



THE LUNDQUIST
INSTITUTE

Internal Control and Compliance Reports
June 30, 2022

CONTENTS

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 <i>Government Auditing Standards</i>	1-2
Independent Auditors' Report on Compliance for Each Major Program and on Internal Control over Compliance Required by the Uniform Guidance	3-5
Schedule of Expenditures of Federal Awards	6-19
Notes to the Schedule of Expenditures of Federal Awards	20
Schedule of Findings and Questioned Costs	21-23

**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, 2022 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 November 14, 2022.

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. We identified certain deficiencies in internal control, described in the accompanying schedule of findings and questions costs as item 2022-01, that we consider to be a material weakness.

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.

A handwritten signature in cursive script that reads "Windes, Inc.".

Long Beach, California
November 14, 2022

**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, 2022. 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, 2022.

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.

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.

Winder, Inc.

Long Beach, California

November 14, 2022

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES				
<u>NATIONAL INSTITUTE OF ALLERGY & INFECTIOUS DISEASE</u>				
Bicarbonate-Mediated Enhancement of Beya-Lactam-MRSA Killing	93.866	1R01AI146078-01	5,543	4,594
Multiplexed rapid immunoassay for invasive fungal disease				
Pass Through: University of Nevada Reno	93.855	1R01AI150823-01A1	114,362	-
Multiplexed rapid immunoassay for invasive fungal disease				
Pass Through: University of Nevada Reno	93.855	1R01AI150823-01A1	112,433	-
Multi-Dimensional Outcome Prediction Algorithm for Hospitalization				
Pass Through: University of California, Los Angeles	93.855	1R01AI159946-01A1	56,302	-
Transcriptional networks governing A. fumigatus virulence	93.855	1R01AI162802-01A1	391,074	-
Identification of Virulence determinants under the transcrip				
Pass Through: University of Iowa	93.855	1R21AI145316-01A1	29,656	-
Leadership and Operations Center (LOC), AIDS Clinical Trials				
Pass Through: University of California, Los Angeles	93.855	2UM1AI068636-15	11,999	-
AIDS Prevention and Treatment Clinical Trials Unit (ACTG)				
Pass Through: University of California, Los Angeles	93.855	2UM1AI069424-15	324,304	-
AIDS Prevention and Treatment Clinical Trials Unit (ACTG)				
Pass Through: University of California, Los Angeles	93.855	2UM1AI069424-15	375,766	-
Leadership and Operations Center (LOC), AIDS Clinical Trials				
Pass Through: University of California, Los Angeles	93.855	3UM1AI068636-14S	63,181	-
A Phase III Randomized, Double-Blind, Placebo-Controlled Mul				
Pass Through: University of California, Los Angeles	93.855	3UM1AI068636-14S2	799,821	-
ACTG - A5404 Protocol Support				
Pass Through: University of California, Los Angeles	93.855	3UM1AI068636-15 S2	9,631	-
ACTG - ACTIV 2B/A5405 Protocol Support				
Pass Through: University of California, Los Angeles	93.855	3UM1AI068636-15 S2	6,547	-
Novel Toxins and Receptors in Mucormycosis Pathogenesis	93.855	5R01AI063503-14	422	-
Novel Toxins and Receptors in Mucormycosis Pathogenesis	93.855	5R01AI063503-14	376,062	-
Mechanisms and Circumvention of Daptomycin Resistance in Str	93.855	5R01AI130056-03	241,799	87,359
Mechanisms and Circumvention of Daptomycin Resistance in Str	93.855	5R01AI130056-05	375,214	-
Modeling penicillin binding protein inhibition to optimize				
Pass Through: University of Wisconsin - Madison	93.855	5R01AI132627-05	158,057	-
The role of purine biosynthesis and stringent response in pe	93.855	5R01AI139244-02	263,277	-
The role of purine biosynthesis and stringent response in pe	93.855	5R01AI139244-04	150,619	-
Cross-Kingdom Vaccine Targeting Healthcare-Associated Priors	93.855	5R01AI141202-02	565,205	-
Cross-Kingdom Vaccine Targeting Healthcare-Associated Priors	93.855	5R01AI141202-04	565,544	-
Host Pathogen Interactions during Mucormycosis				
Pass Through: University of Maryland	93.855	5R01AI141360	239,352	-
Targeting the regulatory mechanism of hyphae to lateral yeas	93.855	5R01AI141794-02	20,883	-
Targeting the regulatory mechanism of hyphae to lateral yeas	93.855	5R01AI141794-03	380,230	-

