UCLA David Geffen School of Medicine

New Research Faculty Onboarding

Laura Sheehan

Manager of Research Administration

Department of Family Medicine


WELCOME


WELCOME TO THE TEAM!


Welcome to the team!


WELCOME TO THE TEAM.
NBC

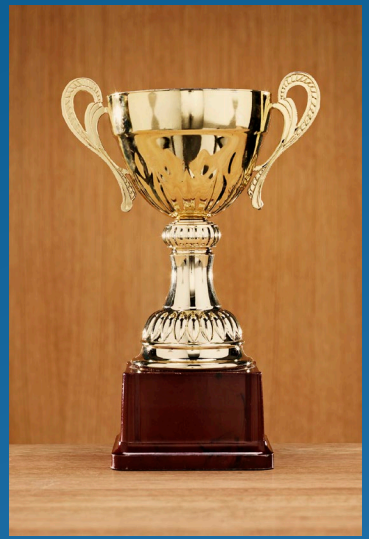

WELCOME TO THE
DREAM TEAM

Laura Sheehan

- Manager of Research Administration, Department of Family Medicine, David Geffen School of Medicine at UCLA
- 25 years in academic research administration
  - 3 years in Civil/Environmental Engineering research administration at University of Southern California (USC)
  - 10 years in Pediatric Infectious Diseases research and fellowship administration, and divisional financial management at UCLA
  - 12 years in Family Medicine research administration and financial management at UCLA
- Management of approximately $10M in contract and grant funding annually
- Department consistently ranks in top 10 nationwide for federal funding among all Family Medicine Departments

National Ranking

UCLA Department of Family Medicine ranked #4 nationwide among all Fam Med departments for federal research funding (Blue Ridge Rankings)



Year	Rank	Amount
2024	5	$4,207,964
2023	4	$5,044,646
2022	7	$3,855,041
2021	7	$3,470,049
2020	8	$3,018,776
2019	8	$2,849,051
2018	2	$4,775,715
2017	3	$4,878,450
2016	4	$3,351,473
2015	10	$1,797,066
2014	12	$1,402,593

Website

Department of Family Medicine

https://www.uclahealth.org/departments/family-medicine/research

UCLA Health | Find Care

Departments ▸ Family Medicine ▸

FAMILY MEDICINE
Research

Family Medicine

- About Us +
- Education +
- For Patients
- Our Clinicians
- Research −
  - Center for Behavioral and Addiction Medicine
  - For Family Medicine Research Unit Employees
  - Multi-Campus Research Day Committee
  - Research Day
  - Research Faculty
  - UCLA Sports Medicine Program
- Specialties −
  - Addiction Medicine
  - Pain Management and Palliative Care
  - Sports Medicine

Onboarding

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Blanket Agreements/(

Effort Reporting Guid

How-To Guide for Trav

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Independent Contractor/Consultant Checkli

Mileage Reimbursement Form

RESEARCH PROJECT FORMS:

Facilities and Resources Page for Proposals

Proposal Intake Form

Subaward Invoice Certification Form

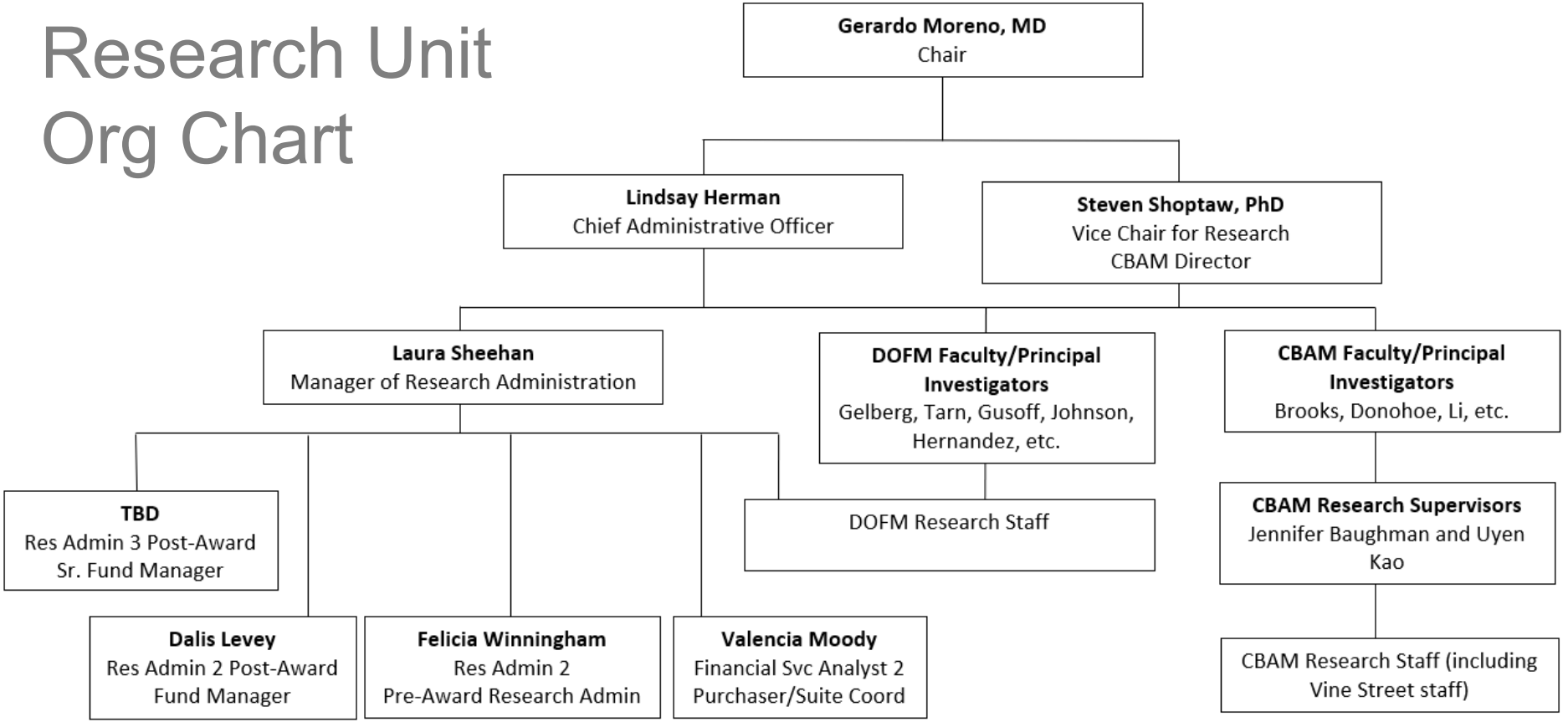
Subawards - Required Information for Proposals

MONTHLY RESEARCH UNIT MEETING SLIDES AND AGENDAS:

August 2023 Research Unit Meeting

May 2023 Research Unit Meeting

Research Unit Org Chart



What does the Research Unit Admin Team Do?

- **We provide administrative assistance to anyone who wants to conduct research in our department**. Primarily that is research faculty, but it could also include students, residents, fellows, non-research faculty, and more.
- **Liaison with central offices** or connect department personnel with the correct central office connections (e.g. OCGA, EFM, Purchasing, AP, etc.)
- **Pre-Award assistance** (finding funding opportunities, creating proposals, navigating approvals/internal processes, crafting budgets, submission, etc.)
- **Post-Award assistance** (allocating funds, approving purchases, running monthly internal financial reports, setting up subawards, financial reporting to sponsor, close-outs, etc.)
- **Training** for anyone interested in conducting research
- **Manage various research-related activities** (including monthly Grand Rounds, medical student Discovery Year, and resident Research Day)

Fam Med Research Unit Admin Team

Laura Sheehan: Oversees pre- and post-award management, finances and purchasing, training of faculty and staff, etc.

Felicia Winningham: Handles pre-award for all research personnel

Dalis Levey: Fund Manager responsible for post-award financial issues for our less complex contract & grant funds

Sr. Fund Mngr (TBD): Will serve as Sr. Fund Manager and will handle post-award financial issues for our more complex C&G funds and will provide guidance to the Fund Manager.

Valencia Moody: Oppenheimer Suite Coordinator and our main Fam Med Purchaser on the blended Peds/Fam Med Purchasing Team. Handles most FM purchasing, buying, and reimbursement issues.

ORCA

Office of the Vice Chancellor for Research & Creative Activities

ORA

Office of Research Administration

Manages most of the alphabet soup:

OCGA, EFM, OHRPP, ORIS, ORDM, and OBFS

TDG

Technology Development Group

Manages Industry (for profit) sponsored research, MTAs, patents, inventions, royalties, etc.

