



Grant Updates

October 8, 2020

OCGA Action Log - Intake

Send Action Request to Proposal/Award Intake

Logging of activity ensures assignment and processing by staff on hand

Proposals@research.ucla.edu	Awards@research.ucla.edu
Proposal for Review/Submission	Award for Processing
Progress Report/RPPR	Carryforward Request
JIT/Pre-Award Request	No-Cost Extension (Requests 1, 2, 3)
Supplemental Information	Other Prior Approval Requests (Inc. Revised SOW)
Revised Budget	Relinquishment of Award Request
PI Change	Closeout Request (Technical, Invention/Patent, Equipment)
Department Change	

NIH

Standard Application Deadlines

Upcoming NIH Cycle 2020

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

Activity Code	Program Description	Due Date
R01 – Renewal, Resubmission, Revision	Research Grants	November 5
U01 - Renewal, Resubmission, Revision	Research Grants - Cooperative Agreements	November 5
K01 - Renewal, Resubmission, Revision	Research Career Development	November 12
R21 – Resubmission, Revision	Research Grants	November 16
F – New, Renewal, Resubmission	Individual National Research Service Awards	December 8

NIH

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

NIH prior approval is required for	Under the following circumstances
Additional no-cost extension, extension greater than 12 months, or late notification of initial no-cost extension (8.1.2.1)	All instances.
A&R (8.1.2.2)	<p>Rebudgeting into A&R costs that would exceed 25 percent of the total approved budget for a budget period.</p> <p>If rebudgeting would not meet this threshold but would result in a change in scope.</p> <p>Any single A&R project exceeding \$500,000.</p>
Capital expenditures (construction, land, or building acquisition) (8.1.2.3)	All instances. Also, any proposals to convey, transfer, assign, mortgage, lease, or in any other manner encumber real property acquired with NIH grant funds.
Carryover of unobligated balances (8.1.2.4)	If the NoA indicates that the recipient does not have the authority to automatically carry over unobligated balances.
Change in scope (8.1.2.5)	All instances.
Change in status of the PD/PI or senior/key personnel named in the NoA (8.1.2.6)	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.
Change of recipient organization (8.1.2.7)	All instances.
Change of recipient organization status (8.1.2.8)	All instances.
Deviation from award terms and conditions (8.1.2.9)	All instances. Includes undertaking any activities disapproved or restricted as a condition of the award.
Foreign component added to a grant to a domestic or foreign organization (8.1.2.10)	All instances.
Make subawards based on fixed amounts (8.1.2.11)	All instances
Need for additional NIH funding (8.1.2.12 and 8.1.2.13)	All instances, including extension of a final budget period of a project period with additional funds.
Pre-award costs (8.1.2.14)	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.
Rebudgeting funds from trainee costs (8.1.2.15)	All instances.
Rebudgeting of funds between construction and non-construction work (8.1.2.16)	All instances.
Retention of research grant funds when CDA awarded (8.1.2.17)	All instances.

UCLA Policy 910

UCLA Policy 910 (7/1/2002)

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

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 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

[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.*

Track 1 NIH Grant Process	Looking for an overview of the NIH Grant Process from application preparation to post-award management? This is the track for you!
Track 2 NIH Grant Policies & Programs	Wanting to learn about specific programs offered by NIH or receive updates on the latest NIH & HHS policies? Check out this track.
Track 3 Let's Talk About It	Sessions in this track are designed to be more interactive with Question & Answer sessions and case studies.

NIH- Foreign Component (May '20 RAF)

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](#)

LOCAL RESOURCES: [UCLA Research Policy & Compliance Foreign Engagement](#)

NIH

NIH Other Support

<https://grants.nih.gov/grants/forms/othersupport.htm>

[NOT-OD-19-114](#)

“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** + 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.

NIH

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).

