



Research Administration Forum

September 12, 2024

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*
- **Human Research Protection Program**
 - BruinIRB Updates and Reminders – *Moore Rhys*
- **Contract and Grant Administration**
 - Disclosures** – *Tracey Fraser*
 - UCLA Policy 909 Exceptions
 - New: NIH Decision Matrix
 - Subawards** – *Kristin Lund & Tracey Fraser*
 - Subaward Forms Review
 - Including an FFRDC as a Subrecipient
 - Miscellaneous Updates** – *Tracey Fraser*
 - NIH Loan Repayment Program (LPR)
 - Potential Government Shutdown
 - Internal & External Training Opportunities

The background features a complex network of glowing blue lines and spheres, resembling a neural network or a data visualization. A central sphere is highlighted with a bright white glow and a dark blue circular cutout. The overall color palette is dominated by various shades of blue, from deep navy to bright cyan.

OHRPP UPDATE

SEPTEMBER 2024

BRUINIRB IMPLEMENTATION SUMMARY

- Migration of the bulk of webirb studies (full board and expedited) to BruinIRB occurred over the weekend of 9/7-9/8.
 - 4,291 approved studies with no open follow-on submissions were successfully migrated.
- PIs and Proxies for these studies were notified when a study is migrated.
- Batches of additional studies will continue to be migrated as open follow-on submissions are finalized.
 - Studies are only migrated once approved (initial submission) and all sub-applications (AM, CR, PAR) are approved/acknowledged

BRUINIRB IMPLEMENTATION SUMMARY

- For full board and expedited studies that have not yet been migrated, processing for the open submission will be completed in webirb, after which the study will be migrated to BruinIRB
- For exempt studies, investigators must request migration (but should only do so if they expect to need to submit a required amendment)

BRUINIRB IMPLEMENTATION SUMMARY

- A total of **4547** studies have been migrated as of today
- So far, investigators have requested 43 exempt studies be migrated. Those studies were migrated yesterday.
- ORIS has updated the SafetyNet RSC integration from the webIRB study to the BruinIRB study for relevant migrated studies

POST- GO LIVE

- We're in day 4 of the implementation and things are going well
- Moving forward, ORIS will migrate any studies newly eligible (completed the review process for any “in-flight” applications) for migration on Mondays
- OHRPP staff continue to be available for your questions, feedback and concerns

POST- GO LIVE ISSUES AND FEEDBACK

There have been a few hiccups on a small number of studies, but we are correcting issues as they come up in collaboration with ORIS

- Requirement for PI assurance with first continuation submission in BruinIRB
- Some issues related to Departmental Administrator access to all studies
- Migration reverted for small sub-set of studies where follow on submission approved 8/31- 9/6. All corrected.
- Some concerns shared about Agree to Participate requirement for all study staff.

OHRPP LEARN AT LUNCH

- *October 10, 2024 12-1pm* “BruinIRB Town Hall”
- [Registration link](#)
- Moderated/Presented by BruinIRB Implementation Team
 - Rebecca Flores Stella, OHRPP Asst. Director
 - Tonya Edvalson, OHRPP Principal Analyst
- Join our BruinIRB Implementation team to share your experiences during the first month of deployment, pose your questions, and offer feedback on BruinIRB and the deployment process. The team will respond to questions/feedback submitted as part of your registration and the session will include an open discussion.

RESOURCES

- Quick guides, recorded trainings, template protocols and protocol supplements, visit the [BruinIRB Resource Library](#)
- Be sure to check your BruinIRB [profile](#) to and edit your contact information as needed to ensure you receive correspondence when you submit in the system.
- For any questions, please email bruinirb@research.ucla.edu

THANK YOU FOR YOUR PATIENCE DURING THIS TRANSITION!

We appreciate your feedback



OFFICE OF CONTRACT & GRANT ADMINISTRATION UPDATES

SEPTEMBER 12, 2024

RESEARCH ADMINISTRATION FORUM

TRACEY FRASER, SENIOR DIRECTOR, OCGA

UCLA Research
Administration

OCGA TOPICS



Disclosures

General Principles for Preparing and
Reviewing Disclosures
UCLA Policy 909 Exceptions
New NIH Decision Matrix



Subawards

Subaward Forms Review
Including An FFRDC As A Sub-
recipient



Miscellaneous Updates

NIH Loan Repayment Program (LRP)
Potential Government Shutdown?
Internal and External Training
Opportunities

Disclosures

**Current & Pending (Other) Support
Biographical Sketches**

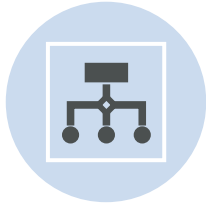
“

Current and pending (other) support – (a) **All resources** made available, or expected to be made available, to an individual **in support of the individual’s research and development efforts**, regardless of (i) whether the **source is foreign or domestic**; (ii) whether the resource is made available through the entity applying for a research and development award **or directly to the individual**; or (iii) whether the resource has monetary value; and (b) **includes in-kind contributions requiring a commitment of time and directly supporting the individual’s research and development efforts**, such as the provision of office or laboratory space, equipment, supplies, employees, or students.