REO

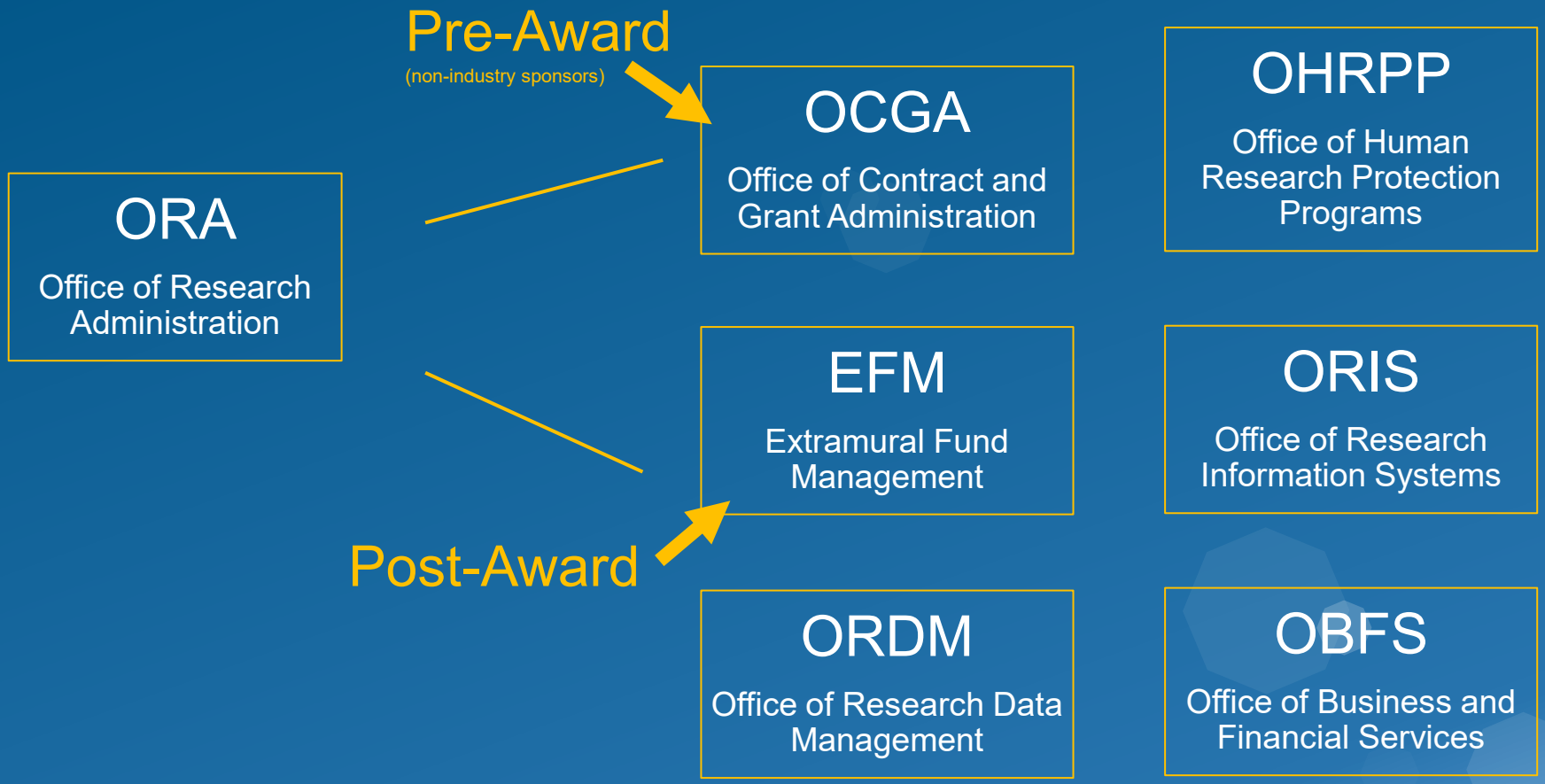
Research Enhancement Office

Limited submissions, funding opportunities newsletters and resources, UCLA Grand Challenges, etc.

RPC

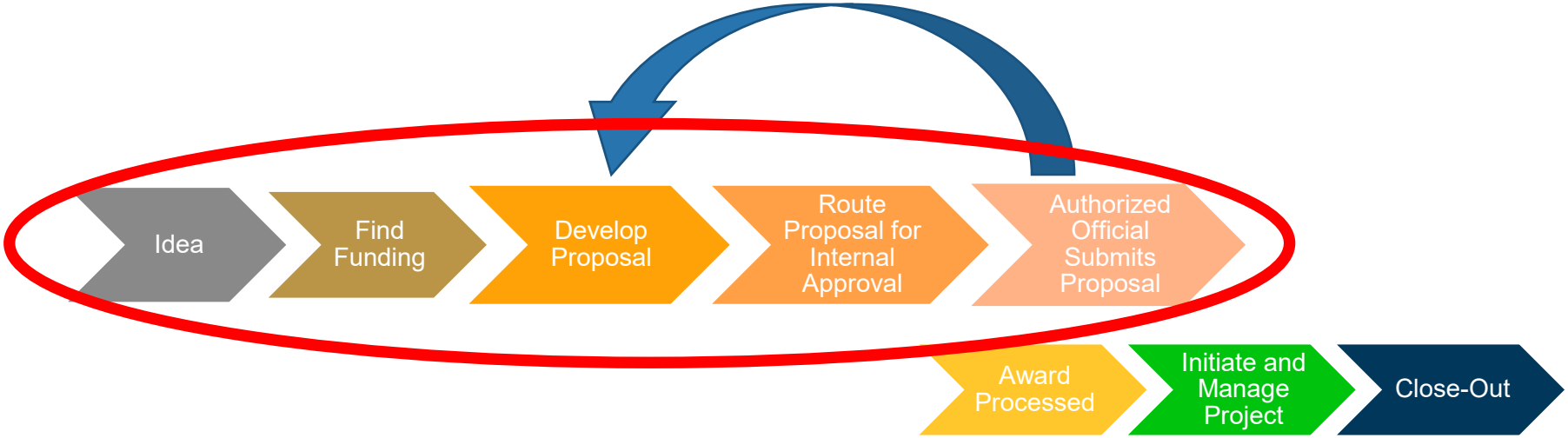
Research Policy & Compliance

Animal Research, Conflicts of Interest, Biosafety, Dual Use Review, Export Control, etc.


Pre-Award
(non-industry sponsors)
ORA
Office of Research Administration
OCGA
Office of Contract and Grant Administration
OHRPP
Office of Human Research Protection Programs
EFM
Extramural Fund Management
ORIS
Office of Research Information Systems
Post-Award
ORDM
Office of Research Data Management
OBFS
Office of Business and Financial Services

Pre-Award

Research Project Process



Pre-Award PI Responsibilities:

- Identifies research funding opportunity and READS THE SPONSOR GUIDELINES
- Submitting Proposal Intake Form to Fam Med Pre-Award Administrator well in advance of the 5-business day deadline
- Create budget and justification
- Create all other proposal documents, including cover letter, abstract, research plan, specific aims, human subjects research plan, etc. in accordance with opportunity/sponsor guidance
- Signs conflict of interest forms, EPASS, and any other necessary internal forms

Pre-Award Administrator assists with all items in yellow. Will also assist with creating the budget and budget justifications, coordinating subaward documentation, and will handle all internal forms and submission to the appropriate Central Office.

Central Office is responsible for reviewing for compliance, signing off as Authorized Official and submitting to sponsor (or giving us permission to submit).

Which central office handles proposals?

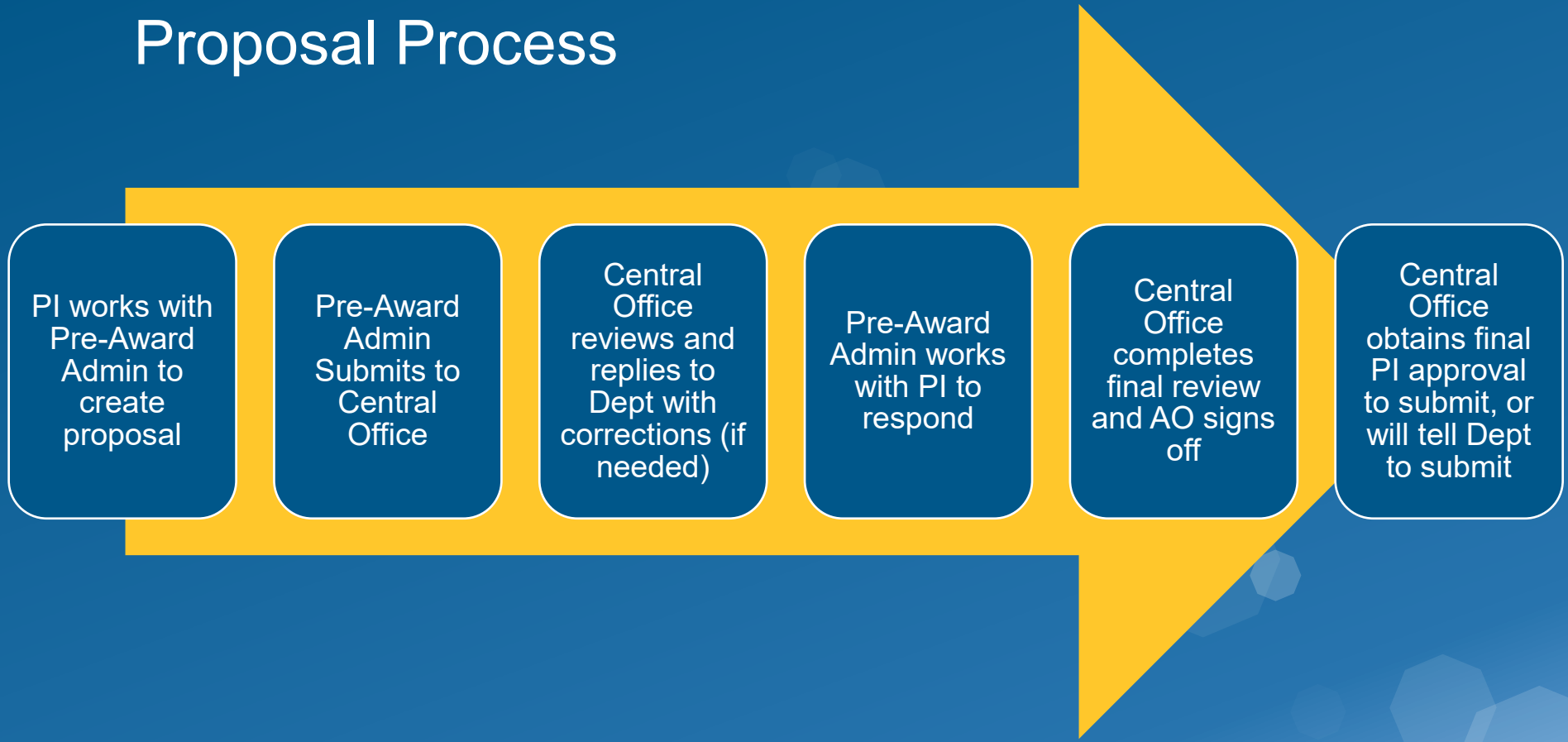
It depends on who the sponsor is and the type of proposal. It will be one of these three offices:

Sponsor	Project Type	Responsible Central Office
Non-Profit (e.g. govt)	All	Office of Contract and Grant Administration (OCGA)
For Profit / Industry	Non-Clinical Trial Contracts and Grants	Technology Development Group (TDG)
For Profit / Industry	Clinical Trials	Clinical Trials Contracts & Strategic Relations (CTC&SR)

Can I submit a proposal myself, without going through Fam Med or a central office like OCGA?

