



Research Administration Forum

September 14, 2023

Welcome and Reminders

- 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
- Use the “raise hand” option to ask a question orally. You will be allowed to unmute.
- Slides will be posted on the ORA website following the meeting

Agenda

- **Welcome & Announcements** – *Marcia Smith*
- **Contract and Grant Administration**
 - Outgoing Subawards Update – *Kristin Lund*
 - Sponsor Updates – *Kathy Kawamura*
- **UCLA Business and Finance Solutions**
 - IRB Approved Research Payment Requests – *Bianca Caulfield*
- **UCLA Health Informatics Team**
 - Research Technology and Data Management Support – *Ibraheem Ali, PhD & Clifford Kravit*
- **Ascend 2.0**
 - Research Post Sprint Demo 2 – *Katie Cadle*



Research Administration
Contract & Grant Administration

OCGA's Outgoing Subawards Team (OST): Upcoming Form and Website Changes

Research Administration Forum

September 14, 2023

OST: *Upcoming Changes*

Upcoming Outgoing Subawards Team (OST) changes, to take effect **October 2nd**:

- **Forms**
 - *Consolidation of OST forms required at proposal stage*
 - *Streamlining of form questions*
 - *Subrecipient information now required at award stage (to help streamline and minimize collection volume)*
- **EPASS 'Subawards' Tab**
 - *Submission of subaward proposal documents via a new EPASS Subawards tab*
- **Website**
 - *Overall reorganization and redesign to be more customer-focused*
- **NIH Policy**
 - *New NIH reporting requirements for international subrecipients*

OST: Form Changes

Proposal Stage Forms *(Current)*

UCLA OCGA
FDP EXPANDED CLEARINGHOUSE PILOT SUBRECIPIENT LETTER OF INTENT

This can ONLY be used in lieu of the UCLA OCGA Subrecipient Commitment Form by institutions who are listed as part of the FDP Expanded Clearinghouse Pilot at <https://ocga.ucla.edu/clearinghouse>

Subrecipient (Date) _____ Pass Through Entity (PTE) The Regents of the University of California, Los Angeles
Legal Name _____ PTE Name _____
Sub ID: _____ PTE ID: RNS4EPNHC6

Sub Principal Investigator: _____ PTE Principal Investigator: _____
Sub Internal Project Identifier (jw_AJTS #): _____ PTE Internal Project Identifier (jw_AJTS #): _____

Project Title: _____
Prime Awarding Agency: _____ Complete Project Period: Start: _____ End: _____
Total Proposed Amount for Complete Project Period: \$ _____ Cost Sharing Amount for Complete Project Period: \$ _____

Federally negotiated FBA rate that matches our FDP Expanded Clearinghouse Pilot Entity Profile
 A reduced FBA rate dictated by the prime awarding agency. Rate: _____ Base Type: _____
 Not applicable (no indirect costs are requested by Sub)

Project Use Information:
Human Subjects Yes No Animal Subjects Yes No Stem Cells Yes No Genomic Data Sharing Yes No

Authorizational Official Information:
Sub Name/Title: _____ PTE Name/Title: _____
Sub Phone: _____ PTE Phone: _____
Sub Email: _____ PTE Email: _____
Sub Email For Awards (if different from above): _____
Sub Place of Performance (the same as FDP Expanded Clearinghouse Pilot Entity Profile's): Yes No (the PI/PIA reporting awarded)

This proposal has been reviewed and approved by the appropriate official(s) of Subrecipient, and certified to its accuracy and completeness. The appropriate programmatic and administrative personnel of Subrecipient involved in this application are aware of the prime awarding agency's policies, agree to accept the obligation to comply with award terms, conditions and certifications, and are prepared to establish the necessary inter-institutional agreement consistent with that policy.

The following documents are attached to this Statement of intent:
 Sub Statement of Work (required) Sub Budget justification (required)
 Sub Detailed Line Item Budget (required) Other: _____

Signature of Subrecipient's Authorized Official _____ Date _____
Name and Title of Authorized Official _____

FDP Expanded Clearinghouse Pilot (Editor: 6/9/2022)

FDP LOI

UNIVERSITY OF CALIFORNIA
MULTI-CAMPUS (MCA) COMMITMENT FORM

All UC campuses participating in multi-UC prime campus awards should submit this form when submitting a proposal to UC Prime Campus/Division. It provides a checklist of required documents and certifications.

Prime Campus/Division PI: _____ Prime Sponsor: _____
Project Title: _____
Participating Campus: Agriculture & Natural Resources
Participating Campus Department: _____
Participating Campus Total Funds Requested: _____
Participating Campus Performance Period Begin Date: _____ End Date: _____

SECTION A - Proposal Documents (check all that apply)

The following documents are included in our subaward proposal submission and covered by the certifications below:

STATEMENT OF WORK (Required)
 BUDGET AND BUDGET JUSTIFICATION (Required)
 SUBRECIPIENT COMMITMENT FORM (This form)

SECTION B - Certifications (check or insert if not apply)

The following documents are included in our subaward proposal submission and covered by the certifications below:

STATEMENT OF WORK (required)
 BUDGET AND BUDGET JUSTIFICATION (required)
 OTHER (specify): _____

1. **Facilities and administrative rate and base applied in this proposal is** _____ % MTDC (FBA Rate Agreement) based on the following:
 Federally negotiated FBA rates for this type of work.
 Other (specify): _____

2. **Human Subjects** Yes No
3. **Animal Subjects** Yes No
4. **Stem Cells** Yes No
5. **Recombinant DNA** Yes No
6. **Cost Sharing** Yes No
Cost sharing amounts and justification must be included in the Participating Campus budget. Please be advised that an annual verification of cost share commitment will be required.

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MCA Commitment

University of California, Los Angeles
SUBRECIPIENT COMMITMENT FORM

All Subrecipients must complete this form when submitting a proposal to UCLA. It provides a checklist of documents and certifications required by sponsors and it must be endorsed by the authorized institutional representative prior to proposal submission.

Subrecipient's Legal Name: _____
Subrecipient's Principal Investigator: _____
UCLA's Principal Investigator: _____ Prime Sponsor: _____
UCLA's Proposal Title: _____
Subrecipient Total Funds Requested: _____ Performance Period Begin Date: _____ End Date: _____

SECTION A - Proposed Documents - ALSO SEE SECTION E to avoid the questions and completed a Subrecipient continues to fill out the rest of the form

The following documents are included in our subaward proposal submission and covered by the certifications below:

STATEMENT OF WORK (Required)
 BUDGET AND BUDGET JUSTIFICATION (Required)
 SUBRECIPIENT COMMITMENT FORM (This form)

SECTION B - Certifications

1. **Facilities & Administrative Rates** included in this proposal have been calculated based on the following:
 Our federally negotiated negotiated FBA rates for this type of work. If this box is checked, a copy of your FBA rate agreement must be furnished to UCLA Office of Contract & Grant Administration (OCGA).
 A reduced FBA rate dictated by the prime sponsor that we hereby agree to accept. Rate: _____ Base Type: _____
 Not applicable (no indirect costs are requested by Subrecipient).

2. **Fringe Benefit Rates** included in this proposal have been calculated based on the following:
 Rates are consistent with our Federally negotiated rates. If this box is checked, a copy of your Federal fringe benefit rate agreement must be furnished to UCLA OCGA.
 Other rates as specified in Section F. Comments (please specify the basis on which the rate has been calculated): _____

3. **Human Subjects** YES NO
If YES copies of the following documentation must be provided before any subaward can be issued:
a) IRB approval certification
b) IRB approved project protocol
c) Approved "Informed Consent" form
d) Verification of IRB training
e) Verification of FBA number and Expiration date
Please forward these documents to UCLA's Principal Investigator as soon as they become available.
If YES 222 form funding is involved:
• Have all key personnel completed human subjects training at the subrecipient's institution? YES NO
• Please attach a list of key personnel who are on this project on a separate sheet.

4. **Animal Subjects** YES NO
If YES, a copy of the IACUC approval must be provided before any subaward will be issued. Please forward these documents to UCLA's Principal Investigator as soon as they become available.
If YES 222 form funding is involved:
Please provide your institution's PHS Assurance Number, PHS Assurance No. _____ Expiration Date: _____
If you do not have one on file, you will need to apply for one and provide it to us before any subaward will be issued.

5. **Stem Cells** YES NO
If YES, a copy of the Stem Cell approval must be provided before any subaward will be issued. Please forward these documents to UCLA's Principal Investigator as soon as they become available.

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Subrecipient Commitment & related docs

University of California, Los Angeles
Office of Contract and Grant Administration

PIB Financial Disclosure Form for Investigators from subrecipient entities that do not have a PIB-completed conflict of interest entry in effect in lieu of PIB award application

Subrecipient's Principal Investigator: _____
UCLA's Principal Investigator: _____
UCLA's Proposal Title: _____
Subrecipient Total Funds Requested: _____ Performance Period Begin Date: _____ End Date: _____

SECTION A - Proposed Documents - ALSO SEE SECTION E to avoid the questions and completed a Subrecipient continues to fill out the rest of the form

The following documents are included in our subaward proposal submission and covered by the certifications below:

STATEMENT OF WORK (Required)
 BUDGET AND BUDGET JUSTIFICATION (Required)
 SUBRECIPIENT COMMITMENT FORM (This form)

SECTION B - Certifications

1. **Facilities & Administrative Rates** included in this proposal have been calculated based on the following:
 Our federally negotiated negotiated FBA rates for this type of work. If this box is checked, a copy of your FBA rate agreement must be furnished to UCLA Office of Contract & Grant Administration (OCGA).
 A reduced FBA rate dictated by the prime sponsor that we hereby agree to accept. Rate: _____ Base Type: _____
 Not applicable (no indirect costs are requested by Subrecipient).

