Agenda

• NIH & UC San Diego Updates, with Erika Wilson (HS SPPO)
  • Reminder HS SPPO’s Minimum Requirements
  • MOU Process
  • PI Exception Process
  • T32 Comprehensive Training Grants Course
  • eRA Commons Accounts & Affiliations
  • NIH Updates & eRA Enhancements

• eFER Launch, with Marissa Yessis (OPAFS)
# Reminder:
**HS SPPO’s Minimum Requirements for Review**

<table>
<thead>
<tr>
<th>NIH/AHRQ</th>
<th>Subawards</th>
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<tr>
<td>1. ePD Record initiated and fully completed + any other additional required internal documents (i.e., UC/VA Salary Worksheet or Salary Waiver);</td>
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<tr>
<td>2. Internal Budget uploaded;</td>
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<tr>
<td>a) SF 424 Adobe Forms application uploaded in ePD; or</td>
<td>a) PHS Face Page; Detailed Statement of Work; Budget Form Pages ((PHS 398/2590), Budget Justification, and Checklist); or</td>
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<tr>
<td>b) ASSIST number given in Abstract: Internal Comments; or</td>
<td>b) PHS Face Page; Detailed Statement of Work; Budget Form Pages (SF 424 Subaward Budget Attachment Form)</td>
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<tr>
<td>c) eRA Commons application or RPPR routed to your HS SPPO Analyst and noted in Abstract: Internal Comments</td>
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* HS SPPO requires the same documentation for internal proposals when nothing is required to be sent to the Prime Agency.

[https://healthsciences.ucsd.edu/vchs/research-services/hssppo/review/application-prep/Pages/default.aspx](https://healthsciences.ucsd.edu/vchs/research-services/hssppo/review/application-prep/Pages/default.aspx)
PI Exception Process

• Need to start two weeks before proposal is routed for review- after the Department Chair signs.

• ALL PI exception requests should be routed directly to HS SPPO for review and processing regardless of the agency you are submitting a proposal to.

• DO NOT SEND the original to OCGA- send to HSSPPO for review and routing.

• ALL PI exceptions should be prepared at time of proposal except for the following appointment types;
  • Assistant Project Scientist- time of award
  • Adjunct Professor (without salary or less than 50% salary)-time of award
  • New Appointments-time of award
  • ALL SHOULD STILL BE ROUTED THROUGH HS SPPO (they will route final to OCGA)
PI Eligibility

Per UCSD's PPM 150-10, on or before the start date of a proposed project, the Principal Investigator and, if applicable, the Co-principal Investigator(s) must have formally accepted an appointment at UCSD in an eligible title, or qualify by exception approved by the Vice Chancellor.

Eligible employees include Principal Investigators with the following academic titles:

- Professor - all ranks
- Professor in Residence - all ranks
- Professor of Clinical X - all ranks but instructor
- Research Professor
- Professor Emeritus - all ranks
- Adjunct Professors - all ranks if salaried at 50% or more time
- Clinical Professors - all ranks if salaried at 50% or more time
- Research Scientist

Additional PI Eligibility requirements are covered in **PPM 150-10: Eligibility to Submit Proposal for Extramural Support**.

Employees with appointments not in this list may request an exception to serve as Principal Investigator using the **UCSD PI Exception Form**. A PI Exception Request consists of the form signed by the PI and the department chair, a brief description of the project, a written response to the questions on the cover page (normally prepared and signed by the faculty sponsor or division chief), and the PI's Bio Sketch or CV. The PI Exception should be routed to the appropriate HS SPPO Analyst at least two weeks before the proposal deadline.

Please see the **Review Priorities** document which outlines both the department's and HS SPPO's responsibilities in reviewing PI Exceptions.