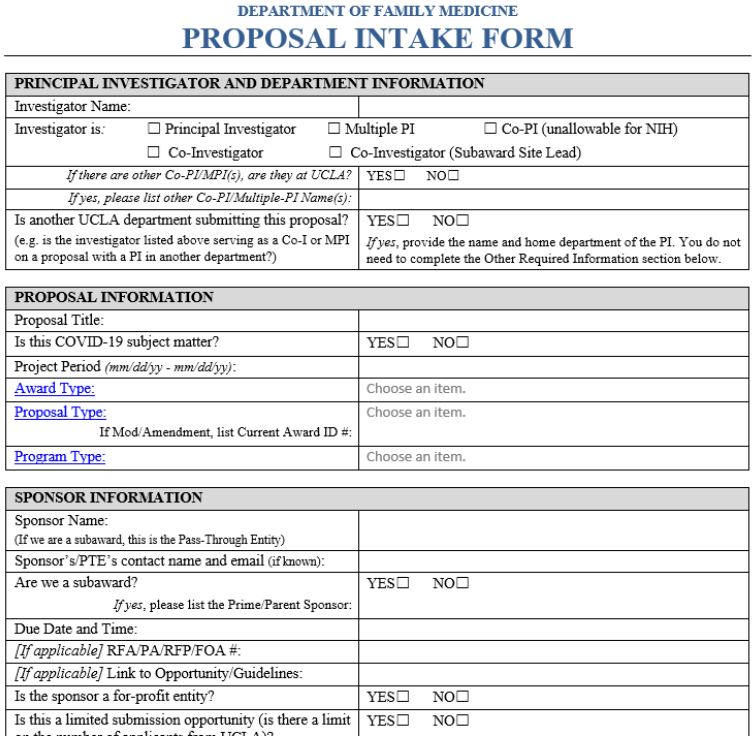
Nope. Don’t even think about it.

Proposal Process



Internal forms

- **Proposal Intake Form**
  - Due to Pre-Award Admin at the start of pre-proposal process, the sooner the better
  - Gathers basic data for planning purposes and for EPASS completion
- **EPASS** (Extramural Proposal Approval and Submission Summary)
  - Created by Pre-Award Admin and then submitted to Central Office, gathers info to ensure proper approvals/certifications are in place
  - Used for institution-wide tracking and record-keeping
  - Requires sign-off by PI and Chair/Dean



DEPARTMENT OF FAMILY MEDICINE

PROPOSAL INTAKE FORM

PRINCIPAL INVESTIGATOR AND DEPARTMENT INFORMATION	
Investigator Name:	
Investigator is: ☐ Principal Investigator ☐ Multiple PI ☐ Co-PI (unallowable for NIH) ☐ Co-Investigator ☐ Co-Investigator (Subaward Site Lead)	
If there are other Co-PI/MPI(s), are they at UCLA?	YES☐ NO☐
If yes, please list other Co-PI/Multiple-PI Name(s):	
Is another UCLA department submitting this proposal? (e.g. is the investigator listed above serving as a Co-I or MPI on a proposal with a PI in another department?)	YES☐ NO☐ *If yes*, provide the name and home department of the PI. You do not need to complete the Other Required Information section below.

PROPOSAL INFORMATION	
Proposal Title:	
Is this COVID-19 subject matter?	YES☐ NO☐
Project Period *(mm/dd/yy - mm/dd/yy)*:	
Award Type:	Choose an item.
Proposal Type: If Mod/Amendment, list Current Award ID #:	Choose an item.
Program Type:	Choose an item.

SPONSOR INFORMATION	
Sponsor Name: (If we are a subaward, this is the Pass-Through Entity)	
Sponsor's/PTE's contact name and email (if known):	
Are we a subaward? *If yes*, please list the Prime/Parent Sponsor:	YES☐ NO☐
Due Date and Time:	
[If applicable] RFA/PA/RFP/FOA #:	
[If applicable] Link to Opportunity/Guidelines:	
Is the sponsor a for-profit entity?	YES☐ NO☐
Is this a limited submission opportunity (is there a limit	YES☐ NO☐

Internal forms

- **PI Exception Form**
  - Faculty can serve as PI if they are members of the Academic Senate. Titles with Academic Senate Membership are in the table to the right.
  - Pre-Award Admin will submit the form if it is required, but since it requires signature from the Chair and Dean, the sooner the Intake Form is submitted, the better.
- **Conflict of Interest Forms** (signed by all UCLA Key Personnel)

Pre-Award Admin will let you know which one(s) are required:

  - Federal PHS Sponsor/Prime: eDGE
  - Federal non-PHS, CIRM, or UC RGPO/UCOP Sponsor/Prime: 740 and Suppl 740 Form
  - Non-Government Sponsor/Prime: 700U and 700u Addendum

(Exemptions: non-profit, tax-exempt educational institutions and Exempt Organizations)

Title Code	Title Name
1210	Associate Professor
1719	Associate Professor-HCOMP
1110	Professor
1721	Professor-HCOMP
1132	Professor Emeritus
1310	Assistant Professor
1451	Associate Professor of Clinical X
1452	Assistant Professor of Clinical X
1450	Professor of Clinical X
1453	Professor of Clinical X-HCOMP
1454	Associate Professor of Clinical X-HCOMP
1455	Assistant Professor of Clinical X-HCOMP
1702	Recall Faculty
1701	Recall-HCOMP
1700	Recall Teaching
1717	Assistant Professor-HCOMP
1724	Assistant Professor-in-Residence-HCOMP
1725	Associate Professor-in-Residence-HCOMP
1726	Professor-in-Residence-HCOMP
3249	Senate Emeritus
3251	Professor-in-Residence
3261	Associate Professor-in-Residence
3271	Assistant Professor-in-Residence

Proposal Documents/Attachments

Budgets

- Pre-Award Administrator can assist with creation of budget
- We have Excel templates for most sponsors already, and can create new ones as needed

Budget Justifications

- Pre-Award Administrator can assist with creating a skeleton justification, including standard language for common items
- PI will need to provide detail for personnel (responsibilities on project) and less-common costs

Facilities and Resources Page:

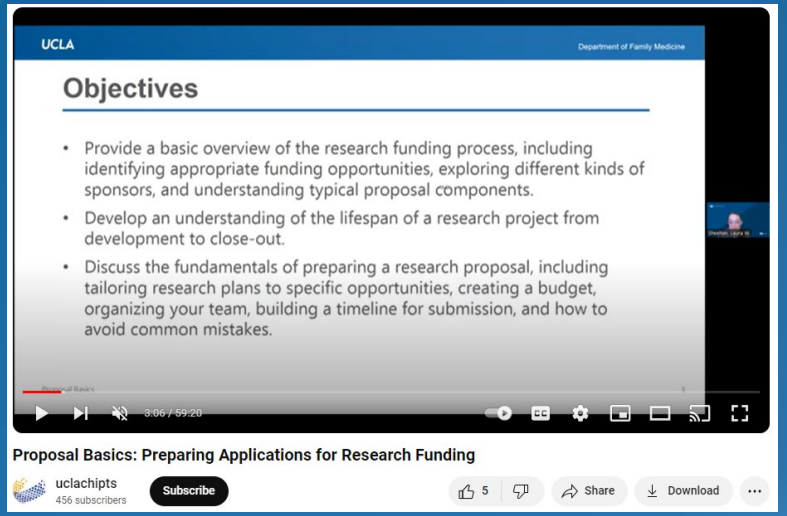
- Standard template is available on our website, can be customized as needed

Biosketches

- PI/research staff are responsible for creating Biosketches, but Pre-Award Admin will review for compliance and formatting

Interested in learning more about submitting proposals and building budgets?

- **Proposal Basics: Preparing Applications for Research Funding** – 60-minute video presentation providing basic overview of proposal process and basics.
- **Building a Budget: Financial Basics for Research Proposals** – 90-minute video presentation providing a more in-depth look into how to create a proposal budget.



Pre-Award Key Takeaways

- Reach out to the Pre-Award Research Administrator as far in advance as possible.
- Do NOT sign anything yourself unless you have been advised to do so by your Pre-Award Administrator or Central Office. No one in our department or even within DGSOM is an Authorized Official (AO) for our submissions.
- When in doubt, reach out to the Research Unit Admin Team if you have questions.