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
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<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Aneuploidy and Acquired Antifungal Drug Resistance in Candid				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF ALLERGY & INFECTIOUS DISEASE (Continued)</u>				
Pass Through: University of Minnesota	93.855	5R01AI143689-02	24,749	-
Aneuploidy and Acquired Antifungal Drug Resistance in Candid				
Pass Through: University of Minnesota	93.855	5R01AI143689-03	46,079	-
Bicarbonate-Mediated Enhancement of Beta-Lactam-MRSA Killing	93.855	5R01AI146078-03	389,602	35,309
Bicarbonate-Mediated Enhancement of Beta-Lactam-MRSA Killing	93.855	5R01AI146078-04	10,778	-
Endothelial invasion by yeast-phase Candida	93.855	5R01AI124566-05	157,182	66,235
Arf6 Inhibition as Novel Treatment for Multidrug Resistance	93.855	5R33AI119339-05	147,962	-
Development of a Designer Proline-rich antimicrobial peptide				
Pass Through: Arrevus	93.855	5R42AI136065-03	91,022	-
Short and long term outcomes of Doxycycline versus TMP-SMX	93.855	5U01AI116400-02	11,308	10,286
Short and long term outcomes of Doxycycline versus TMP-SMX f	93.855	5U01AI116400-04	694,799	90,043
Systems Immunobiology of Antibiotic-Persistent MRSA Infect	93.855	5U01AI124319-05	283,692	100,169
Antibacterial Resistance Leadership Group (ARLG)				
Pass Through: Duke Clinical Research Institute	93.855	5UM1AI104681-10	38,887	-
Antibacterial Resistance Leadership Group (ARLG)				
Pass Through: Duke Clinical Research Institute	93.855	5UM1AI104681-10	13,093	-
Efficacy of Belimumab and Rituximab Compared to Rituximab Al				
Pass Through: Benaroya Research Institute at Virginia Mason	93.855	5UM1AI109565-08	64,330	-
A Phase 2b, Multicenter, Protocol 20-0002-Trial # ARLG2 DOT2				
Pass Through: Duke Clinical Research Institute	93.855	5UM1AI104681-09	3,055	-
Functional Analysis of Natural Variation in the Pathogen Can				
Pass Through: University of Georgia	93.855	7R01AI146103-02	219,002	-
Carbon Regulation of Virulence in Oropharyngeal Candidiasis				
Pass Through: University of Georgia	93.855	7R21AI144878-02	77,465	-
A Pilot Study for Collection of Anti-SARS-CoV-2 Immune Plasm				
Pass Through: Leidos Biomedical Research, Inc.	93.20MTA	20MTA-DC0004	349	-
Patient Care ACTIV-3, ...Investigational Therapeutics for Ho				
Pass Through: Institute for Clinical Research, Inc.	93.855	I UM1-AI068641	86,052	-
Admin/start up ACTIV-3...Investigational Therapeutics for Ho				
Pass Through: Institute for Clinical Research, Inc.	93.855	I UM1-AI068641	6,035	-
ACTG - PIF-110207				
Pass Through: Brigham and Women's Hospital	93.855	UM1A1068636	13,963	-
ACTG - Protocol Implementation Funds (PIF)				
Pass Through: University of California, Los Angeles	93.855	UM1A1068636	162,258	-
Start-up Funds-CoVPN-AstraZeneca Vaccine Study				
Pass Through: University of California, Los Angeles	93.855	UM1AI068636	49,090	-
Start-up Funds ACTIV-2-A5401-Adaptive Platform Treatment				

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Pass Through: University of California, Los Angeles	93.855	UM1AI068636	164,529	-
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF ALLERGY & INFECTIOUS DISEASE (Continued)</u>				
ACTIV-2-A5401-Per Patient Reimbursement-Adaptive Platform Tr				
Pass Through: University of California, Los Angeles	93.855	UM1AI068636	101,316	-
Unraveling transcriptomic and functional changes to immune s	93.855	1R21AI159221-01A1	33,030	-
Quantitative genetic approaches to Candida albicans pathogen				
Pass Through: Ohio State University Medical Center	93.855	R01AI1148788	85,883	-
Quantitative genetic approaches to Candida albicans pathogen				
Pass Through: Ohio State University Medical Center	93.855	R01AI1148788	18,593	-
A Genomics Based Investigation of the Determinants of Polymi				
Pass Through: University of Maryland	93.855	U19AI110820	150,000	-
Multi-center, Randomized, Protocol # IRB Pro00106280				
Pass Through: Duke Clinical Research Institute	93.855	2UM1AI04681-08	6,425	-
			8,787,811	393,995
<u>NATIONAL CANCER INSTITUTE</u>				
Master Agreement - Non-Industry CHOP				
Pass Through: Children's Hospital of Philadelphia	93.395	U10CA180886	689	-
Life and Longevity After Cancer (LILAC): The Women's Health				
Pass Through: Fred Hutchinson Cancer Research Center	93.393	5 U01CA173642-07	39,214	-
			39,903	-
<u>NATIONAL INSTITUTE OF CHILD HEALTH & HUMAN DEVELOPMENT</u>				
Maternal Obesity Programs Offspring Hypothalamic Neurogenesi	93.865	1R01HD099813-01A1	39,211	39,707
Mechanism of Long Non-coding RNAs Action in leiomyoma	93.865	1R01HD100529-01A1	9,032	-
Mechanism of Long Non-coding RNAs Action in leiomyoma	93.865	1R01HD100529-01A1	2,335	-
Function of Long Non-Coding RNA MD1 in Leiomyoma Pathogenesis	93.865	1R03HD101852-01A1	62,268	-
Prevention of obesity in Infants of overweight and obese women	93.865	1R21HD104028-01	23,028	2,228
Disparities in the effect of state policy for the newborn sc	93.865	1R21HD105170-01A1	132,736	-
A Novel Two-in-One Approach to Administer Surfactant and Pro				
Pass Through: BB Medical Surgical, Inc.	93.866	1R41HD097969-01	3,161	-
Novel OCT Technology for Detection of Occult Sperm in the Te				
Pass Through: Unasper, Inc.	93.865	1R41HD102275-01	16,566	-
Examining the Androgenic and Progestational Effects of Novel	93.865	3F32HD097932-02S1	33,068	-
Diversity Supplement: Mechanism of Long Non-coding RNAs Acti	93.865	3R01HD100529-02S1	86,604	-
Examining the Androgenic and Progestational Effects of Novel	93.865	5F32HD097932-02	19,841	-
PROJ 1:Diet and Exercise Modulate the Sperm Epigenome in Men	93.865	5P50HD098593-03	75,417	-
PROJ 2:Basic Research- Mechanism Underlying the Transduction	93.865	5P50HD098593-03	39,537	-

