



Research Administration Forum

October 14, 2021

Welcome and Reminders

- This is NOT being recorded
- We will answer questions at the end of each segment as time permits
- Submit questions via Zoom Q&A window
- Use the “raise hand” option to ask a question orally. You will be allowed to unmute.
- Slides will be posted on ORA website following the meeting

Agenda

- **Welcome & Announcements** – *Marcia Smith*
- **Human Research Protection Program Hot Topics** – *Moore Rhys*
 - AAHRPP Visit in March 2022
 - Updates on BruinIRB
- **Contract and Grant Administration Hot Topics**
 - Other Support Report Updates – *Kathy Kawamura*
 - NIH Other Support FAQ Overview – *John Monetti*
 - Cost Reimbursable vs. Fixed Base Agreement Types – *Julia Zhu*
 - NSF Research.gov Update – *Cindy Gilbert*
 - PI Sabbatical/Leave of Absence – Workflow Update – *Tracey Fraser*
- **Open Forum – Questions, Discussion** – *All*

Announcements

- **November 11th RAF is canceled due to Veterans Day**



OHRPP Updates

October 14, 2021



OHRPP Updates

AAHRPP Site Visit



BruinIRB Update



OHRPP Office Hours



Human Research News





AAHRPP Site Visit



“The Association for the Accreditation of Human Research Protection Programs, Inc. (AAHRPP) promotes high-quality research through an accreditation process that helps organizations worldwide strengthen their human research protection programs (HRPPs).

An independent, non-profit accrediting body, AAHRPP uses a voluntary, peer-driven, educational model to ensure that HRPPs meet rigorous standards for quality and protection. To earn accreditation, organizations must provide tangible evidence—through policies, procedures, and practices—of their commitment to scientifically and ethically sound research and to continuous improvement.

As the "gold seal," AAHRPP accreditation offers assurances—to research participants, researchers, sponsors, government regulators, and the general public—that an HRPP is focused first and foremost on excellence.”



AAHRPP Site Visit

- UCLA submitted for and received initial accreditation in 2012
- Re-accreditation cycles are every 5 years
- We are currently scheduling the site visit portion of our current re-accreditation application
 - Will take place March 1-4, 2022
- The site visit will be virtual (on zoom)



AAHRPP Site Visit

- AAHRPP site visitors will interview a number of stakeholders during the visit, including:
 - OHRPP staff
 - IRB members and Chairs
 - Investigators and research staff
- OHRPP will be providing preparation materials to all of those who are selected for interviews for the site visit



Bruin[™]IRB Update

- BruinIRB is the new IRB submission system that will gradually replace webIRB
- BruinIRB is a simplified IRB application that relies on protocol upload instead of pages and pages of questions about the project



Bruin [🐾]IRB Update

- There are three stages of the transition plan (based on types of applications to the IRB)
 - Phase 1a (launched)
 - Phase 1b (expected to launch in December)
 - Phase 2 (expected to launch in 2022)
- OHRPP is developing protocol templates for each stage of the roll-out



Bruin[™]IRB Update

- The ORIS team led by Mike Yuan and Jackson Jeng are doing an amazing job of bringing this more user-friendly system to OHRPP, including coordination with other campus stakeholders whose processes are reliant on data from the IRB system
- A faculty and staff advisory group is contributing to the development plans as well.



Bruin [👑]IRB Update

PHASE 1A launched earlier this year for new submission of requests for clinical use of restricted Drugs/Devices/Biologics:

- *Expanded Access (single patient or multiple patient protocols)*
- *Emergency Use*
- *Right To Try*
- *Humanitarian Use Devices*



Bruin [👑]IRB Update

10

*PHASE 1B is currently in development and is **expected to launch mid December 2021** for submission of new reliance applications*

*- Where UCLA investigators are **relying on an external IRB for review** (and must submit an administrative application to OHRPP of that external review)*



Bruin[™]IRB Update

PHASE 2 is currently in development and will be launched in 2022 for submission of all other new IRB applications

- - *This will be followed by a process of migrating existing studies from webIRB to BruinIRB*



OHRPP Office Hours

- OHRPP Quality Improvement Unit staff are hosting *half-hour open Q/A sessions every other week* to answer your questions
- *Upcoming sessions*
 - Tuesday, October 26, 2021 8:30am
 - Tuesday, November 9, 2021 8:30am

Register once and you can join any session.



Subscribe to *Human Research News*

To be in the know when OHRPP releases updated guidance and offers training opportunities, please subscribe to *Human Research News*

➤ To subscribe, visit [ORA news subscription](#)



Contact

Presenter: moore.rhys@research.ucla.edu

[BruinIRB Transition Information](#)



ORA Other Support Tool

October 14, 2021



MASTER TRAINING

<https://ocga.research.ucla.edu/training-calendar/>

OCTOBER

Filling out the EPASS:

What is it, when is it required and how to complete

Wednesday, October 19, 2021

9:30am-11:30 am

This session will address the background and purpose of the EPASS. We will review and discuss each section of the EPASS with specific examples of questions from users. This session is appropriate for anyone with responsibility for completing, reviewing or processing EPASS forms.

ORA Other Support Tool

NIH – Other Support

Scope:

Other Support (sometimes referred to as "current and pending support" or "active and pending 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. Funding entities use this information in the identification and resolution of potential overlap of support.

