# OCGA Action Log - Intake

**Send Action Request to Proposal/Award Intake**

Logging of activity ensures assignment and processing by staff on hand

<table>
<thead>
<tr>
<th><a href="mailto:Proposals@research.ucla.edu">Proposals@research.ucla.edu</a></th>
<th><a href="mailto:Awards@research.ucla.edu">Awards@research.ucla.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal for Review/Submission</td>
<td>Award for Processing</td>
</tr>
<tr>
<td>Progress Report/RPPR</td>
<td>Carryforward Request</td>
</tr>
<tr>
<td>JIT/Pre-Award Request</td>
<td>No-Cost Extension (Requests 1, 2, 3)</td>
</tr>
<tr>
<td>Supplemental Information</td>
<td>Other Prior Approval Requests (Inc. Revised SOW)</td>
</tr>
<tr>
<td>Revised Budget</td>
<td>Relinquishment of Award Request</td>
</tr>
<tr>
<td>PI Change</td>
<td>Closeout Request (Technical, Invention/Patent, Equipment)</td>
</tr>
<tr>
<td>Department Change</td>
<td></td>
</tr>
</tbody>
</table>


## Standard Application Deadlines

### Upcoming NIH Cycle 2020

<table>
<thead>
<tr>
<th>Activity Code</th>
<th>Program Description</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>P Series - ALL</td>
<td>Program Project/Center Grants</td>
<td>September 25</td>
</tr>
<tr>
<td>T Series - ALL</td>
<td>Institutional Training Grants</td>
<td>September 25</td>
</tr>
<tr>
<td>R01 – New</td>
<td>Research Grants</td>
<td>October 5</td>
</tr>
<tr>
<td>U01 - New</td>
<td>Research Grants - Cooperative Agreements</td>
<td>October 5</td>
</tr>
<tr>
<td>K01 - New</td>
<td>Research Career Development</td>
<td>October 12</td>
</tr>
<tr>
<td>R21 - New</td>
<td>Research Grants</td>
<td>October 16</td>
</tr>
</tbody>
</table>

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<tr>
<th>Activity Code</th>
<th>Program Description</th>
<th>Due Date</th>
</tr>
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<tbody>
<tr>
<td>R01 – Renewal, Resubmission, Revision</td>
<td>Research Grants</td>
<td>November 5</td>
</tr>
<tr>
<td>U01 - Renewal, Resubmission, Revision</td>
<td>Research Grants - Cooperative Agreements</td>
<td>November 5</td>
</tr>
<tr>
<td>K01 - Renewal, Resubmission, Revision</td>
<td>Research Career Development</td>
<td>November 12</td>
</tr>
<tr>
<td>R21 – Resubmission, Revision</td>
<td>Research Grants</td>
<td>November 16</td>
</tr>
<tr>
<td>F – New, Renewal, Resubmission</td>
<td>Individual National Research Service Awards</td>
<td>December 8</td>
</tr>
</tbody>
</table>
Prior Approval = Approval Prior

**TOP FIVE**

No Cost Extension

Carryover Unobligated Balances

Change in Status of PD/PI or Sr. Key named in NOA

Deviation from Award Terms & Conditions

Foreign Component added to a grant

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**NIH Grants Policy Statement - Prior Approval (8.1.2)**

<table>
<thead>
<tr>
<th>NIH prior approval is required for</th>
<th>Under the following circumstances</th>
</tr>
</thead>
<tbody>
<tr>
<td>Additional no-cost extension, extension greater than 12 months, or late notification of initial no-cost extension (8.1.2.1)</td>
<td>All instances.</td>
</tr>
<tr>
<td>A&amp;R (8.1.2.2)</td>
<td>Rebudgeting into A&amp;R costs that would exceed 25 percent of the total approved budget for a budget period. If rebudgeting would not meet this threshold but would result in a change in scope. Any single A&amp;R project exceeding $500,000.</td>
</tr>
<tr>
<td>Capital expenditures (construction, land, or building acquisition) (8.1.2.3)</td>
<td>All instances. Also, any proposals to convey, transfer, assign, mortgage, lease, or in any other manner encumber real property acquired with NIH grant funds.</td>
</tr>
<tr>
<td>Carryover of unobligated balances (8.1.2.4)</td>
<td>If the NOA indicates that the recipient does not have the authority to automatically carry over unobligated balances.</td>
</tr>
<tr>
<td>Change in scope (8.1.2.5)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Change in status of the PDI/PI or senior/key personnel named in the NOA (8.1.2.6)</td>
<td>A significant change in the status including but not limited to withdrawal from the project; absence for any continuous period of 3 months or more; reduction of the level of effort devoted to project by 25 percent or more from what was approved in the initial competing year award.</td>
</tr>
<tr>
<td>Change of recipient organization (8.1.2.7)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Change of recipient organization status (8.1.2.8)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Deviation from award terms and conditions (8.1.2.9)</td>
<td>All instances. Includes undertaking any activities disapproved or restricted as a condition of the award.</td>
</tr>
<tr>
<td>Foreign component added to a grant to a domestic or foreign organization (8.1.2.10)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Make subawards based on fixed amounts (8.1.2.11)</td>
<td>All instances</td>
</tr>
<tr>
<td>Need for additional NIH funding (8.1.2.12 and 8.1.2.13)</td>
<td>All instances, including extension of a final budget period of a project period with additional funds.</td>
</tr>
<tr>
<td>Pre-award costs (8.1.2.14)</td>
<td>More than 90 days before effective date of the initial budget period of a new or competing continuation award, always at the recipient’s own risk.</td>
</tr>
<tr>
<td>Rebudgeting funds from trainee costs (8.1.2.15)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Rebudgeting of funds between construction and non-construction work (8.1.2.16)</td>
<td>All instances.</td>
</tr>
<tr>
<td>Retention of research grant funds when CDA awarded (8.1.2.17)</td>
<td>All instances.</td>
</tr>
</tbody>
</table>
UCLA Policy 910

