



THE LUNDQUIST
INSTITUTE

Internal Control and Compliance Reports
June 30, 2023

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**INDEPENDENT AUDITORS' REPORT ON INTERNAL CONTROL OVER
FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS
BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN
ACCORDANCE WITH *GOVERNMENT AUDITING STANDARDS***

To the Board of Directors of
the Lundquist Institute for Biomedical Innovation
at Harbor-UCLA Medical Center

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States, the financial statements of the Lundquist Institute for Biomedical Innovation at Harbor-UCLA Medical Center (the Institute), which comprise the statement of financial position as of June 30, 2023, and the related statements of activities, functional expenses, and cash flows for the year then ended, and the related notes to the financial statements, and have issued our report thereon dated December 7, 2023.

Report on Internal Control Over Financial Reporting

In planning and performing our audit of the financial statements, we considered the Institute's internal control over financial reporting (internal control) as a basis for designing the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of the Institute's internal control. Accordingly, we do not express an opinion on the effectiveness of the Institute's internal control.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. *A material weakness* is a deficiency, or a combination of deficiencies in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies, and therefore, material weaknesses or significant deficiencies may exist that were not identified. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. We identified certain deficiencies in internal control, described in the accompanying schedule of findings and questions costs as item 2023-01, that we consider to be a significant deficiency.

Report on Compliance and Other Matters

As part of obtaining reasonable assurance about whether the Institute's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the financial statements. However, providing an opinion on compliance with those provisions was not an objective of our audit and, accordingly, we do not express such an opinion. The results of our tests disclosed no instances of noncompliance or other matters that are required to be reported under *Government Auditing Standards*.

The Institute's Response to Findings

Government Auditing Standards requires the auditor to perform limited procedures on the Institute's response to the findings identified in our audit and described in the accompanying schedule of findings and questioned costs. The Institute's response was not subjected to the other auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on the response.

Purpose of This Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the Institute's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the Institute's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



Long Beach, California
December 7, 2023

**INDEPENDENT AUDITORS' REPORT ON COMPLIANCE FOR EACH
MAJOR PROGRAM AND ON INTERNAL CONTROL OVER
COMPLIANCE REQUIRED BY THE UNIFORM GUIDANCE**

To the Board of Directors of
the Lundquist Institute for Biomedical Innovation
at Harbor-UCLA Medical Center

Report on Compliance for Each Major Federal Program

Opinion on Each Major Federal Program

We have audited Lundquist Institute for Biomedical Innovation at Harbor-UCLA Medical Center's (the Institute) compliance with the types of compliance requirements identified as subject to audit in the OMB *Compliance Supplement* that could have a direct and material effect on each of the Institute's major federal programs for the year ended June 30, 2023. The Institute's major federal programs are identified in the summary of auditors' results section of the accompanying schedule of findings and questioned costs.

In our opinion, the Institute complied, in all material respects, with the types of compliance requirements referred to above that could have a direct and material effect on each of its major federal programs for the year ended June 30, 2023.

Basis for Opinion on Each Major Federal Program

We conducted our audit of compliance in accordance with auditing standards generally accepted in the United States of America; the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States; and the audit requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Our responsibilities under those standards and the Uniform Guidance are further described in the Auditors' Responsibilities for the Audit of Compliance section of our report.

We are required to be independent of the Institute and to meet our other ethical responsibilities, in accordance with relevant ethical requirements relating to our audit. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our opinion on compliance for each major federal program. Our audit does not provide a legal determination of the Institute's compliance with the compliance requirements referred to above.

Responsibilities of Management for Compliance

Management is responsible for compliance with the requirements referred to above and for the design, implementation, and maintenance of effective internal control over compliance with the requirements of laws, statutes, regulations, rules, and provisions of contracts or grant agreements applicable to the Institute's federal programs.

Auditors' Responsibilities for the Audit of Compliance

Our objectives are to obtain reasonable assurance about whether material noncompliance with the compliance requirements referred to above occurred, whether due to fraud or error, and express an opinion on the Institute's compliance based on our audit. Reasonable assurance is a high level of assurance, but is not absolute assurance and, therefore, is not a guarantee that an audit conducted in accordance with generally accepted auditing standards, *Government Auditing Standards*, and the Uniform Guidance will always detect material noncompliance when it exists. The risk of not detecting material noncompliance resulting from fraud is higher than for that resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control. Noncompliance with the compliance requirements referred to above is considered material if there is a substantial likelihood that, individually or in the aggregate, it would influence the judgment made by a reasonable user of the report on compliance about the Institute's compliance with the requirements of each major federal program as a whole.

In performing an audit in accordance with generally accepted auditing standards, *Government Auditing Standards*, and the Uniform Guidance, we:

- Exercise professional judgment and maintain professional skepticism throughout the audit.
- Identify and assess the risks of material noncompliance, whether due to fraud or error, and design and perform audit procedures responsive to those risks. Such procedures include examining, on a test basis, evidence regarding the Institute's compliance with the compliance requirements referred to above and performing such other procedures as we considered necessary in the circumstances.
- Obtain an understanding of the Institute's internal control over compliance relevant to the audit in order to design audit procedures that are appropriate in the circumstances and to test and report on internal control over compliance in accordance with the Uniform Guidance, but not for the purpose of expressing an opinion on the effectiveness of the Institute's internal control over compliance. Accordingly, no such opinion is expressed.

We are required to communicate with those charged with governance regarding, among other matters, the planned scope and timing of the audit and any significant deficiencies and material weaknesses in internal control over compliance that we identified during the audit.

Report on Internal Control over Compliance

A deficiency in internal control over compliance exists when the design or operation of a control over compliance does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, noncompliance with a type of compliance requirement of a federal program on a timely basis. *A material weakness in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance, such that there is a reasonable possibility that material noncompliance with a type of compliance requirement of a federal program will not be prevented, or detected and corrected, on a timely basis. *A significant deficiency in internal control over compliance* is a deficiency, or a combination of deficiencies, in internal control over compliance with a type of compliance requirement of a federal program that is less severe than a material weakness in internal control over compliance, yet important enough to merit attention by those charged with governance.

Our consideration of internal control over compliance was for the limited purpose described in the Auditors' Responsibilities for the Audit of Compliance section above and was not designed to identify all deficiencies in internal control over compliance that might be material weaknesses or significant deficiencies in internal control over compliance. Given these limitations, during our audit, we did not identify any deficiencies in internal control over compliance that we consider to be material weaknesses, as defined above. However, material weaknesses or significant deficiencies in internal control over compliance may exist that were not identified.