Post-Award

How does the award get processed?

- Sponsor sends Notice of Award (NOA) and Terms & Conditions to OCGA
- OCGA reviews, redlines as needed, both parties eventually fully execute (FE) agreement
- OCGA instructs ORDM to create fund number
- **You should not begin work until the fund number has been created**

If you need to start work prior to the FE agreement, we can submit a Request for Advanced Spending (RAS)

How does the award get processed?

- Sponsor sends Notice of Award (NOA) and Terms & Conditions to OCGA
- OCGA revi… …eeded, both parties eventually fully execute (FE) ag…
- OCGA… …nd number
- **You sho… …ntil the fund number has been created**

…need to start work prior to the FE agreement, we can submit a …uest for Advanced Spending (RAS)

FAUs (Full Accounting Units): Accounts, Cost Centers, and Fund Numbers

Three components often referred to as the "FAU":

- Account: Groups transactions of major activities within Fam Med. First two digits represent the function. Most common are 40- for Instruction, 44- for Research, 62- for Public Service. Remaining digits are almost always -1435 for Fam Med.
- Cost Center – Typically the PI's initials. However, if you receive supplemental funding, have a split payment basis, or have any other special circumstance, you may have multiple cc's for the same fund number.
- Fund Number – Discrete monetary source for a particular programmatic or contractual objective. In other words: each grant gets its own fund number. Same number across departments if you transfer funds for the same award.

Example: **441435-JB-12345**

Why do I need to know this?

Procurement Basics

- What are you procuring?
- From whom? (vendor)
- Why? (justification)
- How much does it cost? (get a quote)
- Where are you paying this from? (FAU)

You'll need this information to submit the proper paperwork to initiate purchases

No services should be rendered and no products should be ordered until the vendor has received a PO #.

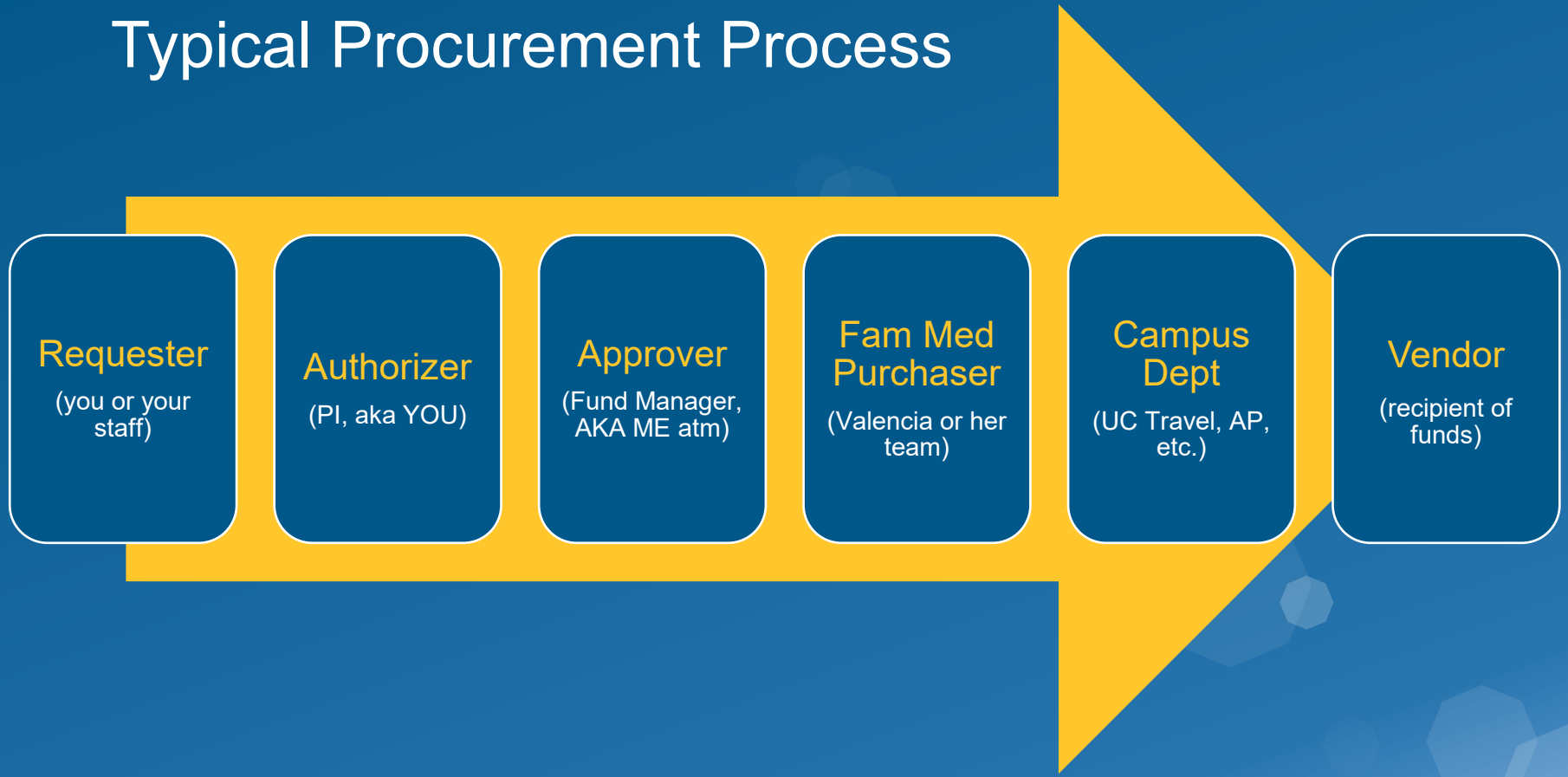
Yes, what about travel, though?

OK, smarty-pants, that's the one exception. Put a pin in that, we'll get to Travel in a few slides.

- If a vendor generates an invoice and you don't have a PO # yet, or
- If you are buying something with your own cash or credit card (and it isn't a travel expense), or
- If you are signing Terms & Conditions to reserve an event space, or
- If you worked with a vendor to provide a service and they are now asking to be paid for that service and you just now realized that you haven't submitted any paperwork to your fund manager…

Every transaction that requires payment, must be pre-approved and signed off by someone with authorization to spend. That applies to ordering supplies, hiring a consultant, purchasing flights, utilizing parking services on campus, securing a venue for an event, paying a guest lecturer, utilizing a campus lab, etc.

Typical Procurement Process



Checks and Balances

Good accounting practices incorporate a system of checks and balances to ensure that no one person has control over all parts of a financial transaction.

This means the person requesting the financial transaction must be different from the person who approves it and that person is different from the one who processes it.

Why is this important?

UCLA is a state agency, funded in large part by tax dollars. In addition, many of our research projects are federally funded. These factors mean there is an extra layer of scrutiny over how we spend money and it's important that we have systems in place to prevent fraud and abuse.

What happens if I buy something without going through the appropriate process?

If services are rendered or products are ordered without a PO # already in place, we will be forced to submit an **After the Fact request, which MAY NOT BE APPROVED.**

These forms require several layers of approval: the Department CAO, the DGSOM Controller, the DGSOM Sr. Associate Dean, and UCLA's Chief Procurement Officer.

This can take upwards of a month.

The PO will not be created while we wait for these approvals. Only if all aforementioned parties approve it, will the PO then be created, at which point the vendor can be paid.

Understood. So what form do I need to submit to make sure I buy things in the correct way?

Website

Department of Family Medicine

https://www.uclahealth.org/departments/family-medicine/research

UCLA Health | Find Care

Departments ▸ Family Medicine ▸

FAMILY MEDICINE
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Family Medicine

- About Us +
- Education +
- For Patients
- Our Clinicians
- Research −
  - Center for Behavioral and Addiction Medicine
  - For Family Medicine Research Unit Employees
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May 2023 Research Unit Meeting

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Check Request Form

Debarment and Anti Lobby Certificate

Foreign Wire Transfer Requests

Gift Cards for IRB-Approved Research Participant Payments (Review guidelines and complete the entire ordering process. The system will send the request to the PI and Fund Manager for review/approval before processing)

Gift Cards for Non-Employees and Non-Research Subjects (Review guidelines and then download/complete the SFS Non-Employee Disbursement Form on Step 2. Then STOP and submit the form to your Fund Manager. They must sign off before you can proceed.)

Guest Traveler - Airfare/Hotel Request Form

Independent Contractor/Consultant Checklist

Mileage and Parking Reimbursement Form

Procurement Forms Guide (not sure what form to use? Check out this guide, which is a work-in-progress, to see which forms you should submit to your approver/fund manager to get what you need)

Purchase Request Form

Source Selection & Price Reasonableness (SSPR) Form

LA Times Rule

If the newspaper were to publish details regarding the expense, would you or the University look bad? If yes, **do not proceed with the expense.**

Business justifications should be detailed, comprehensive, accurate, and always included in your expense documentation/purchase requests.

