

**CAYUSE (S2S) NIH REVIEW CHECKLIST***Revised January 27, 2014*

**PI Name:** \_\_\_\_\_  
**Agency/Type:** \_\_\_\_\_  
**Fund Manager** \_\_\_\_\_

**Due Date:** \_\_\_\_\_  
**RFA/PA #:** \_\_\_\_\_

**RFA/PA Special Instructions:**

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- ✓ **Checkmark** = No issues, item completed correctly.  
○ **Circled Item** = Issue. Read checklist item, and/or please see notes.  
– **Dash** = Not Applicable.

**Getting Started**

- **As soon as you are notified of a proposal submission, please send and email to DOM DRA with the following information:**
  - **PI Name, Agency Name, RFA/PA#, Due Date**
- Ensure the correct Validation type is chosen. Generally, it will be “NIH”. If the RFA/PA has non-standard instructions, choose “NIH – Opt Out”. Check the following [website for Opt-Outs](#).
- Under Summary in Cayuse, add the Sponsor Deadline date, e.g. 02-05-2010.
- Cayuse Proposal Title should be formatted at follows:  
Signing Official's Initials, PI Last Name, First Initial, PA/RFA #, then add grant short name.
  - **EXAMPLE:** RGM, Bruin, J., PA-07-070, R01 Heart Study
- Verify that you are using the correct PA/RFA package in Cayuse by checking the Electronic Submission/Proposal Details/Opportunity Number section of the proposal.
- ❖ Professional Profiles will need to be created for each **UCLA** Key Personnel before you start the proposal, unless a profile already exists under the People tab
  - Under the Salary & Fringe Worksheet, enter “12” in the Calendar Months field
  - For non-UCLA Key Personnel, use the Non-UCLA PI #1-10 profile already established. Do NOT set up a Professional Profile for Non-UCLA personnel

**SF424 R&R**

- Field 4a – For Resubmissions & Renewals, must contain the NIH grant #, e.g. HL123546.
  - Field 11 – Title = max 200 characters\*. Use only standard characters; no Greek symbols.  
\* When submitting a Revision application, applicants must use the exact project title displayed in eRA Commons for the awarded application. If the project title of the awarded grant was previously truncated to 81 characters, then only those 81 characters can be used for the Revision application.
  - Field 12 – Project dates are based on [NIH award cycles](#) or RFA/PA:
  - Field 14 – Change the PI Org Name to “**UCLA David Geffen School of Medicine**”.
  - Field 14 – Zip code should be 9-digits, e.g. 90095-1736.
  - Field 15d – Enter 0, if no Program Income. Otherwise, add appropriate amount.
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## Project/Performance Site Locations

- ❑ Change Org. Name for primary site = **UCLA David Geffen School of Medicine/Division Name**.
  - ❑ **Street1** should be physical street address (e.g. 10833 Le Conte Avenue).  
**Street2** should be building and room number. To find a [UCLA street address, see page 2](#)
  - ❑ Be sure to enter a **9-digit Zip/Postal Code** for each Performance Site. If you do not know the 9-digit zip code, you can search for it [here](#).
  - ❑ There should be a Performance Site listed for each subaward, or location where work will be performed, e.g. additional departments and/or laboratories at UCLA other than the PI's.
    - To find the [Congressional District](#), enter the Institution's 9 digit zip, **UCLA = CA-033**
    - To find the [DUNS number](#), search for the Institution's registration in the CCR
  - ❑ Be sure to complete the **Performance Site** section of the **PI's Professional Profile** and check "Active", so that this information is auto-filled for future proposals.
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## Other Project Information

- ❑ Field 1a & 2a – If applicable, both Human & Animal Review Pending question should be marked YES, unless current approval will be active at start date of award.
    - Reminder: Approvals are only good for 1 year.
  - ❑ Field 7 – Abstract is no more than 30 lines (not including Abstract Heading).
  - ❑ Field 8 – Project Narrative has a section heading of "Relevance to Public Health" & is no longer than 3 sentences.
  - ❑ Field 9 – There should be a Pub Med Central ID # (PMCID) for each publication listed as per the [Public Access Policy](#).
  - ❑ Fields 10 & 11 – Separate Equipment into its own PDF (with a heading of "Equipment") and upload into Field 11.
  - ❑ Field 10 – **ALL Resources** now requires a description of how the scientific environment will contribute to the probability of success of the project, unique features of the environment.
  - ❑ Field 10 – **Early Stage Investigators ONLY** – requires a description of the institutional investment in the success of the investigator (e.g. resources, classes, etc.).
  - ❑ If applicable, each subaward and/or additional laboratory has included their own Facilities and Other Resources and Equipment information for items 10 & 11.
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### Senior/Key Person Profile

Profiles

- Change Org Name for all SOM faculty = **UCLA David Geffen School of Medicine.**
  - [List of DGSOM Departments, Institutes & Centers](#)
  - If KP is not in DGSOM, Org Name s/b changed to appropriate School or College, e.g. UCLA School of Public Health, UCLA College of Letters & Science, etc.
- **Prefix , Suffix, Position/Title are included AND match BioSketch.**
- **Street1** should be physical street address (e.g. 10833 Le Conte Avenue). **Street2** should be building and room number. To find a [UCLA street address, see pg 2.](#)
- If NIH, enter the Commons user name into the Credential field of the Profile if available (but required for PI). Check eRA Commons User Name field of the BioSketch.