- Data pulled from UCLA Internal System, PATS (proposal award tracking system)
- PATS data originates from OCGA, CTCSR, and TDG entries
- Data not originating from OCGA, CTCSR, and TDG **will NOT** be pulled into ORA Other Support Tool
- Pending Proposal information is **CONFIDENTIAL**

E-Commons ID: NIH OTHER SUPPORT: Joe Bruin

1. ACTIVE

Project/Proposal Title	Evaluation of a Drug Under Certain Circumstances
Major Goals	
Status of Support	Active
Project Number	X99XX9999
Name of PD/PI	Joe Bruin
Source of Support	NIH-One of the NIH Agencies
Primary Place of Performance	University of California, Los Angeles
Project/Proposal Support Start Date	9/1/2019
Project/Proposal Support End Date	8/31/2022
Total Project Award Amount (including Indirect Costs)	\$139,915
Person Months or Partial Person Months Per Year Committed to the Project	Year: Person Months (Cal/Acad/Sum) 11/1/2020 – 10/31/2021: 0 Cal / 0 Acad / 0 Sum 11/1/2021 – 10/31/2022: 0 Cal / 0 Acad / 0 Sum 11/1/2022 – 10/31/2023: 0 Cal / 0 Acad / 0 Sum

Project/Proposal Title	A Phase 2 Study of Some Type of Drug
Major Goals	
Status of Support	Active
Project Number	XXX-999-999X
Name of PD/PI	Joe Bruin
Source of Support	Drug Manufacturing Company Inc.
Primary Place of Performance	University of California, Los Angeles
Project/Proposal Support Start Date	11/13/2020
Project/Proposal Support End Date	11/12/2024
Total Project Award Amount (including Indirect Costs)	\$882,000

OCGA Other Support Tool

How to Access?

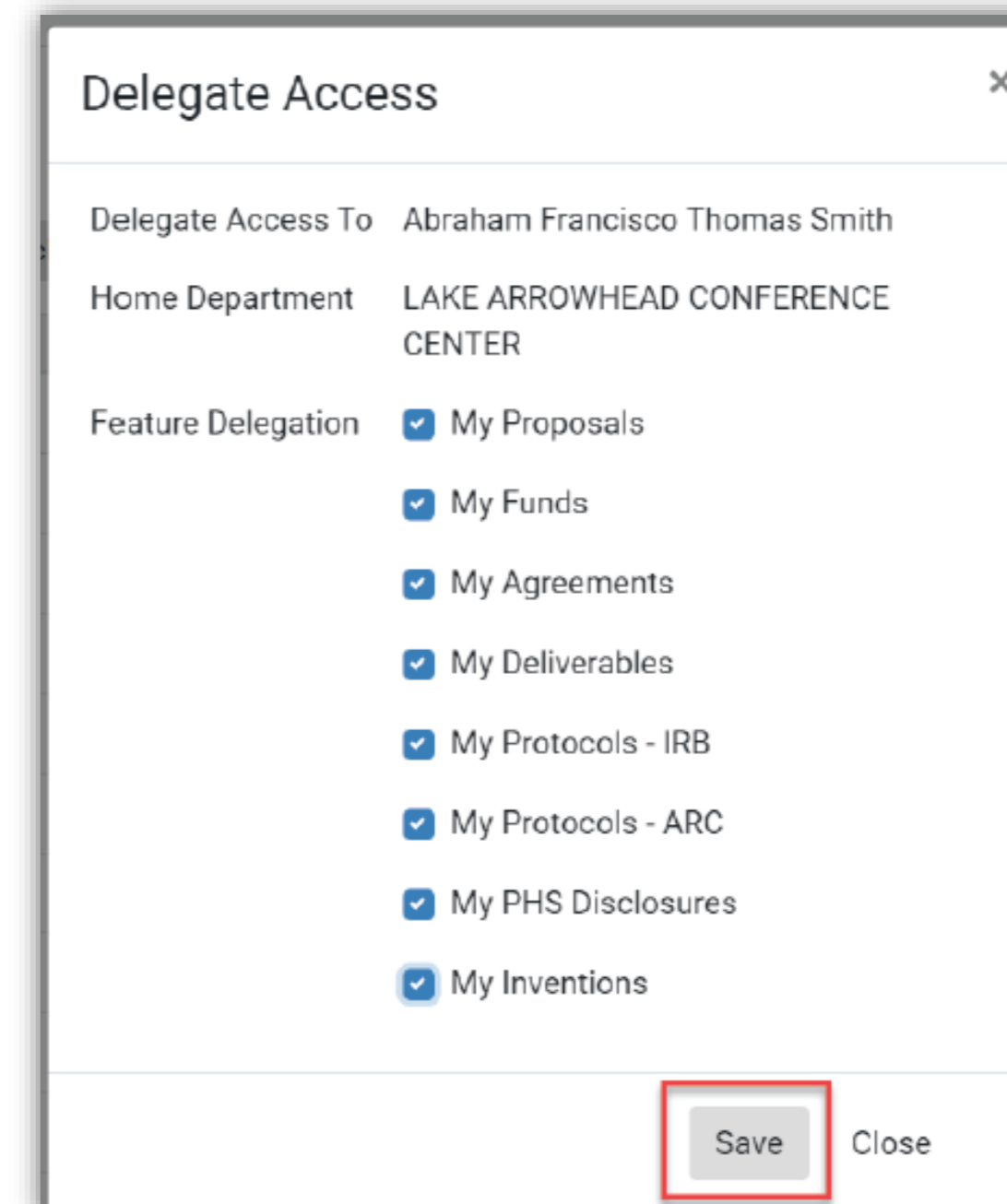
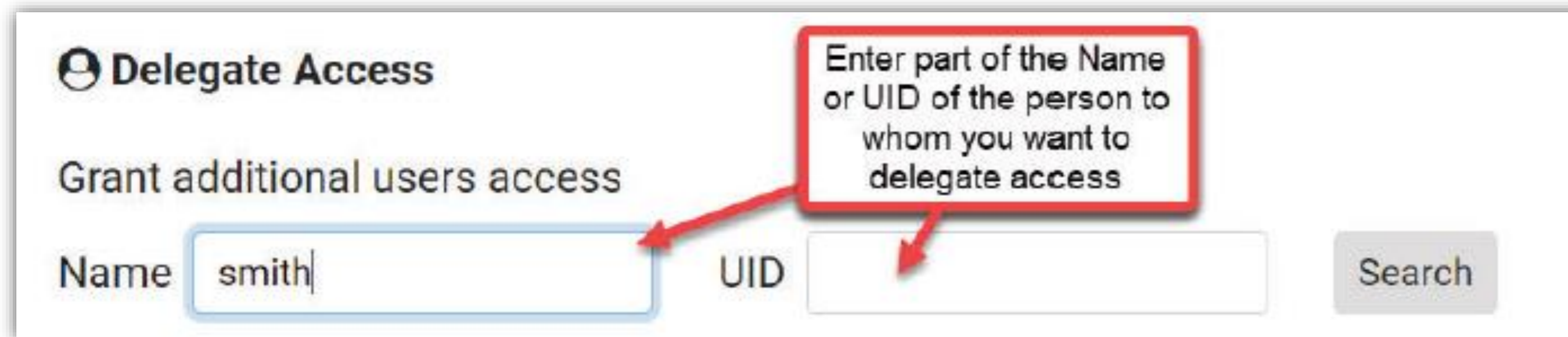
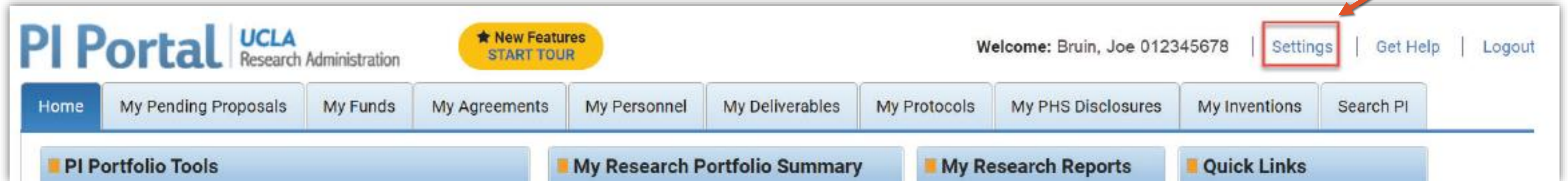
- Dean or Dept Chair approval required for access
- NSF Current & Pending as well as NIH Other Support Tool will be available in PI Portal
- Prior version of OS Tool available in ORA Portal to small pilot