PI Exception requests are not automatically approved. Approval may depend on the proposed PI's current appointment, proposed future appointment, and the appropriateness of the project to the individual's current stage in their career development.
PI Exception Process

- PI EXCEPTION DOCUMENTS REQUIRED
  - Exception request consists of the original signed Form
  - Responses to the seven questions including a brief description of the project (on a separate document)
  - Bio-sketch or CV for the individual. The bio-sketch prepared for the proposal is acceptable.
PI Exception Process

• RESPONSE TO THE SEVEN QUESTIONS
  • Ideally should be written by the individual’s sponsor/mentor, not the individual since the individual CANNOT discuss what the department’s plans are for the individual.
  • Responses should be consistent and make sense
    • Question #3 discusses the department’s plans for appointment if the proposal is funded. Statements such as “will be appointed” should be avoided- “will be proposed” is preferable.
    • Question #4 ideally this should be specific (Dr. X’s lab, or building and room number) and consistent with the space information which will be input in ePD.
    • Question #7 should have a future plan if the grant is not funded. “will continue to apply for grants” is not an acceptable answer. “will continue to work on the mentor’s research etc.”
Clarification on PI Exceptions

• When are Blanket PI Exceptions allowed?
  • Blanket PI Exceptions will **ONLY** be approved for Assistant Project Scientists for a duration of one fiscal year.
  • No other appointment type is eligible for this type of PI Exception.

• When are Umbrella PI Exceptions allowed?
  • Umbrella PI Exceptions are not approved. Follow PPM-150-10 with regards to PI eligibility and whether or not one is required or when (example: time of submission or award).

For more information:
http://blink.ucsd.edu/research/finding-funding/pi-eligibility.html and
http://adminrecords.ucsd.edu/ppm/docs/150-10.html
Blanket PI Exceptions

- Blanket PI Exceptions for Assistant Projects Scientists are to be processed at Time of Award and will be valid for one fiscal year.

- There is specific letter format for this type of approval.

Dr. Name of Person, in his/her capacity as (Academic Title) for (the Department Name) is approved to submit proposals and to serve as Principal Investigator on UCSD grants and contracts where the activity is limited to the following:

Survey research on programs, reforms, and members of K-12 school-communities (e.g., teachers, administrators, counselors, students, and parents) of their school experience;

Interview investigations, of programs, reforms, and members of K-12 school-communities (e.g., teachers, administrators, counselors, students, and parents) experiences in schools; and

Individual case studies of programs, reforms, and members of K-12 school-communities (e.g., teachers, administrators, counselors, students and parents) experiences in schools.

Approval for extramural activity that is beyond the scope of this exception may be sought on a case-by-case basis according to PPM150-10. This exception shall remain in effect so long as Dr. (Name of person) retains the responsibilities as (Academic Title) in (Department Name).

Sandra A. Brown  
Vice Chancellor  
Office of Research Affairs
MOU Process

- ALL faculty with VA 8ths and NIH funding require and annual MOU.

- We are working VA and VMERF to get all MOU’s updated for compliance.

- Please use the MOU template workbook on the HSSPPO website.

- Once completed obtain the PI and Departmental Chair signatures.

- Route the workbook and the signed pdf. form to Erika Wilson HS SPPO for review and routing. Erika Wilson HS SPPO will obtain Dr. Brenner signature and route to VA & VMERF.

- Once all signatures are completed a copy will be provided to the Fund Manager and also stored with HS SPPO for all future JIT requests from NIH during the one year period.
UC/VA Appointments

Many Health Sciences Principal Investigators have a Joint UC/VA Appointment. A Joint UC/VA Appointment allows faculty members to have an appointment at the University and at the VA hospital. These appointments are represented in 8ths which are indicative of the number of hours a week at each institution. The maximum number of hours these dual appointees can work a week is 60 hours. The investigator’s total percentage of time available for research is based on the number of 8ths and UCSD clinical and departmental commitments. At no point can the total percentage of paid time between the two organizations exceed 150% or 60 hours a week. In addition, no time at a single organization can exceed 100% or 40 hours.

Faculty with joint UC/VA appointments may submit application proposals through either UCSD or the Veteran’s Medical Research Foundation (VMRF). The determination of which institution should submit the proposal is based upon the “preponderance of research.” This is determined by budgeted salaries. If 50% or more of budgeted proposal salaries will be “earned” in VA space, then the preponderance of research will be in VA space and VMRF will submit the proposal application. If less than 50% of the activities will be conducted in VA space, then UCSD will submit the proposal. Please take note of the following exceptions to this guidance:

- Career awards and training grants, funded by NIH or any other agency, must be submitted through UCSD, even if the preponderance of research is at the VA.
- Multi-project applications (PPCs) may require subcontracts to the non-submitting organization.
- Multiple-PI applications are to be submitted by the organization where the contact PI will primarily carry out his or her research. A sub-award will be issued out to the PI who will be performing a majority of the work at the VA.

