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## **UCLA Procedure 910.2: Notification and Prior Approval Requirements for Grants Under the Federal Demonstration Partnership**

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Issuing Officer: Executive Vice Chancellor  
Responsible Dept: Office of Sponsored Research  
Effective Date: July 1, 1998  
Supersedes: UCLA Procedure 920.2, dated 7/1/89

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### **I. REFERENCES II. GENERAL POLICY III. PROCEDURES IV. ATTACHMENTS**

#### **I. REFERENCES**

1. Participation Agreement Between the University of California and Federal Agencies participating in the Federal Demonstration Partnership, 10/1/88;
2. Federal Demonstration Partnership General Terms and Conditions, October, 1988;
3. Agency-Specific Requirements for Grants Under the Federal Demonstration Partnership, various dates.

#### **II. GENERAL POLICY**

Effective March 1, 1989, UCLA implemented the notification and prior approval requirements for grants awarded under the Federal Demonstration Project (FDP), an experiment designed to improve the management of grants issued by federal agencies. The following federal agencies have joined with UCLA in the FDP:

- Air Force Office of Scientific Research
- Alcohol, Drug Abuse, and Mental Health Administration
- Army Research and Development Medical Command
- Department of Agriculture
- Department of Energy
- Environmental Protection Agency
- National Aeronautics and Space Administration
- National Institutes of Health
- National Science Foundation
- Office of Naval Research

These agencies have agreed to use a common set of grant management guidelines known as the FDP General Terms and Conditions. In addition, each agency has developed “agency-specific” requirements applicable to FDP grants.

Under terms of the FDP, principal investigators must notify their institutions or funding agencies of certain actions, and obtain approval from them for other actions. Each participating agency has slightly different notification and prior approval requirements. The form, entitled “FDP Notification and Prior Approval Requirements” (see Attachment A), indicates when prior notification or approval is required.

In general, prior notification and/or approval is required to:

- Extend the end date of a grant;
- Purchase a single item in excess of \$25,000 that was not included in the approved grant budget;
- Establish relatedness between two or more FDP awards;
- Change the scope of the project; or
- Change the principal investigator or allow the principal investigator to be absent (for more than three months) from a project.

An FDP Action Form (see Attachment B) should be completed and submitted to the Office of Sponsored Research (OSR) when prior notification or approval is required.

**III. PROCEDURES**

RESPONSIBILITY	ACTION
Principal Investigator	Determines that notification and/or prior approval is required either from UCLA or funding agency.
	Completes and forwards FDP Action Form (OCGA Form 18) to OSR. <u>Note:</u> If the request is for the approval of pre-award costs, principal investigator should submit “Request for Authorization to Spend Funds Prior to Receipt of an Award” (E-RAS) as per UCLA Policy 920.
OSR Officer	Reviews FDP Action Form for compliance with funding agency, FDP and University policies. If form is acceptable, signs and forwards it to Assistant. <u>Note:</u> If funding agency approval is required, forwards FDP Action Form to appropriate grants official to obtain approval.
OSR Assistant	Distributes copies of approved FDP Action Form to principal investigator and appropriate campus offices (i.e., Extramural Fund Management, departmental administrator, and Purchasing Department).
	Retains original FDP Action Form in appropriate grant file and FDP Action Form master file.

**IV. ATTACHMENTS**

- A. FDP Notification and Prior Approval Requirements
- B. FDP Action Form (OCGA Form 18)

**Issuing Officer**

*/s/ Wyatt R. Hume*

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**Executive Vice Chancellor**

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**Questions concerning this policy or procedure should be referred to  
the Responsible Department listed at the top of this document.**

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**ATTACHMENT A**  
**University of California, Los Angeles**  
**SPONSORED RESEARCH**  
**Federal Demonstration Project**  
**Notification and Prior Approval Requirements**

Under the terms of the FDP, prior agency or University notification and/or approval is required for certain actions. Use the FDP Action Form whenever notification or prior approval is required, as indicated in the chart below.

<u>Action</u>	<u>ADAMHA</u>	<u>AFOSR</u>	<u>DOE</u>	<u>EPA</u>	<u>NASA</u>	<u>NIH</u>	<u>NSF</u>	<u>ONR</u>	<u>USDA</u>
No-cost time extension	●	●	●	●	●	●	●	●	●
Foreign travel		①			①			●	
Expenditure for single item greater than \$25,000	●	●	●	●	●	●	●	●	●
Relatedness between FDP awards	●	●	●	●	●	●	●	●	●
Change in scope	●	●	●	●	●	●	●	●	●
Change in principal investigator	●	●	●	●	●	●	●	●	●
Subcontracts		●	②		●				②
Printing of reports								●	

Note: Requests for pre-award cost approval should be submitted on UCLA form, "Request for Authorization to Spend Funds Prior to Receipt of an Award" (E-RAS).

- ① Some, but not all, foreign travel requires approval through an FDP Action Form. Check the agency terms and conditions that accompanied your Award Synopsis for the specific requirements of your grant.
- ② Some, but not all, subcontracts require approval through an FDP Action Form. Check the agency terms and conditions that accompanied your Award Synopsis for the specific requirements of your grant.

Please contact your Contact and Grant Officer or your Contract and Grant Assistant for questions about the Federal Demonstration Project.

May 1, 1989

**ATTACHMENT B**  
**University of California, Los Angeles**  
**Federal Demonstration Project Action Form**

1. Principal Investigator \_\_\_\_\_ 2. Department \_\_\_\_\_  
 3. Agency Name & Grant No. \_\_\_\_\_ 4. UCLA FAU 4- \_\_\_\_\_  
 5. Budget period affected (dates) \_\_\_\_\_ To \_\_\_\_\_  
 6. Action(s) requested:

- No cost time extension (up to 12 months)
- Foreign travel (specify dates of travel and destination in item 7 below)
- Expenditure for single item greater than \$25,000 (equipment, subcontracting, fabrication, etc.).
- Relatedness between FDP awards (in Item 7 below, identify principal investigator, funding agency, grant number and account/fund of other project(s) for which relatedness is sought).
- Change in Scope
- Change in principal investigator
- Subcontract
- Other

Note: To obtain approval to spend funds for project-related work for up to 90 days before the start date of the grant, submit "Request for Authorization to Spend Funds Prior to Award of an Award" (UCLA form E-RAS)

7. Justification (include the scientific rationale for the action and, where appropriate, a breakdown of the costs involved and an explanation of why the funds are available):

8. Approvals

This action is consistent with the project as approved by the funding agency.  _____ PRINCIPAL INVESTIGATOR                      DATE	This action is consistent with funding agency, FDP, and University policies  _____ CONTRACT AND GRANT OFFICER                      DATE
FOR OCGA USE ONLY:	
FUNDING AGENCY APPROVAL IS REQUIRED <input type="checkbox"/> This action is approved. It is understood that the action will not increase the cost of the project to the funding agency.  _____ SIGNATURE OF FUNDING AGENCY OFFICIAL                      DATE	
_____ NAME AND TITLE OF FUNDING AGENCY OFFICIAL                      FUNDING AGENCY	