The screenshot displays the PI Portal interface. At the top left is the 'PI Portal | UCLA Research Administration' logo. A yellow 'New Features START TOUR' button is visible. The top right shows a 'Welcome:' message with a blurred name and links for 'Get Help' and 'Logout'. A navigation bar contains tabs for 'Home', 'My Pending Proposals', 'My Funds', 'My Agreements', 'My Deliverables', 'My Protocols', 'My PHS Disclosures', 'My Inventions', and 'Search PI'. The main content area is divided into three columns. The first column, 'PI Portfolio Tools', contains a 'Download PI Portfolio' button. The second column, 'My Research Portfolio Summary', shows a 'Current Portfolio Balance \$419,949' and lists '3 Active C&G Funds', '2 IRB Active Protocols', and '5 ARC Active Protocols'. The third column, 'My Research Reports', is highlighted with a red arrow and contains two report links: 'NIH Current and Pending Support Report' and 'NSF PHS398/2590 Other Support Report'. Below this is a 'Quick Links' section with 'Grants.gov Proposals (S2S Grants)' and 'Human Protocols'.

OCGA Other Support Tool

PI Portal Access

- Requires PI to complete the following steps to provide others access to their PI Portal information



RAPIDFeedback@research.ucla.edu

OCGA Other Support Tool

NIH – Other Support

NIH OTHER SUPPORT: Joe Bruin

E-Commons ID:

1. ACTIVE

Project/Proposal Title	Evaluation of a Drug Under Certain Circumstances
Major Goals	
Status of Support	Active
Project Number	X99XX99999
Name of PD/PI	Joe Bruin
Source of Support	NIH-One of the NIH Agencies
Primary Place of Performance	University of California, Los Angeles
Project/Proposal Support Start Date	9/1/2019
Project/Proposal Support End Date	8/31/2022
Total Project Award Amount (including Indirect Costs)	\$139,915
Person Months or Partial Person Months Per Year Committed to the Project	Year: Person Months (Cal/Acad/Sum) 11/1/2020 – 10/31/2021: 0 Cal / 0 Acad / 0 Sum 11/1/2021 – 10/31/2022: 0 Cal / 0 Acad / 0 Sum 11/1/2022 – 10/31/2023: 0 Cal / 0 Acad / 0 Sum