UCLA

Travel

In general:

- It is preferable for us to pay for flight and registration directly from grant/funding sources, rather than travelers purchase out of pocket and seek reimbursement
- The only expenses the traveler should incur directly are the following: hotel, ground transportation (taxi/Lyft/Uber), and food

UCLA

Airfare

1. **Create a draft itinerary** for your by either going to the SAP Concur website or by calling UC Travel at 310-206-2639 and having a Travel Agent create the itinerary for you (the latter is what I prefer). If you are working with a Travel Agent, let them know you will be paying via Concur Request ID (AKA Direct Pay or PTA). Tell them if it will be paid from a FEDERAL FUNDING SOURCE.
2. Once you have spoken with a Travel Agent, a draft itinerary will be emailed to you. If you are booking using the self-service SAP Concur website, you will create the itinerary yourself. **You will need your itinerary for the next step.**
3. To **request a Concur Request ID/PTA**, you will need to email the following information to Laura Sheehan:
    - **FAU**
    - **Business Justification** for the travel (please avoid jargon and use language that can be copied and pasted directly into the system. E.g. don't say "I wanna pay for my trip to SD conference next month," but rather: "Roundtrip airfare for Dr. Josephine Bruin to Washington DC to attend the Scientific Development conference October 2-5, 2025.")
    - Attach the **Travel Itinerary** you received from UC Travel Agent or the Concur Website
4. Laura will approve and forward to our Fam Med Purchasing Team, who will create the Concur Request ID. If you used a Travel Agent, we can submit the Concur Request ID directly to the travel system for processing. If you did it yourself on the Concur website, you might need to log back in and enter it there.
5. The traveler will then receive confirmation of the finalized itinerary via email.

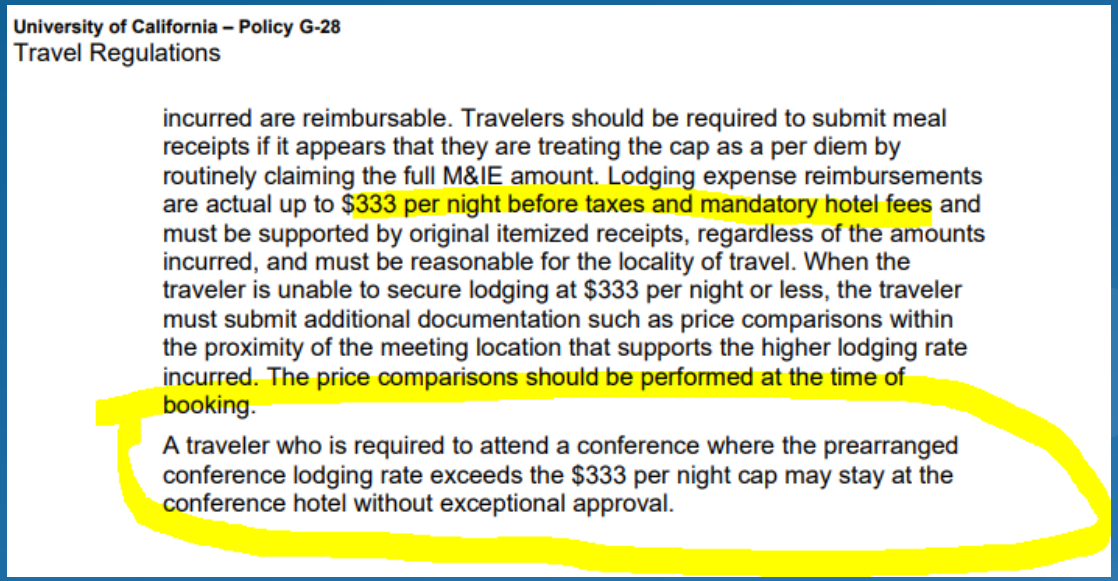
Save the itinerary and Concur Request ID for later, as you will need it when you submit your reimbursement request. Even though you aren't paying out of pocket, we need to provide proof that it was paid and what method was used.

UCLA

Hotel

Work directly with the hotel to book your room (don't use package deals like Travelocity, etc. as you will be required to provide an itemized receipt, which sometimes those agencies cannot provide).

Exceptions for hotel maximum may be allowed IF RECEIVED IN ADVANCE.



University of California – Policy G-28
Travel Regulations

incurred are reimbursable. Travelers should be required to submit meal receipts if it appears that they are treating the cap as a per diem by routinely claiming the full M&IE amount. Lodging expense reimbursements are actual up to $333 per night before taxes and mandatory hotel fees and must be supported by original itemized receipts, regardless of the amounts incurred, and must be reasonable for the locality of travel. When the traveler is unable to secure lodging at $333 per night or less, the traveler must submit additional documentation such as price comparisons within the proximity of the meeting location that supports the higher lodging rate incurred. The price comparisons should be performed at the time of booking.

A traveler who is required to attend a conference where the prearranged conference lodging rate exceeds the $333 per night cap may stay at the conference hotel without exceptional approval.

Ground Transportation

- Please do not rent a car unless you need to make multiple trips during your stay. If you do need to rent a car, this should be done via UC Travel
- The reason for this is that UCLA has its own insurance and will not reimburse you for insurance that you pay directly to a rental car company, they also get discounts, and if you pay more that what we could have paid, they won't reimburse you for that either. There also may be restrictions on which company you can use, etc., so it's better go to through UC Travel.
- Mostly you will be using taxi/lyft/uber/public transit, so the main thing you need to know is: **save your receipts.**
- **And don't use Uber Black or limo's.**

Food

- Please refer to https://travel.ucla.edu/policy-resources/meals-lodging-expenses and https://travel.ucla.edu/policy-resources/reimbursement-allowances-mileage-mealsfor the latest guidelines regarding maximums for both lodging and meals, etc.
- We do not reimburse per diem for food or lodging unless it is FOREIGN Travel. So domestic travel will be reimbursed based on actual costs incurred, up to the maximum allowed daily.
- SAVE YOUR RECEIPTS.

UCLA

General

- When you return from the trip, you should complete the **Travel Reimbursement Request Form** and attach all relevant receipts.
- Submit the Travel Reimbursement Request Form and receipts to Laura immediately upon return, but certainly no later than 30 days after travel.
- Reimbursements that are not fully processed (by Travel Accounting) by the 45 day mark will require additional justification and may be registered as income on your W2.
- Laura will review and submit to the purchasing team for processing. There will be more steps after that, but they will be in touch regarding how to view the final reimbursement and approve online.
- The most important thing to remember for hotel, meals, and ground transport is SAVE YOUR RECEIPTS.

UCLA

UCLA Family Medicine Department

Travel/Entertainment Reimbursement Request Form

rev 3/21/25

Preparer Name:		**Preparer Emai**	
Date Prepared			

Payee/Traveler Name	For Guests: select method of payment	If Zelle is selected, is account linked to:
	☐ Check ☐ Zelle	☐ Phone ☐ E-mail
Address	**Phone Number**	**E-mail**

FAU/Funding information:	**Account**	**CC**	**Fund**	**Proj** (optional)
Business Purpose:				

Travel	**Travel Location**	**Travel Dates**		**Foreign Travel?**	*if yes, per diem applies
				☐ Yes* ☐ No	

			Do not reimburse		be
Type of Expense		**Paid Amount ($)**	**Pre-Paid**	**Personal Am**	**Reimburse**
Airfare	pre-paid, list PTA here and attach copy):	$0.00			$0.00
Lodging	# of nights:	$0.00			$0.00
Ground Transportation	☐ Taxi/Lyft/Uber ☐ Limo ☐ Car Rental ☐ Other	$0.00			$0.00
Mileage (click for rates)	☐ Personal Ca(attach map) # of miles:	$0.00			$0.00
Meals & Incidentals	☐ Actual (incl itemized receipts) ☐ Per Diem (foreign only)	$0.00			$0.00
Tolls & Parking		$0.00			$0.00
Conference Registration Fees		$0.00			$0.00
Baggage Fees		$0.00			$0.00
Other (e.g. phone, internet, vis	Type of Expense:	$0.00			$0.00
Other (e.g. phone, internet, vis	Type of Expense:	$0.00			$0.00
Total Travel Expenses		**$0.00**	**$0.00**	**$0.00**	**$0.00** Reimbursement Amt

Entertainment			Do not reimburse	Balance to be	
Maximums (<11 guests: list names/titles in comments; if >= 11 guests: attach guest list)		**Paid Amount ($)**	**Personal Amt**	**Reimbursed:**	
Entertainment - Breakfast	# of guests:	$0.00		$0.00	
Entertainment - Lunch	# of guests:	$0.00		$0.00	
Entertainment - Dinner	# of guests:	$0.00		$0.00	
Entertainment - Refreshme	# of guests:	$0.00		$0.00	
Alcohol or Spouses/Other Guests	☐ Yes* ☐ No	$0.00		$0.00	*If yes, list expenses under "do not reimburse"
Other Misc. Expenses	Type:	$0.00		$0.00	
Total Entertainment Expenses		**$0.00**	**$0.00**	**$0.00**	Reimbursement Amt
	Total Expenses	$0.00		$0.00	Total Reimbursement

Comments:	

Payee Signature	**Date**

Post-Award PI Responsibilities:

- Ethical and safe conduct of research
- Acquisition of appropriate approvals (e.g. IRB, human/animal subjects, biohazardous materials, etc.) and licenses, and ensuring all study personnel receive appropriate training
- Technical/scientific record keeping and reporting (financial reporting = fund manager)
- Understand and comply with all guidelines, restrictions, terms, and conditions, including following appropriate financial processes for purchases.
- Fiscal management of the project, including review and approval of financial transactions and reports.
- Meeting monthly with your fund manager

Fund Manager assists with all items in gold

More information: https://ora.research.ucla.edu/OHRPP/Documents/Policy/2/PI_Responsibilities.pdf