2. **Fringe Benefit Rates** included in this proposal have been calculated based on the following:
 Rates are consistent with our Federally negotiated rates. If this box is checked, a copy of your Federal fringe benefit rate agreement must be furnished to UCLA OCGA.
 Other rates as specified in Section F. Comments (please specify the basis on which the rate has been calculated): _____

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a) IRB approval certification
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c) Approved "Informed Consent" form
d) Verification of IRB training
e) Verification of FBA number and Expiration date
Please forward these documents to UCLA's Principal Investigator as soon as they become available.
If YES 222 form funding is involved:
• Have all key personnel completed human subjects training at the subrecipient's institution? YES NO
• Please attach a list of key personnel who are on this project on a separate sheet.

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Please provide your institution's PHS Assurance Number, PHS Assurance No. _____ Expiration Date: _____
If you do not have one on file, you will need to apply for one and provide it to us before any subaward will be issued.

5. **Stem Cells** YES NO
If YES, a copy of the Stem Cell approval must be provided before any subaward will be issued. Please forward these documents to UCLA's Principal Investigator as soon as they become available.

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University of California, Los Angeles
Office of Contract and Grant Administration

Certificate of Compliance with OMB Circular A-133 Uniform Guidance

The Subrecipient certifies that the Subrecipient is in compliance with the requirements of OMB Circular A-133 Uniform Guidance.

For fiscal year _____ the administration of Federal programs at this institution has been audited in accordance with the requirements of OMB Circular A-133 Uniform Guidance.

Check the statement(s) that apply:

There were no material instances of non-compliance with federal laws and regulations, and there were no reportable conditions.

There were no instances of non-compliance with federal laws and regulations that are specifically related to the award from the Regent of the University of California, Los Angeles.

Material non-compliance issues and/or reportable conditions were noted in the A-133 Uniform Guidance audit report. A copy of the report and responses is attached.

Title _____
Institution _____
Signature _____
Date _____

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University of California, Los Angeles
Office of Contract and Grant Administration

FINANCIAL ASSET MANAGEMENT QUESTIONNAIRE

OMB Circular A-133 Uniform Guidance requires monitoring of subrecipient-owning financial assets to ensure that a program and/or prime award to the University of California, Los Angeles (UCLA) is used for the intended purpose. The University is responsible for monitoring the program, financial, and other information of interest to OIG.

Subrecipient's Legal Name: _____
Subrecipient's Principal Investigator: _____
UCLA's Principal Investigator: _____
UCLA's Proposal Title: _____
Subrecipient Total Funds Requested: _____ Performance Period Begin Date: _____ End Date: _____

SECTION A - Proposed Documents - ALSO SEE SECTION E to avoid the questions and completed a Subrecipient continues to fill out the rest of the form

The following documents are included in our subaward proposal submission and covered by the certifications below:

STATEMENT OF WORK (Required)
 BUDGET AND BUDGET JUSTIFICATION (Required)
 SUBRECIPIENT COMMITMENT FORM (This form)

SECTION B - Certifications

1. **Facilities & Administrative Rates** included in this proposal have been calculated based on the following:
 Our federally negotiated negotiated FBA rates for this type of work. If this box is checked, a copy of your FBA rate agreement must be furnished to UCLA Office of Contract & Grant Administration (OCGA).
 A reduced FBA rate dictated by the prime sponsor that we hereby agree to accept. Rate: _____ Base Type: _____
 Not applicable (no indirect costs are requested by Subrecipient).

2. **Fringe Benefit Rates** included in this proposal have been calculated based on the following:
 Rates are consistent with our Federally negotiated rates. If this box is checked, a copy of your Federal fringe benefit rate agreement must be furnished to UCLA OCGA.
 Other rates as specified in Section F. Comments (please specify the basis on which the rate has been calculated): _____

3. **Human Subjects** YES NO
If YES copies of the following documentation must be provided before any subaward can be issued:
a) IRB approval certification
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c) Approved "Informed Consent" form
d) Verification of IRB training
e) Verification of FBA number and Expiration date
Please forward these documents to UCLA's Principal Investigator as soon as they become available.
If YES 222 form funding is involved:
• Have all key personnel completed human subjects training at the subrecipient's institution? YES NO
• Please attach a list of key personnel who are on this project on a separate sheet.

4. **Animal Subjects** YES NO
If YES, a copy of the IACUC approval must be provided before any subaward will be issued. Please forward these documents to UCLA's Principal Investigator as soon as they become available.
If YES 222 form funding is involved:
Please provide your institution's PHS Assurance Number, PHS Assurance No. _____ Expiration Date: _____
If you do not have one on file, you will need to apply for one and provide it to us before any subaward will be issued.

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If YES, a copy of the Stem Cell approval must be provided before any subaward will be issued. Please forward these documents to UCLA's Principal Investigator as soon as they become available.

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University of California, Los Angeles
Office of Contract and Grant Administration

Subrecipient vs. Contractor Determination Checklist

The following checklist must be analyzed and filled out per OCGA process and the Uniform Guidance 201.310 in order to determine whether the agreement between UCLA and the third party receiving funds constitutes a Subrecipient or a Contractor (Vendor). Submit completed form to the UCLA Office of Contract and Grant Administration (OCGA/Department Research Administrator (DRA) at the proposal stage (before submission of proposal). NOTE: This form is not required for Multi-Campus Awards.

UCLA _____
Third Party Name: _____
Project Title: _____
Prime Sponsored by (e.g. federal agency, non-profit organization, etc.): _____

SUBRECIPIENT: A subaward is for the purpose of a third party to carry out a portion of an award and creates an assistance relationship between UCLA and the third party. Characteristics which support the classification of the third party entity as a subrecipient include when the third party check all that apply:

Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the program.
 There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions;
 Work could result in the development of intellectual property;
 Is expected to author or co-author publications on the results of program/project work;
 Will need animal and/or human subject approval for its work;
 Provides cost sharing or matching funds;
 Will use the funds to carry out a program for a public purpose, as opposed providing goods or services for the benefit of the pass-through entity (i.e. UCLA).

Entities that include these characteristics are responsible for adherence to applicable program requirements specified in the Award.

CONTRACTOR (VENDOR): A contract is for the purpose of obtaining goods and services for UCLA's own use and creates a procurement relationship between UCLA and the third party contractor. Characteristics indicative of a procurement relationship between UCLA and a contractor are when the third party receiving the funds check all that apply:

Provides the goods and services within normal business operations;
 Provides similar goods or services to many different purchasers;
 Performs a series of repetitive tasks or activities requiring little or no discretionary judgment;
 Normally operates in a competitive environment;
 Provides goods or services that are ancillary to the operation of the program; and
Entities that include these characteristics are NOT subject to compliance requirements of the program as a result of the agreement, though similar requirements may apply for other reasons.

Description: All of the characteristics listed above may not be present in all cases. Therefore, judgment must be used in classifying the agreement as either a subaward or a procurement contract. In determining whether an agreement constitutes a subaward or a procurement contract, the substance of the relationship is more important than the form of the agreement.

Based on your analysis of the above checklist results, the organization is determined to be a
 SUBRECIPIENT * CONTRACTOR (VENDOR)

UCLA Principal Investigator Signature _____ Date _____
*Submit this form along with Subrecipient Commitment Form as part of the proposal package for the minimum requirements

GRABBA REVIEW:
 AGREE DISAGREE, RETURN TO DEPT. COMMENTS: _____
Name of Authorized Institution Official (e.g. DRA, OCGA) _____
Signature of Above Authorized Institution Official _____ Date _____

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Determination Checklist

UCLA OCGA
FAIR & REASONABLE

The following checklist must be analyzed and filled out per OCGA process and the Uniform Guidance 201.310 in order to determine whether the agreement between UCLA and the third party receiving funds constitutes a Subrecipient or a Contractor (Vendor). Submit completed form to the UCLA Office of Contract and Grant Administration (OCGA/Department Research Administrator (DRA) at the proposal stage (before submission of proposal). NOTE: This form is not required for Multi-Campus Awards.

UCLA _____
Third Party Name: _____
Project Title: _____
Prime Sponsored by (e.g. federal agency, non-profit organization, etc.): _____

SUBRECIPIENT: A subaward is for the purpose of a third party to carry out a portion of an award and creates an assistance relationship between UCLA and the third party. Characteristics which support the classification of the third party entity as a subrecipient include when the third party check all that apply:

Performance represents an intellectually significant portion of the overall programmatic effort and is measured against the objectives of the program.
 There is an identified principal investigator for the subrecipient who has responsibility for making programmatic decisions;
 Work could result in the development of intellectual property;
 Is expected to author or co-author publications on the results of program/project work;
 Will need animal and/or human subject approval for its work;
 Provides cost sharing or matching funds;
 Will use the funds to carry out a program for a public purpose, as opposed providing goods or services for the benefit of the pass-through entity (i.e. UCLA).

Entities that include these characteristics are responsible for adherence to applicable program requirements specified in the Award.

CONTRACTOR (VENDOR): A contract is for the purpose of obtaining goods and services for UCLA's own use and creates a procurement relationship between UCLA and the third party contractor. Characteristics indicative of a procurement relationship between UCLA and a contractor are when the third party receiving the funds check all that apply:

Provides the goods and services within normal business operations;
 Provides similar goods or services to many different purchasers;
 Performs a series of repetitive tasks or activities requiring little or no discretionary judgment;
 Normally operates in a competitive environment;
 Provides goods or services that are ancillary to the operation of the program; and
Entities that include these characteristics are NOT subject to compliance requirements of the program as a result of the agreement, though similar requirements may apply for other reasons.