**LUNDQUIST INSTITUTE FOR BIOMEDICAL INNOVATION
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**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
ADMIN CORE	93.865	5P50HD098593-03	29,710	-
ANIMAL CORE	93.865	5P50HD098593-03	105,739	-
OUTR/EDUCATION CORE	93.865	5P50HD098593-03	24,189	-
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF CHILD HEALTH & HUMAN DEVELOPMENT (Continued)</u>				
EPIGENOMICS CORE	93.865	5P50HD098593-03	11,260	-
Maternal Obesity Programs Offspring Hypothalamic Neurogenesi	93.865	5R01HD099813-02	516,421	294,799
Maternal Obesity Programs Offspring Hypothalamic Neurogenesi	93.865	5R01HD099813-03	12,952	-
Epitranscriptomic regulation of spermatogenesis and male fer	93.865	5R01HD099924-02	331,852	-
Mechanism of Long Non-coding RNAs Action in leiomyoma	93.865	5R01HD100529-02	164,565	-
Mechanism of Long Non-coding RNAs Action in leiomyoma	93.865	5R01HD100529-02	288,270	-
Function of Long Non-Coding RNA MD1 in Leiomyoma Pathogenesis	93.865	5R03HD101852-02	24,876	-
Development of Immunotherapeutic Strategies to Overcome Neon	93.865	5R21HD097480-02	1,844	-
PsySTART Rapid Triage of PTSD Risk in Pediatric Injury Patie	93.865	5R21HD097680-02	117,926	82,626
Prevention of obesity in Infants of overweight and obese women	93.865	5R21HD104028-02	2,305	-
The Value of Pediatric Readiness in the Emergency Care of In Pass Through: Oregon Health & Science University	93.865	5R24HD085927-04	1,937	-
PROJECT 2	93.865	7P50HD098593-02	176,966	30,000
ADMIN CORE	93.865	7P50HD098593-02	54,613	-
ANIMAL CORE	93.865	7P50HD098593-02	189,056	-
EDUCATION CORE	93.865	7P50HD098593-02	45,237	-
EPIGENOMICS CORE	93.865	7P50HD098593-02	24,866	-
PROJECT 3	93.865	7P50HD098593-02	268,950	255,425
PROJECT 1 - (FORMERLY SWERDLOFF'S Sub 031568-01-00)	93.865	7P50HD098593-02	321,129	-
The Immunomodulatory Response to Exercise in Chronic Obstruc Pass Through: University of Alabama Birmingham	93.865	P2CHD086851	8,702	-
Sperm tsRNAs and their RNA modifications in diet-induced epi Pass Through: University of California, Riverside	93.865	R01HD092431	36,874	-
Core Function Activities - Task Order No. Pass Through: National Institute of Child Health & Human Development NICH	93.310	75N94020D00007	10,694	-
Clinical and Genetic Analysis of Retinopathy of Prematurity Pass Through: Oregon Health & Science University	93.867	8R01HD107493-10	56,954	-
Clinical and Genetic Analysis of Retinopathy of Prematurity Pass Through: Oregon Health & Science University	93.867	R01HD107493	6,346	-
			3,377,037	704,785
<u>NATIONAL INSTITUTE OF DIABETES, DIGESTIVE & KIDNEY DISEASE</u>				
Integrative Approaches to Identifying Function and Clinical Pass Through: University of North Carolina at Chapel Hill	93.847	1R01DK122503-01A1	3,757	-
Primary Outcomes in Glomerulonephritis Study (PROGRESS)				

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Pass Through: University of Pennsylvania TOPMed Omics of Type 2 Diabetes and Quantitative Traits	93.847	2U01DK100846-07	25,959	-
Pass Through: Massachusetts General Hospital	93.847	2UM1DK078616-13	44,529	-
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF DIABETES, DIGESTIVE & KIDNEY DISEASE (Continued)</u>				
Diabetes Research Center				
Pass Through: University of California, San Diego UCSD	93.847	3P30DK063491	131,250	-
Trajectories of Adherence to Cardiovascular Medications in P A Randomized Controlled Trial of Thyroid Hormone Supplementa	93.847	5K23DK103972-05	55,269	-
Pass Through: University of California, Irvine UCI	93.847	5R01 DK122767-03	54,677	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa Pass Through: University of California, Irvine UCI	93.847	5R01 DK122767-03	14,039	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa Pass Through: University of California, Irvine UCI	93.847	5R01 DK122767-03	25,889	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa Pass Through: University of California, Irvine UCI	93.847	5R01 DK122767-03	2,808	-
Impact of the Gut Microbiome and Diet on Change in Insulin H Pass Through: Cedars - Sinai Medical Center	93.847	5R01DK109588-05	129,620	-
Genetic and Epidemiological Predictors of Glucose Homeostasi Pass Through: Wake Forest University	93.847	5R01DK118062-03	68,150	-
Genetic and Epidemiological Predictors of Glucose Homeostasi Pass Through: Wake Forest University	93.847	5R01DK118062-04	35,654	-
Integrative Approaches to Identifying Function and Clinical Pass Through: University of North Carolina at Chapel Hill	93.847	5R01DK122503-02	29,764	-
A Randomized Controlled Trial of Thyroid Hormone Supplementa Pass Through: University of California, Irvine UCI	93.847	DK122767	925	-
Nephrotic Syndrome Rare Disease Clinical Research Network II Pass Through: University of Michigan	93.847	U54DK083912	8,157	-
KUH-ART: Advanced Research Training in Kidney disease, Urolo Pass Through: University of California, Los Angeles	93.847	1U2CDK129496-01	20,074	-
Metabolomic Predictors of Insulin Resistance and Diabetes Pass Through: Beth Israel Deaconess Medical Center, Inc.	93.847	2R01DK081572-11A1	47,346	-
TOPMed Omics of Type 2 Diabetes and Quantitative Traits Pass Through: Massachusetts General Hospital	93.847	5UM1DK078616-14	41,703	-
			<u>739,570</u>	<u>-</u>
<u>NATIONAL INSTITUTE OF DENTAL & CRANOFACIAL RESEARCH</u>				
C. albicans invasion and proliferation during oral infection	93.121	5R01DE026600-04	54	-
C. albicans invasion and proliferation during oral infection	93.121	5R01DE026600-04	548,215	229,676
C. albicans invasion and proliferation during oral infection	93.121	5R01DE026600-04	11,539	11,539