Monthly Meetings with Fund Manager

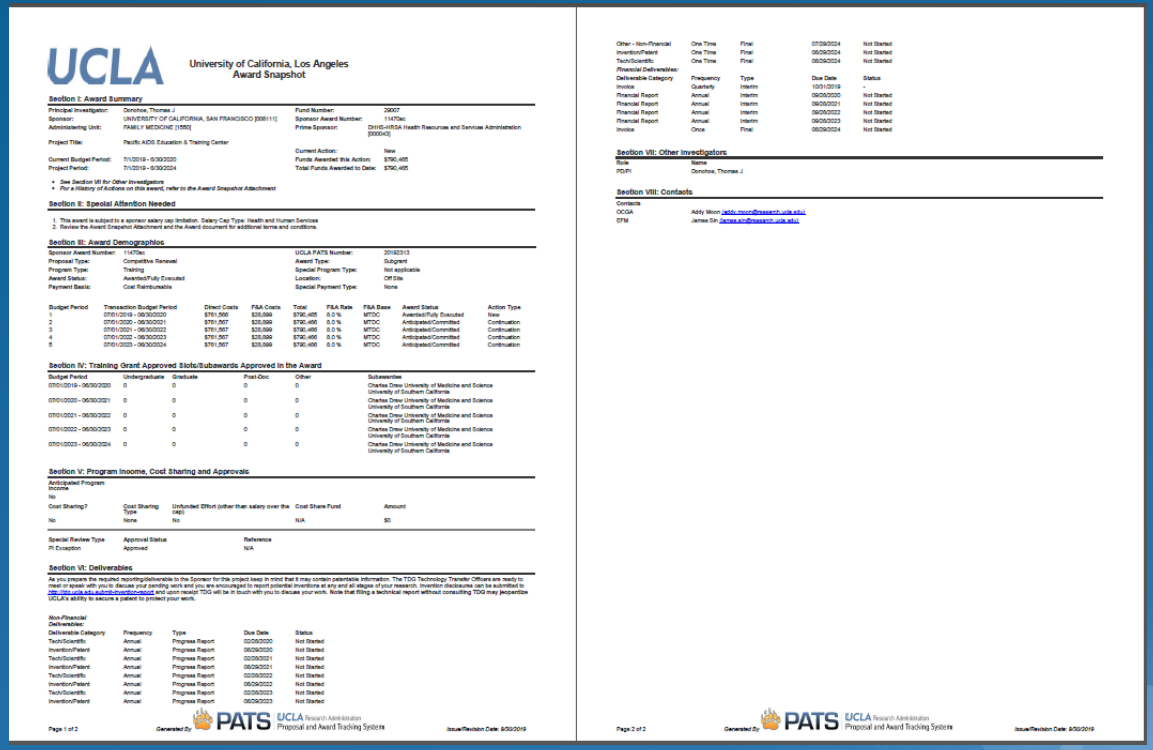
Are they actually required?

Monthly Meetings with Fund Manager

- **First meeting**
  - Review budget
  - Review Snapshot
  - Discuss any discrepancies and any planned changes
  - Discuss timing of anticipated expenses
  - Approve/initiate transfers and subaward set-ups, etc.

Award Snapshot

- Two-page snapshot generated by UCLA OCGA to summarize sponsor's Notice of Award (NOA)
- Full NOA will also be included (starting on pg 3)



UCLA University of California, Los Angeles
Award Snapshot

Section I: Award Summary

Principal Investigator:	Donohoe, Thomas J	Fund Number:	29007
Sponsor:	UNIVERSITY OF CALIFORNIA, SAN FRANCISCO [508111]	Sponsor Award Number:	11470sc
Administering Unit:	FAMILY MEDICINE [1552]	Prime Sponsor:	DHHS-HRSA Health Resources and Services Administration [5000A3]
Project Title:	Pacific AIDS Education & Training Center		
		Current Action:	New
Current Budget Period:	7/1/2019 - 6/30/2020	Funds Awarded this Action:	$790,465
Project Period:	7/1/2019 - 6/30/2024	Total Funds Awarded to Date:	$790,465

- *See Section VII for Other Investigators*
- *For a History of Actions on this award, refer to the Award Snapshot Attachment*

Section II: Special Attention Needed

1. This award is subject to a sponsor salary cap limitation. Salary Cap Type: Health and Human Services
2. Review the Award Snapshot Attachment and the Award document for additional terms and conditions.

Section III: Award Demographics

Sponsor Award Number:	11470sc	UCLA PATS Number:	2019231/3
Proposal Type:	Competitive Renewal	Award Type:	Subgrant
Program Type:	Training	Special Program Type:	Not applicable
Award Status:	Awarded/Fully Executed	Location:	Off Site
Payment Basis:	Cost Reimbursable	Special Payment Type:	None

Budget Period	Transaction Budget Period	Direct Costs	F&A Costs	Total	F&A Rate	F&A Base	Award Status	Action Type
1	07/01/2019 - 06/30/2020	$761,566	$28,899	$790,465	8.0 %	MTDC	Awarded/Fully Executed	New
2	07/01/2020 - 06/30/2021	$761,567	$28,899	$790,466	8.0 %	MTDC	Anticipated/Committed	Continuation
3	07/01/2021 - 06/30/2022	$761,567	$28,899	$790,466	8.0 %	MTDC	Anticipated/Committed	Continuation
4	07/01/2022 - 06/30/2023	$761,567	$28,899	$790,466	8.0 %	MTDC	Anticipated/Committed	Continuation
5	07/01/2023 - 06/30/2024	$761,567	$28,899	$790,466	8.0 %	MTDC	Anticipated/Committed	Continuation

Section IV: Training Grant Approved Slots/Subawards Approved in the Award

Budget Period	Undergraduate	Graduate	Post-Doc	Other	Subawardee
07/01/2019 - 06/30/2020	0	0	0	0	Charles Drew University of Medicine and Science University of Southern California
07/01/2020 - 06/30/2021	0	0	0	0	Charles Drew University of Medicine and Science University of Southern California
07/01/2021 - 06/30/2022	0	0	0	0	Charles Drew University of Medicine and Science University of Southern California
07/01/2022 - 06/30/2023	0	0	0	0	Charles Drew University of Medicine and Science University of Southern California
07/01/2023 - 06/30/2024	0	0	0	0	Charles Drew University of Medicine and Science University of Southern California

Section V: Program Income, Cost Sharing and Approvals

Anticipated Program Income				
No				
Cost Sharing?	Cost Sharing Type	Unfunded Effort (other than salary over the cap)	Cost Share Fund	Amount
No	None	No	N/A	$0

Special Review Type	Approval Status	Reference
PI Exception	Approved	N/A

Section VI: Deliverables

As you prepare the required reporting/deliverable to the Sponsor for this project keep in mind that it may contain patentable information. The TDG Technology Transfer Officers are ready to meet or speak with you to discuss your pending work and you are encouraged to report potential inventions at any and all stages of your research. Invention disclosures can be submitted to http://tdg.ucla.edu.submit-invention-report and upon receipt TDG will be in touch with you to discuss your work. Note that filing a technical report without consulting TDG may jeopardize UCLA's ability to secure a patent to protect your work.

Non-Financial Deliverables:

Deliverable Category	Frequency	Type	Due Date	Status
Tech/Scientific	Annual	Progress Report	02/28/2020	Not Started
Invention/Patent	Annual	Progress Report	06/29/2020	Not Started
Tech/Scientific	Annual	Progress Report	02/28/2021	Not Started
Invention/Patent	Annual	Progress Report	06/29/2021	Not Started
Tech/Scientific	Annual	Progress Report	02/28/2022	Not Started
Invention/Patent	Annual	Progress Report	06/29/2022	Not Started
Tech/Scientific	Annual	Progress Report	02/28/2023	Not Started
Invention/Patent	Annual	Progress Report	06/29/2023	Not Started

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Other - Non-Financial	One Time	Final	07/29/2024	Not Started
Invention/Patent	One Time	Final	08/29/2024	Not Started
Tech/Scientific	One Time	Final	08/29/2024	Not Started

Financial Deliverables:

Deliverable Category	Frequency	Type	Due Date	Status
Invoice	Quarterly	Interim	10/31/2019	-
Financial Report	Annual	Interim	08/29/2020	Not Started
Financial Report	Annual	Interim	08/29/2021	Not Started
Financial Report	Annual	Interim	08/29/2022	Not Started
Financial Report	Annual	Interim	08/29/2023	Not Started
Invoice	Once	Final	08/29/2024	Not Started

Section VII: Other Investigators

Role	Name
PD/PI	Donohoe, Thomas J

Section VIII: Contacts

Contacts	
OCGA	Addy Moon (addy.moon@research.ucla.edu)
SPM	James Sir (james.sir@research.ucla.edu)

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Reading the Award Snapshot and NOA

Review the Award Snapshot and NOA with your fund manager at your first monthly meeting

- Fund number
- Budget/project period
- Special Attention items and Alerts
- Amount awarded
- Deliverables (technical reports, financial reports, etc.)
- Compliance requirements
- Payment basis
- Contacts

Monthly Meetings with Fund Manager

- **Regular Monthly Meetings**
  - Review financial reports (aka FR's, GL)
  - Ensure that all recorded expenses are allowable, applicable, complete
  - Determine if adjustments need to be made
  - Review encumbered items
  - Monitor

Are sister depts/subawards performing as expected? Is personnel effort accurate? Is that charge applicable? Are there any applicable charges missing? Why is that item still encumbered?