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CURRENT & PENDING (OTHER) SUPPORT – BASELINE REVIEW

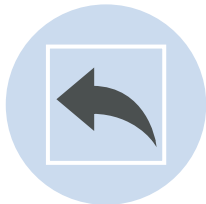
Hints and tips for how to streamline submission of C&P reports



Information available in the ORA / PI Portal (OCGA, TDG and CTC&SR agreements) is the **baseline** starting point only. **It is the minimum information that should be included in C&P.**



Prior to sending to OCGA, C&P reports should be reviewed to **ensure information meets the baseline threshold**. If awards or pending proposals listed on the portal reports are not included in the C&P support sent to OCGA, **the rationale for not including should accompany the report.**



The C&P should be **current** (i.e., remove awards that have ended; ensure projects that have recently been funded are listed as active rather than pending; confirm the certification is current (i.e., certified in the last few weeks, not the last few months). **For an active PI, C&P is not a static report.** It is a dynamic, constantly changing report, that **needs to be maintained and reviewed whenever it's submitted.**



Doing this **baseline review and including contextual information** if any of the baseline data has not been included in the C&P will help **prevent delays** submitting the C&P.

C&P SUPPORT: MUST ALSO INCLUDE...

(This is not an exhaustive list, always refer to sponsor instructions)

External funding (including consulting activities) or in-kind contributions not being run through UCLA* that supports the researcher's R&D efforts

*(*see UCLA Policy 909 next slide)*

Current or pending participation in, or applications to, programs sponsored by foreign governments, instrumentalities, or entities, including foreign government sponsored talent recruitment programs

Postdoctoral scholars, students, or visiting scholars who are supported by an external entity

Travel supported/paid by an external entity to perform research activities with an associated time commitment

Startup company based on non-organization-licensed IP

Startup packages from other than the proposing organization

POLICY 909 APPLICABILITY

“All UCLA employees who

- Receive any part of their salary through the University, or*
- Whose activities use any campus resources or facilities*

must submit proposals for extramural support through the authorized University contracts and grants office with resulting awards made to The Regents of the University of California.”

[UCLA POLICY 909](#)

**UCLA Policy 909
Requirement to Submit
Proposals and to Receive
Awards for Grants and
Contracts through the
University**

UCLA Policy 909 Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University

REQUIREMENT TO SUBMIT THROUGH UCLA DOES NOT APPLY IF:

- *The sponsor's intent is to make a fellowship award **directly** to a student, postdoctoral fellow, or faculty member.*
- *The proposal is submitted to extramural Sponsors **by affiliated institutions** on behalf of UCLA faculty whose **primary appointments** are at those affiliated institutions.*
 - *This includes but is not limited to the **Veterans Administration** Greater Los Angeles Healthcare System, **Cedars Sinai** Medical Center, and **Harbor-UCLA** Medical Center.*

POLICY 909 EXCEPTIONS



Exceptions to submit a proposal or application outside UCLA may be granted on a case-by-case basis and under unusual circumstances



The Vice Chancellor for Research and Creative Activities has delegated authority to grant exceptions



Prior approval is required. Requests should be endorsed by the relevant Chair and Dean and submitted to RPC@research.ucla.edu.



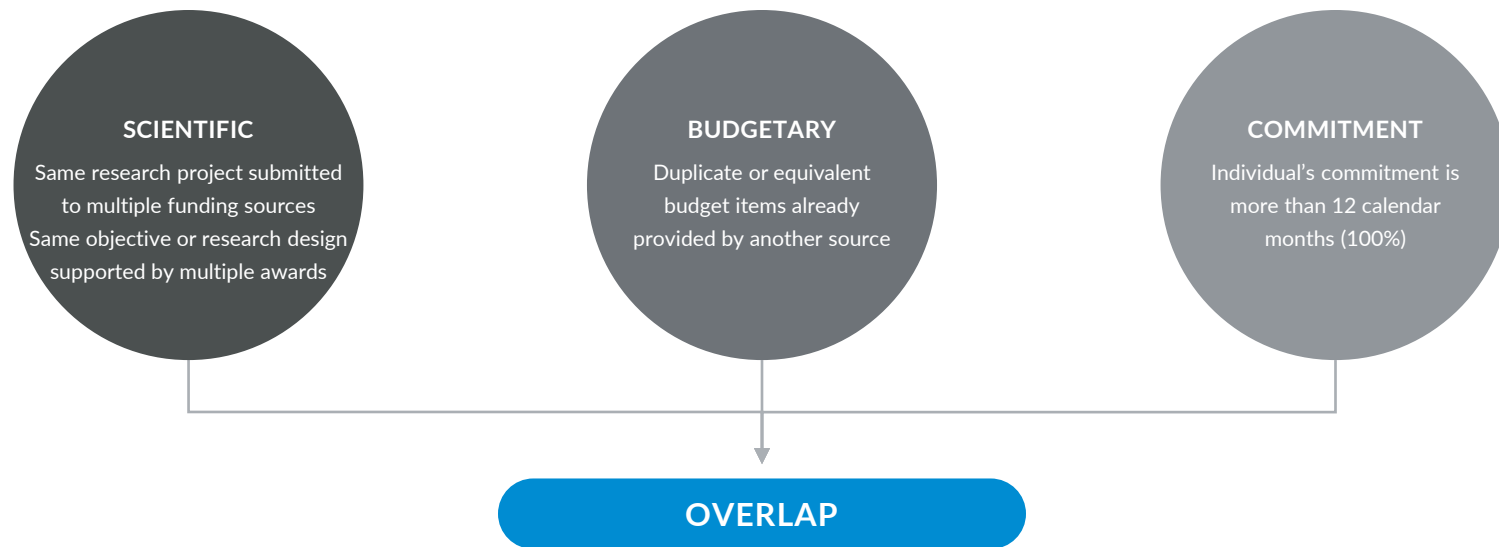
Considerations include:
Compelling reason?
Degree of overlap in and/or conflicts with research and/or responsibilities, etc.