BioSketches (4 pages max)

- Sections are now reorganized: **(A) Personal Statement, (B) Positions & Honors in chrono order concluding w/ present, (C) Publications, (D) Research Support.**
- Section C should limit the list to **no more than 15 publications**, and list a **Pub Med Central ID # (PMCID)** for each publication listed, as per the [Public Access Policy](#).
- Section D Research Ongoing & Completed section is correct:
  - **Ongoing – all dates are current, NOT expired.**
  - **Completed – section is included & contains grants completed ONLY w/i last 3 years.**
  - Dollar amounts or percent effort/calendar months are NOT included in either section.
  - Include the agency grant # for each Ongoing or Completed award.
  - Pending proposals should NOT be included.
  - **Include both Ongoing and Completed sections even if they are “None”.**

Project Roles for all key personnel are appropriate.

Key Personnel do not have to be entered in alphabetical order. Once all Key Personnel have been entered, hit the blue Sort Personnel button to alphabetize your Key Personnel.

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KEY PERSONNEL

Profile Role

Budget Role

Bud.Jus. Role

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## Research and Related Budget

### Detailed Budget

- ❑ **Sections A & B - Project Role matches Sr./Key Person Role & Budget Justification.**
- ❑ Section A – Salary information is entered in the Base Salary **AND** the Cal. Salary (\$) field.
  - **If you do not enter the salary in both fields, the auto-calculation will not work!**
- ❑ Sections A & B – Benefit rate used is either [UCLA recommended rate](#), OR actual, NOT a mix.
  - Sections A & B – Benefit rate – please enter the rate as a PERCENTAGE (e.g 27%), so that when we click on the benefit rate box, we can easily see what rate you used.
  - Add **+2% to benefit rate per year**. i.e. If Yr. 1 = 27%, Yr. 2 = 29%, etc.
- ❑ Section B – Cal/Acad/Sum. Months – enter the **TOTAL** number of months for all personnel that fit that category. Example, 2 SRAs at 6.0 Cal. Months/each = 12 Calendar Months.
- ❑ **Grad Fees** should **NOT** be included in the benefits in Section B, but rather should be added to Section F8-10, so that the fees can be excluded from the Indirect Cost Base.
- ❑ Section F, Fields 8, 9, or 10 – [TIF charges](#) are included in the Other Direct Cost section.
  - **Remember: effort without salary is not subject to TIF.**
- ❑ Escalation Rate for future years: [NIH Policy allows](#) for a **0% overall escalation** per year unless otherwise specified in the RFA/PA.
  - [UCLA recommends](#) a **5% escalation for both faculty and staff salaries**. Remember though, your overall total cost escalation cannot exceed 0% as per NIH policy.
  - Do **NOT** escalate salaries where the [NIH Salary Cap](#) was used for year 01.
- ❑ Budget Justification:
  - All personnel justified, person months used. All categories justified.
  - Justification includes how future years’ escalation was calculated.
  - Justification includes how benefit rates were calculated.
  - If NIH cap used, state cap was used and that actual TNS is greater than the cap.
  - **Names and categories are in the same order as they appear in the detailed budget.**
  - **All subtotaled dollar amounts add up to the totals, AND the total dollar amounts match amounts listed in the detailed budget.**
- ❑ If you override an auto-calc field (indicated with a red star), please explain to DOM DRA what you did and why. Please remember that Cayuse should auto-calc all of your numbers for you. There should be VERY few reasons why you need to over-write an auto-calc field (e.g. effort w/o salary). Please do not over-write an auto-calc field unless you are 100% positive.

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## Modular Budget

- ❑ Section A – Cayuse will only auto-calc your “Direct Cost less Consortium F&A” if you used the Detailed Budget within Cayuse. **Otherwise, you will have to enter the requested module.**
  - ❑ Section B – MTDC base & IDC math calculated correctly. **Cayuse will auto-calc these fields for you.**
  - ❑ Section C.2 – Budget Justifications
    - **Personnel Justification:** All personnel justified, person months used. NO other categories justified (e.g. escalation, benefits, supplies, travel).
    - **Consortium Justification** (if applicable) From the NIH SF424 Guide:
      - List the name of the Subaward institution at the top of the page.
      - Indicate whether the collaborating institution is foreign or domestic.
      - Provide project period for subaward.
      - Provide an estimate of TOTAL COST (direct + F&A) for each year, rounded to the nearest \$1,000.
      - Justify ALL personnel, including level of effort (in person months) and roles on the project. No other categories justified.
    - **Additional Narrative Justification:** Include ONLY if modules are not equal.
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## R&R Subaward(see Cayuse (S2S) NIH Subaward Checklist for detailed instructions)