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Novel Candida albicans host receptors during infection...	93.121	4R00DE026856-03	2,329	-
Novel Candida albicans host receptors during infection	93.121	4R00DE026856-05	185,053	-
			<u>747,190</u>	<u>241,215</u>
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF ALCOHOL, ABUSE & ALCOHOLISM</u>				
SCAHC Clinical Trial				
Pass Through: Southern California Institute for Research and Education	93.273	U01AA021886	41,373	-
SCAHC Clinical Trial				
Pass Through: Southern California Institute for Research and Education	93.273	U01AA021886	14,972	-
Trans-omic Analysis of Alcohol Consumption and Its Relation				
Pass Through: Boston University	93.273	1R01AA028263-01A1	6,089	-
Trans-omic Analysis of Alcohol Consumption and Its Relation				
Pass Through: Boston University	93.273	5R01AA028263-02	7,846	-
			<u>70,280</u>	<u>-</u>
<u>NATIONAL HEART, LUNG & BLOOD INSTITUTE</u>				
COVID-C3PO: Clinical Trial of COVID-19 Convalescent Plasma i				
Pass Through: University of Michigan	93.837	10T2HL156812-01	101,271	3,400
Coronary Artery Calcium, Aortic Calcification and Density in	93.837	1R01HL146666-01A1	5,973	-
Coronary Artery Calcium, Aortic Calcification and Density in	93.837	1R01HL146666-01A1	614,325	18,558
Multicenter REgistry of COVID-19 in EmeRgency care (Project				
Pass Through: Indiana University	93.837	1R01HL148247-01A1	3,650	-
Coronary Artery Calcium, Aortic Calcification and Density in	93.837	1R01HL152692-01A1	258,067	-
Coronary Artery Calcium, Aortic Calcification and Density in	93.837	1R01HL152692-01A1	60,674	-
Type I IFN signaling during lung development in Down Syndrom	93.837	1R01HL155104-01A1	372,165	107,444
Mitochondrial DNA, Nuclear DNA Methylation, and Cardiometabo				
Pass Through: Boston University	93.837	1R01HL155569-01A1	61,665	-
Modeling Aortic Valve Calcification and Risk of Aortic Valve				
Pass Through: Johns Hopkins University	93.837	1R21HL150458-01A1	14,133	-
Advancing Small Molecule Read Through Compounds to Prevent a				
Pass Through: Advent Therapeutics, Inc.	93.837	1R41HL152915-01	45,420	-
Aerosolized Vitamin A impact on lung maturation & hypertoxic				
Pass Through: Advent Therapeutics, Inc.	93.837	2R44HL142353-02A1	49,593	-
Newborn Screening for Critical Congenital Heart Disease in U	93.837	5K01HL141697-03	(162)	-
Newborn Screening for Critical Congenital Heart Disease in U	93.837	5K01HL141697-03	127,329	-
CHARGE Consortium: Gene Discovery for CVD and Aging Phenoty				
Pass Through: University of Washington	93.837	5R01HL105756-10	18,108	-
Coronary Artery Calcium, Aortic Calcification and Density in	93.837	1R01HL146666-03	160,319	-

