a portion of UCLA's proposed contracted work	Goods/services for UCLA: goods or services are used by UCLA in order for UCLA to accomplish its project. This could involve repetitive tests or activities requiring <u>little or no discretionary judgment</u> .
Then your Outgoing Award is considered a:	<u>Subaward to Subrecipient</u>	Contract to a Contract Vendor*	Subcontract to a Subcontractor	Contract to a Contract Vendor*
And your Outgoing Award is Handled by:	OCGA's Outgoing Subaward Team**	Purchasing	Purchasing	Purchasing

\*The Contract to a Contract Vendor category also includes consulting, professional services, other agreements all handled by Purchasing.

\*\*OCGA's Outgoing Subaward Team also handles UC Multi-Campus Awards (MCAs). At proposal stage an MCA is treated similar to a third party agreement (except for UCLA IDC); however, since all UC campuses are part of the same legal system an MCA recipient (UC Participating Campus/Site) is not technically considered a "third party." Each of the three UCLA Sponsored Projects offices handle all outgoing MCAs under their own incoming awards.

# Questions?

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- For questions regarding specific subawards, contact the OCGA Outgoing Subaward Team member named in your subaward agreement or send an email to [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu) (for Multi-campus Awards: [outgoingMCA@research.ucla.edu](mailto:outgoingMCA@research.ucla.edu)). Your question will be forwarded to the Subaward Team member assigned to that Subaward or MCA.
- The e-mail addresses [ocgasubawards@research.ucla.edu](mailto:ocgasubawards@research.ucla.edu) and [outgoingMCA@research.ucla.edu](mailto:outgoingMCA@research.ucla.edu) are only for communications regarding outgoing subawards (awards in which funding will flow *from* UCLA to the subrecipient)
- For quick reference on Outgoing Subaward Required Forms visit our website at: <https://ocga.research.ucla.edu/required-forms/>
- ***General questions?***

*Thank you!*

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# Research Safety & Animal Welfare Administration (RSAWA) Updates

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April 2020 RAF

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Research Safety & Animal Welfare Administration

- **RSAWA is Open!**
- **Essential Research Activities**
- **System Updates**
- **New Committee (HCUC)**
- **RSAWA Contacts**

Research Safety & Animal Welfare Administration

- **RSAWA is Open!**

- All staff are working remotely and available during regular business hours via phone, email, and Zoom
- Faculty committees still conducting business
- No ARC semiannual facility inspections, post-approval monitoring visits, or IBC office hours at this time
- AAALAC site visit may be delayed

Research Safety & Animal Welfare Administration

- **Essential Research Activities**
  - On-campus, non-clinical activities
    - Includes animal care, equipment maintenance, ongoing studies
  - Submit request to department / dean
  - Include description of research, timeline to complete, location, and personnel involved
  - [C19@research.ucla.edu](mailto:C19@research.ucla.edu)

# RSAWA Updates

Research Safety & Animal Welfare Administration

- **System Updates**

- New Research Application Tracking System (RATS)
  - Launch delayed
  - User Training via Zoom [RATSHelp@research.ucla.edu](mailto:RATSHelp@research.ucla.edu)
- SafetyNet – Radiation Use Authorization (RUA)
  - Already live: PIs completing profiles, renewals under review
  - Staff reaching out to study teams for upcoming renewals



Research Safety & Animal Welfare Administration

- **New High Containment Use Committee (HCUC)**
  - Use of BSL3 requires extensive training and ongoing oversight
  - VCR established HCUC to review all research proposing to utilize space within the BSL3 facility
  - Submit to HCUC prior to ARC and IBC
  - Contact me for process

Research Safety & Animal Welfare Administration

- ARC Staff: [arc@research.ucla.edu](mailto:arc@research.ucla.edu) or 310-206-6308
- IBC Staff: [ibc@research.ucla.edu](mailto:ibc@research.ucla.edu) or 310-794-0262
- RSC Staff: [rsc@research.ucla.edu](mailto:rsc@research.ucla.edu) or 310-206-5601
- RSAWA Director: [jperkins@research.ucla.edu](mailto:jperkins@research.ucla.edu)  
or 310-794-9645