Our audit was not designed for the purpose of expressing an opinion on the effectiveness of internal control over compliance. Accordingly, no such opinion is expressed.

Report on Schedule of Expenditures of Federal Awards Required by the Uniform Guidance

We have audited the financial statements of the Institute as of and for the year ended June 30, 2023, and have issued our report thereon dated December 7, 2023, which contained an unmodified opinion on those financial statements. Our audit was conducted for the purpose of forming an opinion on the financial statements as a whole. The accompanying schedule of expenditures of federal awards is presented for purposes of additional analysis as required by the Uniform Guidance, and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audit of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the schedule of expenditures of federal awards is fairly stated in all material respects in relation to the financial statements as a whole.

The purpose of this report on internal control over compliance is solely to describe the scope of our testing of internal control over compliance and the results of that testing based on the requirements of the Uniform Guidance. Accordingly, this report is not suitable for any other purpose.



Long Beach, California
December 7, 2023

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
AT HARBOR-UCLA MEDICAL CENTER**

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2023**

Federal Grantor/Pass-Through Grantor	Assistance Listing	Agency or Pass-Through Number	Federal Expenditures	SubContract Expenditures
RESEARCH AND DEVELOPMENT CLUSTER				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES				
<u>NATIONAL INSTITUTE OF ALLERGY & INFECTIOUS DISEASE</u>				
Transcriptional networks governing A. fumigatus virulence	93.855		\$ 485,074	\$ 157,256
Targeting evolutionarily acquired insertion sequences in Can	93.855		69,693	-
Targeting the regulatory mechanism of hyphae to lateral yeas	93.855		55,343	-
Targeting the regulatory mechanism of hyphae to lateral yeas	93.855		328,685	-
The role of purine biosynthesis and stringent response in pe	93.855		289,740	-
Short and long term outcomes of doxycycline versus TMP-SMX f	93.855		405,265	94,472
Transcriptional networks governing A. fumigatus virulence	93.855		295,208	171,161
Unraveling transcriptomic and functional changes to immune s	93.855		176,949	-
Unraveling transcriptomic and functional changes to immune s	93.855		51,262	-
The role of purine biosynthesis and stringent response in pe	93.855		138,350	-
<i>Pass Through: Benaroya Research Institute at Virginia Mason</i>				
Efficacy of Belimumab and Rituximab Compared to Rituximab Al	93.855	5UM1AI109565-10	21,983	-
<i>Pass Through: Institute for Clinical Research, Inc</i>				
Admin/start up ACTIV-3...Investigational Therapeutics for Ho	93.855	I UM1-AI068641	34,681	-
Patient Care ACTIV-3, ...Investigational Therapeutics for Ho	93.855	I UM1-AI068641	73,533	-
Novel Toxins and Receptors in Mucormycosis Pathogenesis and	93.855		5,058	-
<i>Pass Through: Institute for Clinical Research, Inc</i>				
EPOC INSIGHT 017	93.855	M89-LU-066-2012-9	1,193	-
<i>Pass Through: Duke University</i>				
Multi-center, Randomized, Open-label Tria(Pro # 15-0045)	93.855	5UM1AI104681-07	1,293	-
Multi-center, Randomized, Protocol # IRB Pro00106280	93.855	2UM11104681-08	88	-
A Phase 2b, Multicenter, Protocol 20-0002-Trial # ARLG2 DOT2	93.855	5UM1AI104681-09	55,164	-
Mechanisms and Circumvention of Daptomycin Resistance in Str	93.855		(37,457)	-
Mechanisms and Circumvention of Daptomycin Resistance in Str	93.855		67,680	67,680
Bicarbonate-Mediated Enhancement of Beta-Lactam-MRSA Killing	93.855		55,238	-
Novel Toxins and Receptors in Mucormycosis Pathogenesis and	93.855		494,559	-
Short and long term outcomes of doxycycline versus TMP-SMX f	93.855		34,261	33,905
Cross-Kingdom Vaccine Targeting Healthcare-Associated Priori	93.855		484,346	-
Cross-Kingdom Vaccine Targeting Healthcare-Associated Priori	93.855		11,872	-
Cross-Kingdom Vaccine Targeting Healthcare-Associated Pathog	93.855		48,550	-
Bicarbonate-Mediated Enhancement of Beta-Lactam-MRSA Killing	93.855		350,899	-
<i>Pass Through: Dartmouth College</i>				
Membrane-active quinoline and quinazoline antibacterials tha	93.855	5R01AI146116-04	80	-
Cross-Kingdom Vaccine Targeting Healthcare-Associated Priori	93.855		366,709	-
Endothelial invasion by yeast-phase Candida	93.855		58,684	58,684
<i>Pass Through: University of California, Los Angeles</i>				
ACTIV-2-A5401-Per Patient Reimbursement-Adaptive Platform Tr	93.855	UM1AI068636	78,744	-
ACTG - Protocol Implementation Funds (PIF)	93.855	2UM1AI068636-15	177,182	-
ACTG A5404 Protocol Support	93.855	3UM1AI068636-15S2	9,630	-
ACTIV-2d, A5407, Protocol Support	93.855	3UM1AI068636-16S1	19,640	-
ACTIV-2D-A5407, SCORPIO	93.855	3UM1AI068636-16S1	36,100	-
AIDS Prevention and Treatment Clinical Trials Unit ("ACTG")	93.855	5UM1AI069424-17	363,285	-
AIDS Prevention and Treatment Clinical Trials Unit ("ACTG")	93.855	5UM1AI069424-17	345,209	-

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
AT HARBOR-UCLA MEDICAL CENTER**