3. PENDING

Project/Proposal Title	Exploring New Ideas In Disease Prevention
Major Goals	
Status of Support	Pending
Project Number	99999999
Name of PD/PI	Jane Bear
Source of Support	DOD – One of the Department of Defense Agencies
Primary Place of Performance	University of California, Los Angeles
Project/Proposal Support Start Date	10/1/2021
Project/Proposal Support End Date	9/30/2023

Total Project Award Amount (including Indirect Costs)	\$390,000
Person Months or Partial Person Months Per Year Committed to the Project	Year: Person Months (Cal/Acad/Sum) 10/1/2021 – 9/30/2022: 0.12 Cal / 0 Acad / 0 Sum 10/1/2022 – 9/30/2023: 0.12 Cal / 0 Acad / 0 Sum

OCGA Other Support Tool

NIH – Other Support

2. IN KIND CONTRIBUTIONS

Summary of In Kind Contribution	
Status of Support	
Primary Place of Performance	
Estimated Dollar Value of In Kind information	\$
Person Months or Partial Person Months Per Budget Period	

[Add Another Project](#)

3. PENDING

Project/Proposal Title	Exploring New Ideas In Disease Prevention
Major Goals	
Status of Support	Pending
Project Number	99999999
Name of PD/PI	Jane Bear
Source of Support	DOD – One of the Department of Defense Agencies
Primary Place of Performance	University of California, Los Angeles
Project/Proposal Support Start Date	10/1/2021
Project/Proposal Support End Date	9/30/2023

Total Project Award Amount (including Indirect Costs)	\$390,000
Person Months or Partial Person Months Per Year Committed to the Project	Year: Person Months (Cal/Acad/Sum) 10/1/2021 – 9/30/2022: 0.12 Cal / 0 Acad / 0 Sum 10/1/2022 – 9/30/2023: 0.12 Cal / 0 Acad / 0 Sum

OCGA Other Support Tool

NIH – Other Support

5. OVERLAP

Summarize for each individual any potential overlap (Scientific, Budgetary, Effort) with the active or pending projects and activities, other positions, affiliations, and resources and this application in terms of the science, budget, or an individual's committed effort.

Required Signature

I, PD/PI or other senior/key personnel, certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

Any Questions?

Contact Information

othersupporthelp@research.ucla.edu

IMPORTANT DETAILS IN OTHER SUPPORT: EXPLORING THE NIH UPDATES

- ❖ What to Include

 - ❖ Recent Updates

 - ❖ Similarities & Differences among Federal Agencies

Research Administration Forum
October 14, 2021



Includes:

- ✓ “All resources made available to researchers or senior key personnel in support of and/or related to all of their research endeavors, regardless of whether or not they have monetary value”
Even if they are not receiving salary/financial support, it can still be a resource
- ✓ “Resources and/or financial support from all foreign and domestic entities”
Not limited to just Domestic, Federal, or an Individual Sponsor
- ✓ “In-kind contributions (such as office/laboratory space, equipment, supplies, or employees or students supported by an outside source)”
Non-financial resources – again, not just support that provides salary or has effort
- ✓ “Consulting that falls outside of an individual’s appointment, separate from institution’s agreement”
Not just research support related to their home institutional (UCLA) appointment
- ✓ “Start-up packages from outside organizations, including foreign entities”
Applicant organization (UCLA) is not included, but Start-up from another entity is

NIH: Updated Format

Other Support – Project/Proposal

*Title:

Major Goals:

*Status of Support:

Project Number:

Name of PD/PI:

*Source of Support:

*Primary Place of Performance:

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

* Total Award Amount (including Indirect Costs):

* Person Months (Calendar/Academic/Summer) per budget period.

- Active or Pending
- Group in the order of Active and Pending Support from top to bottom

- Primary location where the project or activity is being executed
- Example: University of California, Los Angeles

- Total dollar amount for all years based on NOA or Proposed Budget
- Subaward/Subproject: Total dollar amount for subaward/project only

- Active: “Level of actual effort (even if unsalaried) for the current budget period and the proposed effort for each remaining budget period”
- Pending: Proposed Person Months for each budget period

“But what if I’m mid-way through the Award?”

Year (YYYY)	Person Months (##.##)
1. [enter year 1]	
2. [enter year 2]	
3. [enter year 3]	
4. [enter year 4]	
5. [enter year 5]	

Year	Person Months
4. 2021	0.6 Academic Months, 1.2 Summer Months
5. 2022	0.0 Academic Months, 1.6 Summer Months

NIH: Updated Format – In-Kind

IN-KIND

*Summary of In-Kind Contribution:

*Status of Support:

*Primary Place of Performance:

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

*Person Months (Calendar/Academic/Summer) per budget period

Year (YYYY)	Person Months (##.##)
1. [enter year 1]	
2. [enter year 2]	
3. [enter year 3]	
4. [enter year 4]	
5. [enter year 5]	

*Estimated Dollar Value of In-Kind Information:

- ✓ Office/laboratory space, equipment, supplies, data, samples, or employees or students **supported by an outside source.**

Visiting Scientists, Visiting Postdocs, etc.

- ✓ In-kind resources with no associated time commitment, can list zero effort, but must provide the estimated dollar value. **The effort and dollar value cannot both be zero.**
- ✓ Only resources uniquely available to the researcher must be reported. **Core facilities or shared equipment does not need to be included.**
- ✓ Only included on Other Support if the in-kind contribution is **not intended for use on the project being proposed** (if intended for use on proposed project, include in Facilities & Other Resources).