Policy 909 Exceptions: Disclosure Requirements

All research proposals and awards submitted ... through any outside organization **must be included on disclosures** of “Other Support” or “Current and Pending Support” disclosed to Extramural Sponsors **regardless** of which entity is responsible for administering the award

HOW DO SPONSORS USE C&P (OTHER) SUPPORT REPORTS?

Overlap must be resolved at time of award



WHEN DO ISSUES ARISE?

- Overlap that has not been adequately identified or addressed
- Certifications are not current
- Undisclosed or incompletely disclosed information related to other commitments or funding
- Active membership in malign foreign talent programs
- Funding from and affiliations with foreign countries of concern

NIH Decision Matrix for Assessing
Potential Foreign Interference for
Covered Individuals or
Senior/Key Personnel

“

NIH STRONGLY ENCOURAGES INTERNATIONAL COLLABORATIONS, **WHILE... REQUIRING THAT GRANT-RELATED DOCUMENTS SUBMITTED...** CONTAIN INFORMATION THAT IS TRUE, COMPLETE, AND ACCURATE AND ASSURING THAT THERE IS **NO ... OVERLAP AND NO INADEQUATELY MANAGED FINANCIAL CONFLICT OF INTEREST.**

”

NIH DECISION MATRIX



[NIH GRANTS POLICY STATEMENT
\(GPS\)](#)



[NSPM-33 AND NSPM-33
IMPLEMENTATION GUIDANCE](#)

Non-discriminatory recognizing the importance of international collaboration for US competitiveness



[2 CFR 200.206](#)

**NIH'S EFFORT TO
ADDRESS
INAPPROPRIATE
FOREIGN
INTERFERENCE**

COVERED INDIVIDUAL



PRINCIPAL INVESTIGATOR,
CO-PRINCIPAL INVESTIGATORS



OTHER SENIOR/KEY
PERSONNEL

“... AN INDIVIDUAL WHO (A) CONTRIBUTES IN A SUBSTANTIVE, MEANINGFUL WAY TO THE SCIENTIFIC DEVELOPMENT OR EXECUTION OF A RESEARCH AND DEVELOPMENT PROJECT PROPOSED TO BE CARRIED OUT WITH A RESEARCH AND DEVELOPMENT AWARD FROM A FEDERAL RESEARCH AGENCY; AND (B) IS DESIGNATED AS A COVERED INDIVIDUAL BY THE FEDERAL RESEARCH AGENCY CONCERNED.”

NIH GENERAL PRINCIPLES



MAY PARTICIPATE IN FOREIGN GRANTS AND ACTIVITIES



MAY NOT PARTICIPATE IN MALIGN FOREIGN TALENT PROGRAMS



MUST DISCLOSE ALL DOMESTIC AND FOREIGN RESEARCH ACTIVITIES



MUST SUBMIT ENGLISH TRANSLATION COPIES OF FOREIGN AGREEMENTS TO NIH



PRIOR APPROVAL FOR FOREIGN COMPONENT

Indicators of Foreign Component requiring NIH prior approval include:

CO-AUTHORSHIP

Collaborations expected to result in co-authorship within the context of the proposed NIH award

FACILITIES / INSTRUMENTATION

Use of facilities or instruments in a foreign site

FINANCIAL SUPPORT

Receipt of financial support or resources from a foreign entity

HUMAN OR ANIMAL SUBJECTS

Project maybe involve human or animal subjects

EXTENSIVE PROJECT TRAVEL

Data collection, surveying, sampling, or similar activities

POTENTIAL IMPACT TO U.S. FOREIGN POLICY

Involvement in affairs or environment of a foreign country that may impact US foreign policy

FINANCIAL CONFLICT OF INTEREST (FCOI)



FCOI DISCLOSURE

Assures NIH-funded work is
conducted objectively, free of
personal financial bias



MANAGEMENT PLAN

Conflict of interest
management plans may be
required



ALLOWABLE ACTIVITIES



LECTURES



TEACHING



RECOMMENDATION LETTERS



ADVISORY BOARDS



PEER REVIEW



FOREIGN HONORS

(As long as there is no participate in a malign foreign talent program)

DECISION MATRIX OVERVIEW

NIH developed the Matrix as a guide to assist in reviewing grant applications and ongoing awards for signs of potential foreign interference, and appropriately mitigating risk.