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2023**

Federal Grantor/Pass-Through Grantor	Assistance Listing	Agency or Pass-Through Number	Federal Expenditures	SubContract Expenditures
RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF ALLERGY & INFECTIOUS DISEASE (Continued)</u>				
<i>Pass Through: University of California, Los Angeles</i>				
Leadership and Operations Ctr (A5401 Protocol Chair Support)	93.855	3UM1AI03 686 6-15S1	79,229	-
Multi-Dimensional Outcome Prediction Algorithm for Hospitali	93.855	5R01AI159946-02	49,609	-
UCLA/Merck A5391 - DEXAS	93.855		528	-
A Phase III Randomized, Double-Blind, Placebo-Controlled Mul	93.855	3UM1AI068636-14S2	768,133	-
<i>Pass Through: University of Georgia</i>				
Functional Analysis of Natural Variation in the Pathogen Can	93.855	R01AI146103	199,491	-
<i>Pass Through: University of Iowa, College of Medicine</i>				
Systematic Genetic Analysis of C. albicans CNS Infection	93.855	1R21AI173445-01A1	19,948	-
<i>Pass Through: University of Maryland</i>				
A Genomics Based Investigation of the Determinants of Polymi	93.855	U19AI110820	148,694	-
<i>Pass Through: University of Maryland</i>				
Host Pathogen Interactions during Mucormycosis	93.855	5R01AI141360	266,042	-
Host Pathogen Interactions during Mucormycosis	93.855	5R01AI141360	2,895	-
<i>Pass Through: University of Minnesota</i>				
Aneuploidy and Acquired Antifungal Drug Resistance in Candid	93.855	5R01AI143689-03	48,491	-
Aneuploidy and Acquired Antifungal Drug Resistance in Candid	93.855	5R01AI143689-03	1,635	-
<i>Pass Through: University of Nevada Reno</i>				
Multiplexed rapid immunoassay for invasive fungal disease	93.855	1R01AI150823-01A1	171,062	-
Multiplexed rapid immunoassay for invasive fungal disease	93.855	1R01AI150823-01A1	174,314	-
<i>Pass Through: University of California, Los Angeles</i>				
UCLA-CDU CFAR	93.855	1P30AI152501-01A1	20,074	-
<i>Pass Through: Ohio State University Medical Center</i>				
Quantitative genetic approaches to Candida albicans pathogen	93.855	5R01AI148788-03	103,153	-
<i>Pass Through: University of Maryland</i>				
ASSIST #31238 - A Genomics Based Investigation of the Determ	93.855	U19AI110820	7,153	-
<i>Pass Through: Ohio State University Medical Center</i>				
Quantitative genetic approaches to Candida albicans pathogen	93.855	5R01AI148788-03	67,290	-
			7,581,514	583,158
<u>NATIONAL CANCER INSTITUTE</u>				
<i>Pass Through: Fred Hutchinson Cancer Research Center</i>				
Life and Longevity After Cancer (LILAC): The Women's Health	93.393	5 U01 CA173642-10	3,856	-
<i>Pass Through: Children's Hospital of Philadelphia</i>				
Master Agreement - Non-Industry CHOP	93.395		10,935	-
			14,792	-
<u>NATIONAL INSTITUTE OF CHILD HEALTH & HUMAN DEVELOPMENT</u>				
OUTR/EDUCATION CORE	93.865		21,396	-
Mechanism of Long Non-coding RNAs Action in leiomyoma	93.865		313,836	-
Disparities in the effect of state policy for the newborn sc	93.865		13,836	-

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2023**

Federal Grantor/Pass-Through Grantor	Assistance Listing	Agency or Pass-Through Number	Federal Expenditures	SubContract Expenditures
RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF CHILD HEALTH & HUMAN DEVELOPMENT</u>				
Epitranscriptomic regulation of spermatogenesis and male fer	93.865		3,095	-
Epitranscriptomic regulation of spermatogenesis and male fer	93.865		358,165	-
Mechanism of Long Non-coding RNAs Action in leiomyoma	93.865		68,349	-
Maternal Obesity Programs Offspring Hypothalamic Neurogenesi	93.865		215,871	68,748
The XXVIth North American Testis Workshop	93.865		10,000	-
EPIGENOMICS CORE	93.865		507	-
Function of Long Non-Coding RNA MD1 in Leiomyoma Pathogenesis	93.865		19,500	-
OUTR/EDUCATION CORE	93.865		9,042	-
Maternal Obesity Programs Offspring Hypothalamic Neurogenesi	93.865		28,102	28,074
ADMIN CORE	93.865		72,891	24,892
ADMIN CORE	93.865		14,827	-
ANIMAL CORE	93.865		58,498	-
Maternal Obesity Programs Offspring Hypothalamic Neurogenesi	93.865		9,280	-
Prevention of obesity in Infants of overweight and obese wom	93.865		127,980	40,704
<i>Pass Through: Vanderbilt University Medical Center</i>				
Timing of Inguinal Hernia Repair in Premature Infants: A Ra	93.865	U01HD076733	2,026	-
Tryptophan metabolism and its role in fibroid pathogenesis	93.865		260,639	-
<i>Pass Through: Oregon Health & Science University</i>				
The Value of Pediatric Readiness in the Emergency Care of In	93.865	5R24HD085927-05	15,458	-
The Value of Pediatric Readiness in the Emergency Care of In	93.865	5R24HD085927-05	15,458	-
TO 7/CCN-017 Nestorone Gel and Testosterone Gel	93.865		1,738,048	1,171,369
<i>Pass Through: BB Medical Surgical, Inc.</i>				
A Novel Two-in-One Approach to Administer Surfactant and Pro	93.865	1R41HD097969-01	15,154	-
TO 2/ DMAU-SEDDS Hormone Measurement	93.865		181,026	-
Epitranscriptomic regulation of spermatogenesis and male fer	93.865		44,840	-
PROJECT 1 - (FORMERLY SWERDLOFF'S Sub 031568-01-00)	93.865		2,273	-
Prevention of obesity in Infants of overweight and obese wom	93.865		40,173	27,853
PROJ 3:Germline-mediated Transgenerational Epigenetic Inheri	93.865		119,117	117,701
PROJ 2:Basic Research- Mechanism Underlying the Transduction	93.865		24,163	-
PROJ 2:Basic Research- Mechanism Underlying the Transduction	93.865		180,308	29,990
PROJ 1:Diet and Exercise Modulate the Sperm Epigenome in Men	93.865		111,036	-
PROJ 1:Diet and Exercise Modulate the Sperm Epigenome in Men	93.865		316,020	-
Disparities in the effect of state policy for the newborn sc	93.865		213,860	-
LAB--Clinical Evaluation of Nestorone Gel and Testosterone G	93.865		441,317	-
TO 2 /DMAU-SEDDS Study	93.865		288,736	108,338
<i>Pass Through: Oregon Health & Science University</i>				
Clinical and Genetic Analysis of Retinopathy of Prematurity	93.867	8R01HD107493-11	4,653	-
Clinical and Genetic Analysis of Retinopathy of Prematurity	93.867	8R01HD107493-11	115,605	-
<i>Pass Through: University of California, Riverside</i>				
Sperm tsRNAs and their RNA modifications in diet-induced epi	93.865	R01HD092431	(1,855)	-
			5,473,232	1,617,669