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Whole-genome sequencing analysis of coronary atherosclerosis Pass Through: University of Texas Health Science Center at Houston	93.837	5R01HL146860-02	32,855	-
Whole-genome sequencing analysis of coronary atherosclerosis Pass Through: University of Texas Health Science Center at Houston	93.837	5R01HL146860-03	13,676	-
TOPMed Omics of Cardiovascular Disease in Diabetes Pass Through: Massachusetts General Hospital	93.837	5R01HL151855-02	170,081	-
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL HEART, LUNG & BLOOD INSTITUTE (Continued)</u>				
Risk prediction of breast cancer treatment-related cardiotox Pass Through: Kaiser Permanente Research Institute	93.837	5R01HL154319-02	18,035	-
Aerosolized Vitamin A impact on lung maturation & hypertoxic Pass Through: Advent Therapeutics, Inc.	93.837	5R44HL142353-03	100,872	-
CORE: Los Angeles CRS for the MACS/WHS Combined Cohort Study Pass Through: University of California, Los Angeles	93.837	5U01HL146333-03	405,219	-
SUPP1: Los Angeles CRS for the MACS/WHS Combined Cohort Study Pass Through: University of California, Los Angeles	93.837	5U01HL146333-03	191,229	-
SUPP2: Los Angeles CRS for the MACS/WHS Combined Cohort Study Pass Through: University of California, Los Angeles	93.837	5U01HL146333-03	24,497	-
ETOH - MWCC Pass Through: University of California, Los Angeles	93.837	5U01HL146333-03	12,979	-
CORE: Los Angeles CRS for the MACS/WHS Combined Cohort Study Pass Through: University of California, Los Angeles	93.837	5U01HL146333-04	127,042	-
SUPP1: Los Angeles CRS for the MACS/WHS Combined Cohort Study Pass Through: University of California, Los Angeles	93.837	5U01HL146333-04	35,535	-
SUPP2: Los Angeles CRS for the MACS/WHS Combined Cohort Study Pass Through: University of California, Los Angeles	93.837	5U01HL146333-04	5,045	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study Pass Through: Boston University	93.837	5U01HL146382-03	469,537	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study Pass Through: Boston University	93.837	5U01HL146382-03	126,676	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study Pass Through: Boston University	93.837	5U01HL146382-03	47,357	-
RURAL: Risk Underlying Rural Areas Longitudinal Cohort Study Pass Through: Boston University	93.837	5U01HL146382-04	16,126	-
1/2 ICECAP: Influence of Cooling duration on Efficacy in Car Pass Through: University of Michigan	93.837	5UH3HL145269-03	43,128	-
The Role of PRoteomics, gEnetics, and Directed Imaging using Pass Through: University of California, Irvine UCI	93.837	HL128801	9,381	-
REPRIEVE (A5332) Ref # 113122 or (224978) Pass Through: Massachusetts General Hospital	93.837	HL23336	23,281	-

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Apolipoprotein-C Proteoforms in Dyslipidemia and Cardiovascu Pass Through: Arizona State University	93.837	R01 HL138969	34,865	-
Quantifying Cardiovascular Calcification at Very Old Age for Pass Through: Johns Hopkins University	93.837	R01HL136592	94,286	-
Hispanic Latino Lipid Consortium Pass Through: University of North Carolina at Chapel Hill	93.837	R01HL142302	27,823	-
A Multi-Ancestry Study of Gene-Lifestyle Interactions and Mu				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL HEART, LUNG & BLOOD INSTITUTE (Continued)</u>				
Pass Through: Washington University in St. Louis	93.837	R01HL15699	29,812	-
A Multi-Ancestry Study of Gene-Lifestyle Interactions and Mu Pass Through: Washington University in St. Louis	93.837	R01HL15699	8,293	-
E-Cigarette Vaping during Pregnancy and Lactation, Germ Cell COPD cachexia: deciphering the impact of antioxidants, iron Pass Through: University of Alabama Birmingham	93.838	1R01HL151769-01	50,407	50,407
Lipid and Protein Effects on Monolayer Stability Pass Through: University of Minnesota	93.838	1R01HL153460-01A1	117,512	-
(1 of 2) Genetic Epidemiology of COPD Pass Through: National Jewish Health	93.838	2R01HL051177-26	63,324	-
Combined Cardiopulmonary Failure in COPD: SPIROMICS HF Pass Through: Columbia University	93.838	2U01HL089897	238,370	-
Developmental Nicotine Exposure & Transgenerationally Altere Inflammatory and Dysregulated Repair Responses to Inhaled Ni Pass Through: University of Rochester	93.838	5R01HL093081-10	13,530	-
Mechanisms controlling early human lung development	93.838	5R01HL127237-04	6,022	-
Mechanisms controlling early human lung development	93.838	5R01HL135613-05	28,198	-
Mechanisms controlling early human lung development	93.838	5R01HL141856-05	526,332	12,272
Mechanisms controlling early human lung development	93.838	5R01HL141856-06	38,176	-
Determinants of 5 Year Progression of Muscle Dysfunction and	93.838	5R01HL151452-02	403,570	233,673
Determinants of 5 Year Progression of Muscle Dysfunction and	93.838	5R01HL151452-03	114,893	39,672
E-Cigarette Vaping during Pregnancy and Lactation, Germ Cell COPD cachexia: deciphering the impact of antioxidants, iron Pass Through: University of Alabama Birmingham	93.838	1R01HL151769-02	416,518	166,420
Mechanisms controlling early human lung development	93.838	5R01HL153460-02	6,965	-
Mechanisms controlling early human lung development	93.838	7R01HL141856-04	32,831	18,732
Improving Outcomes for Patients with SDB and Insufficient SI Pass Through: Wayne State University	93.233	1R01HL146059	1,620	-
Mentorship in the Endocrinology of Sleep	93.233	5K24HL138632-03	63,142	-
Mentorship in the Endocrinology of Sleep	93.233	5K24HL138632-05	12,623	-
Improving Outcomes for Patients with SDB and Insufficient SI Pass Through: Wayne State University	93.233	1R01HL146059	17,823	-
Network Management Core (NEMO) *NIH funded* (RETHINC) Pass Through: COPD Foundation, Inc.	93.866	5U01HL128954-04	14,569	-