Budgeting for Submissions

UCSD policy requires salary to be budgeted for all PI effort, no matter how small the effort, for all funding agencies. Unbudgeted effort greater than 5% requires cost sharing documentation. VA salary and time should never be used for cost sharing on applications. See Salary/Effort Concerns for Additional Information.

Faculty effort and salary budgeted on applications are against the UCSD appointment for both UCSD and VMRF submitted applications. The salary rates used are UCSD pay rates and cannot include VA salary in the institutional base rate. Please note that departments should use the NIH salary cap when applicable. UCSD Faculty and certain UCSD staff salaries budgeted on VMRF grants will be paid by UCSD through Personnel Agreements (PAs) issued by VMRF to UCSD. Paying faculty salary through UCSD can maximize UC employee benefits such as retirement and helps reduce the possibility of duplicate or over-payment.

For all faculty with UC/VA appointments, a UC-VA Worksheet should be included with the internal forms. The
MOU Process

NIH policy requires that a Memorandum of Understanding (MOU) be kept on file for faculty with joint appointments who are paid on NIH grants. The MOU states the distribution of the individual’s time between the VA and UCSD and its intent is to demonstrate that NIH is not duplicating salary already paid by the VA. Frequently, they will ask for this documentation and the Just-In-Time phase or before a Notice of Award is issued.

When an MOU is requested, the department should contact the HS SPPO analyst immediately and provide them with the investigator's Other Support documentation and a breakdown of their clinical time (if any) at the VA. Please note that the Other Support should clearly indicate which funding is through UCSD, VMRF, and/or the VA. Once this has been received, the MOU Analyst will create the MOU and send it to the department for approval. The MOU is then signed by the individual, the UCSD chair, the VA, VMRF (if applicable) and the Dean of the School of Medicine. The MOU should be updated whenever an investigator’s appointment changes, or at least annually.

Revised MOU Template
eRA Commons Accounts & Affiliations

HS SPPO now manages, creates, and affiliates all eRA Commons account requests for Health Sciences. Effectively immediately.

https://healthsciences.ucsd.edu/vchs/research-services/hssppo/resources/Pages/eRA-Commons---New-Account-Requests.aspx

ahendry@ucsd.edu
NIH Updates: Continuing Resolution

NOT-OD-17-048: NIH Operates Under a Continuing Resolution

- NIH continues to operate under a Continuing Resolution till April 28, 2017.
- NIH will issue non-competing research grant awards at approximately 90% of the previously committed levels. Upward adjustments will be considered once FY 2017 appropriations are enacted.
- NRSA Post Doc stipend levels and tuition/fees are to follow the projected levels from NOT-OD-17-003.
- NRSA Undergraduate and Graduate stipend levels and tuition/fees will remain at levels announced in NOT-OD-16-062.

NOT-OD-17-049: Interim Guidance on Salary Limitation for Grants and Cooperative Agreements

- By Executive Order 13756, the Executive Level II salary level has increased from $185,100 to $187,000 effective January 8, 2017.

- No adjustments will be made to modular grant applications/awards or to previously established commitment levels for non-competing grant awards issued with FY 2017 funds. Rebudgeting is allowable if adequate funds are available.

- To rebudget funds issued in FY 2017 prior to January 8, 2017, prorated amounts may be used. For NOAs issued between October 1, 2016 and January 07, 2017, the rate of $185,100 should be used, but on or after January 8, 2017, you may increase to $187,000.

- For proposed grant applications, please use the new rate of $187,000.

Updated effective date is January 25, 2018. All grant applications with plans to conduct clinical trials must be submitted in response to an FOA which specifically states that clinical trials are allowed.

On or after that date, applications planning a clinical trial that are submitted to a non-clinical trial FOA will be returned without review.

By Fall 2017, NIH will issue new clinical trial FOAs & RFPs with clinical trial-specific review criteria, forms, and instructions for due dates on or after January 25, 2018.