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2023**

Federal Grantor/Pass-Through Grantor	Assistance Listing	Agency or Pass-Through Number	Federal Expenditures	SubContract Expenditures
RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF DIABETES, DIGESTIVE & KIDNEY DISEASE</u>				
<i>Pass Through: Wake Forest University</i>				
Genetic and Epidemiological Predictors - Pym fr NC Hospital	93.847	5R01DK118062-05	51,119	-
Genetic and Epidemiological Predictors - Pym fr NC Hospital	93.847	5R01DK118062-05	15,530	-
<i>Pass Through: University of California, Irvine</i>				
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	44,587	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	8,899	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	7,229	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	52,819	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	12,272	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	2,454	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	1,483	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5R01DK122767-05	(7,529)	-
<i>Pass Through: Beth Israel Deaconess Medical Center, Inc</i>				
Metabolomic Predictors of Insulin Resistance and Diabetes	93.847	5R01DK081572-12	44,937	-
Metabolomic Predictors of Insulin Resistance and Diabetes	93.847	5R01DK081572-12	13,300	-
<i>Pass Through: University of California, San Diego</i>				
Diabetes Research Center	93.847	3P30DK063491	61,804	61,671
Diabetes Research Center (DRC)	93.847	5 P30 DK063491-20	196,625	62,367
dkNET Coordinating Unit: An information network for FAIR res	93.847	5 U24 DK097771-10	69,972	-
<i>Pass Through: University of Michigan</i>				
Nephrotic Syndrome Rare Disease Clinical Research Network II	93.847	U54DK083912	962	-
<i>Pass Through: Cedars-Sinai Medical Center</i>				
Impact of the Gut Microbiome and Diet on Change in Insulin H	93.847	5R01DK109588-05	1,893	-
<i>Pass Through: South FL VA Foundation for Research & Educ, Inc</i>				
Continuation of glycemia reduction approaches in diabetes: A	93.847	5U01DK098246-10	11,029	-
<i>Pass Through: Massachusetts General Hospital</i>				
TOPMed Omics of Type 2 Diabetes and Quantitative Traits	93.847	5UM1DK078616-13	15,692	-
TOPMed Omics of Type 2 Diabetes and Quantitative Traits	93.847	5UM1DK078616-13	43,262	-
Trajectories of Adherence to Cardiovascular Medications in P	93.847		26,632	-
<i>Pass Through: University of California, Los Angeles</i>				
Training Core	93.847	5TL1DK132768-03	55,559	-
<i>Pass Through: University of California, Irvine</i>				
Continuous glucose monitoring in dialysis patients to overco	93.847	DK132869	10,807	-
Defining optimal transitions of care in advanced kidney dise	93.847	DK124138	18,364	-
Defining optimal transitions of care in advanced kidney dise	93.847	DK124138	14,928	-
<i>Pass Through: University of North Carolina at Chapel Hill</i>				
Integrative Approaches to Identifying Function and Clinical	93.847	5R01DK122503-02	3,030	-
Integrative Approaches to Identifying Function and Clinical	93.847	5R01DK122503-03	27,351	-
<i>Pass Through: University of Pennsylvania</i>				
Primary Outcomes in Glomerulonephritis Study (PROGRESS)	93.847	5U01DK100846-10	100,668	-

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2023**

Federal Grantor/Pass-Through Grantor	Assistance Listing	Agency or Pass-Through Number	Federal Expenditures	SubContract Expenditures
RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF DIABETES, DIGESTIVE & KIDNEY DISEASE (Continued)</u>				
<i>Pass Through: Boston University</i>				
Virtual systemic identification of drug targets of obesity c	93.847	1R01DK135938-01	3,446	-
			909,124	124,038
<u>NATIONAL INSTITUTE OF DENTAL & CRANOFACIAL RESEARCH</u>				
Novel Candida albicans host receptors during infection and i	93.121		62,348	-
Oral commensal fungi and structural immunity	93.121		17,469	-
Oral commensal fungi and structural immunity	93.121		285,473	56,281
			365,290	56,281
<u>NATIONAL INSTITUTE OF ALCOHOL, ABUSE & ALCOHOLISM</u>				
<i>Pass Through: Boston University</i>				
Trans-omic Analysis of Alcohol Consumption and Its Relation	93.273	5R01AA028263-02	45,817	-
Trans-omic Analysis of Alcohol Consumption and Its Relation	93.273	5R01AA028263-03	7,644	-
			53,461	-
<u>NATIONAL HEART, LUNG & BLOOD INSTITUTE</u>				
<i>Pass Through: University of Texas Health Science Center at San Antonio</i>				
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study	93.837	5U01HL146382-03	461,828	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study	93.837	5U01HL146382-03	74,862	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study	93.837	5U01HL146382-03	65,001	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study	93.837	5U01HL146382-03	16,859	-
<i>Pass Through: Boston University</i>				
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study	93.837	5U01HL146382-03	161,232	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study	93.837	5U01HL146382-03	26,620	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study	93.837	5U01HL146382-03	(22,231)	-
<i>Pass Through: University of California, Los Angeles</i>				
("MWCCS S2") Los Angeles CRS for the MACS/WHS Combined Cohor	93.837	5U01HL146333-05	6,523	-
("MWCCS CORE") Los Angeles CRS for the MACS/WHS Combined Coh	93.837	5U01HL146333-05	166,311	-
("MWCCS S1") Los Angeles CRS for the MACS/WHS Combined Cohor	93.837	5U01HL146333-05	35,960	-
SUPP2:Los Angeles CRS for the MACS/WHS Combined Cohort Study	93.837	5U01HL146333-04	16,554	-
SUPP1:Los Angeles CRS for the MACS/WHS Combined Cohort Study	93.837	5U01HL146333-04	124,588	-
CORE: Los Angeles CRS for the MACS/WHS Combined Cohort Study	93.837	5U01HL146333-04	402,812	-
<i>Pass Through: Advent Therapeutics, Inc.</i>				
Advancing Small Molecule Read Through Compounds to Prevent a	93.837	1R41HL152915-01	24,307	23,038
Aerosolized Vitamin A: Impact on Neonatal Lung Maturation, H	93.837	5R44HL142353-03	86,018	-
<i>Pass Through: Duke University</i>				
Epidemiologic Determinants of Cardiac Structure and Function	93.837	1R01HL157531-01A1	16,506	-
<i>Pass Through: University of North Carolina at Chapel Hill</i>				
Leveraging Hispanic/Latino diversity to map and characterize	93.837	1R01HL163262-01A1	12,786	-