3 Potential Risk Factors

FOREIGN TALENT RECRUITMENT PROGRAM (FTRP)

FOREIGN FUNDING

AFFILIATIONS WITH FOREIGN INSTITUTIONS OR ENTITIES

Mitigation (if needed) depends upon:

NATURE OF THE ACTIVITY

TIMING

- ACTIVE / ON-GOING
- NOT ON-GOING BUT IN LAST 5 YEARS

EXTENT OF THE DISCLOSURE

- FULLY DISCLOSED
- UNDISCLOSED
- INCOMPLETELY DISCLOSED

“

FOREIGN TALENT RECRUITMENT PROGRAM (FTRP) IS ANY PROGRAM, POSITION, OR ACTIVITY THAT INCLUDES COMPENSATION IN THE FORM OF CASH, IN-KIND COMPENSATION, INCLUDING RESEARCH FUNDING, PROMISED FUTURE COMPENSATION, COMPLIMENTARY FOREIGN TRAVEL, THINGS OF NON DE MINIMIS VALUE, HONORIFIC TITLES, CAREER ADVANCEMENT OPPORTUNITIES, OR OTHER TYPES OF REMUNERATION OR CONSIDERATION **DIRECTLY PROVIDED BY A FOREIGN COUNTRY** AT ANY LEVEL (NATIONAL, PROVINCIAL, OR LOCAL) OR THEIR DESIGNEE, **OR AN ENTITY BASED IN, FUNDED BY, OR AFFILIATED WITH A FOREIGN COUNTRY**, WHETHER OR NOT DIRECTLY SPONSORED BY THE FOREIGN COUNTRY, **TO AN INDIVIDUAL**, WHETHER DIRECTLY OR INDIRECTLY STATED IN THE ARRANGEMENT, CONTRACT, OR OTHER DOCUMENTATION AT ISSUE.”

NIH

RISK FACTOR 1: FOREIGN TALENT RECRUITMENT PROGRAMS

Assessing Potential Foreign Interference for Covered Individuals or Senior/Key Personnel

ACTIVE/ONGOING PARTICIPATION IN A MALIGN FOREIGN TALENT PROGRAM (MFTRP)



MITIGATION REQUIRED

Automatically Disqualifying

PARTICIPATION IN AN MFTRP WITHIN LAST 5 YEARS

OR

UNDISCLOSED OR INCOMPLETELY DISCLOSED ACTIVE/ONGOING PARTICIPATION IN A FOREIGN TALENT RECRUITMENT PROGRAM (FTRP)



MITIGATION RECOMMENDED

UNDISCLOSED OR INCOMPLETELY DISCLOSED PARTICIPATION IN A FTRP WITHIN LAST 5 YEARS



MITIGATION SUGGESTED

RISK FACTOR 2: FOREIGN FUNDING

Assessing Potential Foreign Interference for Covered Individuals or Senior/Key Personnel

UNDISCLOSED OR INCOMPLETELY DISCLOSED **ACTIVE** ONGOING FUNDING FROM A **FOREIGN COUNTRY OF CONCERN (FCOC)** (CHINA, RUSSIA, IRAN, OR NORTH KOREA) OR AN FCOC-CONNECTED ENTITY



MITIGATION REQUIRED

UNDISCLOSED OR INCOMPLETELY DISCLOSED FUNDING FROM A FCOC OR FCOC-CONNECTED ENTITY WITHIN LAST 5 YEARS

OR

UNDISCLOSED OR INCOMPLETELY DISCLOSED **ACTIVE** FUNDING FROM A **FOREIGN COUNTRY OR ENTITY THAT IS NOT A FCOC OR FCOC-CONNECTED ENTITY**



MITIGATION RECOMMENDED

UNDISCLOSED OR INCOMPLETELY DISCLOSED FUNDING FROM A FOREIGN COUNTRY OR ENTITY THAT IS NOT AN FCOC OR FCOC RELATED ENTITY WITHIN THE LAST 5 YEARS



MITIGATION SUGGESTED

“

**ORGANIZATIONAL AFFILIATIONS ARE ACADEMIC,
PROFESSIONAL OR INSTITUTIONAL APPOINTMENTS, WHETHER
OR NOT REMUNERATION IS RECEIVED, AND WHETHER FULL-
TIME, PART-TIME, OR VOLUNTARY.**

”

RISK FACTOR 3: AFFILIATIONS WITH FOREIGN INSTITUTIONS OR ENTITIES

Assessing Potential Foreign Interference for Covered Individuals or Senior/Key Personnel

UNDISCLOSED OR INCOMPLETELY DISCLOSED **ACTIVE/ONGOING**
AFFILIATION WITH AN ENTITY LOCATED IN OR CONNECTED TO **A FCOC**



MITIGATION REQUIRED

UNDISCLOSED OR INCOMPLETELY DISCLOSED AFFILIATION WITH AN
ENTITY LOCATED IN OR CONNECTED TO A FCOC
OR
UNDISCLOSED OR INCOMPLETELY DISCLOSED ACTIVE AFFILIATION WITH
AN ENTITY LOCATED IN OR CONNECTED TO A FOREIGN COUNTRY THAT IS
NOT A FCOC



**MITIGATION
RECOMMENDED**

UNDISCLOSED OR INCOMPLETELY DISCLOSED AFFILIATION WITH AN
ENTITY LOCATED IN OR CONNECTED TO A FOREIGN COUNTRY THAT IS NOT
A FCOC WITHIN THE **LAST 5 YEARS**



