



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

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Research Administration Forum

March 10, 2022

# OCGA OST Metrics: Open Agreements

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# of Open Agreements

**334**

Ave Age

**40 Days**

# OCGA OST Metrics: Fully Executed Agreements

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YTD Completed  
**1307**

Ave. TAT  
**42 days**

Ave. OCGA TAT  
**28 Days**

# OCGA OST Metrics: Fully Executed

## New Subaward

- Ave Total Turnaround time **66 days**
- OCGA Turnaround Time **33 days**

## Subaward mod

- Ave Total Turnaround time **41 days**
- OCGA Turnaround Time **27 days**

# OCGA OST Metrics: Fully Executed

## New MCA

- Ave OCGA / TAT

**34days**

## Subaward mod

- Ave OCGA / TAT

**26 days**

# Opportunities to Improve Turnaround Times

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- Submit paperwork for subawards timely, ideally when the main agreement has been fully executed
- Don't wait until after the subaward period of performance starts
- Submit complete paperwork package
  - Kristin will discuss in more detail

# OST: Updates

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# OST: Updates (Cont.)

## Communications: OST Automated E-mails

- *E-mail notifications to let you know when your subaward request has been assigned to an OST negotiator*

From: [DoNotReply@research.ucla.edu](mailto:DoNotReply@research.ucla.edu) <[DoNotReply@research.ucla.edu](mailto:DoNotReply@research.ucla.edu)>  
Sent: Friday, February 25, 2022 1:00 AM  
To: \*\*\*\*\*  
Cc: \*\*\*\*\*  
Subject: OCGA Notice: Outgoing Subaward/MCA No. \*\*\*\*\* In Process OST [ \*\*\*\*\* ]

Hello,

The Office of Contract and Grant Administration (OCGA) Outgoing Subaward Team (OST) is in receipt of an Outgoing Subaward/MCA transaction request for the following:

UCLA Project Title: \*\*\*\*\*  
UCLA Sponsor Name: \*\*\*\*\*  
Subaward/MCA No.: \*\*\*\*\*  
Subrecipient/Sister Campus: \*\*\*\*\*  
Action: Subgrant Out  
Requested Agreement Dates: \*\*\*\*\*

Issuance of this outgoing Subaward/MCA is in process. Please be advised that the Subrecipient/Sister Campus is not authorized to act on this Outgoing Subaward/MCA until it receives OCGA OST. Any expenses incurred are at Subrecipient/Campus's risk.


All Subrecipient compliance requirements must be confirmed before the agreement can be issued, including the following (as applicable):

- Completed Subaward/MCA Checklist, Purchase Order, Determination, Commitment Form/Letter of Intent, along with applicable supporting documents required per the Subaward work and budget, etc.)
- Subrecipient IRB or IACUC approval(s)
- Sponsor approval of Subaward/MCA as reflected on the UCLA Award Snapshot
- Federally required risk assessment (completed by UCLA OCGA OST)

Once all required documents are received, reviewed and finalized, and the federally required Subrecipient Risk Assessment/Monitoring is completed by the OST, the Outgoing Subaward/MCA, Subrecipient/Sister Campus, and the Department Contact noted on the OCGA Subaward Checklist will be copied. This agreement has been assigned to Ashley Severa ([ashley.severa@ucla.edu](mailto:ashley.severa@ucla.edu)) interim. Please note that this is an automated email that has been sent to the single UCLA Department Contact noted in OCGA Subaward Checklist – please share with those in your department.

Thank you,

UCLA OCGA OST  
<https://ocga.research.ucla.edu/required-forms>

 **UCLA Research Administration**  
Contract & Grant Administration

# OST: Updates (Cont.)

## OST Information: FAQs update

- The Outgoing Subaward Team's questions and answers on OCGA's FAQs page are being updated*

The screenshot shows the UCLA Research Administration website at [ocga.research.ucla.edu](http://ocga.research.ucla.edu). The navigation bar includes links for Home, About OCGA, Hot Topics, Proposals / Awards / Outgoing Subawards, Resources, and Submit to OCGA. Below the navigation bar, there are six main menu categories: Policies & Procedures, Forms, Electronic Resources, Standard Institutional Information, Training Resources, and FAQ. The FAQ section is expanded, showing links for Proposal Preparation, Award Management, Outgoing Subawards, Electronic Resources, Policies and Procedures, Forms, Standard Institutional Information, and Training Resources. A red arrow points to the 'Resources' dropdown menu in the navigation bar, and another red arrow points to the 'Outgoing Subawards' link in the FAQ section.