- ❑ **Detailed Budgets with Subawards**
    - Make sure the Subaward Budget box is checked to include with submission to NIH.
    - Complete all sections in the Subaward (Performance Sites, Key Persons, Budget, Budget Justification), not in the prime proposal. **When you link the Subaward to the prime, all sections of the Subaward will auto-fill into the prime. If they do not auto-fill, de-link the sub, and then re-link it.** If you do this, you may need to re-alphabetize KP in prime proposal.
    - Subaward Budget Justification – list the name of the Subaward Institution at the top of the Budget Justification, e.g. “Budget Justification for University of Michigan”
    - Subaward Budget Justification should include escalation rates for future years, and benefit rates used.
  - ❑ **Modular Budgets with Subawards**
    - Make sure the Subaward Budget box is **NOT** checked. This section will only be used for budget calculation purposes.
  - ❑ UCLA Indirect Cost calculated correctly, e.g. exclude all but the first \$25k EXCEPT for subs to another UC, then total subaward amount is excluded.
  - ❑ Signed OCGA [Subrecipient Commitment Form](#) (OR signed [PHS 398 Face Page](#)) from each Sub has been uploaded to the Documents section **PRIOR** to deadline.
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## Cover Page Supplement

- Section 2 – Confirm with PI if study is a Clinical Trial or not (if human subjects are involved).
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## Research Plan

- Field 1 – if applicable, is limited to 1 page, unless otherwise noted in RFA. Include how edits are marked in Specific Aims/Research Strategy – i.e. brackets, change in font, etc.
  - Field 2 - Specific Aims is limited to 1 page.
  - Field 3 – Research Strategy is now reorganized to: **(3a) Significance, (3b) Innovation, (3c) Approach**, and needs to meet **NEW** page limit requirements found in [NOT-OD-09-149](#).
  - Fields 6-9 – If Human Subjects is marked YES on Other Project Info page, then Items 6-9 completed, unless Exemption #4 is marked, then only need to complete Field 6.
    - Either the Targeted Enrollment Plan has been uploaded as a PDF to section 8, **OR** the Cayuse Targeted Enrollment Plan was used/checked, **NOT** both.
  - Field 10 – If Animal Subjects marked YES on Other Project Info page, then Item 10 completed.
  - [Field 12](#) – **REQUIRED** if more than one PD/PI is named.
  - Field 13 – Consortium/Contractual Arrangements
    - NIH SF424 Guidelines state: Explain the **programmatic (statement of work), fiscal, and administrative** arrangements to be made between the applicant organization and the consortium organization(s). If consortium activities represent a significant portion of the overall project, explain why the applicant organization, rather than the ultimate performer of the activities, should be the grantee.
    - This file should include the following information for each Subaward:
      - Name of Subaward Institution
      - Name of Subaward PI
      - Project period dates for Subaward
      - Total Cost for each year
      - Scope of Work
  - Field 14 – It is recommended that you include a Letter of Support from each subaward PI.
  - Field 15 – Check RFA. Resource Sharing Plan MAY be required.
  - Field 16 – Appendix
    - Use file names for attachments that are descriptive of the content.
    - A summary sheet of all items included in the Appendix is encouraged. Include in the front of first attachment of the Appendix.
    - Complies with NIH Policy [NOT-OD-07-018](#).
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**PHS 398 Checklist**

- Section 5 – New Disclosure Permission Statement – Please check with your PI to determine YES/NO answer.
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**Other Miscellaneous Items**

- Cover Letter – If included, is on official letterhead with PI signature. Make sure proposal title referenced in Cover Letter matches Proposal Title on SF 424 RR.
- **Proposal contains no Errors** (see Error/Warning/Info button at bottom of proposal).
  - If you are submitting to DOM DRA for administrative review only (i.e. awaiting Research Plan sections from PI), it is okay to have Research Plan Errors only.
- No headers/footers on any documents.
- NIH Approved font types (Arial, Helvetica, Palantino Linotype, Georgia), font sizes (11 point or larger), ½ inch margins, black font color have been used.
- Internal Documents – **eDGE Economic Disclosure for ALL UC Key Personnel**, draft EPASS, PI Responsibility (for projects with human subjects), PI Exception (if applicable), Subaward docs, & other required documents have been uploaded to the Documents section of the proposal before submission.
  - If multiple PIs involved, **ALL UC PIs** must have completed internal documents uploaded.
  - EPASS common issues:
    - 3. Proposal Title should match Cayuse Proposal title.
    - 4. Current Sponsor Award/ID # - be sure to fill this out for Resubmissions, Renewals, and Revisions. Add “N/A” for new proposals. Do NOT use FOA.
    - 8. Budget figures should match actual budget.
    - 9. Remarks –add “Submitted via DOM DRA”.

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