NIH Selected FAQs: In-Kind

- *If a PD/PI or other senior/key Personnel has an exchange student or post-doc working on research activities in their lab who is paid a salary by their home university in a foreign country, does that need to be included in Other Support?*

Yes, since the student or post-doc is performing research activities, the student's work in the lab is a resource available in support of the PD/PI or other senior/key Personnel's research endeavors. It must be reported as an in-kind contribution on Other Support.

- *If a PD/PI or other senior/key personnel is mentoring post-doc or graduate students who are individually funded through an outside institution (e.g. foundation, home university or Federal Agency), does that need to be disclosed as an in-kind resource in Other Support?*

If the post-doc or graduate student is performing research activities in support of the PD/PI or other senior/key personnel's research endeavors, then their support must be reported as an in-kind resource. If the relationship is solely a mentor/mentee arrangement, with no research activities, then it is not a resource, and does not need to be reported.

- *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.

- *I am key personnel on an NIH grant in the United States. I am collaborating with another scientist in the US, whose experiments have directly benefitted my research. Their experiments were conducted with funds awarded to their institution. Should this be reported as Other Support?*

Yes. Other Support includes domestic research collaborations that directly benefit the researcher's research endeavors.

- *A researcher at my institution has a 9-month appointment. They spend two 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.

NIH: Overlap Statement

****Overlap: After listing all support, summarize for each individual any potential overlap with the active or pending projects and activities, other positions, affiliations, and resources and this application in terms of the science, budget, or an individual's committed effort***

Scientific

- (1) Substantially the same research is proposed in more than one application or is submitted to two or more different funding sources
- (2) A specific research objective and the research design for accomplishing that objective are the same or closely related in two or more applications or awards, regardless of the funding source

Budgetary

- Duplicate or equivalent budgetary items (e.g., equipment, salary) are requested in an application but are already provided for by another source

Commitment

- Occurs when a person's time commitment exceeds 100 percent (i.e., 12 person months), whether or not salary support is requested in the application



NIH Required Supporting Documentation to be included with Other Support:

NIH requires the following:

“Supporting documentation, which includes copies of contracts/agreements specific to senior/key-personnel foreign appointments and/or employment with a foreign institution for all foreign activities and resources that are reported in Other Support. If the contracts/agreements are not in English, recipients must provide translated copies. Supporting Documentation should be provided as a PDF following the Other Support form”

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

NIH: Key Personnel Signature Required

***Signature: Each PD/PI or other senior key personnel must electronically sign their respective Other Support form prior to submission. This signature certifies that the statements are true, complete and accurate.**








I, PD/PI or other senior/key personnel, certify that the statements herein are true, complete and accurate to the best of my knowledge, and accept the obligation to comply with Public Health Services terms and conditions if a grant is awarded as a result of this application. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

*Signature: _____

Date: _____

Other Support page with electronic signature MUST be either printed to PDF or flattened to ensure no systematic errors in submission

Recap of Highlighted NIH Updates

-  Updated Format: <https://grants.nih.gov/grants/forms/othersupport.htm>
-  Provide only Current & Pending Support
-  Report Total Award Amount (including IDC) for the entire Project Period
-  Report Effort for each individual Budget Period
-  Report Primary Place of Performance
-  Supporting Documentation for Foreign Appointments/Contracts/Agreements
-  Requires Signature of Each PD/PI and Senior Key Personnel

Similarities & Differences Among Agencies

NIH, NSF, DOD, DOE

- All Current & Pending resources regardless of having monetary value
- In-Kind support (e.g. office/lab space, equipment, supplies, employees, students, materials, data, etc.)
- Total amount for entire award period, including Indirect Costs
- Effort in Person Months per year

NIH & NSF

- In-Kind Contributions intended for use on the proposed project must be included in the Facilities & Other Resources and Equipment documents. In-Kind Contributions not directly intended for the proposed project must be listed in Other Support
- Both agencies have provided Other Support specific templates/formats

DOD

- Requires Previous Support ending within the past 5 years to be included in Other Support
- List all positions and scientific appointments, both domestic and foreign. 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)

Any Questions?

OCGA Other Support Website:

<https://ocga.research.ucla.edu/other-support/>

OCGA Other Support Help:

OtherSupportHelp@research.ucla.edu



Cost Reimbursable vs. Fixed-Based Agreement Types

Julia Zhu, Contract & Grant Officer

UCLA Office of Contract & Grant Administration

October 14, 2021

Cost Reimbursable Agreements

Key Concept

Awardee is reimbursed for actual allowable, allocable and reasonable project costs in line with the approved budget.

Cost Reimbursable Agreements

- ❑ **Most common in sponsored research agreements**
- ❑ **Suitable for research and development work, when the work is exploratory, focused on expanding knowledge**
- ❑ **Payment**
 - **Not** conditioned upon successful outcome of research results
 - Triggered upon submission of invoices and completion of progress reports
- ❑ **Sponsor Monitoring**
 - Relies on the awardee to make good faith effort to further project goals within the total agreement amount
 - Utilizes progress reports documenting the technical progress of the project in conjunction with detail financial reports
- ❑ **Invoice**
 - Invoicing frequency is set forth in the award agreement (e.g., monthly or quarterly)
 - Invoice reqs (e.g., each invoice shall include current and cumulative costs (including cost sharing), breakdown by major cost category, award number, and certification, in accordance with Uniform Guidance 2 CFR 200.305.)
- ❑ **Requires periodic review of project costs**
- ❑ **Always be prepared to justify in detail the actual incurred project costs**

Fixed-Based Agreements

Key Concept

Pre-set fixed payments contingent upon completion of deliverables as required in the agreement, regardless of actual costs

Fixed Price vs. Fixed Amount vs. Fixed Rate

Fixed Price

- A FAR term (see [FAR Subpart 16.2](#)). The Federal Acquisition Regulation (FAR) regulates federal contracts.