# OST: Updates *(Cont.)*

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## Next steps:

- Forms review
  - Streamlining of current OST required forms
- Additional training
  - Video training on OST forms
- System changes
  - Fully moving into OCGA's PATS system

# OST: *Standard Processes*

Request Received

- Initially reviewed by OST's Intake
- OST Intake may request additional information or clarification

Negotiator Initial Review

- OST Negotiator reviews Subaward Checklist and Backup Documentation along with the overall project documents

Negotiator May Need Additional Information

- If any additional information or clarification is needed, the OST Negotiator will contact the Department

## OST: *Standard Processes (cont.)*

### Negotiator Reviews Entity

- OST Negotiator conducts review of the subaward entity to determine risk
- Review of the entity is based on documents submitted by the Department and online profiles and information

### Negotiator Drafts Subaward

- OST Negotiator uses the entity review, the review of subaward documents and review of the overall UCLA project, to determine overall project risk
- Negotiator begins to draft the Subaward Agreement, overall project risk assessment may necessitate additional subaward requirements

# OST: Department Review of Proposal Stage Documents

## Proposal Documents required for Subrecipients who ARE FDP Expanded Clearinghouse Members:

- Sub vs. Contractor Determination Checklist (UCLA)
- Letter of Intent (Sub)

### Plus

- Subrecipient's Detailed SoW (Sub)
- Subrecipient's Detailed Line Item Budget-Just., (including Cost share Budget/Justification *if app*) (Sub)

## Proposal Documents required for Subrecipients who ARE NOT FDP Expanded Clearinghouse Members:

- Subrecipient vs. Contractor Determination Checklist (UCLA)
- Subrecipient Commitment Form (Sub), and, *if applicable*:
  - U.S. Federal IDC/Fringe Rate agreement(s) (Sub)
  - PHS Financial Disclosure Form (Sub)
  - Fair and Reasonable Cost Analysis Form (UCLA)
  - Certificate of Compliance - Audit (Sub)
  - Financial Audit Management Questionnaire (FAMQ) (formerly known as A-133 Mini Audit) (Sub)
  - FFATA most highly compensated officers list (Sub)

### Plus

- Subrecipient's Detailed Scope/Statement of Work (SoW) (Sub)
- Subrecipient's Detailed Line Item Budget-Justification, (including Cost share Budget/Justification *if applicable*) (Sub)

## Proposal Documents required for sister UC campuses:

- MCA Commitment *or* LOI (Site)

### Plus

- Campus' Detailed SoW (Site)
- Campus' Detailed Line Item Budget-Justification, (including Cost share Budget/Just. *if app.*) (Site)

# OST: Department Review of Proposal Stage Documents (cont.)

## Proposal Stage Documents

- *Please be sure to review forms that are received from your subrecipients*
  - Review is necessary to ensure completeness
- *Subrecipient Commitment Form items that are generally missed:*
  - F&A Rate Agreement

### Section B: Certifications

1. **Facilities & Administrative Rates** included in this proposal have been calculated based on the following:

- Our federally recognized negotiated F&A rates for this type of work. If this box is checked, a copy of your F&A rate agreement *must* be furnished to UCLA Office of Contract & Grant Administration (OCGA).
- A reduced F&A rate dictated by the prime sponsor that we hereby agree to accept. Rate: \_\_\_\_\_ Base Type: \_\_\_\_\_
- Not applicable (No indirect costs are requested by Subrecipient).

- Fair and Reasonable Cost Analysis

14. Subrecipient is what type of entity? \_\_\_\_\_

Is the Subrecipient a for-profit entity? YES  NO

If YES, UCLA PI should complete the [Fair and Reasonable Cost Analysis](#) and attach it to this form.