Description: All of the characteristics listed above may not be present in all cases. Therefore, judgment must be used in classifying the agreement as either a subaward or a procurement contract. In determining whether an agreement constitutes a subaward or a procurement contract, the substance of the relationship is more important than the form of the agreement.

Based on your analysis of the above checklist results, the organization is determined to be a
 SUBRECIPIENT * CONTRACTOR (VENDOR)

UCLA Principal Investigator Signature _____ Date _____
*Submit this form along with Subrecipient Commitment Form as part of the proposal package for the minimum requirements

GRABBA REVIEW:
 AGREE DISAGREE, RETURN TO DEPT. COMMENTS: _____
Name of Authorized Institution Official (e.g. DRA, OCGA) _____
Signature of Above Authorized Institution Official _____ Date _____

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Fair & Reasonable

OST: Form Changes

Proposal Stage Forms – Upcoming Changes Effective October 2nd

FDP LOI

MCA Commitment

Subrecipient Commitment & related docs

Determination Checklist

Fair & Reasonable

'Universal' Letter of Intent (Proposal Stage)

Institutional Information Form (Award Stage)

Fair & Reasonable (For-Profit Entities only)

OST: Form Updates

Proposal Stage Forms – Effective October 2nd

'Universal' Letter of Intent

Institutional Information Form

Fair & Reasonable

- **'Universal' Letter of Intent**
 - REQUIRED at proposal stage
 - Project information only
 - 'Smart' form for FDP expanded clearinghouse members and sister-UC campuses
 - Alternatively, the OST can accept the Multi-Campus Commitment form, if a sister-UC campus prefers to use it
- **Institutional Information Form**
 - Can be collected at proposal stage, but is not required until award stage
 - FAMQ consolidated into this form, removed when Audit question answered 'yes'
- **Fair & Reasonable Cost Analysis**
 - Determination consolidated into this form (not required in any other situation)

OST: Proposal Stage Forms

Required Proposal Documents for all Subrecipient entities:

- 'Universal' Letter of Intent (*Site*)
- For-profit entities only: Fair and Reasonable Cost Analysis Form (*UCLA*)

Plus

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

Required Award Documents for Subrecipients who ARE NOT FDP Expanded Clearinghouse Members or Sister-UC campuses:

- Subrecipient Institutional Information form (*Site*)

OST: 'Universal' Letter of Intent

'Universal' Letter of Intent

UCLA OCGA requires this form to be completed and submitted with each subaward proposal. This form provides project-specific information and represents the Subrecipient's intent to collaborate with UCLA. This form may also be used for proposed outgoing Multi-Campus Awards (MCAs). It must be endorsed by an Authorized Official prior to proposal submission. **FDP Expanded Clearinghouse Members and Sister-UC Campuses: indicate your membership in the below 'Subrecipient Information' section to remove entity-specific questions from this form. Should this project be awarded, an Institutional Information form will be required for any non-UC entities that do not belong to the FDP Expanded Clearinghouse.**

UCLA Project Information

Principal Investigator: _____ Prime Sponsor: _____

Proposal Title: _____

Subrecipient Information *FDP Expanded Clearinghouse Member? YES Sister-UC Campus? YES*

Legal Name: _____ UEI Number*: _____

Principal Investigator: _____ Total Requested Costs: _____ USD

Project Start Date: _____ Project End Date: _____ Total Cost Share: _____ USD

Indirect Cost Rate(s): U.S. Federally negotiated rate Prime Sponsor dictated rate U.S. De Minimis rate
 No IDC (no indirect costs requested) Other (specify basis): _____

Additional Subrecipient Information

Is Subrecipient a for-profit entity? Yes No SAM Registration* Yes No

Is Subrecipient a U.S. entity? Yes No

Payment Address: _____

Conflict of Interest Requirement (UCLA OCGA does not allow Subrecipients to rely on UCLA FCOI policy.)

If the prime sponsor is the U.S. National Science Foundation (NSF), Department of Energy (DOE), National Aeronautics and Space Administration (NASA), Public Health Service (PHS, inclusive of the National Institutes of Health (NIH)), or a prime sponsor that has adopted the PHS Conflict of Interest regulation, Subrecipient certifies that it has implemented and is enforcing a written policy of financial conflict of interest (FCOI) compliant with the prime sponsor's conflict of interest policy. All required reports and disclosures have been made to the Subrecipient's institutional official in accordance with its policy.

My organization DOES NOT HAVE a compliant Conflict of Interest policy in place, as referenced above, but will at the time of award. (Sample PHS FCOI policy & related resources available at <https://thefdp.org/default/committees/research-compliance/conflict-of-interest/>.)

Not applicable because this project is not being funded by NSF, DOE, NASA or PHS (or prime sponsor that has adopted PHS FCOI regulation).

NIH International Subrecipient Reporting Requirements (For non-U.S. Subrecipients only.)

If the prime sponsor is the U.S. National Institutes of Health (NIH), Subrecipient is aware of the provisions of NIH GFS 15.2.1 requiring that international subrecipients provide copies of all lab notebooks, data, and documentation that support any resulting research outcomes and Subrecipient confirms that it is able to comply with the regular submission of these materials to UCLA (i.e. every 3 months) for the life of the subaward.

In signing below and offering to participate in this sponsored project, Subrecipient certifies that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from receiving funds from any U.S. federal department or agency or sponsor, and are not presently delinquent on any U.S. federal debt. This proposal has been reviewed and approved by the appropriate official(s) of Subrecipient, and certified to its accuracy and completeness. The appropriate programmatic and administrative personnel of Subrecipient involved in this application are aware of the prime sponsor's policies, agree to accept the obligation to comply with award terms, conditions, and certifications and are prepared to establish the necessary inter-institutional agreement consistent with that policy.

Name and Title of Authorized Official: _____ Award E-mail Address: _____

Signature: _____ Date: _____

UCLA OCGA requires this form to be completed and submitted with each subaward proposal. This form provides project-specific information and represents the Subrecipient's intent to collaborate with UCLA. This form may also be used for proposed outgoing Multi-Campus Awards (MCAs). It must be endorsed by an Authorized Official prior to proposal submission. **FDP Expanded Clearinghouse Members and Sister-UC Campuses: indicate your membership in the below 'Subrecipient Information' section to remove entity-specific questions from this form. Should this project be awarded, an Institutional Information form will be required for any non-UC entities that do not belong to the FDP Expanded Clearinghouse.**

UCLA Project Information

Principal Investigator: _____ Prime Sponsor: _____

Proposal Title: _____

Subrecipient Information *FDP Expanded Clearinghouse Member? YES Sister-UC Campus? YES*

Legal Name: _____ UEI Number*: _____

Principal Investigator: _____ Total Requested Costs: _____ USD

Project Start Date: _____ Project End Date: _____ Total Cost Share: _____ USD


Indirect Cost Rate(s): U.S. Federally negotiated rate Prime Sponsor dictated rate U.S. De Minimis rate
 No IDC (no indirect costs requested) Other (specify basis): _____

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

- Selecting FDP Expanded Clearinghouse Member or Sister-UC Campus will remove the indirect cost rate agreement and FCOI policy questions from the forms – the OST already has access to that information for FDP Expanded Clearinghouse Members and Sister-UC Campuses.
- Selecting Sister-UC Campus will also add a campus drop down and auto-fill the unique entity identification (UEI) number and award e-mail address for the selected campus.

OST: Institutional Information Form

Subrecipient Institutional Information Form



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) to be completed by non-FDP Expanded Clearinghouse Subrecipients who have not collaborated with UCLA within the last year. This form provides UCLA 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? <input type="checkbox"/> No <input type="checkbox"/> Yes	
Central Office E-mail		Central Office Phone	
Entity Type		Entity Established Date	
Subrecipient Owned/Controlled by Parent Entity? <input type="checkbox"/> No <input type="checkbox"/> Yes -- Parent entity information provided below:			
Legal Name			
Address		City	
State	Zip+4	Country	
Parent UEI Number	Parent EIN		

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?

YES, and a complete copy of the subrecipient's most recent UG audit report can be found at the following public internet URL link:

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](#).

(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/wp-content/uploads/financial-audit-management-questionnaire.pdf>)

Agency Specific Compliance Policies

National Science Foundation (NSF), National Institutes of Health (NIH) and National Institute of Food and Agriculture (NIFA) Responsible Conduct of Research Applicable to projects funded by NSF, NIH, NIFA or any other programs requiring Responsible Conduct of Research Training.

Should subrecipient organization/institution receive funding from NSF, NIH, NIFA, or any other agencies requiring Responsible Conduct of Research training, subrecipient certifies that it has implemented a Responsible Conduct of Research training program compliant with the related prime sponsor's training policy and will ensure that all personnel required to complete Responsible Conduct of Research training in accordance with agency requirements.

Subrecipient does not have a Responsible Conduct of Research training program.

U.S. Public Health Service (PHS)/National Institutes of Health (NIH) Research Misconduct Applicable to projects funded by U.S. PHS/NIH.

Subrecipient organization/institution hereby certifies that it has filed a PHS form 6349 annually with the Office of Scientific Integrity

Subrecipient organization/institution hereby certifies that it has completed and submitted the "Assurance of Compliance by Subaward Recipients available at: <http://ori.hhs.gov/sites/default/files/PHS-6315.pdf>

Subrecipient does not have a program for dealing with or reporting research misconduct allegations to the U.S. PHS/NIH.

