

CAYUSE (S2S) NIH REVIEW CHECKLIST

Revised April 13, 2021

PI Name: _____
 Agency/Type: _____
 Fund Manager: _____

Due Date: _____
 FOA/PA #: _____

RFA/PA Special Instructions:

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| ✓ 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 FOA/PA has non-standard instructions, choose "NIH – Opt Out".
- Cayuse Proposal Title should be formatted as follows:
 Signing Official's Initials, PI Last Name, First Initial, FOA/PA/ #, then add grant short name.
 - **EXAMPLE:** RGM, Bruin, J., PA-18-484, R01 Heart Study
- Verify that you are using the correct FOA/PA/ 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 #1-23 profile already established. Do NOT set up a Professional Profile for Non-UCLA personnel.

SF424 R&R

- Field 4a – For Resubmissions, Revisions & 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 FOA/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.
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Project/Performance Site Locations

- ❑ Change Org. Name for primary site = **UCLA David Geffen School of Medicine/Division Name**.
 - ❑ **Street1:** Physical street address (e.g. 10833 Le Conte Avenue).
Street2: 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.
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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 – Abstract should be no more than 30 lines (not including Abstract Heading).
 - ❑ Field 8 – Project Narrative should contain no more than 3 sentences.
 - ❑ Field 9 – Include a full reference, and the Pub Med Central ID # (PMCID) for each publication where the PD/Pis are authors, 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.
 - ❑ Field 11 – If Equipment is not applicable to the research, upload a PDF so stating.
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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:** Physical street address (e.g. 10833 Le Conte Avenue).
Street2: 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.

Research and Related Budget

Detailed Budget

- ❑ **Sections A & B – Verify 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. 37.4%). This will enable the reviewer to easily determine the rate used.**
 - ❑ 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 and Summer Months effort are not subject to TIF.**
 - ❑ Escalation Rate for future years: NIH does not have a policy regarding [future years escalation](#), unless otherwise specified in the FOA/PA.
 - Request actual costs needed for the project. Request escalation only if escalation is consistent with institutional (UCLA) 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 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.
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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 (which is best practice!). **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 subaward 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.** Required under the following circumstances:
 - To explain any variations in the number of modules requested annually.
 - **REMINDER: Additional Narrative Justification is NOT needed in applications to FOAs/PAs with direct cost limits that do not spread evenly across budget periods (e.g. R21s).**
 - To describe any direct costs that were excluded from the total direct costs (e.g. equipment, tuition remission, rent, etc).
 - To describe any work being conducted off-site, especially if it involves a foreign study site or an off-site F&A rate.
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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.
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PHS Human Subjects and Clinical Trials Information (HSCTI)

[NIH Human Subjects Decision Tool](#): This tool will help PIs in determining if study includes Human Subjects, falls under Exemption #4, or is NO to Human Subjects, but YES to human specimens and/or data.

- **If NO to Human Subjects, but YES to Human Specimens and/or Data**
 - Provide an explanation of why the application does not involve human subject research.
 - **If YES to Human Subjects, and YES to Exemption #4**
 - Under Study Records, add a new study.
 - In the HSCTI form, complete the following:
 - Answer sections 1.2, 1.3, and 1.4
 - 3.1: Add Attachment: Provide justification as to why the study falls under Exemption #4.
 - **If YES to Human Subjects, NO to Exemptions, but NOT a Clinical Trial**
 - In the HSCTI form, complete the following:
 - Section 1: All items, except 1.5
 - Section 2: All items
 - Section 3:
 - 3.1: Required
 - 3.2: Complete only if applicable
 - 3.3, 3.4, 3.5: Optional
 - **If YES to Human Subjects, NO to Exemptions, and YES to Clinical Trial**
 - In the HSCTI form, complete all 5 sections.
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Research Plan

- Field 1 – Introduction, if applicable, is limited to 1 page, unless otherwise noted in FOA/PA. 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.
- Field 5 – If Animal Subjects marked YES on Other Project Info page, then ensure Item 5 contains only the following 3 bullet points: 1) Description of Procedures, 2) Justifications, 3) Minimization of Pain and Distress.
- Field 7 – **REQUIRED** if more than one PD/PI is named.
- Field 8 – 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 9 – It is recommended that you include a Letter of Support from each subaward PI. Be sure all Letters of Support are 8” x 11”.
 - Field 10 –Resource Sharing Plan is be required.
 - Field 11 – Authentication of Key Biological and/or Chemical Resources is required. If this section is not applicable to the research, upload a PDF so stating.
 - Field 16 – Appendix
 - A summary sheet of all items included in the Appendix is encouraged. Include as first page of the Appendix.
 - Complies with NIH Policy [NOT-OD-07-018](#).
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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!
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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 Errors related to the scientific sections only.
 - Verify all [NIH Font & Line Spacing policies](#) were followed:
 - Font: 11 point or larger
 - Type Density: No more than 15 characters per linear inch (including characters & spaces).
 - Line Spacing: No more than 6 lines per vertical inch.
 - General: ½ inch margins, no headers, no footers, 8.5” x 11”
 - Internal Documents – [eDGE Economic Disclosure for ALL UCLA Key Personnel](#), 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** UCLA PIs must complete internal documents, including signature on the EPASS.
 - EPASS common issues:
 - 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”.
 - List all subaward Institutions, if applicable.
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