Fixed Amount

- A UG term (see Uniform Guidance, [2 CFR §200.201](#), which governs federal grants and cooperative agreements)
- The term “Fixed Amount” is used in FDP agreements
- The total value of the award is negotiated upfront – both the unit price and the total # of units are known

Fixed Rate

- Generally refers a dollar amount per unit (e.g., per subject payment schedule in clinical trials)
- Not a contract type listed in the FAR, but listed in the NIH Grants Policy Statement ([8.1.2.11](#))
- See [NIH Clarification \(NOT-OD-18-222\) – Fixed Rate](#): unknown # of units

Fixed-Based Agreements

- ❑ Payment
 - Contingent upon completion of project deliverables, not tied to actual incurred project costs
 - The sponsor is not obligated to pay specified amounts due to incomplete or delayed work
 - The awardee only receives the contracted amount, even if the actual expenditures to meet the deliverable exceed this amount; residual balances should remain with the awardee, but remember the importance of budgeting properly
- ❑ May be appropriate when deliverables/milestones are well-defined, cost estimate is solid, and funding will sufficiently cover all project expenses
- ❑ Fixed-based agreements will have a payment schedule instead of a detailed budget and should include specifics on the deliverable and corresponding payment amount
- ❑ Milestone payment amounts shall be inclusive of applicable F&A costs
- ❑ Invoice
 - Triggered by completion of milestones/deliverables
 - Does not include details of expenses, but rather the deliverable completed and milestone payment amount

Differentiating Between Agreement Types

	Cost Reimbursable	Fixed-Based (Fixed Price/Fixed Amount/Fixed Rate)
SOW/ Deliverables	Flexible requirements subject to sponsor's prior approval	Changes in sponsor requirements not expected
Rebudgeting	Prior approval may be required	No restriction, flexible
Carryforward	Prior approval may be required	Not applicable
Payment Trigger	Financial reporting & progress reports	Completion of deliverables/milestones
Award Agreement Includes:	Detailed budget cost categories	Milestone/Deliverable Payment Schedule <i>or</i> Rates Schedule
Audit	Expenses can be audited	Whereas project expenses generally shall not be audited, applicable cost principles shall be followed when estimating project costs
Residual Balances at Project End	Not applicable unless when funding is advanced, remaining funding shall be returned to sponsor	Usually retained by awardee, subject to awardee's residual balance policy. Fixed-based agreements shall not be utilized to seek profit. Substantial residual balances - red flag! Could jeopardize the non-profit/educational institution's non-profit, tax-exempt status.

Agreement Types

	Cost Reimbursable	Fixed-Based (Fixed Price/Fixed Amount/Fixed Rate)
Common Characteristics	Estimated costs shall be consistent with the applicable cost principals (federal cost principals: allocable, allowable, reasonable, and consistently charged), sponsor requirements, and institutional policies	
	Shall estimate/budget project costs as accurate as possible	
	Subject to applicable F&A costs	

Thank You!



NSF System Updates

ORA Research Administration Forum
October 14, 2021

Latest Updates

- Announced via [ORA News](#), October 6, 2021.
- Effective for proposals submitted on or after October 4, 2021.
- Align with current Proposal and Award Policies and Procedures Guide (PAPPG) – [NSF 22-1](#).

Latest Updates

- New proposal types available in Research.gov:
 - Planning Proposals
 - Career-Life Balance (CLB) Supplemental Funding Requests
- See [About Proposal Preparation and Submission](#) for full list of application types available in Research.gov.
- New automated compliance checks added to Research.gov.
 - Click [here](#) for details on compliance checks in Research.gov and FastLane.

Biosketches and Current and Pending Support

- Biographical sketch page limit increased from two to three pages.
- Current and pending support includes new sections for information on objectives and overlap with other projects to help NSF and reviewers assess overlap/duplication.
- Biographical sketches and current and pending support information required with Change of Principal Investigator (PI) and Add/Change Co-PI requests in FastLane.

Biosketches and Current and Pending Support

- The current formats are posted on the NSF website for [biographical sketch](#) and [current and pending support](#).
- Updated system-related Frequently Asked Questions (FAQs) are also available: [FAQs on using SciENCv](#) and [FAQs on using NSF fillable PDF](#).
- SciENCv documents created using the previous version (i.e., NSF 20-1) prior to October 4th are automatically converted in SciENCv to the current version after October 4th.

Blank Pages in Current and Pending Support

- Research.gov, FastLane, and Grants.gov will remove any blank pages in the NSF-approved fillable PDF version.
- Triggered in Research.gov and FastLane during document upload, and upon submission using Grants.gov.
- Only applies to current and pending support fillable PDF and not to any other uploaded PDFs.
- The current and pending support fillable PDF document is paginated, and the PDF page numbers will not be updated during the trimming process.
- Current and pending support PDFs generated in SciENcv do not include blank pages.

Functionality Available in Research.gov

The chart below indicates the availability of proposal functions in Research.gov.
For additional details of the recent releases view the General FAQs.