Human Subject Use

Does subrecipient organization/institution have an [HHS/OHRP Human Subjects FWA Approval](#)? YES NO

If yes, FWA Approval number is:

Is the subrecipient organization/institution AAHRPP accredited? YES NO

Animal Subject Use

Does subrecipient organization/institution have a [PHS/OLAW assurance](#)? YES NO

If yes, PHS/OLAW assurance number is:

Federal Funding and Accountability Transparency Act (FFATA)

Federal Funding Accountability and Transparency Act (FFATA) Applicable to projects funded by the U.S. federal government.

YES NO During the previous fiscal year subrecipient organization/institution received 80% or more of its annual gross revenues in U.S. federal awards; AND

YES NO \$25 million or more in annual gross revenues from federal awards; AND

YES 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 Securities and Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d) or section 6104 of the Internal Revenue Service Code of 1986 [26 USC 6104]

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

Name of officer:	Officer compensation:

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 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 (federal, state or local) contract or subcontract; violation of 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 federal agency.

*** If subrecipient cannot certify to any of the above, explain in the Comments section above.**

In signing below, the subrecipient organization/institution certifies that, should UCLA award pass-through U.S. federal funding to subrecipient, subrecipient organization/institution is in compliance with the Drug Free Workplace Act of 1988; they are in compliance with U.S. Code, Section 1352, restrictions on the use of federal funds for the purpose of lobbying; and they have filed with DHHS compliance offices certification forms governing Civil Rights (441), Handicapped Individuals (641), Sex Discrimination (639-A), and Age Discrimination (680).

All terms and conditions between the parties will be outlined in a separate formal subaward agreement. 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 OFFICIAL:

Name and Title

Signature/Date

OST: Website Changes

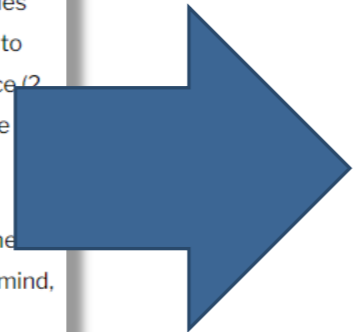
Outgoing Subawards Overview

An Outgoing Subaward is a formal written agreement between UCLA and another party to perform a portion of the statement of work under a UCLA assistance award (i.e. UCLA grant or cooperative agreement). The terms of the relationship are influenced by the prime agreement received by UCLA, and the third parties' statement of work. OCGA prepares and negotiates all outgoing subawards for prime awards accepted by OCGA. All outgoing subawards must be monitored to ensure that the subrecipient complies with these terms. Federal regulations for subrecipient determination and monitoring are found in the Uniform Guidance (2 CFR Chapter I, Chapter II, Part 200, et al. OMB Uniform Administrative Requirements for Federal Awards). A subrecipient works collaboratively with the prime award recipient to carry out the scope of work.

The increase in outgoing subawards in recent years, reflecting the increase of collaboration in research, has resulted in heightened compliance scrutiny by the federal government and other sponsors. Office of Contract and Grant Administration (OCGA) is committed to issuing all subawards with such compliance in mind, and to working with researchers and departments to assist in the effective management of outgoing subawards.







It is important for the UCLA PIs and department administrators to understand their roles and responsibilities in managing outgoing subawards, and to work with OCGA to minimize the risk and ensure successful collaboration and compliance.

For additional information regarding outgoing subawards, please visit our [FAQ page](#) or contact the Subaward Team at ocgasubawards@research.ucla.edu.



Outgoing Subawards Overview

How Do I?

<p>Know if the Project is a Subaward</p>  <p>Amend a Subaward</p> 	<p>Propose/Add a Subaward or MCA</p>  <p>Monitor a Subaward</p> 	<p>Request a Subaward or MCA</p>  <p>Closeout a Subaward</p> 
--	--	---

Outgoing Subaward FAQs

Current Queue

257

Average Processing Time*

38 business days

OST Website changes:

- More customer focused
- Ease departmental access to OST information, processes and form requirements

OST: EPASS tab

EPASS – Subawards *(Currently)*

Currently all information is gathered in one free text field and one document upload table

Outgoing Agreements? If yes, attach Subrecipient/MCA Commitment Form(s) or FDP Expanded Clearinghouse Subrecipient Letter(s) of Intent with applicable attachments, and Subrecipient vs. Contractor Determination Checklist for each subaward. See [Outgoing Subawards Form](#) for details and forms.

Yes No

List the name of each subaward entity

Maximum 500 characters.

For each Subaward entity, attach a single, combined, PDF with the applicable documents for that entity.

Upload Outgoing Subaward Documents

File Type: .pdf.
The individual file sizes cannot exceed 25MB.

Click the button below to attach a new file.

+ Attach file

OST: *EPASS tab*

EPASS Subawards Tab – *Effective October 2nd*

Outgoing Agreements? If yes, complete an entry for each combination of subrecipient and subrecipient PI on the subsequent page.

Yes No

OST: EPASS tab

EPASS Subawards Tab – Effective October 2nd

REMINDER: For S2S Grants (Cayuse) proposals, please contact eRAHelp@research.ucla.edu if any information in a subrecipient's Institutional Profile needs to be updated.

+ Add Subaward

Subrecipient Legal Name

(Click here to select a subrecipient from the list)

Subrecipient PI Name

Subrecipient UEI

Subrecipient PI Email Address

Is subrecipient a for-profit entity?

Yes No

Subrecipient Central Administration Contact (email listed on Letter of Intent or Commitment Form)

+ Attach Fair and Reasonable Cost Analysis

+ Attach IDC Rate Agreement

+ Attach Letter of Intent (LOI)

+ Attach Scope of Work

+ Attach Budget

Attachments

Type	File	Mark for deletion
Fair and Reasonable Cost Analysis		<input type="checkbox"/>

Does the proposed subaward involve any of the following?

Human Subjects (IRB)?

Yes No

Embryonic Stem Cell Research Oversight (ESCRO)?

Yes No

Genomic Data Sharing?

Yes No

Animal Subjects (ARC/IACUC)?

Yes No

Dual Use Research of Concern (DURC)?

Yes No

Subrecipient

Select a subrecipient...

university of

American University of Central Asia (Kyrgyzstan)

Ben-Gurion University of the Negev

Board of Trustees of the University of Illinois, The

Subrecipient PI

Select a subrecipient PI...

Select a subrecipient PI...

Alison (Ali) Schultz [aschultz@uw.edu]

Bruce Montgomery [rbmontgo@uw.edu]

Butch (Arnold) de Castro [BdeCastro@uwb.edu]

Central Intake [osp@uw.edu]

Charles A. Paxton [gcc1@u.washington.edu]

Edmund Seto

Evan Eichler [ee3@uw.edu]

Hans-Peter Kiem

Hans-Peter Kiem [hkiem@fhcrc.org]

James De Yoreo [James.DeYoreo@pnnl.gov]

Janet V. Meadows [jmeadows@uw.edu]

Jeffrey McLean [jsmclean@uw.edu]

Jessica Jones-Smith [jjoness@uw.edu]

John L. Gore [jlgore@uw.edu]

Kathleen F. Kerr [katiek@uw.edu]

Katie A McLaughlin [mclaughk@uw.edu]

Linda Shapiro [shapiro@uw.edu]

Lorenzo Giacani [giacal@uw.edu]

Lynette Arias [osp@uw.edu]

OST: New NIH Reporting Requirements

NOT-OD-23-133 released May 19, 2023 – Notification of new NIH reporting requirements for international subrecipients

- Effective October 1st
- NIH GPS Section 15.2.1 will be updated to include the following (*highlights added*):
 - *For foreign subrecipients, a provision requiring the foreign subrecipient to provide copies of **all lab notebooks, all data, and all documentation that supports the research outcomes** as described in the progress report. These supporting materials must be provided to prime recipient with each scientific update (no less than once every three months) in line with the timelines outlined in the agreement.*
- NIH is encouraging PTE's to address this compliance requirement with our international subrecipients at proposal stage; it also recommends language in Subrecipient letters of support indicating their awareness of these requirements and the subrecipient's willingness to abide
- If a subrecipient cannot comply with this new reporting requirement, we will not be able to proceed with the subaward
- “...all lab notebooks, all data and all documentation that supports the research outcomes...”
 - Updated guidance notes documentation should be received at least every **6 months**
 - Further information is expected from NIH, updates will be provided as they are received
- NIH oversight: NIH is reserving the right to request copies of UCLA's subaward agreement and relevant supporting documentation to confirm UCLA's compliance with this reporting requirement

OST: *New NIH Reporting Requirements*

- **‘Universal’ Letter of Intent has been updated to include a reference/confirmation to this new NIH reporting requirement**

NIH International Subrecipient Reporting Requirements *(For non-U.S. Subrecipients only.)*

- If the prime sponsor is the U.S. National Institutes of Health (NIH), Subrecipient is aware of the provisions of NIH GPS 15.2.1 requiring that international subrecipients provide copies of all lab notebooks, data, and documentation that support any resulting research outcomes and Subrecipient confirms that it is able to comply with the regular submission of these materials to UCLA (i.e. every 6 months) for the life of the subaward.

Questions?

- For questions regarding specific outgoing subawards, contact the OCGA Outgoing Subaward Team member named in your subaward agreement or send an email to ocgasubawards@research.ucla.edu (for Multi-campus Awards: 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 and outgoingMCA@research.ucla.edu are only for communications regarding outgoing subawards (awards in which funding will flow outgoing from UCLA to the subrecipient)
- ***General questions?***

Thank you!