By January 24, 2018, NIH will have expired clinical trial FOAs & update all remaining active FOAs to include the latest approved forms + indicate that clinical trial applications are not allowed for due dates on or after January 25, 2018.
NIH Updates: DC Operating Status & Due Dates

NOT-OD-17-041: Impact of Washington, DC Area Federal Office Operating Status on NIH Grant Application Due Dates

- Grant application due dates will move to the next business day when the OPM operating status on the original due date is:
  - Federal offices are closed – Emergency and telework-ready employees must follow their agency’s policies
  - Open - Early departure
  - Immediate departure – Federal offices are closed
  - Shelter-in-place
- This policy is not intended to cover NIH closures due to lapses in appropriation. In such cases, specific guidance will be issued, as appropriate.

NIH Updates: NIH Continuous Submission Policy

NOT-OD-17-042: Update & Clarification: NIH Continuous Submission Policy

• NIH has consolidated all NIH policy on this topic into one notice. There has been no change to the policy.

• This policy is for members of review and advisory groups and reviewers with recent substantial service. Temporary or ad hoc reviewers who are not eligible for continuous submission may be eligible to use the late submission window.

• The list of current eligible reviewers is updated monthly: https://grants.nih.gov/grants/guide/url_redirect.htm?id=82340.

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<thead>
<tr>
<th>Continuous Submission Policy</th>
<th>Late Policy</th>
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<tr>
<td>• Applies to R01, R21, and R34 applications submitted by continuous submission eligible PD/PIs and MPIs to FOAs with standard due dates, including standard AIDS due dates.</td>
<td>• All other types of applications submitted by continuous submission eligible PD/PIs and MPIs.</td>
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<td></td>
<td>• All applications submitted by all other PD/PIs and MPIs.</td>
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### NIH Updates: NIH Continuous Submission Policy

Schedule for assignment to Advisory Council Rounds under this policy:

<table>
<thead>
<tr>
<th>Advisory Council Round</th>
<th>Submitted For these Standard Due Dates</th>
<th>Application Receipt Period</th>
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<tbody>
<tr>
<td>R01</td>
<td>R21, R34</td>
<td>Type</td>
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<tr>
<td><strong>May</strong></td>
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<tr>
<td>October 5</td>
<td>October 16</td>
<td>Non-AIDS Applications</td>
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<tr>
<td>November 5</td>
<td>November 16</td>
<td>August 17 – December 16</td>
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<tr>
<td>January 7</td>
<td>January 7</td>
<td>AIDS Applications</td>
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<tr>
<td><strong>October</strong></td>
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<tr>
<td>February 5</td>
<td>February 16</td>
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<tr>
<td>March 5</td>
<td>March 16</td>
<td>December 17 – April 16</td>
</tr>
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<td>May 7</td>
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<td>AIDS Applications</td>
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<td><strong>January</strong></td>
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<tr>
<td>June 5</td>
<td>June 16</td>
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<tr>
<td>July 5</td>
<td>July 16</td>
<td>April 17 – August 16</td>
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<tr>
<td>September 7</td>
<td>September 7</td>
<td>AIDS Applications</td>
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NIH Updates: ICs Now Support or Withdraw from PAs

The following ICs will now support or participate in the following PAs:

- NCI will support training in Patient-Oriented Research via Parent K08 + increase salary to NIH Salary Cap & increase research support to $50,000/year (PA-16-191, per NOT-CA-17-042)
- NIAID will only support Parent K01 awards in the areas of epidemiology, computational modeling, and outcomes research in infectious, immunologic and/or allergic diseases (PA-16-190, per NOT-AI-17-015)
- NHGRI will participate in Opportunities for Collaborative Research at the NIH Clinical Center (U01) (PAR-15-287, per NOT-HG-17-001)

The following ICs have withdrawn from participation in the following PAs:

- NCI has withdrawn participation from the Parent K23 as well as terminated the NCI K23 (PA-16-198 & PAR-16-399; per NOT-CA-17-043 & NOT-CA-17-399)
- NICHD has withdrawn participation from Parent R21 (PA-16-161; per NOT-HD-17-007)
NIH Update: Font Guidelines

NOT-OD-17-030: NIH & AHRQ Update Font Guidelines for Applications to Due Dates On or After January 25, 2017

• Text in PDF attachments must follow these minimum requirements:
  • **Text Color**: No restriction. Though not required, black or other high-contrast text colors are recommended since they print well and are legible to the largest audience.
  • **Font size**: Must be 11 points or larger. Smaller text in figures, graphs, diagrams and charts is acceptable, as long as it is legible when the page is viewed at 100%.
  • **Type density**: Must be no more than 15 characters per linear inch (including characters and spaces).
  • **Line spacing**: Must be no more than six lines per vertical inch.