Management of Sponsored Projects

Selected Department, Principal Investigator, and Dean Responsibilities

2. Determine the eligibility of the individual designated as Principal Investigator (PI) or Co-Principal Investigator in accordance with UCLA Policy 900, Principal Investigator Eligibility;

3. Ensure the appropriateness of the effort committed to the project made by UCLA faculty, staff and students;

3. Comply with the specific terms and conditions of each Award as stated in the Contract, Grant, Cooperative Agreement or Subaward documents and with all administrative requirements, as set forth by the federal government, sponsoring agency and campus policy statements, as applicable;

7. Comply with the reporting requirements as stated in the Contract, Grant, Cooperative Agreement or Subaward documents, including the submission of periodic and final programmatic reports, financial reports, invention reports and inventory and equipment reports; and
NIH Virtual Seminar 2020

- October 27 - 30
- Free Registration
  - Demystify the application and review process;
  - Clarify federal regulations and policies; and
  - Highlight current areas of special interest or concern.

NIH Policy on Use of Hypertext in NIH Grant Applications NOT-OD-20-174

- Hyperlinks usually limited to publications only
- Reviewers are instructed NOT to click on hyperlinks

Change in Status, Including Absence of PD/PI and Other Key Personnel Named in the Notice of Award NOT-OD-20-124

“…..because NIH recipients are expected to provide safe and healthful working conditions for their employees and foster work environments conducive to high-quality research, the request for approval should include mention as to whether change(s) in PD/PI or Senior/Key Personnel is related to concerns about safety and/or work environments (e.g. due to concerns about harassment, bullying, retaliation, or hostile working conditions).”
NIH Foreign Component Definition

The performance of any significant scientific element or segment of a project outside of the United States, either by the recipient or by a researcher employed by a foreign organization, whether or not grant funds are expended. Activities that would meet this definition include, but are not limited to, (1) the involvement of human subjects or animals, (2) extensive foreign travel by recipient project staff for the purpose of data collection, surveying, sampling, and similar activities, or (3) any activity of the recipient that may have an impact on U.S. foreign policy through involvement in the affairs or environment of a foreign country. Examples of other grant-related activities that may be significant are:

- collaborations with investigators at a foreign site anticipated to result in co-authorship;
- use of facilities or instrumentation at a foreign site; or
- receipt of financial support or resources from a foreign entity.

Foreign travel for consultation is not considered a foreign component.

**REMINDER:** Prior Approval is REQUIRED per [NIH Grants Policy Statement 8.1.2.10](https://ORSO/uclaresearch.com/

**LOCAL RESOURCES:** [UCLA Research Policy & Compliance Foreign Engagement](https://ORSO/uclaresearch.com/)
“other support includes all resources made available to a researcher in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value and regardless of whether they are based at the institution the researcher identifies for the current grant. This includes resource and/or financial support from all foreign and domestic entities, including but not limited to, financial support for laboratory personnel, and provision of high-value materials that are not freely available (e.g., biologics, chemical, model systems, technology, etc.).”
FAQs - Other Support & Foreign Components

A researcher at my institution has a 9-month appointment. They spend 2 months at a University outside of the United States during the summer conducting research under a foreign award. Does this count as Other Support?

Yes. Available resources in support of and/or related to an investigator’s research endeavors should be disclosed even if they relate to work that is performed outside of a researcher’s appointment period.
FAQs - Other Support & Foreign Components

I am a Principal Investigator on an NIH award to a domestic university and have an unpaid appointment at a foreign university. At the foreign site I have access to lab space, research materials, and staff. Should I report this as Other Support?

Yes. While the researcher is not receiving monetary compensation, the lab space, materials, and staff are resources made available to them in support of and/or related to their research efforts. Other payments, such as travel or living expenses must also be reported. As outlined in NOT-OD-19-114 this appointment must be reported as Other Support. NIH requires applicants to list all positions & scientific appointments both domestic and foreign held by senior/key personnel that are relevant to an application including affiliations with foreign entities or governments. This includes titled academic, professional, or institutional appointments whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
FAQs - Other Support & Foreign Components

What are the consequences if “NIH determines that an institution is not complying with NIH policies for transparency & disclosure of all Other Support?”

may include the following...