OCGA Updates

September 14, 2023

NSF

Proposal & Award Policies & Procedures Guide (PAPPG) (NSF 23-1) | NSF - National Science Foundation (PAPPG NSF 23-1)

Effective: January 30, 2023

Research.gov

- Fastlane – to be sunset on *Friday, September 29, 2023*
 - Submit - Proposal file updates/budget revision
 - Download – copies of Fastlane proposals

Biographical Sketch and Current/Pending (Other) Support

- Mechanism identified by automatic header/footer
 - Fillable pdf – enter name and date for certification (do not need to use electronic signature until SciENcv implemented until October 2023)
 - SciENcv **must** be used for proposals submitted due on/after October 23, 2023

National Science Foundation (NSF)

When to Submit C &P

Proposal Submission for all Senior Personnel

Prior to an Award being made

Corrective C&P

Research.gov – Post Award Disclosure of Current Support and In-Kind Contributions

“If an organization discovers that a PI or co-PI on an active NSF award failed to disclose current support or in-kind contribution information as part of the proposal submission process, the Authorized Organizational Representative (AOR) must submit the following information within 30 calendar days of the identification of the undisclosed current support or in-kind contribution. The post-award disclosure requirement applies to current support (including in-kind contributions) that was active as of the date the proposal was submitted to NSF.”

Annually – Active Project Reports: Annual and Final Report

October 23, 2023 – SciENcv Required for Biosketch and Current/Pending Support

National Science Foundation (NSF)

Other Support Review Prior to Submission to OCGA

Is the Total Active effort more than 12 Cal Mos or 9 Acad / 3 Summer?

Electronic Signature?
DocuSign required for all UCLA employees

Is Overlap) addressed?
(Scientific, Budgetary, Effort Overlap

Up to Date?
(no expired awards, all pending listed)



October 23, 2023 – SciENcv Required for Biosketch and Current/Pending Support

NIH – Forms H

(01/25/2022 - until amended)

Standard Application Deadlines

Upcoming NIH Cycle 2023

Activity Code	Program Description	Due Date
P Series - ALL	Program Project/Center Grants	September 25
T Series - ALL	Institutional Training Grants	September 25
R01 – New	Research Grants	October 5
U01 - New	Research Grants - Cooperative Agreements	October 5
K01 - New	Research Career Development	October 12
R21 - New	Research Grants	October 16

Activity Code	Program Description	Due Date
R01 – Renewal, Resubmission, Revision	Research Grants	November 5
U01 - Renewal, Resubmission, Revision	Research Grants - Cooperative Agreements	November 5
K01 - Renewal, Resubmission, Revision	Research Career Development	November 12
R21 – Resubmission, Revision	Research Grants	November 16
F – New, Renewal, Resubmission	Individual National Research Service Awards	December 8

Updated F&A Agreement – July 5, 2023

F&A Agreement

Current F&A Agreement
Negotiated with
Jeannette Lu, Director

- Sponsored Projects
- Organized Research
- Other Sponsored Activities
- Instructional Activities
- Off-Campus Activities
- Intergovernmental Agreements

*From July 1, 2023

Current Facilities

DocuSign Envelope ID: B071141B-0E88-453C-A179-2B72EB7381F3

ORGANIZATION: University of California (UCLA) Los Angeles Campus
AGREEMENT DATE: 07/05/2023

DEFINITION OF EQUIPMENT

Equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

DEFINITION OF OFF-CAMPUS RATE

The off-campus rate is applicable to those projects conducted at facilities not owned or leased by the University. However, if the project is conducted in leased space and lease costs are directly charged to the project, then the off-campus rate must be used.

PROJECTS CONDUCTED ENTIRELY ON-CAMPUS OR ENTIRELY OFF-CAMPUS:

Projects conducted entirely on-campus or entirely off-campus will be applied the on-campus or off-campus rate respectively.

PROJECTS CONDUCTED PARTIALLY OFF-CAMPUS AND PARTIALLY ON-CAMPUS:

If the project involves work at both on-campus and off-campus sites, either the on-campus or off-campus rate generally should be applied, consistent with where the majority of the work is to be performed. Salary cost is generally accepted as a measure of work performed in terms of the total project.

USE OF BOTH ON-CAMPUS AND OFF-CAMPUS RATES

The use of both on-campus and off-campus rates for a given project may be justified if both of the respective rates can clearly be identified with a significant portion of salaries and wages of the project. For purposes of this provision, significant is defined as approximately 25% or more of the total costs and a project's total salary and wage costs exceed \$250,000.

SPECIAL REMARKS: The NIH Policy on indirect costs pertaining to Genomic Arrays (NOT-OD-10-097) is effective as of 05/13/10.

This agreement updates fringe benefits only.

NEXT PROPOSAL DUE DATE

An F&A proposal based on actual costs for fiscal year ending 06/30/24, will be due no later than 12/31/24. Fringe benefits proposal based on actual costs for fiscal years ending 06/30/23 will be due by 12/31/23.

REMINDERS:

Supplemental
Do not at

<https://o>

rates
Composite rate

[strative/](https://o)

NIH – Data Management & Sharing (DMS) Costs

NOT-OD-22-189

Former Instructions

...“R&R Budget Form as a single line item titled “Data Management and Sharing Costs.” The line item must be used only for DMS costs and cannot be combined with any “Other” costs. If no costs will be incurred, the applicant must enter “0” in the funds requested column. These previous instructions will be **rescinded effective October for due dates on or after October 5, 2023.**”

RESEARCH & RELATED BUDGET - SECTION F - L Budget Period 1 of 3

Enter name of Organization:

Period 1 Start Date: End Date:

F. Other Direct Costs	Indirect Cost Type	Funds Requested (\$)
1. Materials and Supplies	Research On	36,494
2. Publication Costs	Research On	1,447
3. Consultant Services	Research On	
9. Service Contracts & Equip	Research On	475
10. Technology Infrastructure	Research On	66
11. Data Management and Sharing Costs	Research On	0

NIH – Data Management & Sharing (DMS) Costs

NOT-OD-22-189

Effective for applications submitted for due dates on or after October 5, 2023, NIH will no longer require the use of the single DMS cost line item. NIH recognizes that DMS costs may be requested in many cost categories. Therefore, in line with our standard budget instructions, DMS costs must be requested in the appropriate cost category, e.g., personnel, equipment, supplies, and other expenses, following the instructions for the R&R Budget Form or PHS 398 Modular Budget Form, as applicable. While the single cost line item is no longer required, NIH will require applicants to specify estimated DMS cost details within the “Budget Justification” attachment of the R&R Budget Form or “Additional Narrative Justification” attachment of the PHS 398 Modular Budget Form, pursuant to the instructions.

NEW Instructions

- Include DMS Costs in the “appropriate cost category”
 - personnel, equipment, supplies, other expenses, etc)
- Budget Justification - required
 - If Detailed R&R Budget, use “Budget Justification”
 - If Modular Budget, use “Additional Narrative Justification”

NIH – Data Management & Sharing Plans

NIH WEBSITE FOR SHARING DATA MANAGEMENT

NEW

NOT-OD-22-189 (NIH Application Instruction Updates - Data Management & Sharing Costs) – 7/31/2023

NOT-OD-21-013 (Final NIH Policy for Data Management & Sharing)

NOT-OD-22-189 (NIH Data Management & Sharing Policy)

NOT-OD-22-198 (Changes for Genomic Data Sharing Plans)

NOT-OD-22-195 (Forms H Instructions)

Additional Data Sharing Policies per institute, center, program

- Plan and budget for the managing and sharing of data
- Submit a DMS plan for review when applying for funding
- Comply with the approved DMS plan

The National Institutes of Health (NIH) is issuing this final NIH Policy for Data Management and Sharing (DMS Policy) to promote the management and sharing of scientific data generated from NIH-funded or conducted research. This Policy establishes the requirements of submission of Data Management and Sharing Plans (hereinafter Plans) and compliance with NIH Institute, Center, or Office (ICO)-approved Plans. It also emphasizes the importance of good data management practices and establishes the expectation for maximizing the appropriate sharing of scientific data generated from NIH-funded or conducted research, with justified limitations or exceptions. This Policy applies to research funded or conducted by NIH that results in the generation of scientific data.

**UCLA Library Data
Management Guide**

Contents

This data management guide provides you with practical information on how to manage your research data. This guide includes the following

- An **overview** of the steps you can take to manage your data, with detailed discussions to follow. The emphasis is to provide you with actionable, easy-to-implement how-tos.
- A guide for creating **data management plans**
- A list of discipline-specific **data repositories**
- **And more**



OCGA CAMPUS TRAINING

<https://ocga.research.ucla.edu/training-calendar/>

September

S2S Grants Basics

Wednesday, September 20, 2023

9:00am-11:30 am

This session will provide information to get new users started with the S2S Grants (Cayuse) system for preparation and submission of proposals. Topics include: how to get access to the system, best practices, user resources, and hints and tips. This session is appropriate for individuals responsible for preparation or review of proposals in S2S Grants.

Any Questions?

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

A decorative footer bar at the bottom of the slide, consisting of a thin yellow horizontal line above a thicker blue horizontal bar.

UCLA Business & Finance Solutions

IRB Approved Research Payment Request

Presented by:
Bianca Caulfield
Payment Solutions and Compliance, Manager

UCLA Business & Finance Solutions acknowledges our presence on the traditional, ancestral and unceded territory of the Gabrielino/Tongva peoples. aisc.ucla.edu

Presentation Overview



What is an IRB Approved Research Payment Request?