New = New update as of 10/04/2021

Type of Submission	Current Capability	Capability in Development	Future Capability
Full Proposal	✓		
Letter of Intent	✓ New		
Preliminary Proposal	✓ (Ideas Lab only)	✓ (Other Program Solicitations)	
Full Proposal related to a Preliminary Proposal		✓	
Renewal Proposal	✓		
Accomplishment Based Renewal Proposal	✓		

Click [here](#) to view the complete chart.

Click [here](#) to provide feedback.

The End is Near



- Transition of all proposal preparation and submission functionality from FastLane to Research.gov is targeted for December 31, 2022.

Research.gov Demo Site

My Desktop

Prepare & Submit Proposals

Prepare and Submit Proposals
(Limited proposal types)

Demo Site: Prepare Proposals ←

Proposal Status

Research.gov Demo Site

Proposal Preparation Demo Site

 **Research.gov**
ONLINE GRANTS MANAGEMENT FOR THE NSF COMMUNITY

DEMO

Demo user: Kurt Durlesser, Principal Investigator (PI)

[< Return to Research.gov](#)

Proposals (Preliminary, Full, and Renewal)

What would you like to work on?

Prepare New

By answering a few questions, NSF will customize the process and compliance rules.

[Prepare New](#)

 What information will need to be provided?

In Progress

Continue working on a previously prepared proposal, that has not yet been submitted to NSF.

[Work with In Progress](#)

Submitted and Updates

View, download, or perform a Proposal File Update/Budget Revision on proposals that have previously been submitted to NSF.

[View/Update Submitted](#) 

Resources

NSF Webinar:

- Migrating NSF Proposal Preparation and Submission from FastLane to Research.gov ([video](#))

FDP:

- National Science Foundation Proposal Modernization Update ([video](#) and [slides](#))

NCURA:

- NSF Overview, Sections of the Proposal, Proposal System Modernization – presented by Jean Feldman, Head, NSF Policy Office ([video](#))

OCGA eRA Help: erahelp@research.ucla.edu

ORA News List-serv: <https://form.research.ucla.edu/ora/ora-news-subscription/>



Office of Contract and Grant Administration PI Sabbatical/ Admin Leave Workflow Update

October 14, 2021

PI Sabbatical / Admin leave Forms

- Sponsor reporting requirements for PI leave discussed at [August RAF](#)
- Other Support reporting requirements for affiliations, appointments and funding
- APM-740 and APM-700 *Sabbatical and Other Leaves of Absence* [form](#) and [instructions](#) were updated for new fiscal year
 - **ALERT: Routing subsequently updated, effective immediately**

APM-740 & APM-700

b. I am currently PI or Key Personnel on current or pending extramural contracts/grants at UCLA.	<input type="checkbox"/> Yes <input type="checkbox"/> No
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I have contracts/grants awarded to UCLA and want to continue work on these projects while on leave at this location/institution.	<input type="checkbox"/> Yes <input type="checkbox"/> No
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<input type="checkbox"/> I understand that if I am PI or other Key Personnel on any UCLA extramural contracts or grants, prior approval from the sponsoring agencies may be required for changes to the funded project, including but not limited to reductions in committed effort, changes in performance location, or changes in scope or schedule. These approvals are required <u>before</u> the leave is finalized. I will work with OCGA to obtain the necessary approvals.
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APM-740 & APM-700 Instructions: Approval

Section E – Approval

For all types of leave requests:

1. Department staff shall review the form for accuracy.
2. Department staff shall contact the Office of Contract and Grant Administration (OCGA) at awards@research.ucla.edu if the faculty member requesting the leave is currently a PI or other Key Personnel on current or pending extramural contracts/grants at UCLA **and/or** has checked yes to any of the research questions in Section A-1-c.
 - For sabbatical leaves, the email to OCGA should include the subject line: Sabbatical Leave Request – Faculty's First and Last Name and Department and attach the leave form.
 - For other leaves of absence, the email to OCGA should include the subject line: Leave of Absence Request – Faculty's First and Last Name and Department and attach the leave form
3. OCGA will communicate with the faculty member and/or Department staff to discuss any actions that are required or if further information is needed.
4. When a sabbatical or leave of absence request involves 1) a request by the faculty member to continue serving as PI/Key Personnel on extramurally-funded contracts or grants administered by UCLA, or to suspend the work, or to transfer the work to another PI for the period of the leave; and/or 2) a request by the faculty member to apply for/receive funding for research while at the outside institution, correspondence with OCGA and other appropriate documentation of sponsor approval (as needed) should be attached to the form before it is forwarded for review/approval.

The routing described in the current instructions is being revised

Effective immediately, forms should be submitted directly to APO

APO will review and forward to OCGA to determine if additional information and / or action is required related to the PIs C&G

Sponsor approval does not need to be attached when the form is submitted to APO

Any Questions?

October 2021 Research Administration Forum Q&A

Contract and Grant Administration

Q1: If a department manager wants global access to this information for all their faculty in the department, can we request this access with dean/department chair approval, rather than getting individual PI approvals for access?

A1: Dean or Department Chair can approve access for admins to the School or Department PIs. This access will be granted through the ORA Resource Center, rather than through the PI Portal. Individual PIs can delegate access to their PI Portal following the instructions presented.

Q2: Could there be a function designed in PI portal where admin delegates can request access of a specific PI and it's just a matter of approval for them?

