
OFFICE OF CONTRACT & GRANT ADMINISTRATION UPDATES

SEPTEMBER 12, 2024

RESEARCH ADMINISTRATION FORUM

TRACEY FRASER, SENIOR DIRECTOR, OCGA



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**

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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

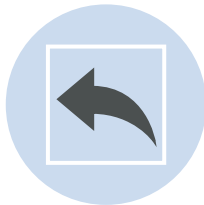
Hints and tips for how to streamline submission of C&P reports



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.



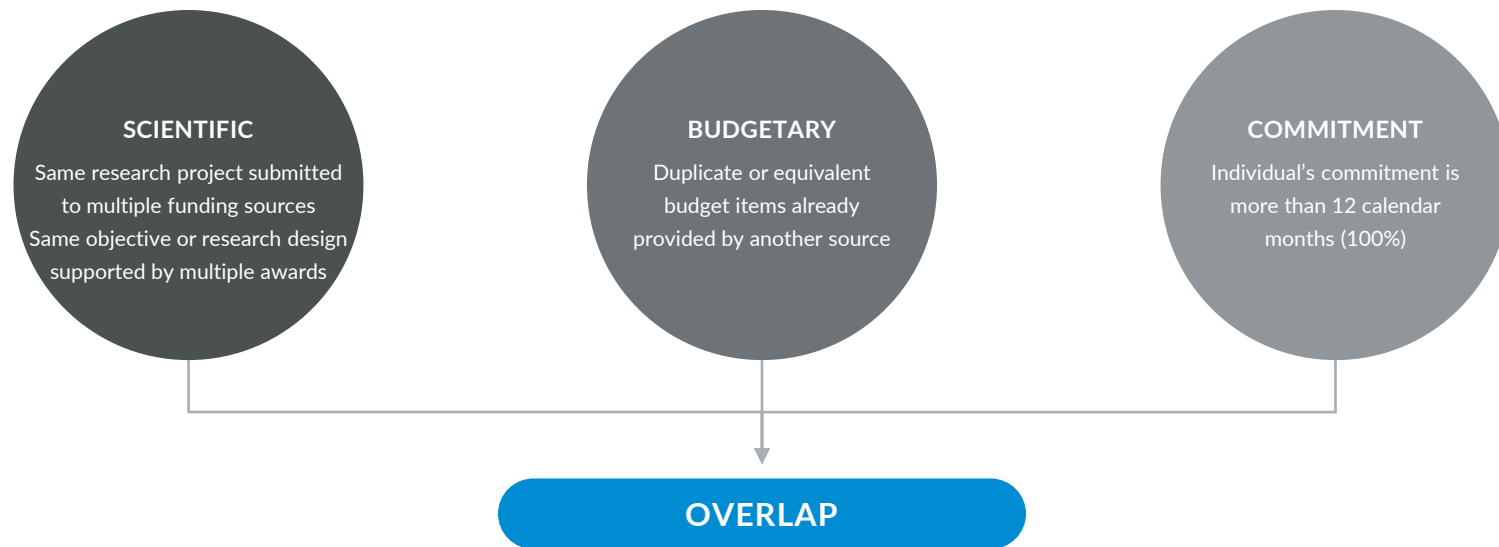
Considerations include:
Compelling reason?
Degree of overlap in and/or conflicts with research and/or responsibilities, etc.

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.**

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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
conductive objectively, free of
personal financial basis



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.**

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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 administrating 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

Post-Submission Requirements

November 20, 2024

2025 Schedule Forthcoming

[Register via Zoom](#)

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)