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Bridging Anticoagulation In Patients				
Pass Through: Duke Clinical Research Institute	93.839	U01 HL087229	98	-
ACTIV-4a: Antithrombotic Strategies in Hospit PO# M210441683				
Pass Through: New York University School of Medicine	93.0T2HL156812	0T2HL156812	42,634	-
A multicenter adaptive randomized placebo-controlled platfor				
Pass Through: Parexel International Corp.	93.ACTIV-4b	ACTIV-4b	13,000	-
			<u>6,182,317</u>	<u>650,578</u>
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE OF NEUROLOGICAL DISORDERS & STROKE</u>				
Dysregulation of p97/VCP disease mutants in IBM and FTLD-U N				
Pass Through: California Institute of Technology	93.853	5R01NS102279-05	31,105	-
BRAIN (Biomimetic Regenerative Angiogenic Immunomodulating N	93.853	1R01NS121150-01A1	51,772	-
Optimizing Small Molecule Read-Through Compounds for Treatin	93.853	1R61NS119708-01A1	29,545	-
Network of Excellence in Neuroscience Clinical Trials (Neuro				
Pass Through: University of Iowa	93.853	5U01NS077352-11	26,800	-
Network of Excellence in Neuroscience Clinical Trials (Neuro				
Pass Through: University of California, Los Angeles	93.853	U24NS100685	40,067	-
Implementation and Evaluation of a Video-based Prospective F				
Pass Through: RAND Corporation	93.226	R18HS026168	76,552	-
			<u>255,841</u>	-
<u>NATIONAL INSTITUTE ON AGING</u>				
Mitochondrial DNA Copy Number and Sequence Variation in Rela				
Pass Through: Boston University	93.866	5R01AG059727-04	75,144	28,319
Pitavastatin to Reduce Physical Function Impairment and Frai				
Pass Through: University of California, Los Angeles	93.1R01AG054366-03	1R01AG054366-03	4,151	-
Fibrinogen coated albumin spheres to accelerate bone healing				
Pass Through: Fibroplate, Inc.	93.866	1R43AG072919-01A1	232	-
			<u>79,527</u>	<u>28,319</u>
<u>NATIONAL CENTER FOR ADVANCING TRANSLATIONAL SCIENCES</u>				
Mechanisms of Macrophage Memory in Immunity to Staphylococcu				
Pass Through: University of California, Los Angeles CTSI	93.350	5KL2TR001882-05	131,636	-
Treating Ataxia Telangiectasia with Small Molecule Readthrou				
Pass Through: University of California, Los Angeles CTSI	93.350	5KL2TR001882-05	16,878	-
Treating Ataxia Telangiectasia with Small Molecule Readthrou				
Pass Through: University of California, Los Angeles CTSI	93.350	5KL2TR001882-05	119,925	-
Care Options for In-Network Empanelment Confirmation and Tra				
Pass Through: University of California, Los Angeles CTSI	93.350	UL1TR001881	25,896	-
Dementia Navigators for DHS				

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Pass Through: University of California, Los Angeles CTSI Neuro-immune regulation of asthmatic airway hyperresponsiveness	93.350	UL1TR001881	70,773	18,054
Pass Through: University of California, Los Angeles CTSI Clinical Translation Science Institute-Administrative Core	93.350	UL1TR001881	50,368	-
Pass Through: University of California, Los Angeles CTSI Clinical Translational Science Institute-Informatics Core	93.350	ULI RR033176	136,871	-
Pass Through: University of California, Los Angeles CTSI Clinical Translational Science Ins-Community & Collaboration	93.350	ULI RR033176	175,876	-
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	81,580	-
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL CENTER FOR ADVANCING TRANSLATIONAL SCIENCES (Continued)</u>				
CTSI-Translational Endeavors:Workforce Development				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	30,005	-
CTSI-Translational Endeavors:Pilot Translation & Clinical				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	23,698	-
CTSI-Research Methods:BioStats Epidemiology (BERD)				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	75,940	-
CTSI-Research Methods:Regulatory Knowledge & Support (RKS)				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	31,594	-
CTSI- Hub Research Capacity - Special Populations				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	15,073	-
CTSI-Hub Research Capacity: Clinical Interactions (PCI)				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	79,451	-
CTSI-Network Capacity (LTIC)				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	47,720	-
CTSI - Network Capacity (LRIC)				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	22,873	-
CTSI- Optical - Precision Health				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	14,005	-
CTSI - Optical - Population Health				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	8,374	-
CTSI- COVID-19-Amend 1				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	97,382	-
Coordinator Support for Precision Health Focused Collaborati				
Pass Through: University of California, Los Angeles CTSI	93.350	ULI RR033176	54,438	-
			1,310,356	18,054
<u>DHHS-HEALTH RESOURCES & SERVICES ADMINISTRATION</u>				
Federal Model AHEC Point of Service Maintenance and Enhancem				
Pass Through: University of California, San Francisco UCSF	93.107	U77HP23071	34,718	-