MITIGATION SUGGESTED

RESOURCES

- [NIH DECISION MATRIX FOR ASSESSING POTENTIAL FOREIGN INTERFERENCE FOR COVERED INDIVIDUALS OR SENIOR/KEY PERSONNEL](#)
- [NIH GRANTS POLICY STATEMENT \(GPS\)](#)
- [NIH FOREIGN INFLUENCE](#)
- [NASA RESTRICTION, DOE UPDATES AND NSF UPDATES \(RAF 4/2024\)](#)
- [NIH: FOREIGN COMPONENT, SUBAWARDS, AND DISCLOSURES \(RAF 2/2024\)](#)
- [NSPM-33](#)
- [NSPM-33 IMPLEMENTATION GUIDANCE](#)
- [2 CFR 200.206](#)
- [CHIPS AND SCIENCE ACT OF 2022](#)
- [UCLA POLICY 909](#)

Proposing a Federally Funded
Research & Development Center
(FFRDC) **As A Subrecipient**

OVERVIEW OF FFRDCS

FFRDCs have evolved from research facilities established to meet the special needs of World War II

A special class of research institutions that are funded by the Federal government, but operated by contractors, including universities, other non-profit organizations, and industrial firms.

FFRDCs are intended to provide federal agencies with R&D capabilities that cannot be effectively met by the federal government or the private sector alone.

Currently, 10 federal agencies sponsor or co-sponsor a total of 42 FFRDCs.

An FFRDC may be given special access to government and supplier data, employees, and facilities. This access is beyond what is typical in a normal contractual relationship and may include access to sensitive and proprietary information

EXAMPLE FFRDCS

NSF maintains a comprehensive list of [all FFRDCs](#) on behalf of the Government – updated annually

- Lincoln Laboratory / DOD/ MIT
- Brookhaven National Laboratory / DOE/ Brookhaven Science Associates, LLC
- Lawrence Berkeley National Laboratory / DOE /University of California
- Lawrence Livermore National Laboratory / DOE/ LLNS, LLC
- National Renewable Energy Laboratory / DOE / Alliance for Sustainable Energy, LLC
- Oak Ridge National Laboratory/ DOE/ UT-Battelle, LLC
- Sandia National Laboratories / DOE/ NTES, LLC
- SLAC National Accelerator Laboratory / DOE / Stanford
- Jet Propulsion Laboratory / NASA / Caltech

UNDERSTANDING THE RESTRICTIONS ON FFRDCS

Governed by FAR contracts between the sponsoring agency and the administering entity

Tasks must be integral to the mission and operation of the sponsoring agency - FFRDCs cannot do work unrelated to their missions.

The sponsoring agency may prohibit the FFRDC from competing with non-FFRDCs in response to a Federal agency request for proposal.

The FAR contract agreement must specify whether the FFRDC is permitted to work for other entities.

FFRDCS IN UCLA PROPOSALS

Eligibility – sometimes a funding opportunity specifically permits FFRDCs to collaborate on research but stipulates that they may not receive grant funds directly or via a subaward

Funding agency may require the applicant (UCLA) to obtain written authorization from the FFRDC's cognizant contracting officer even if the FFRDC is not receiving funding

If the FFRDC can participate and is eligible to receive funding sometimes the funding agency will have separate budget line item for the FFRDCs costs and funding related to the FFRDC scope of work is provided directly to the FFRDC.

If the funding agency guidelines are silent or vague on including an FFRDC or the payment mechanism **we strongly encourage PIs/ departments to contact OCGA as earlier as possible** so that we can work with the funding agency at proposal stage to try have the FFRDC paid directly.

FFRDCS IN UCLA PROPOSALS

UCLA, as the Prime Recipient, is required to flow down certain terms and conditions (T&Cs) to its Subrecipients.

The FFRDC, as the Subrecipient, may not be able to accept the T&Cs flowed down from the prime grant or cooperative agreement award because such T&Cs may be contrary to the FFRDC's FAR contract terms.

The FFRDC may provide a template contract that they want us to use to issue the funding to them, however UCLA may be unable to accept some of the terms that they need included in the contract.

The FFRDC may not be able to use its available funds to cover work and may require an advance payment.

BEST PRACTICE

- Include OCGA as early as possible in the process if the PI wants to include a FFRDC in the proposal
- OCGA can work with the federal funder to try negotiate direct payment to the FFRDC
- Direct payment between the federal funder and the FFRDC will almost always allow the FFRDC to commence work earlier than if UCLA must try negotiate a subaward with the FFRDC.

NIH Loan Repayment Program (LRP) Applications for FY2025 Cycle

NIH LOAN REPAYMENT PROGRAM (LRP) APPLICATIONS FOR FY2025 CYCLE

(ORA NEWS ISSUED ON SEPTEMBER 9TH, OCGA [WEBSITE](#))

- While LRP applications are submitted to NIH by the applicant, there is a certification step that must be performed by an Institutional Business Official (IBO) in OCGA. Prior to submission by the applicant, the attached LRP IBO Certification Form must be completed by the appropriate departmental representative and submitted to OCGA at erahelp@research.ucla.edu.

