CAYUSE (S2S) NIH REVIEW CHECKLIST
Revised March 15, 2017

PI Name: ___________________________  Due Date: __________
Agency/Type: ________________________  RFA/PA #: __________
Fund Manager ________________________

RFA/PA Special Instructions:

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

Getting Started

- As soon as you are notified of a proposal submission, send an email to DOM DRA with the following information:
  - PI Name, Agency Name, RFA/PA#, Due Date
- Ensure the correct Validation type is chosen. Generally, it will be “NIH”. If the RFA/PA has non-standard instructions, choose “NIH – Opt Out”.
- Under Summary in Cayuse, add the Sponsor Deadline date, e.g. 07/05/2017.
- Cayuse Proposal Title should be formatted as follows:
  - Signing Official’s Initials, PI Last Name, First Initial, PA/RFA #, then add grant short name.
    - EXAMPLE: RGM, Bruin, J., PA-16-160, R01 Heart Study
- Verify that you are using the correct PA/RFA package in Cayuse by checking the Electronic Submission/Proposal Details/Opportunity Number section of the proposal.
- Professional Profiles will need to be created for each UCLA Key Personnel before you start the proposal, unless a profile already exists under the People tab
  - Under the Salary & Fringe Worksheet, enter “12” in the Calendar Months field
  - For non-UCLA Key Personnel, use the Non-UCLA PI #1-10 profile already established. Do NOT set up a Professional Profile for Non-UCLA personnel.

SF424 R&R

- Field 4a – For Resubmissions & Renewals, must contain the NIH grant #, e.g. HL123546.
- Field 11 – Title = max 200 characters*, including spaces & punctuation.
  - * Revision & Renewal applications should have the same title as the previous grant application, unless the specific aims have significantly changed. In these instances, choose a new title.
- Field 12 – Project dates are based on NIH award cycles or RFA/PA.
- Field 14 – Change the PI Org Name to “UCLA David Geffen School of Medicine”.
- Field 14 – Zip code should be 9-digits, e.g. 90095-1736.
- Field 15d – Enter 0, if no Program Income. Otherwise, add appropriate amount.
Project/Performance Site Locations

- Change Org. Name for primary site = **UCLA David Geffen School of Medicine/Division Name**.
- **Street1** should be physical street address (e.g. 10833 Le Conte Avenue).
- **Street2** should be building and room number. To find a UCLA street address, see page 2
- Enter a 9-digit Zip/Postal Code for each Performance Site. Zip Code lookup can be found here.
- List a Performance Site for each subaward, or location where work will be performed, e.g. additional departments and/or laboratories at UCLA other than the PI’s.
  - To find the Congressional District, enter the Institution’s 9 digit zip, **UCLA = CA-033**
  - To find the DUNS number, search for the Institution’s registration in the CCR
- Complete the Performance Site section in the PI’s Professional Profile (People tab) and check “Active”, so information is auto-filled for future proposals.

Other Project Information

- Field 1a & 2a – If applicable, mark YES to Human & Animal Review Pending, unless current approval will be active at start date of award.
- Field 7 – Verify Abstract is no more than 30 lines (not including Abstract Heading).
- Field 8 – Verify Project Narrative contains no more than 3 sentences.
- Field 9 – Include a full reference & Pub Med Central ID # (PMCID) for each publication as per the Public Access Policy.
- Field 10 – **ALL Resources** require a description of how the scientific environment will contribute to the probability of success of the project, unique features of the environment.
- Field 10 – **Early Stage Investigators ONLY** – require a description of the institutional investment in the success of the investigator (e.g. resources, classes, etc.).
- For proposal with subawards, include the Facilities and Other Resources, and Equipment information for each subaward within sections 10 & 11.
Senior/Key Person Profile

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

- **BioSketches** (5 pages max)
  - No graphics, figures and tables allowed.
  - Section A: Personal Statement can include up to 4 citations.
  - Section B: Positions & Honors in chronological order concluding with present.
  - Section C: Describe up to 5 most significant contributions to science. Cite up to 4 publications per contribution. A publication list URL is optional but, if provided, must be a government website (.gov) like myNCBI.
  - Section D: Additional Information: Research Support and/or Scholastic Performance:
    - Ongoing – all dates are current, NOT expired.
    - Completed – contains grants completed ONLY in last 3 years.
      - Assure $ amounts or % effort/calendar months are NOT included in either section.
      - Include the title, project period, agency grant #, role & goal for each Ongoing or Completed award.
    - Pending proposals and Overlap statements should NOT be included.
    - Include both Ongoing and Completed sections even if there are “None”.