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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL HEART, LUNG & BLOOD INSTITUTE (Continued)</u>				
<i>Pass Through: University of Texas Health Science Center at Houston</i>				
Genetic Architecture of Cardiac Structure and Function and I	93.837	1R01HL160793-01A1	31,064	-
Whole-Genome Sequencing Analysis Of Coronary Atherosclerosis	93.837	5R01HL146860-03	34,027	-
Whole-Genome Sequencing Analysis Of Coronary Atherosclerosis	93.837	5R01HL146860-03	7,200	-
Type I IFN signaling during lung development in Down Syndrom	93.837		406,506	111,077
<i>Pass Through: University of Washington</i>				
CHARGE Consortium: Gene Discovery for CVD and Aging Phenotyp	93.837	2R01HL105756-11	19,245	-
Links Between Cardiovascular disease, Lung Disease, and Obst	93.839	2R01HL126538-04	29,454	-
<i>Pass Through: Kaiser Permanente Research Institute</i>				
Risk prediction of breast cancer treatment-related cardiotox	93.837	5R01HL154319-02	18,071	-
Newborn Screening for Critical Congenital Heart Disease in U	93.837		137,830	-
<i>Pass Through: GE Global Research</i>				
Cardiac CT Deblooming	93.837	1R01HL141461	157,252	-
Coronary Artery Calcium, Aortic Calcification and Density in	93.837		142,494	-
Type I IFN signaling during lung development in Down Syndrom	93.837		30,006	15,444
<i>Pass Through: John Hopkins University</i>				
Modeling Aortic Valve Calcification and Risk of Aortic Valve	93.837	1R21HL150458-01A1	1,287	-
<i>Pass Through: Massachusetts General Hospital</i>				
REPRIEVE (A5332) Ref # 113122 or (224978)	93.837	HL23336	24,929	-
<i>Pass Through: University of Illinois at Chicago</i>				
Coronary Artery Calcium and its Association with Protection/	93.837	5R01HL152692-03	279,459	-
<i>Pass Through: Massachusetts General Hospital</i>				
TOPMed Omics of Cardiovascular Disease in Diabetes	93.837	5R01HL151855-03	170,121	-
Coronary Artery Calcium, Aortic Calcification and Density in	93.837		670,775	80,945
<i>Pass Through: Cedars-Sinai Medical Center</i>				
Effect of Intensive Medical Treatment on Quantified Coronary	93.837	5R01HL151266-02	46,379	-
<i>Pass Through: Boston University</i>				
Mitochondrial DNA, Nuclear DNA Methylation, and Cardiometabo	93.837	1R01HL155569-01A1	61,581	-
<i>Pass Through: Washington University - St. Louis, MO</i>				
A Multi-Ancestry Study of Gene-Lifestyle Interactions and Mu	93.837	1R01HL156991-01	37,448	-
A Multi-Ancestry Study of Gene-Lifestyle Interactions and Mu	93.837	1R01HL156991-01	4,552	-
Coronary Artery Calcium, Aortic Calcification and Density in	93.837		977	-
<i>Pass Through: New York University School of Medicine</i>				
1/2 Pulmonary Embolism: Thrombus Removal with Catheter-Direc	93.839	1UG3HL155798-01A1	26,698	-
Community-Engagement Research Alliance Against COVID-19 in Disproportionately	93.UNK	OT 1HL158287	61,094	-
			4,074,985	230,507
<u>NATIONAL INSTITUTE OF NEUROLOGICAL DISORDERS & STROKE</u>				
<i>Pass Through: University of California, San Diego</i>				
A Practice-based Intervention to Improve Care for a Diverse	93.226	5U18HS028740-02	18,851	-
A Practice-based Intervention to Improve Care for a Diverse	93.226	5U18HS028740-02	30,848	-

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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF NEUROLOGICAL DISORDERS & STROKE (Continued)</u>				
<i>Pass Through: University of California, Los Angeles</i>				
Stakeholder-Partnered Implementation Research and Innovation	93.226	5K12HS026407-05	48,327	-
Stakeholder-Partnered Implementation Research and Innovation	93.226	5K12HS026407-05	143,597	-
<i>Pass Through: RAND Corporation</i>				
Implementation and Evaluation of a Video-based Prospective F	93.226	R18HS026168	61,220	-
<i>Pass Through: California Institute of Technology</i>				
Dysregulation of p97/VCP disease mutants in IBM and FTL-D U N	93.853	R01NS102279	64,529	-
<i>Pass Through: University of Iowa, College of Medicine</i>				
Network of Excellence in Neuroscience Clinical Trials (Neuro	93.853	5 U01 NS077352-12	26,800	-
<i>Pass Through: University of Cincinnati</i>				
Multi-arm Optimization of Stroke Thrombolysis (MOSTTRIAL)	93.853	1U01NS100699-01A1 R	7	-
<i>Pass Through: Children's Hospital of Los Angeles</i>				
Pediatric Dose Optimization for Seizures in EMS (PediDOSE)	93.853	1U01NS114042-01A1	35,198	-
<i>Pass Through: University of California, Los Angeles</i>				
Southern CA Network Clinical Center (Hub) for SIREN - SUPPLE	93.853	3U24NS100685-05S	14,334	-
Optimizing Small Molecule Read-Through Compounds for Treatin	93.853		383,850	224,326
BRAIN (Biomimetic Regenerative Angiogenic Immunomodulating N	93.853		421,166	205,096
			1,248,727	429,422
<u>COMPUTER & INFORMATION SCIENCE & ENGINEERING</u>				
<i>Pass Through: University of California, Davis</i>				
SCH: INT: Transabdominal Fetal Oximetry for Improved Intrap	47.040	1838939	38,567	-
			38,567	-
<u>NATIONAL CENTER FOR ADVANCING TRANSLATIONAL SCIENCES</u>				
<i>Pass Through: University of California, Los Angeles (CTSI)</i>				
CTSI-Translational Endeavors:Workforce Development	93.350	UL1TR001881	50,149	-
CTSI-Network Capacity (LTIC)	93.350	UL1TR001881	124,535	-
CTSI-Network Capacity (LTIC)	93.350	UL1TR001881	7,150	-
CTSI-Research Methods:BioStats Epidemiology (BERD)	93.350	UL1TR001881	144,826	-
CTSI-Research Methods:BioStats Epidemiology (BERD)	93.350	UL1TR001881	13,186	-
CTSI-Research Methods:Regulatory Knowledge & Support (RKS)	93.350	UL1TR001881	52,980	-
CTSI-Translational Endeavors:Workforce Development	93.350	UL1TR001881	1,590	-
CTSI-Translational Endeavors:Pilot Translation & Clinical	93.350	UL1TR001881	30,698	-
CTSI-Hub Research Capacity: Clinical Interactions (PCI)	93.350	UL1TR001881	12,846	-
Identification of novel virulence factors on multi-drug resi	93.350	KL2TR001882	131,254	-
CTSI-Research Methods:Regulatory Knowledge & Support (RKS)	93.350	UL1TR001881	3,246	-
CTSI-Hub Research Capacity: Clinical Interactions (PCI)	93.350	UL1TR001881	170,699	-
CTSI- Optical - Precision Health	93.350	UL1TR001881	3,803	-
CTSI- Optical - Precision Health	93.350	UL1TR001881	35,058	-
CTSI- Hub Research Capacity - Special Populations	93.350	UL1TR001881	36,239	-