To help streamline this process, we ask that all LRP applicants follow these steps:

1. Indicate Kurt Durlessler (User ID: kdurlessler) as the IBO on your LRP application.
 -
1. Forward a completed [LRP IBO Certification Form](#) via email to erahelp@research.ucla.edu.
 - a. Note: this certification form must be signed by a departmental certifier on behalf of the LRP applicant.
 - b. Additional information is provided on the certification form.
 -
1. Notify us at erahelp@research.ucla.edu when your LRP application is complete and ready for submission. We will conduct a review of the information related to the IBO certification and notify you when we have completed our review. **Please do not submit prior to our review.**
 -
1. Submit your LRP application in ASSIST.
 -
1. Once submitted, notify erahelp@research.ucla.edu so that we may perform the IBO certification.
 -
1. Once IBO certification is complete, we will provide confirmation materials.
 -

- LRP applications (and IBO certifications) are due **Thursday, November 21, 2024**. Please submit a completed IBO certification form **at least five business days prior to the deadline: Thursday, November 14, 2024**.

Please share this information with LRP applicants in your department and direct all IBO certification questions to erahelp@research.ucla.edu. Thank you.

- [NIH Loan Repayment Programs \(LRP\) - Institutional Business Official Certification](#) form



Potential Government Shutdown

See OCGA Website (Hot Topics)



OCGA MONTHLY TRAINING

S2S Grants Basics

September 18, 2024

Completing the EPASS

October 16, 2024

[Register via Zoom](#)

Post-Submission Requirements

November 20, 2024

2025 Schedule Forthcoming

NIH Grants Policy Updates: FY2025 Edition

Thursday, October 17, 2024

1:00 – 2:00 p.m. ET

REGISTRATION REQUIRED!

As fall approaches, the federal government enters a new fiscal year. With the change of seasons and move to FY2025, the NIH would like to make sure you have the latest information on NIH policies and processes. Join your peers for an informative, virtual event hosted by the NIH Office of Extramural Research, where NIH policy experts share essential updates and address how these changes might impact your institution's compliance process, policies, and procedures.

[Register Today](#)

Agenda

- Introduction
- Overview of changes
- Live Q&A with NIH Policy Experts

Presenters

Michelle Bulls

Director

Office of Policy for Extramural Research
Administration (OPERA)

Kristin Ta

Deputy Director

Office of Policy for Extramural Research
Administration (OPERA)



OCGA's Outgoing Subawards Team (OST): Reminders and Updates

Research Administration Forum

September 12, 2024

Outgoing Subawards Team (OST): Reminders and Updates

Today:

- *OST's current forms - **Review***
- *OST Central MCA E-mail - **Update***

OST: Form Changes

Proposal Stage Forms *(Old Forms)*

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://clearinghouse.org/participants>

Subrecipient (Date) _____ Pass Through Entity (PTE) _____ The Regents of the University of California, Los Angeles

Legal Name _____ PTE Name _____

Sub ID: _____ PTE ID: _____

Sub Principal Investigator: _____ PTE Principal Investigator: _____

Sub Internal Project Identifier (optional): _____ PTE Internal Project Identifier (see JATJ #): _____

Project Title: _____

Prime Awarding Agency: _____ Complete Project Period: Start _____ End _____

Total Proposed Amount for Cost Sharing Amount for: _____

Complete Project Period: \$ _____ Complete Project Period: \$ _____

If cost sharing is required, please attach budget and justification about as attached

Project Facilities & Administrative Rates (check one):

Federally negotiated F&A rate that matches our FDP Expanded Clearinghouse Pilot Entity Profile

A reduced F&A 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

If Yes, please provide details on how you will ensure an appropriate level of protection against any release of sensitive information

Additional Authorized 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 (if same as FDP Expanded Clearinghouse Pilot Entity Profile): Yes No (No F&A reporting required)

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 special 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 (Banner: 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: _____ Prime Sponsor: _____

Project Title: _____

Participating Campus: _____ ID: 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)

OTHER (specify): _____

SECTION B - Certifications (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)

OTHER (specify): _____

1. **Facilities and administrative rates** included in this proposal have been calculated based on the following:

Federally negotiated F&A rates for this type of work.

Other (specify): _____

2. **Human Subjects** Yes No

3. **Animal Subjects** Yes No

4. **Stem Cells** Yes No

5. **Research Data** 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.

06/09/2022

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 - Proposal Documents - ALSO SEE SECTION E TO AVOID THE NEED TO COMPLETE A SUBRECIPIENT COMMITMENT FORM TO 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)

OTHER (specify): _____

SECTION B - Certifications

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

Our federally negotiated 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).

2. **Fringe Benefits 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:

1) IRB approved certification

2) IRB approved project protocol

3) Approved "Informed Consent" form

4) Verification of IRB training

5) Verification of F&A 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.

06/09/2022

Subrecipient Commitment & related docs

University of California, Los Angeles

Office of Contract and Grant Administration

PHS Financial Disclosure Form for Investigators from Subrecipient Entities that do not have a PHS-certified conflict of interest policy in effect in lieu of PHS award application

Investigator must complete this form if a PHS Award is being applied for. PHS Award applications will be reviewed by the University of California Office of Contract and Grant Administration (OCGA) and will be processed only if the investigator has completed this form. The PHS Award application will be processed only if the investigator has completed this form. The PHS Award application will be processed only if the investigator has completed this form.