• withdraw approval of PD/PI or other researchers on award
• adding special terms and conditions on award
• disallowing costs
• suspend or terminate award
ORCID (Open Researcher and Contributor Identifiers)

- [https://orcid.org/](https://orcid.org/)
  - Fast, Simple Registration
  - Non-Sponsor Specific (many Sponsor utilize / require)

- Per [NOT-OD-19-109](https://orcid.org/)
- NIH Required
  - Fellowship (F) and Career Development (K)
  - Must be added to NIH eCommons Personal Profile or will result in “error”
  - Error will not be known until AFTER the Proposal is submitted, and passed through NIH eCommons validations
    - *submit early*
Proposal & Award Policies & Procedures Guide (PAPPG; NSF 20-1)

Proposals submitted or due on or after June 1, 2020

PAPPG Updates

- RAPID or EAGER proposals requires email from NSF PO approving submission of proposal to be submitted.
- Biographical Sketches must be submitted in a “NSF-approved format”
  - Language added requiring “all” appointments to be listed
  - Current and Pending Support – must be submitted in a “NSF-approved format”

NSF-Approved Format

- SciENcv
  - Bio - available now – highly encouraged
  - Current/Pending – available now – highly encouraged
- NSF Fillable PDF
  - Bio – revised March 1, 2020 (NSF Biosketch 20-1)
  - Current/Pending – revised March 1, 2020 (NSF CPS 20-1)
REMINDERS

NSF Current and Pending Support (CPS) (PAPPG Chapter II.C.2.h)

CPS FAQs (7/30/20)

- “all resources made available to an individual in support of and/or related to all of his/her research efforts, regardless of whether or not they have monetary value.”
  - In-kind support with effort used in project/proposal – CPS
  - in-kind support with NO effort used in project/proposal – Facilities, Equipment & Other Resources
  - Mentoring of outside of UCLA - CPS
  - Conducting research as part of a consultant agreement - CPS

NSF Biosketch (PAPPG Chapter II.C.2.f)

- List appointments “whether or not remuneration is received, and whether full-time, part-time, or voluntary (including adjunct, visiting, or honorary).
- Projects limited to 10 (5 related to project) + (5 other significant products)
  - “et al.” maybe used for biosketch publications only (8/27/20 NSF FAQs)
- Synergistic Activities limited to 5
Proposal & Award Policies & Procedures Guide (PAPPG; NSF 20-1)

NSF APPROVED FORMAT Effective: October 5, 2020

NSF Fillable PDF
- Not encouraged
- Not flexible
  - Download of pdf must be blank; DO NOT save to pdf or print to pdf
  - Text fields and formatting of fillable pdf CANNOT be modified
    - Ex: limitation on citations, synergistic activities, CPS project/proposal, in-kind contributions
    - Cannot add extra text; cannot delete blank pages or blank spaces
  - Will cause errors; not allow proposal to be submitted due to systematic error.

FAQs
- NSF Biosketch - FAQs
- NSF Current and Pending Support - FAQs
Science Experts Network Curriculum Vitae

- Part of My NCBI
  - Sign in with NIH eCommons, NSF, Google, or other Institutional Login Accounts

Benefits per SciENcv

- “Eliminates the need to repeatedly enter biosketch information”
- “Reduces the administrative burden associated with federal grant submission and reporting requirements”
- “Provides access to a researcher-claimed data repository with information on expertise, employment, education, and professional accomplishments”
- “Allow researchers to describe their scientific contributions in their own language”
SciENcv YouTube Videos

NSF Biographical Sketch

SciENcv for NSF Users: Biographical Sketches

NSF Current and Pending Support

SciENcv for NSF Users: Current and Pending Support
Mandatory Cost Share

UCLA OCGA ePass Form (updated 8/25/20)

Cost Share or matching means the portion of project costs not paid by the Sponsor (2 CFR 200.36, 2 CRF 200.306)

Voluntary committed cost sharing means cost sharing specifically pledged on a voluntary basis in the proposal's budget or the Federal award on the part of the non-Federal entity and that becomes a binding requirement of Federal award. (2 CFR 200.99)

Departments are responsible for tracking all voluntary cost share and responsible for providing a report as requested in an audit to prove voluntary cost share was provided in conjunction with the award.
Mandatory Cost Share

Voluntary Cost Share -> Mandatory Cost Share

Cost Share or matching means the portion of project costs not paid by the Sponsor (2 CFR 200.36, 2 CFR 200.306)

*Voluntary committed cost sharing* means cost sharing specifically pledged on a voluntary basis in the proposal's budget or the Federal award on the part of the non-Federal entity and that becomes a binding requirement of Federal award. (2 CFR 200.99)

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THANK YOU !!!
Any Questions?

http://ocga.research.ucla.edu