Office Of The Human Research Protection Program (OHRPP)

The UCLA institutional review boards (IRBs) are the committees designated by UCLA to review the conduct of research involving human subjects that is conducted by UCLA faculty and staff (conducting studies involving human subjects within the course and scope of their duties) as well as UCLA students (conducting studies involving human subjects within the course of their studies).

The function of the IRBs is to ensure adherence to all federal, state, local, and institutional regulations concerning the protection of human subjects in research. UCLA IRB review is required for both funded and non-funded human subjects research.

Payment Solutions and Compliance

OHRPP provides bi-weekly reports by to confirm the information below:

- IRB #
- Current study status
- PI Name
- Disbursement type (Gift Card, Cash, BruinCard Deposit)
- Dollar amount study is approved for

What has changed?

PRIOR TO MARCH 28, 2023

Departments would complete a PDF form to request funds to fulfill their IRB Approved Research Payment Requests. After internal discussions and lots of feedback we decided to move our process to an online platform.

AFTER MARCH 28, 2023

On March 28, 2023 Student Finance Solutions (SFS) launched a new portal for the completion of IRB Approved Research Payment Requests. This new portal replaced the former processes of submitting a completed PDF.

The new process allows users to easily track their disbursement status, FAU validation and simplifies the coordination of request approvals.



What has changed?

ARMORED COURIER FEES – FOR PHYSICAL GIFT CARDS AND CASH ONLY

We utilize object code 3495 for Armored Courier services to help track expenses.

After our go-live date we quickly realized that Contract & Grant funds would not pass FAU validation due to the unallowable object code.

Service Fee GL Account error:

- This Object code not allowed for Contracts and Grants Funds

On July 17th we went live with an enhancement that allowed C&G funds to pass FAU validation through the online portal. Fund Managers will still need to complete NPEARs for the unallowable object code.

Payment Solutions & Compliance

Payment Solutions & Compliance is the main cashier's office of UCLA. Learn about the cashiering database, cash handling and security, credit card processing, armored courier services, disbursement requests, policies, and compliance requirements for the Payment Card Industry (PCI) and Data Security Standard (DSS).

Merchant Resources

- [Cashiering Services and Supplies Guide](#)
- [Become a Credit Card Merchant](#)
- [Cashiering Database Emarket Requests](#)
- [How to Gain Cashiering Database Access](#)
- [Cashiering Database Cashiering Manual](#)

Payment Solutions

- [Payment Methods](#)
- [Petty Cash & Change Fund](#)
- [Incoming Electronic Funds Transfers \(EFT\)](#)
- [Mobile Payments - Smartphones & Tablets](#)
- [Department \(EFT\) Payments](#)

Additional Resources

- [Payment Solutions and Compliance Forms](#)
- [How to Submit a Case Through the Message Center](#)
- [Frequently Asked Questions](#)

Disbursement Requests

- [IRB Approved Research Payment Request](#)
- [Non-IRB Research Payment Request](#)
- [Employee Recognition Request](#)
- [Non-Employee Disbursement Request](#)
- [Gift Card Catalog](#)
- [Unused Preferred Gift Card / Cash Form](#)
- [Which disbursement request should I use? \(FAQ\)](#)

[Click here](#)

Policies & Compliance

- [Cash Handling Policy \(BUS-49\)](#)
- [Cash Handling Safety & Security](#)
- [UCLA Safe Requirements](#)
- [Ecommerce Terms & Conditions](#)
- [Separation of Duties for Cash Handling: Table Guide](#)
- [PCI & Data Security Standards](#)
- [Physical Security of Cash & Requirements](#)

Contact Us

IN ALIGNMENT WITH CAMPUS SAFETY MEASURES, PLEASE CONSIDER REMOTE SERVICE WHENEVER POSSIBLE.

Message Center

Monday - Friday
9:00 a.m. - 4:00 p.m.
[With MyUCLA Access](#)
[Without MyUCLA Access](#)

Phone

(310) 794-5333
Monday - Friday
10:00 a.m. - 2:00 p.m.

Fax

(310) 794-7785

Office Address

Mail Code: 708901
1125 Murphy Hall
Los Angeles, CA 90095-7089

Office Hours

Monday – Friday
10:00 a.m. - 2:00 p.m.

Mailing Address for Check Payment

Box 957089, 1125 Murphy Hall
405 Hilgard Avenue
Los Angeles, CA 90095-7089

UCLA Business & Finance Solutions

Research Payment Portal Demo

Process Review

1. Requestor must initiate the request using the Research Payment Portal on MyUCLA.
2. Complete the required sections based on payment type.
3. Fund Manager and Principal Investigator receive an email asking them to approve a request. Request is reviewed in the Research Payment Portal.
4. Requestor alerts SFS of Approved portal request via the MyUCLA Message Center.
5. SFS reviews the request and coordinates disbursement through the Message Center.

UCLA Business & Finance Solutions



Q&A Submit questions using [Chat or Q&A]

UCLA Business & Finance Solutions

Bianca Caulfield
bcaulfield@finance.ucla.edu

Thank You



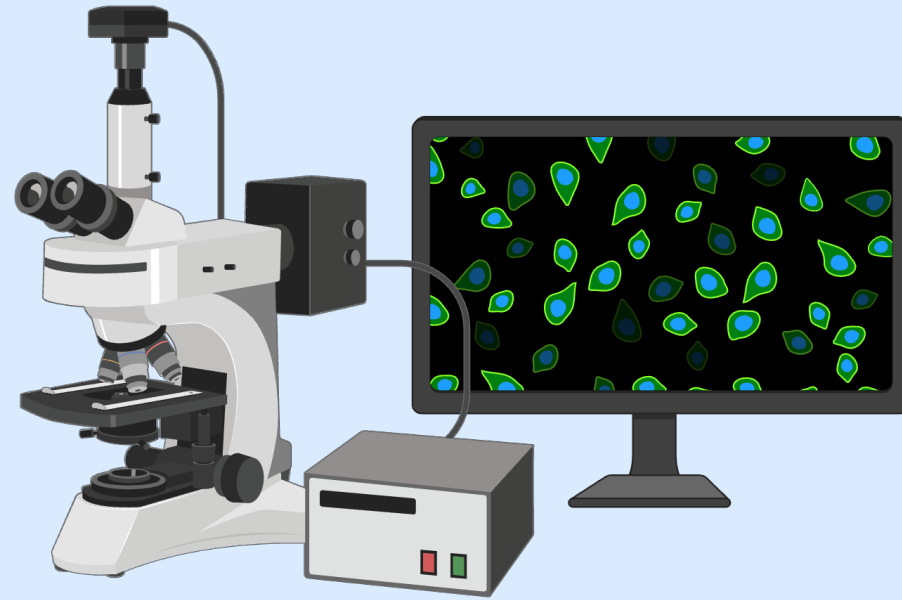
Ibraheem Ali, PhD

iali@mednet.ucla.edu



Clifford Kravit

ckravit@mednet.ucla.edu



Research Technology and Data Management Support

UCLA Health IT, DGIT Research Informatics
Sep 2023, Research Administration Forum



Overview

Data Management Strategy and Planning

Safe Data Sharing

Identifying Storage and Compute Resources

Consultations and Referrals

Data Management Strategy and Planning



[NIH 2023 Data Management & Sharing Requirements](#)



File Management & Naming Conventions



[Identifying Data Security Requirements](#)



[Budgeting for Data Management & Curation](#)

Identifying Storage and Compute Resources

- Depends on data type & collaboration requirements
- [Use Health Box](#) for storing files, syncing to cloud and collaborating (HIPAA compliant)
- Leverage cloud storage or compute using [Amazon Web Services](#) (HIPAA compliant)
- [Network shares available](#) to 2 Terabytes of storage per lab
- Hoffman2 Compute Cluster Storage



Safe Data Sharing and Management

- **Identify storage options for protected health data**

- **Identify deidentification options, and repositories for sharing protected data**

- **Consultation will likely be required to collect information on specific use cases**

Consultations and Referrals



Consult with your [business relationship manager](#) for more information on services

Chat with us (contact info on first slide)



Extramural Fund Management

September 14, 2023

Agenda

Ascend

- **Ascend Research Post-Sprint 2 Demo: Invoice Method and Revenue Method**

Post-Sprint Demo Overview



What are post-Sprint demos and why are we facilitating them?

- Recorded **demonstrations of functionalities** covered in previous Sprint
- **Specific to a functional area**
- Allow campus SMEs and stakeholders to **provide feedback on system design**, which the program team can use to **inform future Sprints**



When are post-Sprint demos scheduled to take place?