A2: This is a good idea. This is not available now, but we can look into building this functionality as we look at next priorities.

Q3: Are "Major Goals" fillable and changeable?

A3: They are fillable and can be changed at any time since this section will be blank.

Q4: How should Industry Clinical Trials be handled? Specifically performance years and effort.

A4: This is currently under discussion

Q5a: For faculty, consulting is considered an outside activity and not a part of their institutional activities. Does all consulting to an outside organization need to be reported as Other Support?

A5a: Yes if it is related to research endeavors

Q5b: Even if it results in personal income, not resources to be used to support research? What if the consulting is not compensated or if the compensation is in the form of company equity?

A5b: Per [NIH FAQs](#):

Should consulting activities included in Other Support display calendar months effort, or is N/A appropriate for effort, when serving as a consultant?

Consulting should be estimates for the amount paid, rather than time and effort reflected in calendar months. Therefore, it will not count towards the 12 calendar months of effort.

Do outside consulting activities have to be reported in Other Support?

Consulting activities that involve research and fall outside of an individual's appointment, separate from institution's agreement, must be disclosed as Other Support.

Q6: Do you know what the consequences are if we unintentionally do not include in-kind support that we should have included?

A6: If certain "other support" is not reported to the sponsor, we have an obligation to report that other support to the sponsor as soon as we recognize the omission. The certification language the PI/Key Personnel are required to make with NIH other support, should be carefully considered for all sponsors.

Q7: Would you provide an example of how foreign components should be listed in the Other Support page? An example would be appreciated.

A7: Information from nihosbiosketch@nih.gov states:

Foreign components, as a category, do not need to be separate in Other Support. Each grant that the PI receives support from would need to be listed as a resource in their Other Support submission. There is no need for a separate category.

It would fall under whichever category is the most appropriate, active, in-kind, or pending. For sponsor specific question, it is best to refer to the sponsor's website for the most accurate information for their requirements.

Q8: For NIH & NSF, your slide says "In-Kind contributions intended for use on the proposed project must be included in facilities & other resources and equipment documents. In-Kind contributions not directly intended for the proposed project must be listed in Other Support." Did you mean to write that *both* those intended and not directly intended for the project must be listed in OS, with the addition that the former must also be included in facilities and resources and equipment?

A8: If the in-kind contribution is intended for use on the project, then it does not need to be included in the OS but should be included in the facilities & other resources and equipment docs.

The NIH FAQs states:

If an in-kind contribution, such as technology, chemicals, etc. is intended for use on the project being proposed to NIH in the application, the information must be included as part of the Facilities and Other Resources or Equipment section of the application and does not need to be replicated on Other Support.

Q9: Since the PI needs to delegate access to individuals, is there a way for ORA to remove access to those individuals in the department that either leave UCLA or transfer to another department?

A9: PI Portal will automatically revoke a user's existing access when they separate from the University or when they transfer to a different department on campus.

Q10: Is it possible to amend an agreement and switch from cost reimbursable to a fixed price/amount (milestone based)?

A10: If the sponsor makes the agreement type selection available, it is best to propose the appropriate agreement type at the proposal stage or negotiate with the sponsor at the award negotiation stage before the agreement is signed and becomes legally binding. Converting agreement type for an existing agreement is not a common type of modification we see in practice, unless such modification is to, for example, break the award into different project phases – a completed cost reimbursable phase and an incomplete fixed-based phase (e.g., the sponsor decides to amend the agreement by adding a fixed-based clinical trial phase as the project advances from the initial conceptual basic research stage to the clinical study stage.) An agreement modification requires all parties come to agreement on changes to award terms and conditions. You are welcome to contact OCGA to discuss the particular details of your award.

Q11: If I remember correctly, the only person who can edit the ScienCV is the PI. This cannot be delegated. Is this correct?

A11: Investigators can delegate access in SciENcv. See question 10 at "[Using SciENcv FAQs](#)" for details and instructions.

Q12: Will OCGA be sending a formal campus-wide email summarizing updates re: the sabbatical updates?

A12: On October 25, 2021 APO issued the following email to all Academic Personnel Coordinators:

Dear Colleagues:

As I referenced during the recent APC meeting, our office will be modifying the process for submitting forms related to sabbaticals and other leaves of absence. APO will ultimately modify the Sabbatical & Other Leaves of Absence Form and corresponding Instructions; in the meantime, please follow these procedures:

- *Please direct all Leave forms first to APO for review. Faculty and department personnel should not submit the Leave form to OCGA. For now, there is no need to check off the box that indicates OCGA has been contacted.*
 - *We will notify you if APO has questions about the information submitted or if additional information is needed.*
 - *Otherwise, APO will submit the Leave form to OCGA as needed.*
 - *Once OCGA acknowledges receipt of the form, APO will continue to process the form in accordance with regular practice (e.g., have the Vice Chancellor of Academic Personnel review/approve the form; file the sabbatical form for our records).*
 - *If OCGA has any questions, that office will contact the faculty directly.*
- *If the faculty intends to be on leave for ninety (90) calendar days or less, OCGA will not review the Leave form even if the faculty has marked "Yes" to Section A (Leave Summary) -b., which says, "I am currently PI or Key Personnel on current or pending extramural contracts/grants at UCLA."*
 - *The faculty should still check off the box to accurately reflect whether they are a PI or Key Personnel, but it should be clear on the form that the leave is for ninety (90) calendar days or less.*

*Michael Simidjian
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