Financial Reports

Sum of Funds

UCLA
Department: Family Medicine
PI: PICARD, JEAN-LUC
Fund Manager: GRANGER, HERMIONE
Date: 10/18/2021

August 2021 Summary of Funds

Fund Title	Fund Grouping	Account	CC	Fund	Fund End Date	Approp. ITD (08/21)	Expenses ITD (08/21)	Approp.	Exp.	EML	Future Exp./Adj.	Projected Balance	Rchg Id No
CA/DHCS 18-9322 CLAUS 09/22 26%	C&G - State	621435	JP	18282	09/29/22	184,793	95,479	416	422	0	95,549	(6,240)	
NIH U01DA012345 PICARD 4/20 56%/26%	C&G - NIH	441435	JP	29006	04/30/23	107,286	3,947	0	2,400	0	0	100,939	
NIH U01DA012345 PICARD 4/20 56%/26%	C&G - NIH	441435	J1	29006	04/30/23	14,931	14,551	0	1,876	0	0	(1,496)	
NIH U01DA012345 PICARD 4/20 56%/26%	C&G - NIH	441435	J2	29006	04/30/23	57,072	27,127	3,321	0	16,093	0	17,173	
RAS NIH P30MH058012 PICARD 1/21 54% 26%	C&G - NIH	441435	JP	29263	10/31/21	43,000	38,987	0	0	0	0	4,013	
UCLA FDN/UNITED FEDERATION OF PLANETS	Gifts	441435	JP	54468	09/09/25	23,171	2,821	0	824	514	0	19,013	
VULCAN INC. PO17001899:03 PICARD 26%	C&G - Private	441435	JP	57478	11/30/21	243,389	252,578	21,581	0	0	0	12,392	VU34
TOTAL DIRECT COST						673,641	435,489	25,317	5,521	16,607	95,549	145,793	

Financial Reports

Summary by Sub

	A	B	C	D	E	F	G	H	I
1			SUMMARY REPORT BY SUB (INCEPTION TO DATE):						
2									
3		Account/Fund:	441435-JP-29006 project: *			Budget Year(s):	05/01/2021 - 04/30/2022		10/18/21 11:08 AM
4		Fund Name:	NIH U01DA012345 PICARD 4/23 56%/26%			Project Period:	06/01/2018 - 04/30/2023		
5		P.I.:	PICARD, JEAN-LUC			Recharge ID:			
6		Fund Mgr:	GRANGER HERMIONE			Overhead Rate:	J	26.00	%
7									
8			1	2	3	4	5	6	Projected
9			General Ledger		Current Expenditures				Balance
10		Sub	Approp.	Expenses	Approp.	Expenses	Encumbr. &	Future	1-2
11			ITD (08/21)	ITD (08/21)			Memo Lien	To 04/30/22	+3-4-5-6
12	00	Salaries-Academic	174,045.27	161,966.91		2,250.31		15,945.79	(6,117.74)
13	01	Salaries-Staff Career							0.00
14	02	Salaries-General Assistance	750,496.25	654,426.77		9,582.55		69,579.32	16,907.61
15	06	Employee Benefits	413,603.53	354,404.98		5,196.49		40,430.14	13,571.92
16	03	Supplies & Expense	377,552.79	251,991.19		1,669.53	7,629.37	609.18	115,653.52
17	04	Equipment							0.00
18	05	Special Items	642.98	142.98					500.00
19	07	Special Items	77,517.59	82,286.92		4,658.42			(9,427.75)
20	08	Unallocated			3,519.55				3,519.55
21	09	Recharge							0.00
22	Total Direct		1,793,858.41	1,505,219.75	3,519.55	23,357.30	7,629.37	126,564.43	134,607.11
23	9H	F & A	446,248.38	341,362.52	(3,519.55)	4,861.71		32,906.75	63,597.85
24	Total		2,240,106.79	1,846,582.27	0.00	28,219.01	7,629.37	159,471.19	198,204.95
25								Direct Balance	157,305.52

Financial Reports

Closed Expenses

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	GL: 441435-JP-29006	FOR AUGUST 2021 Date: 10/18/2021															
2	Sub	Trans Ref GL	Ledger Year Month	Project	Object	Account	CC	Fund	Sub-Object Title	Source Code	TE	Trans ID GL	Trans Doc Date	Trans. Eff. Date	Description	Appropriation	Expense
31	03	08312021	202108		4006	441435	JP	29006	REMOTE ACCESS SERVICE		59	02R002	8/31/21	8/31/2021	MOBILE COMMUNICATION		45.68
32	03	08312021	202108		4007	441435	JP	29006	TECHNOLOGY INFRASTRUCTURE FEE		59	02R002	8/31/21	8/31/2021	TECHNOLOGY INFRASTRU		85.22
33	03	1550AZA123	202108	729351	3350	441435	JP	29006	HAZARDOUS WASTE DISPOSAL		41	165540	3/31/21	8/16/2021	SHRED-ITUS8181729351		11.88
34	03	1550AZA158	202108	659443	3350	441435	JP	29006	HAZARDOUS WASTE DISPOSAL		41	165621	7/31/21	8/23/2021	STERICYCLE3005659443		28.99
35	03	1550IZA162	202108		4771	441435	JP	29006	PROJECT SPECIFIC OFFICE TYPE SUPPLIES		41	999995	8/10/21	8/11/2021	OFFICEDEPO1853326310		16.82
36	03	1550IZA162	202108		4771	441435	JP	29006	PROJECT SPECIFIC OFFICE TYPE SUPPLIES		41	999995	8/10/21	8/11/2021	OFFICEDEPO1853326320		136.08
37	03	1550IZA198	202108		4680	441435	JP	29006	MEDICAL SUPPLIES		41	999996	8/20/21	8/24/2021	FISHERSCI 9753061210		497.89
38	03	1550IZA220	202108		4630	441435	JP	29006	LAB/SHOP INSTRUMENTS AND SUPPLIES		41	999996	8/30/21	8/31/2021	FISHERSCI 0538816210		609.66
39	03	1550NZA102	202108		3540	441435	JP	29006	UTILITIES SERVICES		41	165213	8/2/21	8/12/2021	SOCAGASCO 101 102 38		3.22
40	03	1550NZA111	202108	785307	3285	441435	JP	29006	CUSTODIAL SERVICES		41	165511	8/1/21	8/12/2021	ATHENSSVCS10785307		63.89
41	03	1550NZA200	202108	615915	3475	441435	JP	29006	REFUSE DISPOSAL		41	165621	7/1/21	8/23/2021	ATHENSSVCS10615915		63.90
42	**Sub 03**															**0.00**	**1,563.23**
43	06		202108		8850	441435	SH	29006	UCPATH ONLY CBR-COMPOSITE BENEFIT R		53	02P10	8/31/21	8/31/2021	AUG PAYROLL 210807B2		1,560.30

Financial Reports

Open Expenses

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	GL: 441435-JP-29006 SINCE AUGUST 2021 Date: 10/18/2021																	
2	Trans Ref GL	Sub	Ledger Year Month	Project	Object	Account	CC	Fund	Sub-Object Title	Source Code	TE	Trans ID GL	Trans Doc Date	Trans. Eff. Date	Description	Appropriation	Expense	Encumbrance and Memo Lien
40	1550AZA120	03	202107	729351	3350	441435	JP	29006	HAZARDOUS WASTE DISPOSAL		EN	AZA128	7/29/21	7/28/2021	STERICYCLE INC			35.96
41	1550AZA120	03	202108	729351	3350	441435	JP	29006	HAZARDOUS WASTE DISPOSAL		EN	AZA128	7/29/21	8/16/2021	STERICYCLE INC			(24.08)
42	**Trans Ref GL 1550AZA128**															**0.00**	**0.00**	**11.88**
43	1550NZA193	03	202108		4771	441435	JP	29006	PROJECT SPECIFIC OFFICE TYPE SUPPLIES		EN	NZA193	8/18/21	8/18/2021	SMART & FINAL STORES			155.12
44	**Trans Ref GL 1550NZA193**															**0.00**	**0.00**	**155.12**

Financial Reports

Salary

PAYROLL: UCPATH EMPLOYEE SUM 441435-JP-29006 PAID FOR AUGUST 2021 Date: 10/18/2021

Employee Name	Employee ID	UCPath ID	Position Number	LYM	Earned Date	Account	CC	Fund	Project	Sub	Object	Earn Code	Title Code	Title Description	Capped Fund Hours/ Effort	H %	Pay Rate	Gross Earnings	Total Benefits
Riker, William	102971234	00057015	40040448	202108	07/31/2021	441435													
Riker, William	102971234	00057015	40040448	202108	07/31/2021	441435													
Riker, William	102971234	00057015	40040448	202108	08/31/2021	441435													
Riker, William	102971234	00057015	40040448	202108		441435													
Riker, William	102971234	00057015	40040448	202108		441435													
Riker, William	102971234	00057015	40040448	202108		441435													
Employee Name Riker, William																			
Troy, Deanna	503630002	00046797	40051640	202108	08/31/2021	441435													
Troy, Deanna	503630002	00046797	40051640	202108		441435													
Troy, Deanna	503630002	00046797	40051640	202108		441435													
Employee Name Troy, Deanna																			
Crusher, Beverly	405050977	00093681	40104435	202108	08/07/2021	441435													
Crusher, Beverly	405050977	00093681	40104435	202108	08/07/2021	441435													

Salary and Benefits by Month (Paid)

Data as of September 30,2021

From July 2021 to April 2022 (Paid)