Investigator Name: _____

Investigator Title: _____

Investigator Institution: _____

Investigator Address: _____

Investigator Phone: _____

Investigator Email: _____

Investigator Signature: _____

Investigator Date: _____

University of California, Los Angeles

Office of Contract and Grant Administration

Certificate of Compliance with OMB Circular A-133 Uniform Guidance

This institution certifies that the administration of Federal programs at this institution has been audited in accordance 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 exceptions of non-compliance with federal laws and regulations, and there were no reportable conditions.

There were exceptions of non-compliance with federal laws and regulations, and there were reportable conditions. If so, specifically related to the award from the Regents of the University of California, Los Angeles.

Material non-compliance issues and/or reportable conditions were related to the 133 Uniform Guidance audit report. If so, specifically related to the award from the Regents of the University of California, Los Angeles.

06/09/2022

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 receiving Federal Award monies to only use a program/award prime award in the University of California. The purpose of this questionnaire is to determine the status of your organization's compliance with the above Federal requirements, which OMB Circular A-133 requires. The following questions must be answered by Subrecipient Author (UCLA) or Chief Financial Officer of your organization.

A subrecipient is a third party organization that receives funding from the University of California, Los Angeles (UCLA) to conduct research or a research-related program. The University is responsible for monitoring the program, financial, and control of award of OIG state of subrecipient.

ORGANIZATIONAL DATA

Name of Organization: _____

Address: _____

City: _____ State: _____ Zip: _____

Phone: _____ Fax: _____ Email: _____

UCL Number: _____

TERRIBLE OR EXTENSIVE

1. For any grants and subgrants of higher education, does your organization have a contract A-133 audit on file in the Federal Audit Clearinghouse? If not, check the most correct type of your audit report: No audit report Audit report filed in the Office of Contract & Grant Administration of UCLA. <https://clearinghouse.org/audit-reports>

2. For any grants and subgrants on an subject to A-133 audit requirements, for those subject to A-133 audit, does your organization have a contract A-133 audit on file in the Federal Audit Clearinghouse? If not, check the most correct type of your audit report: No audit report Audit report filed in the Office of Contract & Grant Administration of UCLA. <https://clearinghouse.org/audit-reports>

GENERAL INFORMATION

1. Does your organization have a financial statement reviewed by an independent public accounting firm? If not, check the type of firm that conducted financial report with your organization: Yes No

2. Are you an organization that is not an individual but a separate legal entity? Yes No

3. Does your organization have a present obligation of bond in some of approval? Yes No

06/09/2022

University of California, Los Angeles

Office of Contract and Grant Administration

Attachment A

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: _____

Third Party PI: _____

Project Title: _____

Prime Sponsor: (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

GRABBER REVIEW:

AGREE DISAGREE, RETURN TO DEPT. COMMENTS: _____

Name of Authorized Institution Official (e.g. DRA, OCGA) _____

Signature of Above Authorized Institution Official _____ Date _____

06/09/2022

Determination Checklist

University of California, Los Angeles

Office of Contract and Grant Administration

Fair & Reasonable Contract Award Justification Form

This form is used to justify the award of a contract to a contractor (vendor) and is required for all contracts awarded by UCLA. The contractor (vendor) must complete this form and submit it to the UCLA Office of Contract and Grant Administration (OCGA) at the time of proposal submission.

Contractor Name: _____

Contract Title: _____

Contract Value: _____

Contract Start Date: _____

Contract End Date: _____

Contractor Address: _____

Contractor Phone: _____

Contractor Email: _____

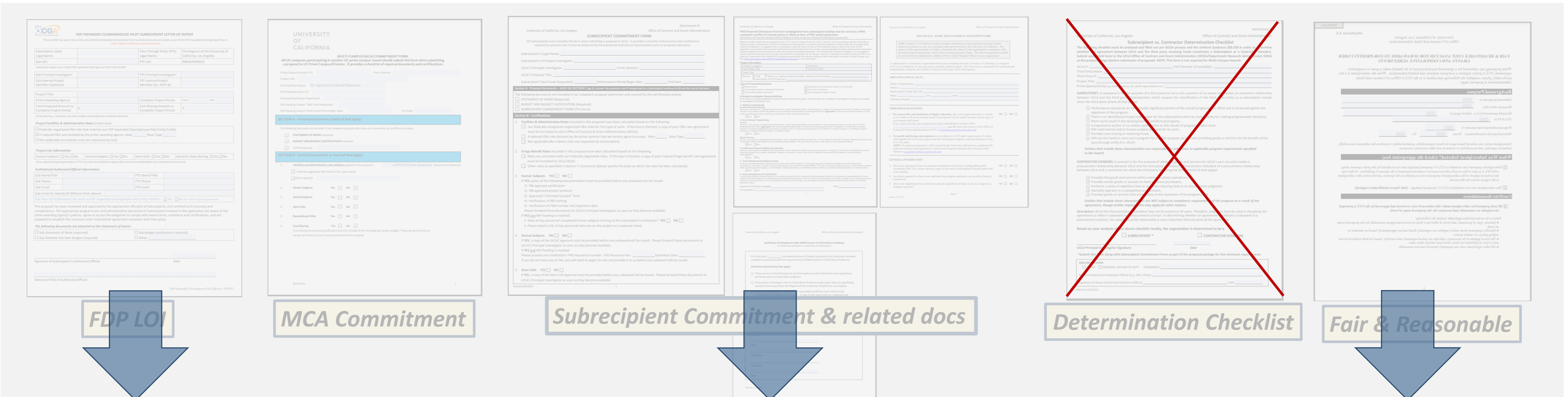
Contractor Signature: _____

Contractor Date: _____

Fair & Reasonable

OST: Form Changes

Proposal Stage Forms – Current Forms



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: Subaward Documentation

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/UC campuses:

- Subrecipient Institutional Information form ([Site](#))

- **‘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: *MCA e-mail box*

The OST is discontinuing use of its MCA central e-mail box: *OutgoingMCA@research.ucla.edu*.