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Federal Model AHEC Point of Service Maintenance and Enhancem Pass Through: University of California, San Francisco	93.107	U77HP23071	84,152	-
			<u>118,870</u>	<u>-</u>
<u>NIH OFFICE OF THE DIRECTOR</u>				
Environmental Influences on Neurodevelopmental Outcome in In Pass Through: Women & Infants Hospital of Rhode Island	93.310	5UH3OD023347-05	487,623	-
Environmental Influences on Neurodevelopmental Outcome in In Pass Through: Women & Infants Hospital of Rhode Island	93.310	5UH3OD023347-05	202,620	-
Environmental Influences on Neurodevelopmental Outcome -PTS				
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NIH OFFICE OF THE DIRECTOR (Continued)</u>				
Pass Through: Women & Infants Hospital of Rhode Island	93.310	5UH3OD023347-05	19,572	-
			<u>709,815</u>	<u>-</u>
<u>NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES</u>				
Signal sensing, hyphal development and pathogenesis of Candi Pass Through: University of California, Irvine UCI	93.859	R01GM117111	6,783	-
BlueBox: A Complete Code Blue Data Recorder, Phase II Pass Through: NeoVative	93.859	2R42GM113463-02	140,270	-
RHEA Modeling the Environment for Microbes (RHEA-MODE) Research Foundation of CUNY	93.859	5R01GM127512-02	7,204	-
Novel Statistical Inference for Biomedical Big Data Pass Through: University of Washington	93.859	R01GM133848	5,608	-
Novel Statistical Inference for Biomedical Big Data Pass Through: University of Washington	93.859	1R01GM133848-01A1	26,666	-
			<u>186,531</u>	<u>-</u>
<u>NIH SMALL BUSINESS INNOVATION RESEARCH</u>				
Lysosomal Disease Network Pass Through: University of Minnesota	93.853	2U54NS065768-11	(569)	-
Biopsy Optical Sensor for In Situ Tissue Analysis Phase II Pass Through: Intelligent Optical Systems, Inc.	93.HHSN261201600029C	HHSN261201600029C	38,678	-
TO 2 /DMAU-SEDDS Study	93.838	HHSN27500002	196,614	-
TO 2/ DMAU-SEDDS Hormone Measurement	93.838	HHSN27500002	139,330	-
TO 7/CCN-017 Nestorone Gel and Testosterone Gel	93.838	HHSN27500007	1,946,279	1,446,235
LAB	93.865	HHSN27500007	336,785	-
A Phase 3, randomized, double-blind, active controlled study Pass Through: Syneos Health, LLC	93.838	HHSO100201700014C	12,285	-
Therapeutic Testing in Murine Models of Fungal Infectious				

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Pass Through: The University Of Texas Health Science Center Therapeutics Testing in Murine Models of Fungal Infections (93.838	HHSN2722017000039	45,024	-
Pass Through: The University Of Texas Health Science Center At San Antonio	93.HHSN27220170000391	HHSN2722017000039	<u>82,561</u>	-
			<u>2,796,987</u>	<u>1,446,235</u>
<u>NATIONAL CENTER FOR COMPLEMENTARY AND INTEGRATIVE HEALTH</u>				
Unravelling lung interoception and its functional consequenc				
Pass Through: Loma Linda University Health	93.213	R01AT011691	<u>119,556</u>	-
			<u>119,556</u>	-
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>NATIONAL INSTITUTE ON MINORITY HEALTH AND HEALTH DISPARITIES</u>				
Accelerating Excellence in Translational Science AXIS (Pilot				
Pass Through: Charles R. Drew University of Medicine and Science	93.307	5U54MD007598-14	1,641	-
Accelerating Excellence in Translational Science (AXIS)				
Pass Through: Charles R. Drew University of Medicine and Science	93.307	2U54MD007598-13	<u>105,008</u>	-
			<u>106,649</u>	-
<u>NATIONAL INSTITUTE OF ARTHRITIS AND MUSCULOSKELETAL AND SKIN DISEASES</u>				
Autosomal Dominant Osteopetrosis: A Natural History Study (N				
Pass Through: Indiana University	93.846	5R01AR077869-02	<u>20,077</u>	-
			<u>20,077</u>	-
<u>U.S. FOOD AND DRUG ADMINISTRATION</u>				
Ph 2 Multicenter Study of Seliciclib for Cushing Disease IND				
Pass Through: Cedars - Sinai Medical Center	93.103	5R01FD006106-02	<u>2,757</u>	-
			<u>2,757</u>	-
<u>DEPARTMENT OF HEALTH AND HUMAN SERVICES</u>				
Contraceptive Clinical Trials Network (CCTN) Male Sites	93.310	75N94020D00007	<u>32,081</u>	-
			<u>32,081</u>	-
<u>HEALTH RESOURCES AND SERVICES ADMINISTRATION</u>				
Emergency Medical Services for Children Innovation and Improvement				
Pass Through: The University of Texas at Austin	93.127	1U07MC37471-01-00	20,324	8,107
Emergency Medical Services for Children Innovation and Improvement				
Pass Through: The University of Texas at Austin	93.127	1U07MC37471-01-00	138,256	10,247
Center for Pediatric Everyday Readiness - Regional Pediatric				
Pass Through: University Hospitals Cleveland Medical Center	93.110	1 U11MC43532-01-00	<u>137,126</u>	-

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
			<u>295,706</u>	<u>18,354</u>
<u>CENTERS FOR DISEASE CONTROL AND PREVENTION</u>				
PsySTART-RP Rapid Triage and Linkage for Emergency Department Pass Through: Centers for Disease Control	93.75D30120	75D30120C09086	<u>175,169</u>	<u>157,602</u>
			<u>175,169</u>	<u>157,602</u>
<u>SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION</u>				
After Floods & Fires - Post Disaster Stepped Care for High-R Pass Through: Sonoma County Office of Education	93.982	H79FG000178	<u>36,143</u>	<u>-</u>
			<u>36,143</u>	<u>-</u>
U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES (Continued)				
<u>U.S. NATIONAL LIBRARY OF MEDICINE</u>				
Comparing Outcomes of Drugs and Appendectomy (CODA) Pass Through: University of Washington	93.PCS-1409	PCS-1409-24099	<u>195</u>	<u>-</u>
			<u>195</u>	<u>-</u>
<u>NATIONAL INSTITUTE ON DRUG ABUSE</u>				
Longitudinal evaluation of the impact of the COVID-19 pandem Pass Through: Cedars - Sinai Medical Center	93.279	1U01DA055366-01	<u>60,222</u>	<u>-</u>
			<u>60,222</u>	<u>-</u>
<u>NATIONAL HUMAN GENOME RESEARCH INSTITUTE</u>				
Development of polygenic scores for diabetes and complicatio Pass Through: Broad Institute	93.172	U01HG011723	5,564	<u>-</u>
Development of polygenic scores for diabetes and complicatio Pass Through: Broad Institute	93.172	1U01HG011723-01	<u>24,939</u>	<u>-</u>
			<u>30,503</u>	<u>-</u>
<u>NATIONAL INSTITUTE OF ENVIROMENTAL HEALTH SCIENCES</u>				
US DOHaD Society: The 5th Annual Meeting 2020	93.113	1R13ES032646-01	<u>12,999</u>	<u>-</u>
			<u>12,999</u>	<u>-</u>
<u>NATIONAL INSTITUTE OF BIOMEDICAL IMAGING AND BIOENGINEERING</u>				
Single-Frame X-ray Tomosynthesis Pass Through: Mayo Clinic	93.286	7R21EB026780-03	<u>22,833</u>	<u>-</u>
			<u>22,833</u>	<u>-</u>
U.S. DEPARTMENT OF EDUCATION				
School Emergency Response to Violence (Project SERV)				