- **One session per Sprint** per functional area
- Duration: **1-3 hours** each
- Sponsored Projects post-Sprint 2 occurred **Wednesday, September 13, 9:00-11:00 a.m. PST**



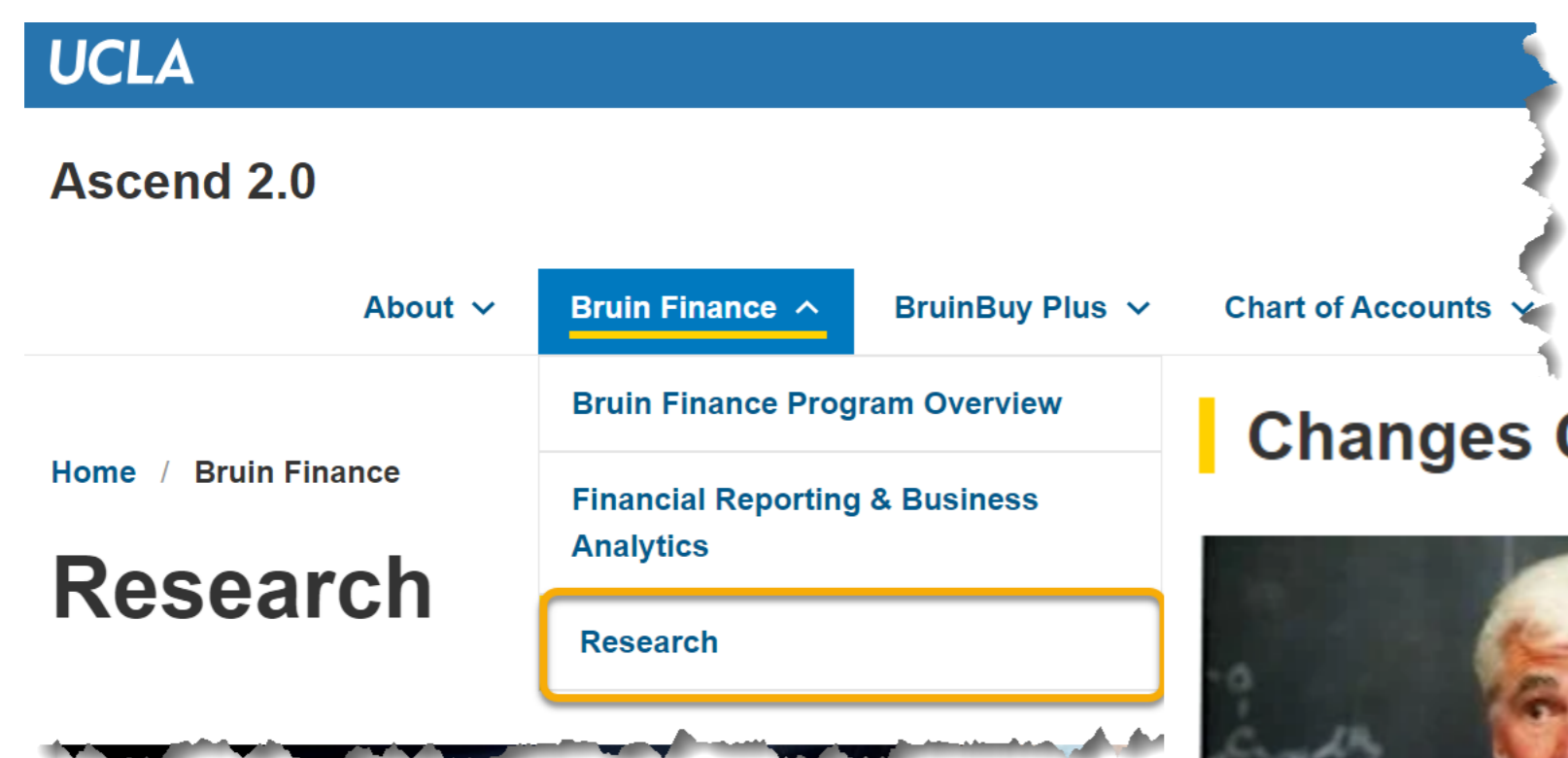
Who can participate in post-Sprint demos?

- **Campus SMEs** selected based on input from **Advisory Committees & other members of program leadership**
- **Wider range of stakeholders** can **share feedback** after **viewing demo recording**

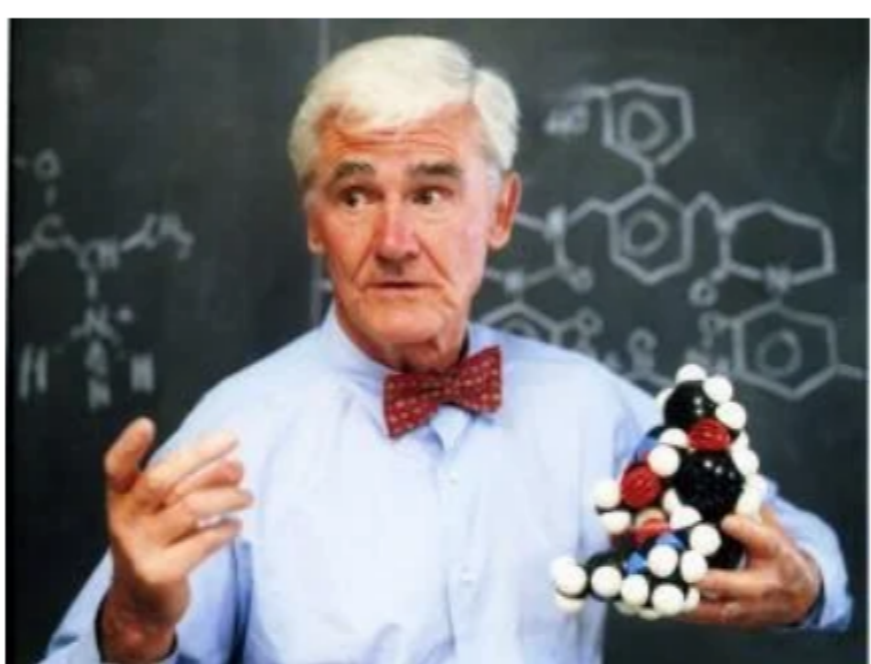
Post-Sprint Demo Access Previous Demos & Share Feedback



Research Post-Sprint Demos are located on the [Ascend Website](#) under the [Bruin Finance Tab](#) and [Research Sub-Tab](#)




Changes Coming to the Research Community




Learn more about some of the changes coming to the research community and what you can do to prepare by reviewing the topics below. You can also visit the [FAQs page](#) to find answers to commonly asked research questions.

- [The Project Portfolio Management \(PPM\) Subledger and POETAF](#) ▼
- [Subaward/Subcontract Invoice Approval in BruinBuy Plus](#) ▼
- [Sponsored Projects Post-Sprint 1 Demo](#) ▲

The first Sponsored Projects post-Sprint demo took place on Monday, July 10th. Select representatives from across the research community joined this session to provide feedback on the first set of Sponsored Projects functionalities that were developed for Bruin Finance. Some topics that were reviewed include navigation, award creation workflow, and new reports.

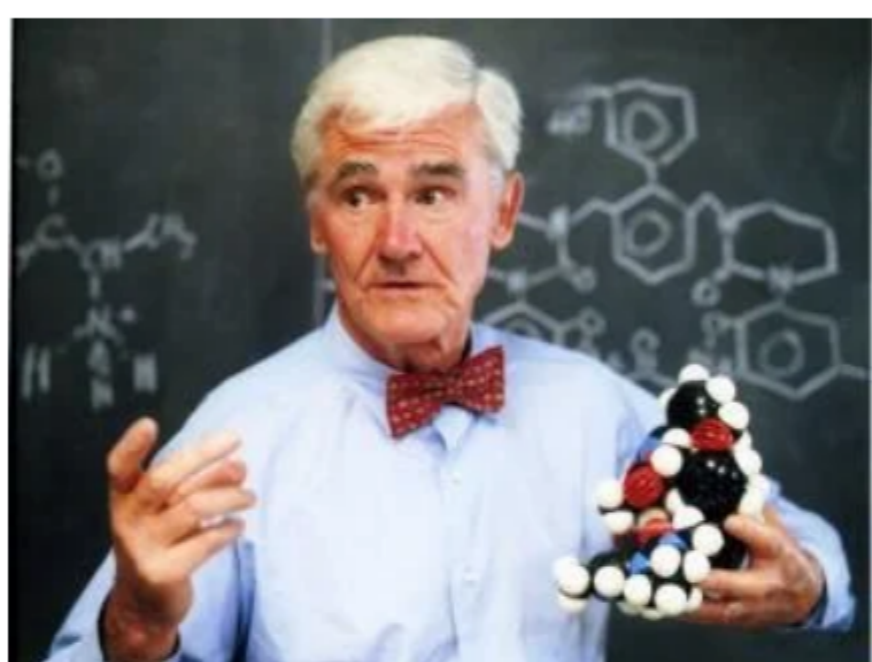
[Access the Sponsored Projects Post-Sprint Demo recording](#)  to get a preview of the new system.

We want your feedback! Complete our [feedback survey](#)  so we may share with our project team the functionalities you are excited about!




Post-Sprint Demo **Access Previous Demos & Share Feedback**

 **Share feedback with the Project Team by completing the [feedback survey](#).**


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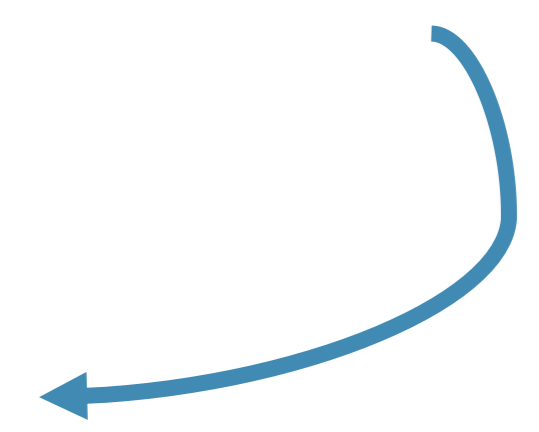
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Post-Sprint Demo 2 Demo Topics

1 Introduction

2 Revenue Recognition: Current State vs. Future State

3 Invoicing Methods

1 Revenue Methods

2 Matrix of Invoice and Revenue Methods

3 Oracle Demo

Revenue Method and Invoice Method (1/2)

total Unallocated Amount 0.00 USD

▲ Award Project Summary

View ▼ Manage Project Budget

Project Name	Funding Source	Project Status	Funding Amount	Current Working Budget Amount in Project Currency	Baseline Budget Amount in Project Currency	Unbudgeted Amount
621587_JD_18459	CA-DEPARTMENT OF HEALTH CARE SERVICES (DHS) (C004204)	CG Active	100,000.00 USD	100,000.00 USD	100,000.00 USD	0.00 USD
621588_JD_18459	CA-DEPARTMENT OF HEALTH CARE SERVICES (DHS) (C004204)	CG Active	15,000.00 USD	15,000.00 USD	15,000.00 USD	0.00 USD
621588_OH_18459	CA-DEPARTMENT OF HEALTH CARE SERVICES (DHS) (C004204)	CG Active	10,000.00 USD	10,000.00 USD	10,000.00 USD	0.00 USD
625931_TB_18459	CA-DEPARTMENT OF HEALTH CARE SERVICES (DHS) (C004204)	CG Active	75,000.00 USD	75,000.00 USD	75,000.00 USD	0.00 USD

Contract Summary ?