# OST: Department Review of Proposal Stage Documents (cont.)

## Proposal Stage Documents

- *Subrecipient Commitment Form items that are generally missed (cont.):*
  - FAMQ

### Section C: Audit Status

1. Does the subrecipient receive an annual audit in accordance with OMB Circular A-133/Uniform Guidance? YES  NO

If YES,

- A complete copy of subrecipient's most recent audit report, or the Internet URL link to a complete copy, must be furnished to UCLA OCGA before a subaward will be issued.
- Has the audit been completed for the most recent fiscal year? YES  NO
- Were there any audit findings reported? YES  NO

If YES, UCLA requires that the entity complete the [Certificate of Compliance](#)

If NO, UCLA requires that the entity complete a [Financial Audit Management Questionnaire](#) and may require a limited-scope audit before a subaward can be issued.

# OST: Department Review of Proposal Stage Documents (cont.)

## Proposal Stage Documents

- *Subrecipient Commitment Form items that are generally missed (cont.):*
  - SAM Registration

6. Is subrecipient currently registered in System for Award Management (SAM)? ([www.sam.gov](http://www.sam.gov)) YES  NO

If **NO**, organizations that have not registered with SAM will need to obtain a DUNS number first and then access the online registration through the SAM (System for Award Management) home page at <https://www.sam.gov> (U.S. organizations will also need to provide an Employer Identification Number from the Internal Revenue Service that may take an additional 2-5 weeks to become active).  
Completing and submitting the registration takes approximately one hour to complete and your SAM registration will take 3-5 business days to process. **Subrecipient must have a current SAM registration and maintain their current information in SAM prior to issuance of a Subaward.**

# OST: *Submitting Your Subaward Request Package*

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## Submitting your Subaward Checklist package to the OST

- Please review your package beforehand
  - Make sure that everything requiring signature is signed
  - Make sure that all documents meant to be included are included
- No piecemeal submissions with multiple e-mails
- If your subrecipient will be working with human or animal subjects, the OST will need approvals for that work prior to finalizing the agreement
- 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).

# OST: Submitting Your Subaward Request Package (cont.)

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).

The current Subaward Checklist form (**version dated 4/15/2021**) 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>

**NEW SUBAWARD**

Under Requisition # \_\_\_\_\_

(Complete all sections below except IV.) ←

**AMENDMENT and/or CHANGE ORDER TO CURRENT SUBAWARD**

Under Purchase Order # \_\_\_\_\_ Amendment # \_\_\_\_\_

(Complete all sections below.) ←

# OST: Submitting Your Subaward Request Package (cont.)

Review your Subaward Checklist against your OCGA Award Snapshot.



University of California, Los Angeles  
Award Snapshot

## Section III: Award Demographics

<b>Sponsor Award Number:</b>	123456789-01	<b>UCLA PATS Number:</b>	20121820
<b>Proposal Type:</b>	New	<b>Award Type:</b>	Grant
<b>Program Type:</b>	Basic Org Research	<b>Special Program Type:</b>	Limited Submission
<b>Award Status:</b>	Awarded/Fully Executed	<b>Location:</b>	On Site

Budget Period	Direct Costs	F&A Costs	Total	F&A Rate	F&A Base	Award Status	Action Type
04/01/2012 - 03/31/2013	\$198,765	\$107,333	\$306,098	0.000 %	MTDC	Awarded/Fully Executed	New
04/01/2013 - 03/31/2014	\$198,765	\$107,333	\$306,098	0.000 %	MTDC	Anticipated/Committed	Continuation
04/01/2014 - 03/31/2015	\$198,765	\$107,333	\$306,098	0.000 %	MTDC	Anticipated/Committed	Continuation
04/01/2015 - 03/31/2016	\$198,765	\$107,333	\$306,098	0.000 %	MTDC	Anticipated/Committed	Continuation
04/01/2016 - 03/31/2017	\$198,765	\$107,333	\$306,098	0.000 %	MTDC	Anticipated/Committed	Continuation

