OCGA’s Outgoing Subaward Team (OST)

Research Administration Forum
March 10, 2022
OCGA OST Metrics: Open Agreements

# of Open Agreements: 334

Average Age: 40 Days
OCGA OST Metrics: Fully Executed Agreements

YTD Completed: 1307

Ave. TAT: 42 days

Ave. OCGA TAT: 28 Days
OCGA OST Metrics: Fully Executed

New Subaward

• Ave Total Turnaround time: 66 days
• OCGA Turnaround Time: 33 days

Subaward mod

• Ave Total Turnaround time: 41 days
• OCGA Turnaround Time: 27 days
OCGA OST Metrics: Fully Executed

New MCA
• Ave OCGA / TAT: 34 days

Subaward mod
• Ave OCGA / TAT: 26 days
Opportunities to Improve Turnaround Times

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

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Communications:
OST Automated E-mails

- E-mail notifications to let you know when your subaward request has been assigned to an OST negotiator
OST: Updates (Cont.)

OST Information: FAQs update

- The Outgoing Subaward Team’s questions and answers on OCGA’s FAQs page are being updated
OST: Updates (Cont.)

Next steps:

◦ Forms review
  ◦ Streamlining of current OST required forms

◦ Additional training
  ◦ Video training on OST forms

◦ System changes
  ◦ Fully moving into OCGA’s PATS system
OST: *Standard Processes*

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

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

- If any additional information or clarification is needed, the OST Negotiator will contact the Department
OST: Standard Processes (cont.)

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

NegotiatorDrafts Subaward
- OST Negotiator uses the entity review, the review of subaward documents and review of the overall UCLA project, to determine overall project risk
- Negotiator begins to draft the Subaward Agreement, overall project risk assessment may necessitate additional subaward requirements
OST: Department Review of Proposal Stage Documents

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

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

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

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

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

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

**Proposal Documents required for sister UC campuses:**

- MCA Commitment or LOI (Site)

**Plus**
- Campus’ Detailed SoW (Site)
- Campus’ Detailed Line Item Budget-Justification, (including Cost share Budget/Just. if app.) (Site)
Proposal Stage Documents

- **Please be sure to review forms that are received from your subrecipients**
  - Review is necessary to ensure completeness

- **Subrecipient Commitment Form items that are generally missed:**
  - F&A Rate Agreement
  - Fair and Reasonable Cost Analysis

Section B: Certifications

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

- **Fair and Reasonable Cost Analysis**

14. **Subrecipient is what type of entity?**

   Is the Subrecipient a for-profit entity?  **YES □ NO □**

   If YES, UCLA PI should complete the [Fair and Reasonable Cost Analysis](#) and attach it to this form.
OST: Department Review of Proposal Stage Documents (cont.)

Proposal Stage Documents

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

  ![Section C: Audit Status](image)

  1. Does the subrecipient receive an annual audit in accordance with OMB Circular A-133/Uniform Guidance? [ ] YES [ ] NO
     
     If YES,
     
     a) A complete copy of subrecipient’s most recent audit report, or the Internet URL link to a complete copy, must be furnished to UCLA OCGA before a subaward will be issued.
     
     b) Has the audit been completed for the most recent fiscal year? [ ] YES [ ] NO
     
     c) Were there any audit findings reported? [ ] YES [ ] NO

     If YES, UCLA requires that the entity complete the Certificate of Compliance.
     
     If NO, UCLA requires that the entity complete a Financial Audit Management Questionnaire and may require a limited-scope audit before a subaward can be issued.
OST: Department Review of Proposal Stage Documents (cont.)

Proposal Stage Documents

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

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

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

Submitting your Subaward Checklist package to the OST

- Please review your package beforehand
  - Make sure that everything requiring signature is signed
  - Make sure that all documents meant to be included are included
- No piecemeal submissions with multiple e-mails
- If your subrecipient will be working with human or animal subjects, the OST will need approvals for that work prior to finalizing the agreement
- REDUCE processing times by submitting complete Subaward Checklist packages to the Outgoing Subaward Team (OST) at ocgasubawards@research.ucla.edu.
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The current Subaward Checklist form (version dated 4/15/2021) with all items answered. This includes answering the Conflict of Interest question and the PI/Authorized Representative signature on page 2.

OST: Submitting Your Subaward Request Package (cont.)

Review your Subaward Checklist against your OCGA Award Snapshot.

Section III: Award Demographics

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

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<th>Direct Costs</th>
<th>F&amp;A Costs</th>
<th>Total</th>
<th>F&amp;A Rate</th>
<th>F&amp;A Base</th>
<th>Award Status</th>
<th>Action Type</th>
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<td>$198,785</td>
<td>$107,333</td>
<td>$306,098</td>
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<td>MTDC</td>
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<td>Anticipated/Committed</td>
<td>Continuation</td>
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Section IV: Subawards

- Proposed Subawards
  University of Southern California, UC San Diego

- Named Subawards
  University of Southern California
A complete Subaward package includes:

- All corresponding Attachments

### VII. REQUIRED DOCUMENTS

(Required documents that are incomplete or missing WILL DELAY review and processing.)

<table>
<thead>
<tr>
<th>Required as Applicable</th>
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<tbody>
<tr>
<td>Subrecipient IRB Approval (if working with human subjects)</td>
</tr>
<tr>
<td>Subrecipient IACUC Approval (if working with animal subjects)</td>
</tr>
<tr>
<td>Subrecipient Stem Cell Approval (if working with stem cells)</td>
</tr>
<tr>
<td>Subrecipient Line Item Cost Share Budget and Justification (if cost share indicated in Section V above)</td>
</tr>
<tr>
<td>Subrecipient Federal Indirect Cost Rate Agreement</td>
</tr>
<tr>
<td>Subrecipient Federal Fringe Benefits Rate Agreement</td>
</tr>
<tr>
<td>PHS Financial COI Disclosure Form (if no PHS FCOI policy)</td>
</tr>
<tr>
<td>Subrecipient Most Recent UG Audit (copy or hyperlink to)</td>
</tr>
<tr>
<td>Certificate of Compliance (if UG Audit has findings)</td>
</tr>
<tr>
<td>Financial Audit Management Questionnaire (if no UG audit)</td>
</tr>
<tr>
<td>UCLA Fair &amp; Reasonable Cost Analysis (For-Profit subrecipients)</td>
</tr>
</tbody>
</table>

- **New:** Required Documents were submitted **complete** to OCGA at proposal stage. There are no changes or updates, except as attached *(for example, if applicable: revised scope of work and/or budget; subject use approvals; Financial Audit Management Questionnaire; etc.)*

- **Amendment:** Required Documents were submitted to the OST for a previous action. There are no changes or updates, except as attached *(for example, if applicable: revised scope of work and/or budget; subject use approvals; etc.)*
OST: Subaward Request Receipt Dates

- Within 30 days of start
- Between 30 and 60 days of start
- Between 60 and 120 days of start
- More than 120 days after start
When you receive an OCGA e-mail Notification confirming the setup of your award, if a subaward or subaward amendment needs to be issued, please be sure to submit your Subaward Checklist package as soon as you are able.
Questions?

• For questions regarding specific subawards, contact the OCGA Outgoing Subaward Team member named in your subaward agreement or send an email to ocgasubawards@research.ucla.edu (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 from UCLA to the subrecipient).

• For quick reference on Outgoing Subaward Required Forms visit our website at: https://ocga.research.ucla.edu/required-forms/

• General questions?

Thank you!