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

**SCHEDULE OF EXPENDITURES OF FEDERAL AWARDS
FOR THE YEAR ENDED JUNE 30, 2022**

<u>Federal Grantor/Pass-Through Grantor</u>	<u>Assistance Listing</u>	<u>Agency or Pass-Through Number</u>	<u>Federal Expenditures</u>	<u>SubContract Expenditures</u>
RESEARCH AND DEVELOPMENT CLUSTER				
Pass Through: Sonoma County Office of Education	81.184S	W81XWH-15-1-0705	59,739	-
			<u>59,739</u>	<u>-</u>
U.S. DEPARTMENT OF DEFENSE				
Beta-Blockers for the Prevention of Acute Exacerbations of C Pass Through: University of Alabama Birmingham	12.W81XWH-15-1-0705	W81XWH-15-1-0705	428	-
An Observational Study of Beta-Blocker Use in Patients with Pass Through: University of Alabama Birmingham	12.420	W81XWH-15-1-0705	5,205	-
IND-Enabling Development of CF-296, a Lysin for the Treatmen Pass Through: ContraFect Corporation	12.W81XWH1910139	W81XWH1910139	45,537	-
Women's Ischemia Trial to Reduce Events in Non-Obstructive C Pass Through: The University of Florida	12.201701142	201701142	17,834	-
WARRIOR Core Reading Ancillary				
U.S. DEPARTMENT OF DEFENSE (Continued)				
Pass Through: The University of Florida	12.201701142	201701142	(6,759)	-
IND-Enablement of Kinocidin γ -RP-1 for MDR Gram-Negative Inf	12.420	W81XWH2010133	1,229,969	-
A New Treatment for Heritable Pulmonary Artery Hypertension	12.420	W81XWH2010181	105,090	-
Novel determinants of PD-L1 protein trafficking and stabilit	12.420	W81XWH-20-1-0463	48,857	-
			<u>1,446,161</u>	<u>-</u>
TOTAL RESEARCH AND DEVELOPMENT CLUSTER EXPENDITURES			<u>27,822,825</u>	<u>3,659,137</u>
OTHER PROGRAMS				
<u>US DEPARTMENT OF AGRICULTURE</u>				
WIC Supplemental Nutrition Program	10.557	19-10157	4,746,647	-
WIC BFPC Loving Support Program	10.557	19-10157	183,828	-
WIC Local Vendor Liaison	10.557	19-10157	27,645	-
WIC Farmers' Market Nutrition Program	10.557	19-10157	12,500	-
WIC Supplemental Nutrition Program	10.557	19-10157	10,195,978	-
WIC BFPC Loving Support Program	10.557	19-10157	475,383	-
WIC Local Vendor Liaison	10.557	19-10157	88,327	-
WIC Farmers' Market Nutrition Program	10.557	19-10157	4,095	-
WIC Books for Kids	10.557	19-10157	160,856	-
TOTAL OTHER PROGRAM EXPENDITURES			<u>15,895,259</u>	<u>-</u>
TOTAL FEDERAL EXPENDITURES			<u>\$ 43,718,084</u>	<u>\$ 3,659,137</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, 2022**

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, 2022**

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? – Yes

Significant deficiencies identified? – None reported

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: #10.557 WIC

Dollar threshold used to distinguish between Type A and Type B programs was \$1,311,542.

Auditee qualified as low-risk auditee? – Yes

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

**SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED JUNE 30, 2022**

SECTION II – FINDINGS – FINANCIAL STATEMENT AUDIT

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 any outside individuals. As such, the funds were improperly recognized as a liability and an adjustment was made to appropriately recognized 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.

Effect: Net assets as of June 30, 2021 were increased by approximately \$6,232,000, and liabilities as of June 30, 2021 were reduced by the same amount.

Cause: With the change in revenue recognition criteria, certain contracts were not reviewed for proper recognition in line with GAAP and performance obligations. Additionally, with management turnover, there was uncertainty as to the obligation of the Institute as related to the contributed funds due to lack of available information and documentation.

Recommendation: We recommend management implement more robust review of individual grants and contracts to ensure that revenue is recognized in line with 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 the grants and contracts.

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

**SCHEDULE OF FINDINGS AND QUESTIONED COSTS
FOR THE YEAR ENDED JUNE 30, 2022**

SECTION II – FINDINGS – FINANCIAL STATEMENT AUDIT (Continued)

2022-01 Prior-Period Restatement (Continued)

Management's

Response: Management agrees with the recommendation. Management will review and improve policies and procedures to ensure that revenue is recognized in line with its revenue policies and grant obligations as of the new fiscal year beginning July 1, 2022.

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

None