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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL CENTER FOR ADVANCING TRANSLATIONAL SCIENCES (Continued)</u>				
<i>Pass Through: University of California, Los Angeles (CTSI)</i>				
CTSI - Optical - Population Health	93.350	UL1TR001881	12,080	-
Clinical Translational Science Ins-Community & Collaboration	93.350	UL1TR001881	3,845	-
Clinical Translational Science Institute-Informatics Core	93.350	UL1TR001881	233,030	-
Clinical Translation Science Institute-Administrative Core	93.350	UL1TR001881	787	-
Clinical Translation Science Institute-Administrative Core	93.350	UL1TR001881	150,748	-
Clinical Translational Science Institute-Informatics Core	93.350	UL1TR001881	19,112	-
Clinical Translational Science Ins-Community & Collaboration	93.350	UL1TR001881	164,517	-
<i>Pass Through: University of California, Los Angeles</i>				
Project 2: CTSI-Lundquist Precision Health Coordinator Pilot	93.350	2UL1TR001881-06A1	30,562	-
Mechanisms of Macrophage Memory in Immunity to Staphylococcus	93.350	5KL2TR001882-05	131,624	-
Catalyzing peer mentorship and patient navigation for spanis	93.350	2UL1TR001881-06A1	2,500	-
			1,567,064	-
<u>HEALTH RESOURCES & SERVICES ADMINISTRATION</u>				
<i>Pass Through: University of California, San Francisco</i>				
Federal Model AHEC Point of Service Maintenance and Enhancem	93.107	U77HP23071	24,200	-
AHEC: California Area Health Education Center	93.107	U77HP23071	81,715	-
<i>Pass Through: University Hospitals Cleveland Medical Center</i>				
Center for Pediatric Everyday Readiness - Regional Pediatric	93.110	U1IMC43532-01	201,435	-
Center for Pediatric Everyday Readiness - Regional Pediatric	93.110	1 U1IMC43532-01-00	105,703	-
<i>Pass Through: The University of Texas at Austin</i>				
Emergency Medical Services for Children Innovation and Impro	93.127	1U07MC37471-01-00	219,635	12,408
Emergency Medical Services for Children Innovation and Impro	93.127	1U07MC37471-01-00	16,972	12,728
			649,660	25,136
<u>NIH OFFICE OF THE DIRECTOR</u>				
<i>Pass Through: Women & Infants Hospital of Rhode Island</i>				
Environmental Influences on Neurodevelopmental Outcome in In	93.310	5UH3OD023347-05	110,582	-
Environmental Influences on Neurodevelopmental Outcome in In	93.310	5UH3OD023347-07	239,118	-
Environmental Influences on Neurodevelopmental Outcome -PTS	93.310	5UH3OD023347-05	16,447	-
Environmental Influences on Neurodevelopmental Outcome -PTS	93.310	5UH3OD023347-07	15,265	-
			381,412	-
<u>NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES</u>				
<i>Pass Through: Charles R. Drew University of Medicine and Science</i>				
Novel metabolic reprogramming strategy for the treatment of	93.859		5,908	-
<i>Pass Through: Research Foundation of CUNY</i>				
RHEA Modeling the Environment for Microbes (RHEA-MODE)	93.859	5R01GM127512-04	698	-
RHEA Modeling the Environment for Microbes (RHEA-MODE)	93.859	5R01GM127512-03	6,745	-

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RESEARCH AND DEVELOPMENT CLUSTER (Continued)				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES (Continued)</u>				
<i>Pass Through: University of Washington</i>				
Novel Statistical Inference for Biomedical Big Data	93.859	1R01GM133848-01A1	6,327	-
Novel Statistical Inference for Biomedical Big Data	93.859	5R01GM133848-03	26,393	-
			46,071	-
<u>NIH SMALL BUSINESS INNOVATION RESEARCH</u>				
<i>Pass Through: The University Of Texas Health Science Center At San Antonio</i>				
Therapeutic Testing in Murine Models of Fungal Infections	93.000	HHSN27220170000391	111,863	-
			111,863	-
<u>NATIONAL CENTER FOR COMPLEMENTARY AND INTEGRATIVE HEALTH</u>				
<i>Pass Through: Loma Linda University Health</i>				
Unravelling lung interoception and its functional consequenc	93.213	R01AT011691	137,523	-
Unravelling lung interoception and its functional consequenc	93.213	R01AT011691	5,974	-
			143,497	-
<u>NATIONAL CENTER ON SLEEP DISORDERS RESEARCH</u>				
Mentorship in the Endocrinology of Sleep	93.233		79,844	-
<i>Pass Through: Wayne State University</i>				
Improving outcomes for patients with SDB and insufficient sl	93.233	5R01HL146059	17,823	-
Improving Outcomes for Patients with SDB and Insufficient SI	93.233	5R01HL146059	1,620	-
			99,287	-
<u>NATIONAL INSTITUTE OF ARTHRITIS AND MUSCULOSKELETAL AND SKIN DISEASES</u>				
<i>Pass Through: Indiana University</i>				
Autosomal Dominant Osteopetrosis: A Natural History Study (N	93.846	5R01AR077869-03	20,847	-
			20,847	-
<u>NATIONAL INSTITUTE OF MENTAL HEALTH</u>				
<i>Pass Through: The University of California, Los Angeles</i>				
Novel Radial Diffusion-Weighted MR Spectroscopic Imaging of	93.242	1R21MH125349-01/5R2	12,383	-
Measuring and Monitoring Adherence to ART with Pill Ingestio	93.242	5R01MH110056-05:R2	48,171	-
Behavioral and brain network effects of dysfunction in the c	93.242		3,041	-
Behavioral and brain network effects of dysfunction in the c	93.242		213,889	-
			277,484	-
<u>NATIONAL INSTITUTES OF HEALTH</u>				
<i>Pass Through: Charles R. Drew University of Medicine and Science</i>				
Accelerating Excellence in Translational Science AXIS (Pilot	93.307	5U54MD007598-14	68,954	-
Mechanisms controlling early human lung development	93.838		368,824	-
<i>Pass Through: University of Alabama Birmingham</i>				
COPD cachexia: deciphering the impact of antioxidants, iron	93.838	5R01HL153460-02	113,524	-