All requests to the OST, for new MCAs or amendments to MCAs along with requests for new subawards or subaward amendments, **can now be submitted to:**

ocgasubawards@research.ucla.edu

Questions?

- For questions regarding specific subawards or MCAs, contact the OCGA Outgoing Subawards Team member named in your subaward or MCA agreement or send an email to ocgasubawards@research.ucla.edu. Your question will be forwarded to the Subaward Team member assigned to that Subaward or MCA.
- The e-mail address ocgasubawards@research.ucla.edu is only for communications regarding outgoing subawards and MCAs (awards in which funding will flow *from* UCLA to a subrecipient or participating sister-campus)
- All Outgoing Subaward Forms can be found at: <https://ocga.research.ucla.edu/forms/#outgoing-subaward>
- And our FAQ's are available at: <https://ocga.research.ucla.edu/faq/#outgoing-subawards>

Thank you!

September 2024 Research Administration Forum Q&A

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Human Research Protection Program

Q1: Regarding studies in the pre-submission stage, when would be the last day to submit them for IRB review in WebIRB before we would need to create a new submission in BruinIRB?

A1: Studies created in webIRB that are currently in the states PRE-SUBMISSION or WITHDRAWN (due to non-response to correspondence) will be advised that the submission/response to IRB requests must be finalized and SUBMITTED by 12/31/24. Any submissions that are not submitted by 12/31/24 will be archived. Should the team wish to continue with the submission in the future, it will have to be re-created in BruinIRB.

Q2: For the BruinIRB resource library, is there a guide on how to download the IRB approval certificate? I can't seem to find this in the current list of quick guides. Our PIs have struggled with finding this document in webIRB.

A2: The IRB final determination letter (approval certificate) for the initial study and all subsequent submissions (amendment, continuing review, PAR) may be accessed under the NOTICES tab in the main study workspace. The notice is available as an HTML link and may be downloaded to your local drive for printing or addition to your regulatory binder. A quick guide on navigating your BruinIRB workspace will be posted shortly to the BruinIRB Library.

Contract and Grant Administration

Q1: For outgoing subs, depts are asked by OCGA to upload the fully executed agreement back into BB+. Unfortunately, there is always an error message triggered by the BB+ system on the FE copy being too large for upload. Is OCGA OST aware of this issue? We should find a more streamlined way for this last step.

I went to yesterday's AP Hot Topics webinar and they said to email the FE copy back to Purchasing. If that's the case, I think that OST should just cc them at the last step to streamline the entire process.

A1: Purchasing was requesting the upload of the FE'd agreement into BB+ and we were not aware that the size of the upload was an issue. We'll get in touch with Purchasing about the issue.

Q2: Is there a template LOI for incoming subawards? Some institutions that I have worked with don't provide a template like the OCGA version for outgoing subs.

A2: Yes, we are a member of the FDP EC so [this template](#) can be used.

Q3: We are working on an NIH CF and we have two subawards that are included. I notice one of the subawards budget is requesting \$15K equipment that was never in the proposal budget. Can a subaward buy equipment with our NIH funds? Who keeps ownership of such equipment and is responsible for inventory compliance, since NIH gave us the funds?

A3: It depends on the terms of the specific incoming award, but likely they can; equipment will vest with the subrecipient (again, unless terms of the incoming award say otherwise).

Q4: Can the ORA Portal be updated to include a section for OST, where OST can upload FE Agreements so that department personnel can download them? Right now, FE Agreements are only emailed and to a particular fund manager, but if that fund manager fails to save it somewhere, it's gone. Having it on the portal, like we do for other sponsor awards/agreements, would be great.

A4: This is on our "wish list," and like Tracey stated, we are working with IT on this. One thing slowing it down is that there is only one incoming award, but there can be up to 500+ outgoing awards. But again, thank you for the good suggestion and it is on our wish list too.

Q5: Even though the MCA commitment form and all corresponding documents were reviewed by OCGA during proposal stage, the turnaround for an MCA to be issued tends to be around 6-8 weeks. It even takes 1-2 weeks for an MCA request to be assigned to an officer. What is the expected turnaround for an MCA to be issued in the future when all documents are on hand?

A5: Per our [Outgoing Subawards](#) web page, these are our current turnaround times: New MCAs: 28 business days, MCA Amendments: 19 business days, New Subawards: 74 business days, Subaward Amendments: 41 business days.

Q6: Is the updated version the subrecipient letter of intent uploaded to the OCGA subaward page? The last revised version currently available is from 3/8/24.

A6: That is the latest version. This run-through was really just meant as a refresher.