

This session will *not* be recorded, but this PowerPoint can found

<https://medschool.ucla.edu/research/researcher-resources/administrative-support/department-medicine-office-research-administration/fund-management-training>

# NIH: JIT, RPPRs, & Public Access Policy

*Pre-Award Miscellaneous Topics*

UCLA DEPARTMENT OF MEDICINE  
OFFICE OF RESEARCH ADMINISTRATION  
ZOOM TRAINING

# Post-Submissions

# What happens after the S2S/Cayuse grant is submitted by OCGA/DRA?

- S2S/Cayuse converts the data to a Grants.gov acceptable format, and then sends the proposal to Grants.gov.
- Grants.gov validates the proposal against Grants.gov formatting requirements
- Appropriate federal agency, e.g. NIH., picks up proposal from Grants.gov
- Grants.gov recommends allowing **2 days** for this process to be completed.

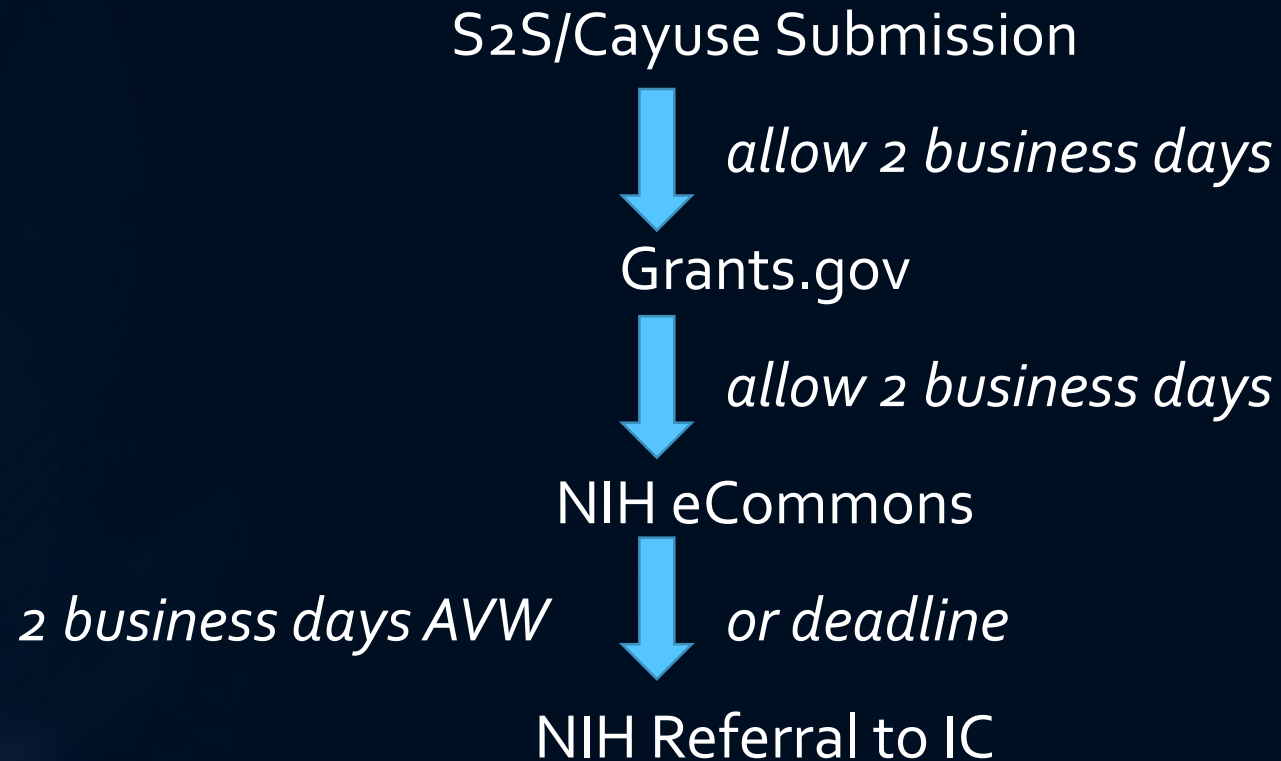
# What happens after the S2S/Cayuse grant is submitted by OCGA/DRA? (cont.)