- Verify Project Roles for all key personnel are appropriate. Definition of Key Personnel.
- Enter Key Personnel (KP) in the order you would like them to appear in the detailed budget. Once all KP have been entered, hit the blue Sort Personnel button to alphabetize your KP.

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<th>KEY PERSONNEL</th>
<th>Profile Role</th>
<th>Budget Role</th>
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Research and Related Budget
Detailed Budget

- Sections A & B - Project Role matches Key Person Role & Budget Justification.
  - Section A – Salary information is entered in the Base Salary AND the Cal. Salary ($) fields.
    - If you do not enter the salary in both fields, the auto-calculation will not work!
  - Sections A & B – Benefit Rate:
    - Use composite benefit rate (CBR).
    - Enter the rate as a PERCENTAGE (e.g. 34%). This will enable the reviewer to easily determine the rate used when the box is clicked on.
- Section B – Cal/Acad/Sum. Months – enter the TOTAL number of months for all personnel in each category. Example, 2 SRAs at 6.0 Cal. Months/each = 12 Calendar Months Total.
- Do NOT include Grad Fees in the benefits in Section B. Instead, add to Section F8-10, so that the fees can be excluded from the Indirect Cost Base.
- Section F, Fields 8, 9, or 10 – TIF charges are included in the Other Direct Cost section.
  - Reminder: Cost shared effort is not subject to TIF.
- Escalation Rate for future years: Current NIH Policy allows for a 0% overall escalation, unless otherwise specified in the RFA/PA.
  - UCLA recommends a 5% escalation for both faculty and staff salaries.
    - Reminder: The overall total cost escalation should not exceed 0% as per NIH fiscal policy.
  - Do NOT escalate salaries where the NIH Salary Cap was used in year 01.
- Budget Justification:
  - All personnel justified, person months used. All categories justified.
  - Justification includes how future years’ escalation was calculated (if applicable).
  - Justification includes how benefit rates were calculated.
  - If NIH cap used, so state, and also state actual TNS is greater than the cap.
  - Names and categories are listed in the same order as they appear in the detailed budget!
  - All subtotal amounts add up to the totals, AND the total amounts match amounts listed in the detailed budget.
- If you override an auto-calc field (indicated with a red star), explain to DOM DRA what you did and why. Remember Cayuse will auto-calculate your numbers for you. There should be VERY few reasons why an over-write is necessary (e.g. effort w/o salary). Do not over-write an auto-calc field unless you are 100% positive.
Modular Budget

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

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R&R Subaward (see Cayuse (S2S) NIH Subaward Checklist for detailed instructions)

- **Detailed Budgets with Subawards**
  - Verify Subaward Budget box is checked to include with submission to NIH.
  - Complete all sections in the linked Subaward (Performance Sites, Key Persons, Budget, Budget Justification), not in the prime proposal. **When the Subaward is linked to the prime, all sections of the Subaward will auto-fill into the prime. If they do not auto-fill, de-link the sub, and then re-link it.** Key Persons in prime proposal may need to re-alphabetize.
  - Subaward Budget Justification – list the name of the Subaward Institution at the top of the Budget Justification, e.g. “Budget Justification for University of Michigan”
  - Subaward Budget Justification should include escalation rates for future years (if applicable), and benefit rates used.
- **Modular Budgets with Subawards**
  - Verify Subaward Budget box is **NOT** checked. Add a Worksheet Row for each Subaward Institution. This section will only be used for budget calculation purposes.
  - Verify UCLA Indirect Cost calculated correctly, e.g. exclude all but the first $25K EXCEPT for subs to another UC, then total subaward amount is excluded.
  - Upload Signed UCLA Subrecipient Commitment Form, **Subrecipient Letter of Intent** (only for FDP Pilot Institutions) or **Multi-Campus (MCA) Commitment Form** (other UCs), and Subrecipient vs. Contractor Determination Checklist for each Sub to the Documents section PRIOR to deadline.
Research Plan