▲ Contract Lines

Number	Name	Amount (USD)	Billing Details
1	Line 1	100,000.00	
2	Line 2	100,000.00	

▲ Associated Projects

Project Name

- 621587_JD_18459
- 621588_JD_18459
- 621588_OH_18459
- 625931_TB_18459

Billing details are available within the Contract Summary section of the award

Revenue Method and Invoice Method (2/2)

The screenshot shows a software interface for project management. At the top, it displays 'Primary Sponsor CA-DEPARTMENT OF HEALTH CARE SERVICES (DHS)' and 'Total Unallocated Amount 0.00 USD'. The main section is titled 'Award Project Summary' and includes a 'View' dropdown and a 'Manage Project Budget' button. On the left, there is a list of project names: 621587_JD_18459, 621588_JD_18459, 621588_OH_18459, and 625931_TB_18459. Below this is a 'Contract Summary' section with a 'Contract Lines' table:

Number	Name
1	Line 1
2	Line 2

The 'Billing Details' window is open, showing the following information:

- Bill Plan Name: Bill Plan 1
- Revenue Plan Name: Revenue Plan 1
- Invoice Method: Amount Based**
- Revenue Method: Amount Based Revenue**
- Billing Cycle: Immediate
- Payment Terms: IMMEDIATE
- Labor Format: Labor Invoice Format
- Nonlabor Format: Non-labor Invoice Format
- Event Format: Event Invoice Format
- Billing Currency: USD
- Net Invoice: —
- Generated Invoice Status: Draft
- Bill-to Customer: CA-DEPARTMENT OF HEALTH CARE SERVICES (DHS)
- Bill-to Account: A004204
- Bill-to Account Description: Contracts and Grants
- Bill-to Site: 7975
- Bill-to Contact: atoxlwatwh y aaaalfaadk
- Ship-to Customer: CA-DEPARTMENT OF HEALTH CARE SERVICES (DHS)
- Ship-to Account: A004204
- Ship-to Account Description: Contracts and Grants
- Ship-to Site: 9646
- Letter of credit: —
- Invoice Grouping: —
- Bill Set: 1
- Transaction Type: State Contracts

An 'OK' button is visible in the bottom right corner of the 'Billing Details' window.

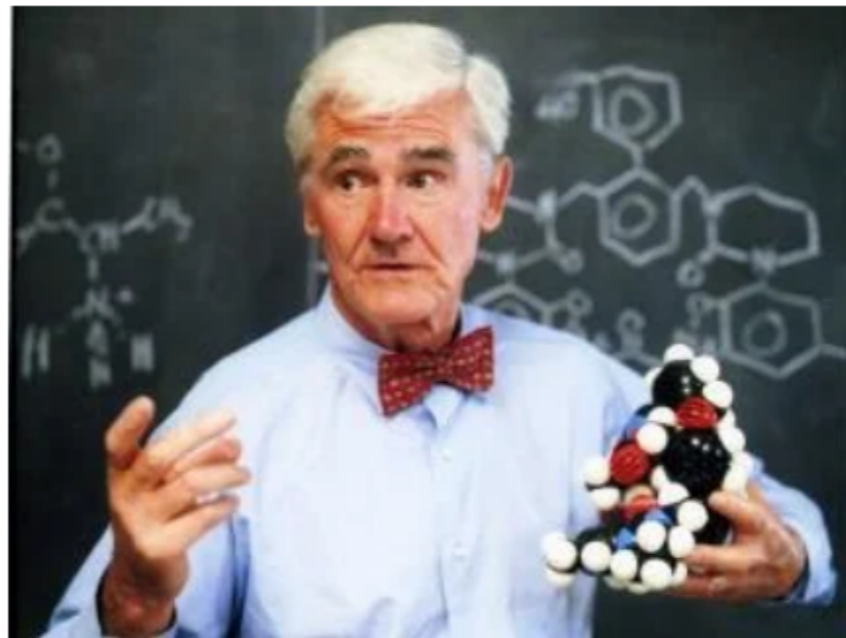
Invoice Method and Revenue Method are included in Billing Details

Post-Sprint Demo 2 Recording & Feedback Survey



Post-Sprint 2 Demo is now available on the Ascend website.

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[Sponsored Projects Post-Sprint 1 Demo](#) ▼

[Sponsored Projects Post-Sprint 2 Demo](#) ▲

The second Sponsored Projects post-Sprint demo took place on Wednesday, September 13th. Topics that were reviewed in the session include revenue recognition and a demo on navigation to see invoice and revenue methods.

[Access the Sponsored Projects Post-Sprint 2 Demo recording](#) to learn more about invoice and revenue methods in the new system.

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We look forward to hearing your feedback!

[Feedback Survey](#)

Any Questions?

Contact Information

EFM Website

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

Ascend Website

<https://ascend.ucla.edu/>

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September 2023 Research Administration Forum Q&A

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Contract and Grant Administration	1
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Contract and Grant Administration

Q1: Will these forms be available after today's meeting since many October applications are already in progress?

A1: Let me check on if we are ready to make them available now. We were trying to co-ordinate website / EPASS and form changes at the same time to prevent conflicting info. But we might be able to release the forms early - we will send out a note if we are able to do that.

Q2: Is the universal form applicable for applications due on or after Oct 2nd OR will the forms be available for use on Oct 2nd?

A2: See answer to Q1 above, and we will be flexible.

Q3: I have proposal due 10/16/23 that will have 20 subawards. We have already asked the entities to complete the forms based on current process given the amount of time it takes to coordinate the collection of these forms. Will the current forms still be accepted for this proposal past 10/2/23?

A3: Absolutely. We will be flexible in the transition period - but we hope the form / process updates will be easier going forward.

Q4: I'm assuming this new NIH reporting requirement is applicable for only new awards moving forward, or do we need to apply for existing awards?

A4: Unfortunately, we understand it's going to apply to amendments too.

Q5: Does this new Notice apply to existing subawards?

A5: Only if there needs to be a modification / supplement etc.

Q6: Do we still need to go into BruinBuy to set up the PO for subaward? Do we still need to use the checklist to do the Amendment?

A6: Yes, you will still need to go into BruinBuy for Req/PO, and an OCGA Subaward Checklist will still be required for amendment requests.

Q7: Your new EPASS subaward section asks to attach an IDC rate agreement, but this wasn't listed in the slide for required proposal documents for all subrecipients. Can you please advise?

A7: Indirect cost rate agreements are triggered through our proposal forms. The FDP Exp CI form does not require it, because we have access to that information on the FDP Exp CI website. But an indirect cost rate agreement is expected with our current Subrecipient Commitment form (question #1, first checkbox). This will continue to be a question for our non-FDP Exp CI members and non-UC sister campuses on our new 'universal' Letter of Intent.

Q8: Are you able to route the EPASS for PI signature before receiving universal LOI from subaward?

A8: Yes, the EPASS can be routed for signature before attaching the universal LOI. The EPASS is editable up to the point that the EPASS is submitted to OCGA, so the LOI could be uploaded at any point prior to that.

Q9: What if your Data Management Sharing Plan costs are zero? Under the new guidance, should that zero be mentioned in the “appropriate category” of the Justification, or not at all?

A9: Keep in mind that NIH has indicated that while you can put in no costs, depending on the scope of work, that could flag a concern that a sufficient data management plan may not be appropriately supported. So, as Kathy mentioned, the PI should definitely be involved in the decision to put in zero.

UCLA Business and Finance Solutions

Q1: PIs have indicated 'carrier fee' should be as part of Petty cash disbursement cost. Can you please advise?

A1: Transportation charges are recorded separately from the actual fund request.

Q2: In the future, will we be able to route the request to payment solutions through the approval system vs. needing to send a message with request number?

A2: This is a goal for us in the future but as of right now the systems do not talk.

Q3: Are we required to list a safe type for electronic gift cards? I think I've seen this on a previous PDF form. I don't think it makes sense since we are not receiving anything physical.

A3: No safe type needed for eCodes however you need to have an electronic safety process in place.

Q4: Can the 4-digit request number be referenced when the expense is processed so that we can track expenses on the ledger? Right now, the description of the expense doesn't reference anything except the IRB #.

A4: Historically we have used the IRB as the description for tracking purposes. I have recorded your feedback for future discussions. Thank you.

Q5: Can gift cards be sent to home address?

A5: Absolutely not. Gift cards/cash can only be sent to a UCLA address either on or off- campus.

Q6: Is the process the same for petty cash requests?

A6: Petty cash requests use a manual form. PSC does not manage the petty cash requests however we disburse the cash. Please feel free to reach out to the Student Accounts Office for any additional information on petty cash funds.