NIH

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

ORCID (Open Researcher and Contributor Identifiers)

- <https://orcid.org/>
 - Fast, Simple Registration
 - Non-Sponsor Specific (many Sponsor utilize / require)
- Per [NOT-OD-19-109](#)
- 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**

Personal Profile

Kathy Kawamura

Roles:
FSR - Financial Reporting users
PACR - Public Access Compliance Role - Role used for tracking purposes
SO - Signing Official
BO - Business Official
ASST - PI Assistant

Person ID:
9246611

ORCID ID:
Unavailable ? ←

[Create or Connect your ORCID iD](#)

NSF

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)

NSF

Proposal & Award Policies & Procedures Guide (PAPPG; NSF 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

NSF

Proposal & Award Policies & Procedures Guide (PAPPG; NSF 20-1)

NSF APPROVED FORMAT Effective: October 5, 2020 ~~June 1, 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](#)

Revised 05/01/2020 NSF BIOGRAPHICAL SKETCH OMB-3145-0058

NAME: _____

POSITION TITLE & INSTITUTION: _____

A. PROFESSIONAL PREPARATION
(see PAPPG Chapter II.C.1.f.(a))

INSTITUTION	LOCATION	MAJOR/AREA OF STUDY	DEGREE (if applicable)	YEAR (YYYY)

B. APPOINTMENTS
(see PAPPG Chapter II.C.1.f.(b))

From - To	Position Title, Organization and Location

Projects/Proposals

1.* Project/Proposal Title: _____

* Status of Support: Current Pending Submission Planned Transfer of Support

Proposal/Award Number (if available): _____

* Source of Support: _____

* Primary Place of Performance: _____

Project/Proposal Start Date (MM/YYYY) (if available): _____

Project/Proposal End Date (MM/YYYY) (if available): _____

* Total Award Amount (including Indirect Costs): \$ _____

* Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

Year (YYYY)	Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1. _____	_____	4. _____	_____
2. _____	_____	5. _____	_____
3. _____	_____		

2.* Project/Proposal Title: _____

* Status of Support: Current Pending Submission Planned Transfer of Support

Proposal/Award Number (if available): _____

* Source of Support: _____

* Primary Place of Performance: _____

Project/Proposal Start Date (MM/YYYY) (if available): _____

Project/Proposal End Date (MM/YYYY) (if available): _____

* Total Award Amount (including Indirect Costs): \$ _____

* Person-Month(s) (or Partial Person-Months) Per Year Committed to the Project

Year (YYYY)	Person Months (##.##)	Year (YYYY)	Person Months (##.##)
1. _____	_____	4. _____	_____
2. _____	_____	5. _____	_____
3. _____	_____		

CPS- 2 of 15

SciENCv

Science Experts Network Curriculum Vitae

- <https://www.ncbi.nlm.nih.gov/sciencv/>
- 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”*

Create a New Biosketch

Biosketch name
Enter a name to help you to identify this biosketch

Format

NIH Biosketch
 NIH Fellowship Biosketch
 NSF Biosketch
 IES Biosketch

Select a format for this biosketch

Choose data source

Start with a blank document
 Existing Biosketch:
 External source:

Your eRA Commons account

eRA Commons
 ORCID
 National Science Foundation

Sharing

Private
 Public

You can change the shared settings at any time.

NSF Biosketch

My NCBI » SciENCv » Test - NSF Bio 02052020 SciENCv: [About](#) | [Using](#)

Profile name: Test - NSF Bio 02052020 [[Edit](#)] **Download:** [PDF](#) [XML](#)

Profile type: NSF Biosketch [NSF Biographical Sketch Instructions](#)

Last Updated: 5 February 2020

Sharing: Private [[Change](#)] OMB-3145-0058

NAME [[Edit](#)]
Kawamura, Kathy

A. PROFESSIONAL PREPARATION
List undergraduate and graduate education and postdoctoral training. List the year the degree was received as well as inclusive dates of postdoctoral training.
You have not listed any degree or training. Please [add one](#).

B. APPOINTMENTS
List, in reverse chronological order, all academic/professional appointments beginning with the current appointment.
You have not listed any employment. Please [add one](#).