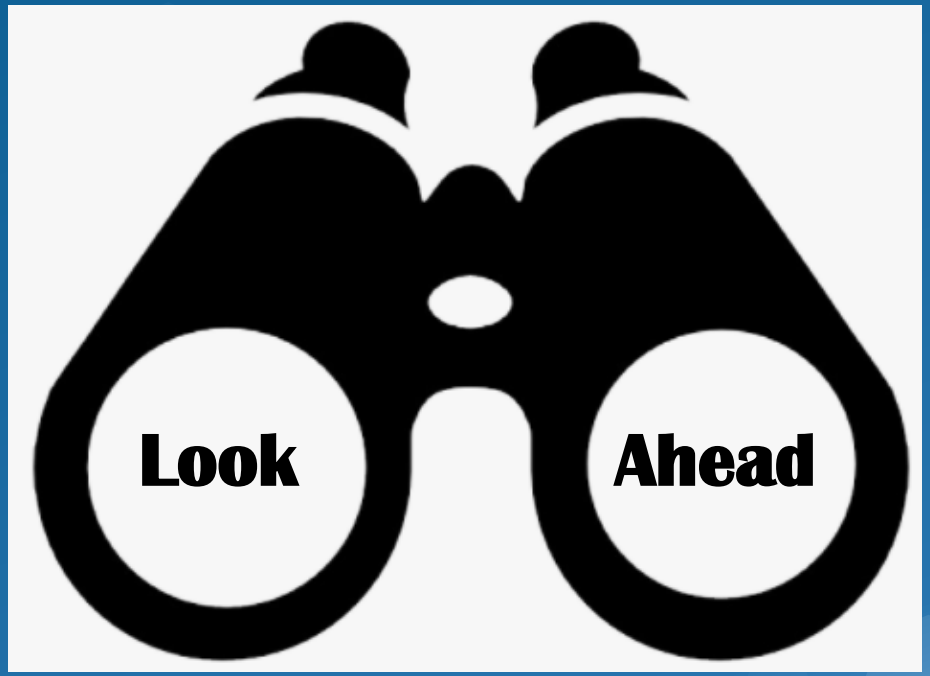
Org Hierarchy: David Geffen School of Medicine (2200), Basic Biomedical Sciences (1600), Semel Institute (3200), Vice Chancellor Health Sciences (2600)

Report Basis: Account Owner | Account: 441435 | CC: JP | Fund: 29006

* Salary projections for Academic title codes (faculty, non-faculty academic and housestaff) are reported as Sub 00 and Staff title codes are reported as Sub 02.

	Employee	Sub	2021 - Jul	2021 - Aug	2021 - Sep	2021 - Oct	2021 - Nov	2021 - Dec	2022 - Jan	2022 - Feb	2022 - Mar	2022 - Apr	Total	
Salary	Riker, William	02	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 4,712	
			0.1500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0600	
		Riker, William Total	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 471	$ 4,712	$ 3,299
		Riker, William FTE Total	0.1500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0500	0.0600	
	Troy, Deanna	00	$ 566	$ 566	$ 589	$ 566	$ 566	$ 566	$ 566	$ 566	$ 566	$ 566	$ 5,686	
			0.1500	0.0500	0.0521	0.0283	0.0283	0.0283	0.0283	0.0283	0.0283	0.0283	0.0450	
		Troy, Deanna Total	$ 566	$ 566	$ 589	$ 566	$ 566	$ 566	$ 566	$ 566	$ 566	$ 566	$ 5,686	$ 3,964
		Troy, Deanna FTE Total	0.1500	0.0500	0.0521	0.0283	0.0283	0.0283	0.0283	0.0283	0.0283	0.0283	0.0450	
	Crusher, Beverly	02	$ 4,086	$ 4,156	$ 4,156	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 45,881	
			0.8735	0.8736	0.8735	0.9500	0.9500	0.9500	0.9500	0.9500	0.9500	0.9500	0.9659	
		Crusher, Beverly Total	$ 4,086	$ 4,156	$ 4,156	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 4,519	$ 45,881	$ 31,635
		Crusher, Beverly FTE Total	0.8735	0.8736	0.8735	0.9500	0.9500	0.9500	0.9500	0.9500	0.9500	0.9500	0.9659	
	Salary Total		$ 11,072	$ 11,110	$ 11,133	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 118,840	
	FTE Total		2.6052	1.8143	1.8164	1.8891	1.8891	1.8891	1.8891	1.8891	1.8891	1.8891	2.0094	13.2236
Benefits	Riker, William	06	$ 231	$ 199	($ 91)								$ 339	
		Riker, William	$ 231	$ 199	($ 91)								$ 339	
	Troy, Deanna	06	$ 223	$ 223	$ 159								$ 604	
		Troy, Deanna	$ 223	$ 223	$ 159								$ 604	
	Crusher, Beverly	06	$ 1,078	$ 2,227	$ 2,168								$ 5,473	
		Crusher, Beverly	$ 1,078	$ 2,227	$ 2,168								$ 5,473	
	Benefits Total		$ 4,085	$ 4,842	$ 4,887								$ 13,814	
Salary and Benefits Total			$ 15,157	$ 15,952	$ 16,020	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 11,773	$ 132,654	

Monthly Meetings with Fund Manager



Notices from ORA Reports (portal@research.ucla.edu)

- Sent automatically at 90-, 60-, and 30-day mark prior to budget period end date
- If you've been meeting monthly with your Fund Manager
- If you have NOT been meeting monthly with your Fund Manager

Approaching End Dates

Budget Period End Date

- Are you projecting a balance? How big? Is carryforward allowed?
- Are you on target in regard to milestones/aims?
- Make personnel adjustments (forward and back)
- Make applicable purchases, pay applicable invoices
- Technical/Scientific Progress Reports
- Financial Progress Reports

Approaching End Dates

Project Period End Date

- Are you projecting a balance? How big? Is NCE allowed?
- Are you on target in regard to milestones/aims?
- Make personnel adjustments (forward and back)
- Make applicable purchases, pay applicable invoices
- Technical/Scientific Final Reports
- Financial Final Reports
- Is Policy 913 applicable?

Financial Progress Reports & Final Financial Reports (FFRs)

- Fund Manager will create
- May be combined with Technical/Scientific Reports
- If you have massively underspent
  - You will likely need to provide a justification, list the remaining balance, and explain how you plan to spend down the funds
  - You may be required to return unspent funds
  - Subsequent incoming funding may be cut

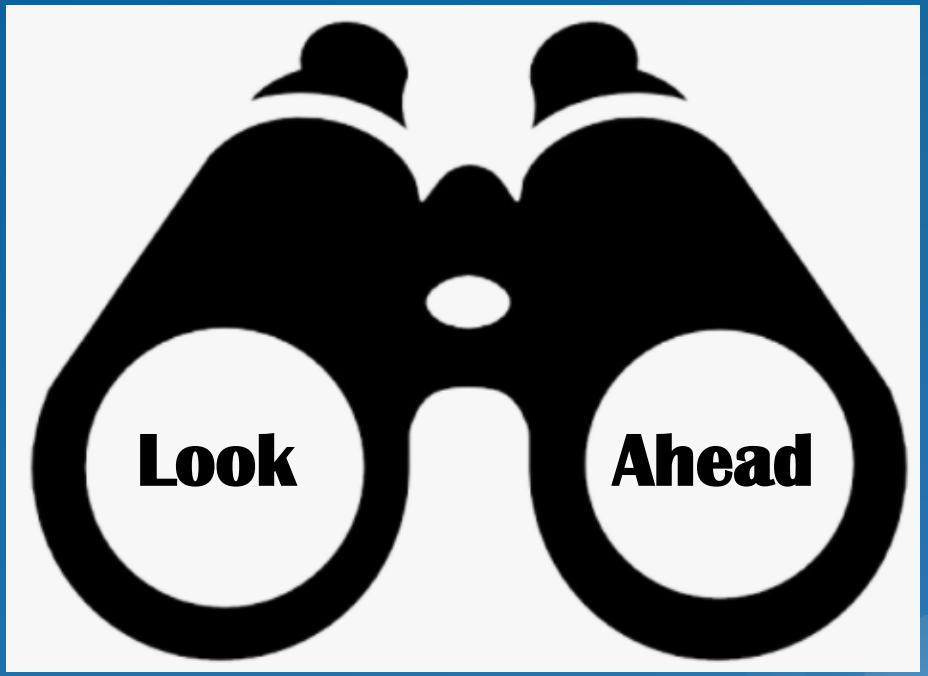
Effort Reporting

- Required for federal funding only
- Confirms that amount paid matches actual work performed
- Must be certified by PI or person familiar with project/effort
- Often comes months after work is performed

Audit: Common Findings

- Inadequate Segregation of Duties
  - Separation in authorization, custody, and record keeping
- Inadequate authorization of expenditures
  - PI's approval (someone designated in writing by the PI) required
- Inadequate, or untimely, review of monthly ledger reports
  - Unallowable charges
  - Late cost transfers
  - Late certification of effort reports
  - Direct charges for costs in the F&A pool
- Lack of appropriate supporting documentation
  - Administrative salaries and wages
  - Equipment purchased late
  - Cost share
  - Sub recipient monitoring

Monthly Meetings with Fund Manager



Post-Award Key Takeaways

- PI's are responsible for ethical conduct of research and obtaining all applicable approvals (IRB, HRPP training, etc.)
- Do NOT purchase things without following appropriate purchasing procedures.
- Set up a recurring monthly meeting with your fund manager as soon as you receive an award.
- When in doubt, reach out to the Research Unit Admin Team if you have questions.

Monthly Research Unit Meeting

- **First Thursday of the month from 11am-12pm**, via Zoom
- Email Laura at Lsheehan@mednet.ucla.edu if you'd like to receive the calendar invite
- If you receive research funding, are interested in obtaining research funding, or want to hear more about the kind of research our department is doing, you should attend
- https://uclahs.zoom.us/j/319497060
  Password: Research

Thank You