- The next step depends on the agency.
- NIH retrieves the proposal from Grants.gov and performs its own validation:
  - Validates for NIH Errors and Warnings
    - Errors: In essence, the proposal is not accepted by NIH. Errors MUST be corrected, & proposal resubmitted.
    - Warnings: May have to be corrected, depending on the Warning.
  - Creates a NIH PDF of the proposal
  - Sends email confirmation to PI and S/O.
- NIH recommends allowing **2 days** for this process to be completed.

# NIH Viewing Window

- **Application Viewing Window (AVW):** The time an applicant has to view the electronic image (PDF) in eRA Commons upon NIH's receipt of an Error-free application.
  - The AVW is either 2-days or the deadline time/date: whichever one comes first!
  - During this window, the applicant can correct Warnings, and review the application.
  - "On Time Submission" based against time stamp of submission from Grants.gov

# S2S/Cayuse – grants.gov – NIH Flowchart



# Just-In-Time (JIT)

# NIH Scoring of Proposals

- Impact/Priority Score
  - The NIH grant application scoring system uses a 9-point rating scale (1=Exceptional; 9=Poor)
  - 5 is for a good medium-impact application and considered an average score
  - Overall Impact/Priority Scores range from 10 (highest) to 90 (lowest)
  - Impact/Priority scores are typically available within a few days after the applications are reviewed via the NIH Commons
- Percentile Ranking
  - Impact/Priority Score is converted to a Percentile Ranking in order to rank the application relative to the other applications reviewed by the study section
- Paylines
  - Funding cutoff points used to fund applications. Used to balance the amount of funds the NIH has to spend with an estimated number of applications they expect study sections to recommend for funding
- Summary Statement
  - Approximately 4 weeks after the application is reviewed, a written evaluation (Summary Statement) will be posted to the Commons.
  - Contains the critiques prepared by the assigned reviewers, and recommendations regarding budget & human subject considerations.



# NIH Just-In-Time (JIT) - NOT-OD-12-101

- JIT Notifications:

- 1) Automatic JIT Notification

- Sent to all applicants who receive a priority score of 30 or less.
- JIT link is made available in the Commons.
- PI will receive the generic JIT request email.
- Do **NOT** respond to this JIT Notification. Ask your PI what his/her priority score/% was. If the PI feels it is a fundable score, this is now a good time to start working on any animal and/or human protocol approvals in order to have them in place when the Official JIT Notification is received.
  - **NOTE:** Automatic Notification happens too early. Responding early will mean information is stale dated (e.g. Other Support) when Official JIT Notification is made, and you may have to redo/resubmit updated information.

- 2) Official JIT Notification

- Email will be sent to PI from the NIH Program Officer and/or Grants Management Officer to PIs where funding is HIGHLY likely.
- Notification will be sent much closer to the anticipated start-date of the award, e.g. 6-10 weeks, with usually a short turn around time.

# NIH Just-In-Time (JIT) Information

- JIT: NIH allows the submission of certain elements of a competing application to be deferred until later in the application process, after review, when the application is under consideration for funding.
  - Other Support
    - Be sure Calendar Months for Active + JIT Grant are not > 12!
    - Also keep in mind DGSOM's 85/15 and 90/10 rule for faculty.
  - ARC & IRB approvals & Training Certificates
  - K detailed budgets
- JIT is submitted via the NIH Commons

# NIH Just-In-Time (JIT) Information

- JIT submitted via the Commons:
  - PI can upload the JIT info
    - Signing Official (SO) needs back-up docs for ARC/IRB approval and Human Subject Training Certificates
      - ARC/IRB approval **must** list the proposal for which JIT is being submitted under “funding sources”;
    - Fund Manager cannot access JIT information in the Commons
  - Signing Official (SO) must submit
    - **SO should be OCGA, not DOM DRA**

# NIH Notice of Awards (NOA)

# How to Check NIH Issuance of Notice of Awards (NOAs)

- [Electronic Research Administration \(eRA\) Website](#)
  - Click on the Report of Issued NGAs link
  - UCLA's IPF #: 577505
- General NIH guidance on NOAs  
[https://grants.nih.gov/grants/policy/nihgps\\_2012/nihgps\\_ch5.htm](https://grants.nih.gov/grants/policy/nihgps_2012/nihgps_ch5.htm)

# NIH Progress Reports (RPPRs)

# NIH Progress Reports

- **Research Performance Progress Report (RPPR):** simplified process for submission of information prior to issuance of a non-competing award.
  - The RPPR is required for all types of awards (Rs, Ks, Ts, Us, Ps)
  - RPPRs Due Dates:
    - **Non-SNAP RPPRs:** Due approximately **60 days** before the next grant year budget period start date
    - **Streamlined Non-Competing Award Process (SNAP) RPPRs:** Due approximately **45 days** prior to the next budget year start date

CHECK THE NOA FOR SNAP or NON-SNAP!