• Note: since some PDF converters may reduce font size, it is important to confirm that the final PDF document complies with the font requirements.

• Recommended fonts:
  • Arial
  • Georgia
  • Helvetica
  • Palatino Linotype

For More Information, see NIH’s page on how to “Format Attachments” at
The now-deemed “Legacy Application Package” will be phased out in December 31, 2017.

- Applicants will no longer be able to download the older, single PDF application package of forms.
- HS SPPO highly suggests that if you are not doing so now, to start using ASSIST for all of your future NIH applications.
  - Applicants can apply for grants using Grants.gov Workspace or NIH’s ASSIST.
- For any funding opportunities where applicants have downloaded the legacy PDF application package, they will be able to continue to submit that package until March 31, 2018.

eRA Enhancements: Request NCE w/ Prior Approval

Ability to request a NCE with a prior approval can now be done in eRA Commons, under the Prior Approval Tab.

- All fields and listed documents (Progress Report, Budget Doc, and Justification Doc) are required in order to submit the request.
- Work with your OCGA Analyst with regards to these required documents and information.

https://era.nih.gov/erahelp/Commons/default.htm#Commons/Prior_Auth%20Approval%20Module/NCE.htm%3FTocPath%3DPrior%2520Approval%2520Module%7C5
eRA Enhancements: Request Change in PD/PI

Ability for the SO (Signing Official) to request a change in PD/PI can now be done in eRA Commons, under the Prior Approval Tab.

Your OCGA Analyst will need the following from you to process this request during the current awarded budget period:

- New PD/PI name
- Level of effort for PD/PI
- Effective Date
- Justification on change
- Leadership for Grants that will become MPI
- Bio Sketch (for each PD/PI)
- Human Subjects checkbox
- Other Support (for each PD/PI)
- Other Documents
- IC specific upload

https://era.nih.gov/erahelp/Commons/default.htm#Commons/Prior_Approval%20Module/Change_of_PI.htm%3FTocPath%3DPrior%2520Approval%2520Module%7C
eRA Enhancements: xTRACT

xTRACT is the Extramural Trainee Reporting and Career Tracking system and is accessed via eRA Commons. It allows applicants, grantees and assistants to create research training tables for progress reports and institutional training grant applications (T32, TL1, T90/R90, and T15).

- **Participating Faculty Upload**: The length of each faculty member's research interest is now validated, and an error message is displayed if it exceeds the maximum of 60 characters.

- **Copy RTD Features**: Some users had occasionally encountered an unexpected error upon attempting to copy a prior RTD. This issue has been corrected.

- **Correct Mean Values Displayed Properly**: When preparing the data for Predoctoral Applicants/Entrants, the mean values for Total Applicant Pool and Applicants Eligible for Support were sometimes displayed on the Summary tab in reverse order. This has been corrected.
The T32 Comprehensive Training Grants course is designed for fund managers, program managers and/or admin assistants who currently work on NIH Training Grants

Day 1: **April 12, 2017**
- 9:00 AM to 11:30 AM
- Pre-Award Topics: Proposal, Preparing a Budget, Data Tables & xTRACT Overview
- Located at Med Ed, 141

Day 2: **April 13, 2017**
- 9:00 AM to 11:30 AM
- Post-Award Topics: Financial Management, UC San Diego & NIH Trainee Appointments, xTRAIN Overview
- Located at Med Ed, 141

- Attend both sessions or just one, depending on your needs!
- **To register please click on the link below:**
  [https://goo.gl/forms/OPav9QROfPmk2txy1](https://goo.gl/forms/OPav9QROfPmk2txy1)

- Questions? Contact Jill Weller: jweller@ucsd.edu
Questions?