C. PRODUCTS
Acceptable products must be citable and accessible including but not limited to publications, data sets, software, patents, and copyrights. Unacceptable products are unpublished documents not yet submitted for publication, invited lectures, and additional lists of products. Each product must include full citation information including (where applicable and practicable) names of all authors, date of publication or release, title, title of enclosing work such as journal or book, volume, issue, pages, website and Uniform Resource Locator (URL) or other Persistent Identifier.

PRODUCTS MOST CLOSELY RELATED TO THE PROPOSED PROJECT [[Select citations](#)]
You have not included any product in this section.

OTHER SIGNIFICANT PRODUCTS, WHETHER OR NOT RELATED TO THE PROPOSED PROJECT [[Select citations](#)]
You have not included any product in this section.

D. SYNERGISTIC ACTIVITIES
List up to five examples that demonstrate the broader impact of the individual's professional and scholarly activities that focus on the integration and transfer of knowledge as well as its creation.
You have not yet provided an example. Please add one using the link below.
[+ add another entry](#)

NIH Biosketch

My NCBI » SciENCv » Test 02052020 NIH Bio SciENCv: [About](#) | [Using](#)

Profile name: Test 02052020 NIH Bio [[Edit](#)] **Download:** [PDF](#) [Word](#) [XML](#)

Profile type: NIH BioSketch [NIH Biographical Sketch Instructions \(PDF\)](#)

Last Updated: 5 February 2020

Sharing: Private [[Change](#)]

NAME [[Edit](#)]
Kawamura, Kathy

eRA COMMONS ID
KKAWAMURAZ

EDUCATION/TRAINING
(Begin with baccalaureate or other initial professional education, such as nursing, include postdoctoral training and residency training if applicable.)
You have not listed any degree or training. Please [add one](#).

A. Personal Statement [[Edit statement](#)]
You have not yet provided a personal statement.
Optional: You may identify up to four peer reviewed publications that specifically highlight your experience and qualifications for this project.
[[Select citations](#)]
You have not listed any citations.

B. Positions and Honors

Positions and Employment [[Edit entries](#)]
2014 Assistant Director, UNIVERSITY OF CALIFORNIA LOS ANGELES
[+ add another entry](#)

Other Experience and Professional Memberships
You have not listed any professional memberships. Please [add one](#).

Honors
You have not listed any honors. Please [add one](#).

C. Contribution to Science [[Edit section](#)]
This section is currently empty. Click on edit section to add your contributions.

D. Additional Information: Research Support and/or Scholastic Performance [[Edit awards](#)]
There are no awards linked to this profile. Please edit the list to see available awards.

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)

Is any mandatory Cost Sharing/Matching proposed in this application? (Cash, unfunded effort, or in-kind contributions - do not include salary cap differential.) Voluntary Cost Share is discouraged under UC Policy. If Yes, Mandatory Cost Share Amount:

Snapshot Page 1

Section VI: Program Income, Cost Sharing and Compliance Requirements		
Anticipated Program Income	Anticipated Program Income Type	
No	-	
Mandatory Cost Sharing?	Unfunded Effort (other than salary over the cap)	Amount
Yes	Yes	\$5,264



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

VOLUNTARY COMMITTED INSTITUTIONAL COST SHARING

The NCATS acknowledges the grantee's institutional commitment as reflected in the application submitted for funding under [REDACTED]. The grantee must ensure that voluntary committed cost sharing commitments are appropriately tracked, monitored, and reported.

Year 5:

Non-Federal Share: total \$4,556,565

This total for year-05 is reflected as the Non-Federal share on this award and as such must be reported on the annual FFR. This cost share must also be fully described and reported in the Non-competing Progress Report. Only items that would be allowable charges to this grant may be considered for cost sharing. Unallowable charges cannot be considered as a cost share.



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.

THANK YOU !!!



Any Questions?

<http://ocga.research.ucla.edu>

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