# Progress Reports – Interim & Final

- **Interim Progress Reports (I-RPPR)** – [NOT-OD-17-037](#)
  - Required for any grant that has ended, and a renewal has either been awarded, or is still pending.
    - If the renewal is funded, the I-RPPR will be treated as the annual performance report for the final year of the previous competitive segment.
    - If the renewal is not funded, the I-RPPR will be treated as the F-RPPR.
- **Final Progress Reports (F-RPPR)** – [NOT-OD-17-022](#)
  - Required for any grant that has ended, and will not be extended
- Both I-RPPRs and F-RPPRs are due **120 days** from the period of performance end date.



# NIH RPPR – Getting Started

- Request a payroll report from all linked Acct-CCs (Co-Is) AND from each subaward
  - For DGSOM depts, request the FPM/QDB Salary & Percentage by Month report
- An NIH Commons ID is required for **every** undergraduate, graduate, and postdoctoral employee (where effort is equal to or greater than 1 calendar month)
  - Don't forget to request this from all the linked Acct-CCs and Subawards
  - OCGA Signing Officials (SOs) and DRAs can establish Commons accounts
  - Once the Commons logon is established, be sure the students update their Commons profiles
    - Not doing so can cause an RPPR validation error that may prevent you from submitting the RPPR

## NIH RPPR – Things to keep in mind

- Report ALL personnel with effort of  $\geq 1$  calendar month (CM). If  $< 1$  cm, do not include unless PD/PI or other Key Persons listed in the NOA.
- Post Docs, Grad Students and Undergrads listed required to have Commons ID
  - <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-097.html>
- Save often!

# NIH Commons Accounts

- To Establish a new Commons account, email OCGA or DOM DRA with the following info:
  - Full Name
  - Email Address
  - Commons Role, e.g. PI, Post Doc, Assistant
  - For Assistant Roles: Include the name of PI you need to be associated with
- DOM Fund Manager Manual chapter on Electronic Proposal Access

# Who Can Submit the RPPR?

- **SNAP RPPRs:** PD/PI
  - SUBMIT button in the Commons RPPR is live under the PI's login
  - RPPR goes directly to the NIH without OCGA review
  - SNAP = No detailed budget required
- **Non-SNAP RPPRs:** OCGA Grant Analyst
  - PI ROUTES to OCGA Grant Analyst
  - Allow additional time for this process, and OCGA review
  - Non-SNAP = Detailed budget for continuation year required

# RPPR & Public Access Compliance

- Public Access Compliance status displayed
  - Publications must be added to [my NCBI](#) to be included in RPPR
  - Able to submit RPPR without compliance, however eCommons will generate a warning. NIH will contact PI to enforce compliance. Continuation award (NOA) will not be issued until all publications are compliant.
  - **Helpful Hint: Strive for compliance well ahead of RPPR submission.**
- *Bringing papers into compliance:*
  - Use [My NCBI's My Bibliography](#)
  - *Process may take several weeks*
- *PD/PIs must collaborate with project leads and supported authors to ensure all papers are in My Bibliography and thus linked to the RPPR.*

# Internal Documents: Economic Interest

- Don't forget COI eDGE disclosures are required for all UCLA Key Personnel!
- Once RPPR has been submitted, forward to OCGA Proposal Intake Team (proposals@research.ucla.edu):
  - eDGE Disclosure Tracking Form
  - Final RPPR from the Commons

The background features a dynamic, abstract pattern of blue lines that create a sense of depth and movement, resembling a tunnel or a data stream. The lines are curved and converge towards the right side of the frame, with a bright, glowing light source at the end of the tunnel. The overall color palette is various shades of blue, from deep navy to bright cyan.