- Field 1 – Introduction, if applicable, is limited to 1 page, unless otherwise noted in RFA. If changes in Research Strategy are marked (no longer required), include how edits are indicated. i.e. brackets, change in font, etc.
- Field 2 - Specific Aims is limited to 1 page.
- Field 3 – Research Strategy includes: (3a) Significance, (3b) Innovation, (3c) Approach, and needs to meet page limit requirements.
  - Confirm section conforms to new rigors and transparency in research requirement.
- Fields 5-8 – If Human Subjects is marked YES on Other Project Info page, then Items 5-8 completed, unless Exemption #4 is marked, then only need to complete Field 5. Field 6 is only required for clinical trials.
  - Verify PHS Inclusion Enrollment Report has been completed, as needed. If needed, check box to include with proposal submission.
- Field 9 – If Animal Subjects marked YES on Other Project Info page, then ensure Item 9 contains only the following 3 bullet points: 1) Description of Procedures, 2) Justifications, 3) Minimization of Pain and Distress.
- Field 11 – REQUIRED if more than one PD/PI is named.
- Field 12 – Consortium/Contractual Arrangements
  - NIH SF424 Guidelines state: Explain the programmatic (statement of work), fiscal, and administrative arrangements to be made between the applicant organization and the consortium organization(s). If consortium activities represent a significant portion of the overall project, explain why the applicant organization, rather than the ultimate performer of the activities, should be the grantee.
  - This file should include the following information for each Subaward:
    - Name of Subaward Institution
    - Name of Subaward PI
    - Project period dates for Subaward
    - Total Cost for each year
    - Scope of Work
- Field 13 – It is recommended that you include a Letter of Support from each subaward PI.
- Field 14 – Check RFA. Resource Sharing Plan MAY be required.
- Field 15 – Authentication of Key Biological and/or Chemical Resources – new section which may be applicable.
- Field 16 – Appendix
  - Use file names for attachments that are descriptive of the content.
  - A summary sheet of all items included in the Appendix is encouraged. Include in the front of first attachment of the Appendix.
  - Complies with NIH Policy NOT-OD-07-018.
**PHS Assignment Request**
- PIs may request institute and/or study section assignment via the PHS Assignment Request Form. PIs may also list individuals who should not review the application and why. No longer include these requests in the cover letter!

**Other Miscellaneous Items**
- **Cover Letter** – If included, verify it is printed on official letterhead with PI signature and a current date. Verify proposal title referenced in Cover Letter matches Proposal Title on SF 424 RR.

  - **Proposal contains no Errors** (see Error/Warning/Info button at bottom of proposal).
    - If submitting to DOM DRA for administrative review only (i.e. awaiting Research Plan sections from PI), it is okay to have Research Plan Errors only.

  - Verify no headers/footers on any documents.

  - Verify NIH approved font size 11 point or larger, ½ inch margins, 8.5” x 11” sized paper, and black font color have been used.

  - Internal Documents – [eDGE Economic Disclosure](#) for ALL UC Key Personnel, draft EPASS, PI Responsibility (for projects with human subjects), PI Exception (if applicable), Subaward docs, & other required documents have been uploaded to the Documents section of the proposal before submission.
    - If multiple PIs involved, **ALL** UC PIs must complete internal documents, including signature on the draft EPASS.
    - EPASS common issues:
      - 3. Proposal Title should match Cayuse Proposal title.
      - 4. Current Sponsor Award/ID # - complete this for Resubmissions, Renewals, and Revisions. Add “N/A” for new proposals. Do NOT use FOA #.
      - 8. Verify budget figures match actual budget.
      - 9. Remarks – Add:
        - “Submitted via DOM DRA”.
        - “Internal documents should be forwarded to ____.”
          - List OCGA, Clinical Trial Administration Office (CTAO), or Industry Sponsors Research (ISR) in the blank.
        - List all subaward Institutions, if applicable.