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U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTES OF HEALTH (Continued)</u>				
<i>Pass Through: Allerdia, Inc.</i>				
Development of a highly sensitive and specific POCT testing	93.838	1R43HL167289-01	13,477	-
(1 of 2) Genetic Epidemiology of COPD	93.838	2U01HL089897	49,711	-
type I interferon regulates angiogenesis in Down Syndrome	93.838		139,243	-
Determinants of 5 Year Progression of Muscle Dysfunction and Collaborative Cohort of Cohorts for COVID-19 Research (C4R)	93.838		38,770	25,245
Mechanisms controlling early human lung development	93.838	10T2HL156812-01	4,912	-
Determinants of 5 Year Progression of Muscle Dysfunction and Type I IFN signaling during lung development in Down Syndrome	93.838		8,647	6,460
Determinants of 5 Year Progression of Muscle Dysfunction and Type I IFN signaling during lung development in Down Syndrome	93.838		92,601	12,217
Determinants of 5 Year Progression of Muscle Dysfunction and Determinants of 5 Year Progression of Muscle Dysfunction and	93.838		277,880	-
Determinants of 5 Year Progression of Muscle Dysfunction and Determinants of 5 Year Progression of Muscle Dysfunction and	93.838		198,746	99,897
Determinants of 5 Year Progression of Muscle Dysfunction and	93.838		19	-
<i>Pass Through: Mayo Clinic</i>				
Cellular Senescence in Neonatal Airways	93.838	1R01HL158532-01A1	75,704	-
<i>Pass Through: Indiana University</i>				
Multicenter REgistry of COVID-19 in EmeRgency care (Project	93.838	1R01HL148247-01A1	3,236	-
<i>Pass Through: University of Minnesota</i>				
Lipid and Protein Effects on Monolayer Stability	93.838	R01HL051177	65,563	-
E-Cigarette Vaping during Pregnancy and Lactation, Germ Cell	93.838		518,462	231,206
E-Cigarette Vaping during Pregnancy and Lactation, Germ Cell	93.838		30,827	30,827
<i>Pass Through: Boston University</i>				
Mitochondrial DNA Copy Number and Sequence Variation in Rela	93.866	5R01AG059727-04	8,339	8,339
<i>Pass Through: University of California, San Francisco</i>				
The Care Ecosystem Response to COVID-19: Accelerating	93.866	1R01AG074710-01	28,128	-
<i>Pass Through: Fibroplate, Inc.</i>				
Fibrinogen coated albumin spheres to accelerate bone healing	93.866	1R43AG072919-01A1	38,443	-
<i>Pass Through: University of Texas Health Science Center at San Antonio</i>				
GENETIC RISK FOR TRAJECTORIES OF COGNITIVE DECLINE AND PROG	93.866	1R21AG075791- 01A1	15,950	-
<i>Pass Through: University of Massachusetts Amherst</i>				
Metabolomic profile of chronic distress in relation to disea	93.866	R01AG051600	27,099	-
<i>Pass Through: University of California, Los Angeles</i>				
Pitavastatin to Reduce Physical Function Impairment and Frai	93.866	1R01AG054366-03	3,514	-
<i>Pass Through: University of California, San Francisco</i>				
The Care Ecosystem Response to COVID-19: Accelerating	93.866	1R01AG074710-01	209,147	-
<i>Pass Through: New York University School of Medicine</i>				
ACTIV-4a: Antithrombotic Strategies in Hospit PO# M210441683	93.838	0T2HL156812	19,770	-
Contraceptive Clinical Trials Network (CCTN) Male Sites	93.310	75N94020D00007	3,915	-
Contraceptive Clinical Trials Network (CCTN) Male Sites	93.310	75N94020D00007	20,144	-
			2,443,549	414,187

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U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>CENTERS FOR DISEASE CONTROL AND PREVENTION</u>				
<i>Pass Through: American Association of Clinical Endocrinology</i>				
Improving Adult Immunizations in Adult Patients	93.185	6NH23IP922656-01-01	93,176	-
PsySTART-RP Rapid Triage and Linkage for Emergency Departmen	93.UNK	75D30120C09086	80,825	-
			<u>174,001</u>	<u>-</u>
<u>IMMEDIATE OFFICE OF THE SECRETARY OF HEALTH AND HUMAN SERVICES</u>				
<i>Pass Through: University of California, San Francisco</i>				
Western Regional Alliance for Pediatric Emergency Management	93.889	U3REP190616	92,460	-
Western Regional Alliance for Pediatric Emergency Management	93.889	U3REP190616	6,941	-
Western Regional Alliance for Pediatric Emergency Management	93.889	U3REP190616	49,324	-
			<u>148,725</u>	<u>-</u>
<u>NATIONAL INSTITUTE ON DRUG ABUSE</u>				
<i>Pass Through: Cedars - Sinai Medical Center</i>				
1/24 Healthy Brain and Child Development National Consortium	93.279	1U01DA055366-01	32,893	-
			<u>32,893</u>	<u>-</u>
<u>NATIONAL HUMAN GENOME RESEARCH INSTITUTE</u>				
<i>Pass Through: Broad Institute</i>				
Development of polygenic scores for diabetes and complicatio	93.172	5U01HG011723-02	5,186	-
Development of polygenic scores for diabetes and complicatio	93.172	5U01HG011723-02	18,180	-
			<u>23,366</u>	<u>-</u>
			Total U.S. Department of Health and Human Services	25,879,410
				3,480,399
U.S. DEPARTMENT OF EDUCATION				
<i>Pass Through: Sonoma County Office of Education</i>				
School Emergency Response to Violence (Project SERV)	84.184S	S184S210003	40,466	-
			<u>40,466</u>	<u>-</u>
			Total U.S. Department of Education	40,466
U.S. DEPARTMENT OF DEFENSE				
<i>Pass Through: University of Alabama Birmingham</i>				
An Observational Study of Beta-Blocker Use in Patients with	12.420	W81XWH-15-1-0705	5,021	-
<i>Pass Through: University of Florida</i>				
Women's Ischemia Trial to Reduce Events in Non-Obstructive C	12.UNK	W81XWH-17-2-0030	8,508	-
Novel determinants of PD-L1 protein trafficking and stabilit	12.420		276	-
A New Treatment for Heritable Pulmonary Artery Hypertension	12.420		19,985	5,960
IND-Enablement of Kinocidin γ -RP-1 for MDR Gram-Negative Inf	12.420		1,347,711	-
Investigating Novel Targetable Vulnerabilities of LAM Disea	12.420		37,272	-
Comparison of error recovery training to standard education	12.UNK	FA8650-21-C-6249	49,498	-
			<u>1,468,270</u>	<u>5,960</u>
			Total U.S. Department of Defense	1,468,270
			27,388,146	3,486,359
TOTAL RESEARCH AND DEVELOPMENT CLUSTER EXPENDITURES			27,388,146	3,486,359