## Section IV: Subawards

### Proposed Subawards

University of Southern California, UC San Diego

### Named Subawards

University of Southern California

# OST: Submitting Your Subaward Request Package (cont.)

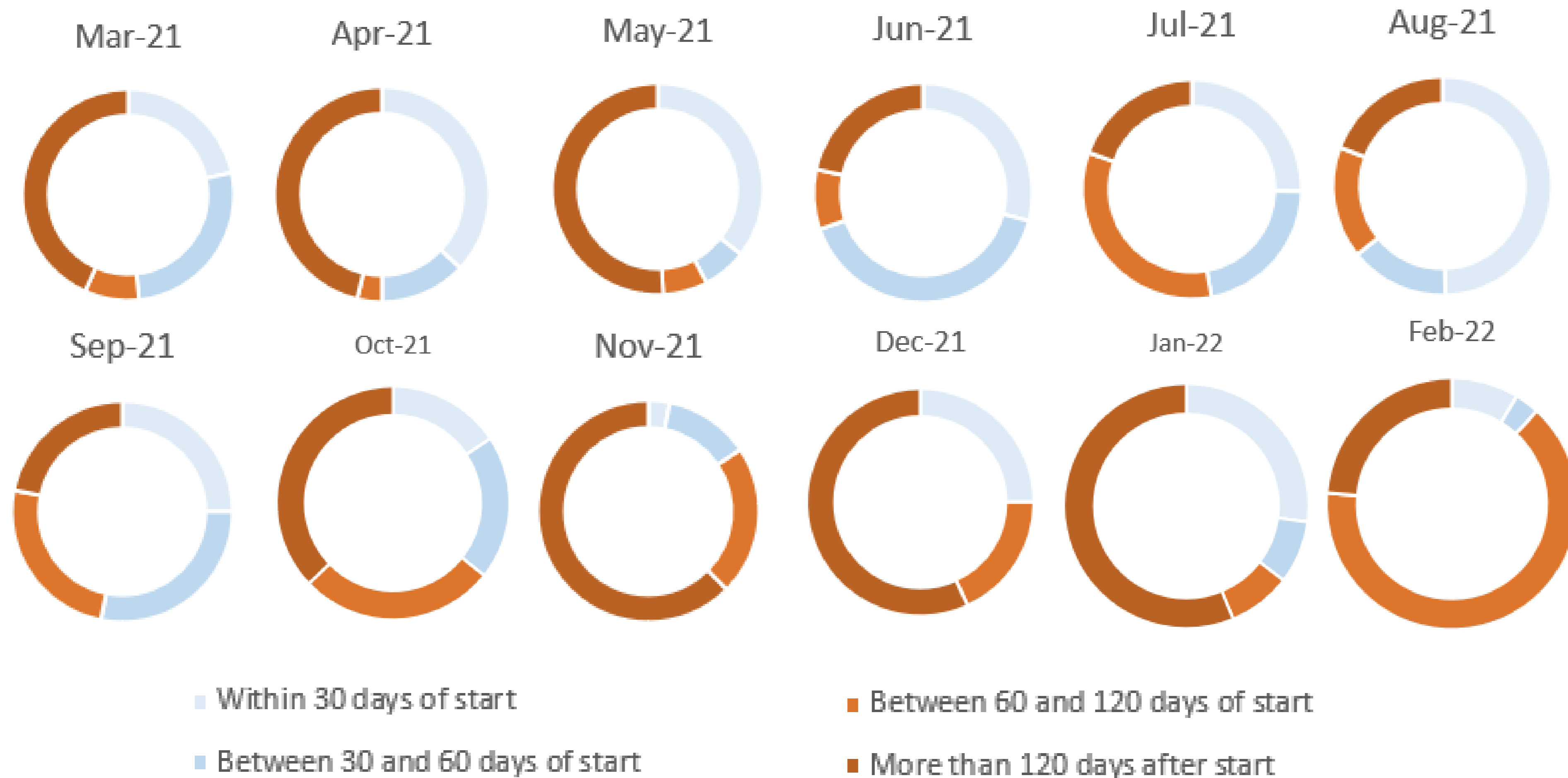
A complete Subaward package includes:

- All corresponding Attachments

## **VII. REQUIRED DOCUMENTS** *(Required documents that are incomplete or missing WILL DELAY review and processing.)*

<p><b>Required for All Subawards</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Completed UCLA Subaward Checklist (this form)</li> <li><input type="checkbox"/> UCLA <a href="#">Subrecipient Commitment Form</a> <b>OR</b> UCLA <a href="#">Letter of Intent</a> (LOI to be used for <a href="#">FDP Expanded Clearinghouse Members</a> only)</li> <li><input type="checkbox"/> <a href="#">UCLA Subrecipient vs Contractor Determination Form</a></li> <li><input type="checkbox"/> Subrecipient Statement of Work</li> <li><input type="checkbox"/> Subrecipient Line Item Budget and Justification</li> <li><input type="checkbox"/> Applicable UCLA OCGA Award Snapshot</li> </ul>	<p><b>Required as Applicable</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Subrecipient IRB Approval (if working with human subjects)</li> <li><input type="checkbox"/> Subrecipient IACUC Approval (if working with animal subjects)</li> <li><input type="checkbox"/> Subrecipient Stem Cell Approval (if working with stem cells)</li> <li><input type="checkbox"/> Subrecipient Line Item Cost Share Budget and Justification (if cost share indicated in Section V above)</li> </ul> <p><b><i>If indicated by Subrecipient Commitment Form:</i></b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Subrecipient Federal Indirect Cost Rate Agreement</li> <li><input type="checkbox"/> Subrecipient Federal Fringe Benefits Rate Agreement</li> <li><input type="checkbox"/> <a href="#">PHS Financial COI Disclosure Form</a> (if no PHS FCOI policy)</li> <li><input type="checkbox"/> Subrecipient Most Recent UG Audit (copy of or hyperlink to)</li> <li><input type="checkbox"/> <a href="#">Certificate of Compliance</a> (if UG Audit has findings)</li> <li><input type="checkbox"/> <a href="#">Financial Audit Management Questionnaire</a> (if no UG audit)</li> <li><input type="checkbox"/> <a href="#">UCLA Fair &amp; Reasonable Cost Analysis</a> (For-Profit subrecipients)</li> </ul>
<ul style="list-style-type: none"> <li><input type="checkbox"/> <b><i>New:</i></b> Required Documents were submitted <b><u>complete</u></b> to OCGA at proposal stage. There are no changes or updates, except as attached (for example, if applicable: revised scope of work and/or budget; subject use approvals; Financial Audit Management Questionnaire; etc).</li> <li><input type="checkbox"/> <b><i>Amendment:</i></b> Required Documents were submitted to the OST for a previous action. There are no changes or updates, except as attached (for example, if applicable: revised scope of work and/or budget; subject use approvals; etc).</li> </ul>	

# OST: Subaward Request Receipt Dates



# OST: Subaward Request Receipt Dates (cont.)

*When you receive an OCGA e-mail Notification confirming the setup of 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.*

**From:** ORA Reports <[DoNotReply@research.ucla.edu](mailto:DoNotReply@research.ucla.edu)>  
**Sent:** Friday, February 18, 2022 1:15 AM  
**To:** UCLA PI <[UCLA\\_PI@e-mail](mailto:UCLA_PI@e-mail)>;  
**Cc:** ORA PATS Records <[PATSRecords@research.ucla.edu](mailto:PATSRecords@research.ucla.edu)>; ORDM Awards AFE <[awardsafe@research.ucla.edu](mailto:awardsafe@research.ucla.edu)>  
**Subject:** OCGA Notice of Award Action: UCLA PI [ PATS Number ]

## UCLA OCGA Notification of Award Action

Principal Investigator: *UCLA PI*  
Department: *Administering Department*  
Project Title: *Project Title*

Sponsor: *Sponsor Name*  
Sponsor Award Number: *Award Number*  
Fund Number: *Assigned Fund Number* ←  
UCLA PATS Record Number: *PATS Number*  
Award Type: *Grant or Cooperative Agreement*  
Action: *New or Continuation*

Funds Awarded this Action: *Funded amount for this action*  
Total Funds Awarded to Date: *Total funded amount*  
Current Budget Period: *Budget period this action* ←  
Project Period: *Overall project period*

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.

# 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!*