# NIH Public Access Policy

# NIH Public Access Policy – Overview



# NIH Public Access Policy - Overview

- Enhances public access to archived publications resulting from NIH-funded research.
- NIH-funded investigators are required to submit to the NIH National Library of Medicine's (NLM) Pub Med Central (PMC) an electronic version of the author's final manuscript upon acceptance for publication, resulting from research supported, in whole or in part, with direct costs from NIH.

# NIH Public Access Policy - Overview

- Applies to **ALL** peer-reviewed articles that arise, in whole or in part, from direct costs funded by NIH, that are accepted for publication on or after **April 7, 2008**.
- Anyone submitting an application, proposal or progress report to the NIH must include the PMC or NIH Manuscript Submission reference number when citing applicable articles that arise from their NIH funded research.
  - Where?
    1. **BioSketches**
    2. **References Cited**
    3. **RPPR: Progress Report Publications List.**

# NIH Public Access Policy – Compliance

# What Complies?

- Remember [Pub Med](#), (example: [PMID12345678](#)) is **NOT** [Pub Med Central](#), (example: [PMC8675309](#)). ONLY PMCID #s comply!
- Citations that state “PMC Journal-In Process” are in compliance.....but **only for 3 months** from the publication date.
  - PMC Journal-In Process can only be used when the publisher will submit the article directly to PMC on behalf of the author.
  - Publishers **MUST** be on this [NIH Publisher List](#) in order to use this method.

# What Complies? (cont.)

- NIH Manuscript Submission Reference Numbers (NIHMS) are in compliance....**but only for 3 months** from the publication date.
  - Obtaining an NIHMS # is the first step in getting a PMCID#.
  - The NIHMS # is a temporary substitute for a PMCID when using either Submission Methods C or D, for obtaining a PMCID #.
- Citations listed as “Review” or “Editorial” MAY not require PMCID #s, as they may not be peer reviewed. Check with the PI or My NCBI.
  - If the publication was peer reviewed, then it must have a PMCID #.
  - If it was not peer reviewed, then it does not fall under the policy.

# NIH Public Access Policy – Helpful Hints

# Helpful Hints

- For Compliance
  - If the citation does not list a PMID #, check the [PMC website](#) to see if one has been assigned.
  - If you only have the PMID# or NIHMS#, try using the [Converter Tool](#). This tool will give you the PMID # **ONLY** if the PMID # already exists, i.e. the publication has already been submitted to PMC and a number has been assigned.
- How to get a PMID # - [Submission Methods](#)
- Regardless of who the author is, the PI is responsible for compliance if the PI's grant # is listed under the funding for that citation!!!!

# NIH Public Access Policy – My NCBI



## My NCBI

- My NCBI's My Bibliography feature allows PIs to monitor public access compliance for all the applicable publications that arise from the PI's NIH awards.
- My NCBI is the system NIH uses to monitor Public Access compliance!
- My NCBI will automatically integrate into the NIH progress reports via RPPR C.1 Products/Publications

## My NCBI

- PIs can log into My NCBI using their NIH Commons ID and password.
- PIs can assign an administrator (e.g. fund manager) to their My NCBI account.
- PIs should check My NCBI frequently for NIH Public Access Policy compliance, as PMCID #s can take 2-8 weeks to get assigned.
  - Publications the PI may not be aware of can appear at any time!

# NIH RPPR & the Public Access Policy

- NIH Notice [NOT-OD-13-042](#):
  - For non-competing grant award with a start date of July 1, 2013 or beyond the following applies:
    - NIH may **DELAY** processing of an award if publications arising from the award are not in compliance with the NIH Public Access Policy.
    - Investigators will need to use My NCBI to associate publications with their awards, if the association was not automatically established.

# Links from Today's Class

- [NIH Just-In-Time](#)
- [Public Access Policy](#)
- [RPPR Website](#)
  - RPPR Instruction Guide, archived training materials, FAQs
- NIH Guide Notices
  - [NOT-OD-12-083](#), [NOT-OD-13-035](#), [NOT-OD-13-061](#)
- DOM Fund Manager Manual Chapters
  - [RPPR Questions](#)
  - [My NCBI](#)
  - [NIH Public Access Policy](#)
  - [Relinquishment of C&G](#)
  - [Different C&G Requests](#)

# Survey Link

<http://goo.gl/forms/C3gdjsL5y1>

We appreciate if you would take a few moments to complete a short 5 question anonymous survey to help us improve your training experience. Thank you!