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OTHER PROGRAMS				
<i>US DEPARTMENT OF AGRICULTURE</i>				
WIC Local Vendor Liaison	10.557		27,036	-
WIC Supplemental Nutrition Program	10.557		9,762,446	-
WIC Local Vendor Liaison	10.557		75,791	-
WIC Farmers' Market Nutrition Program	10.557		2,415	-
WIC Farmers' Market Nutrition Program	10.557		8,391	-
WIC Books for Kids	10.557		135,646	-
WIC BFPC Loving Support Program	10.557		570,086	-
WIC BFPC Loving Support Program	10.557		153,069	-
WIC Supplemental Nutrition Program	10.557		4,659,902	-
TOTAL OTHER PROGRAM EXPENDITURES			<u>15,394,782</u>	<u>-</u>
TOTAL FEDERAL EXPENDITURES			<u>\$ 42,782,928</u>	<u>\$ 3,486,359</u>

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
AT HARBOR-UCLA MEDICAL CENTER**

**NOTES TO THE SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2023**

NOTE 1 – Basis of Presentation

The Lundquist Institute for Biomedical Innovation at Harbor-UCLA Medical Center (the Institute), formerly known as Los Angeles Biomedical Research Institute at Harbor-UCLA Medical Center, is an independent biomedical research institute.

The accompanying schedule of expenditures of federal awards is prepared on the accrual basis of accounting. The information in this schedule is presented in accordance with the requirements of Title 2 U.S. *Code of Federal Regulations* Part 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (Uniform Guidance). Therefore, some amounts presented in this schedule may differ from amounts presented in, or used in the preparation of, the basic financial statements.

NOTE 2 – Summary of Significant Accounting Policies

Expenditures on the schedule are reported on the accrual basis of accounting. Such expenditures are recognized following the cost principles contained in the Uniform Guidance, wherein certain types of expenditures are not allowable or are limited as to reimbursement. Negative amounts reflected in the schedule represent adjustments or credits made in the normal course of business to amounts reported as expenditures in prior years.

NOTE 3 – Indirect Cost Rate

The Institute has elected not to use the 10% de minimis indirect cost rate as allowed under the Uniform Guidance.

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
AT HARBOR-UCLA MEDICAL CENTER**

**SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED JUNE 30, 2023**

SECTION I – SUMMARY OF AUDITORS’ RESULTS

Financial Statements

The auditors’ report expresses an unmodified opinion on whether the financial statements of the Institute were prepared in accordance with generally accepted accounting principles.

Internal control over financial reporting

Material weakness(es) identified? – No

Significant deficiencies identified? – Yes

Noncompliance material to financial statements noted? – No

Federal Awards

Internal control over major programs

Material weakness(es) identified? – No

Significant deficiencies identified? – None reported

Type of auditors’ report issued on compliance for major programs? – Unmodified

Any audit findings disclosed that are required to be reported in accordance with 2 CFR section 200.516(a)? – No

Identification of major programs: Research and Development Cluster with various Assistance Listing Numbers

Dollar threshold used to distinguish between Type A and Type B programs was \$1,283,488

Auditee qualified as low-risk auditee? – No

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
AT HARBOR-UCLA MEDICAL CENTER**

**SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED JUNE 30, 2023**

SECTION II – FINDINGS – FINANCIAL STATEMENT AUDIT

The following item is considered to be a significant deficiency:

2023-01 Revenue Recognition

Condition: The Institute’s main revenue is derived from governmental grants and contracts, which are generally conditioned upon certain performance requirements and/or the incurrence of allowable qualifying expenses. As part of the audit, there were several grants from FY21 and FY22 identified where revenue was still recorded as deferred after conditions and performance obligations had been completed, leading to adjustments to recognize additional revenue for the year ended June 30, 2023.

Criteria: Management is responsible for maintaining internal controls to ensure revenue is recorded accurately and in line with grant and revenue policy criteria.

Effect: Revenue may not be recognized in the proper period.

Cause: The Organization receives many contracts and grants, which have complex and varying terms, making recognizing revenue properly across all contracts difficult. The Organization’s turnover of key accounting personnel during the year resulted in some controls not operating as effectively as designed.

Recommendation: We recommend management implement more robust review and tracking process of individual grants and contracts to ensure that revenue is recognized in line with U.S. GAAP, the Institute’s accounting policies, and the related grant contract obligations. We also recommend management ensure documentation, along with any analysis and conclusion related to the accounting treatment, is retained in a central location and accessible to the necessary individuals involved in the accounting and reporting of grants and contracts.

Management’s Response: Management agrees with the recommendation and additionally will implement new processes, reassign department staff, and implement a new ERP system to go live on July 1, 2024. These efforts should allow for more effective recognition of revenue, deferred revenue, and related balances along with improved management of contracts.

SECTION III – FINDINGS AND QUESTIONED COSTS – MAJOR FEDERAL AWARD PROGRAM AUDIT

None

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
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**SUMMARY SCHEDULE OF PRIOR YEAR AUDIT FINDINGS
FOR THE YEAR ENDED JUNE 30, 2023**

FINDINGS – FINANCIAL STATEMENT AUDIT

The following item is considered to be a material weakness:

2022-01 Prior-Period Restatement

Condition: The Institute’s main revenue is derived from governmental grants and contracts, which are generally conditioned upon certain performance requirements and/or the incurrence of allowable qualifying expenses. For some grants and contracts, the Institute will receive advance funding and record the advances as deferred revenue until the specific conditions have been satisfied. During the fiscal year ended June 30, 2022, management identified approximately \$1,449,000 of deferred revenue where the contract had either ended or the performance obligation had already been satisfied and revenue should have been recognized during fiscal year ended June 30, 2021.

Additionally, it was determined that funds transferred from a third-party were not legally encumbered as an obligation for the Institute to repay to outside individuals. As such, the funds were improperly recognized as a liability and an adjustment was made to appropriately recognize the transferred funds of approximately \$4,783,000 as contribution revenue for the year ended June 30, 2021.

Criteria: Management is responsible for maintaining internal controls to ensure revenue is recorded accurately and in line with grant and revenue policy criteria.

Status: No prior period adjustments were recognized for the year ended June 30, 2023.