Welcome
Marcia Smith
Associate Vice Chancellor for Research
&
Rory Constancio
ORA Business and Financial Services, and Research Data Management
Agenda

• Welcome and Announcements
  - Rory Constancio, Director, ORA Business and Financial Services, and Research Data Management

• Contract and Grant Administration
  - Patti Manheim, Director, OCGA
  - Post-Federal Shutdown
  - David Jaquez, Manager, UCLA Jonsson Comprehensive Cancer Center;
  - Kathy Kawamura, Pre-Award Manager, Department of Medicine;
  - Yessenia Sarmiento, Senior Grant Analyst, OCGA
  - Using ASSIST for NIH Complex Applications: Plan, Prepare, Review and Submit

• Extramural Fund Management
  - Yoon Lee, Maurice Taylor, Assistant Directors, EFM
  - NIH awards to transition to subaccounts
  - Post-Award Management System (PAMS) Status Report
  - Effort Reporting Status

• Questions and Discussion
Today’s Topics

- Post-Federal Shutdown - *Patti Manheim, Director, OCGA*
- Using ASSIST for NIH Complex Applications: Plan, Prepare, Review and Submit
  - *David Jaquez, Manager, UCLA Jonsson Comprehensive Cancer Center*
  - *Kathy Kawamura, Pre-Award Manager, Department of Medicine*
  - *Yessenia Sarmiento, Senior Grant Analyst, OCGA*
Federal Shutdown

• NIH and NSF published revised due dates for applications affected by the shutdown
• OCGA reached out to PI’s to confirm whether proposals *on-hold* during the closure were ready for submission
• Submit or PI could refresh applications and submit against the new deadlines
Federal Shutdown

• S2S Grants proposal submissions for period October 17–November 12:
  ▪ 2012: 92
  ▪ 2013: 239

• Progress reports, JIT requests, administrative actions, awards:
  ▪ ????
Federal Shutdown

• NIH rescheduling most of the 200+ missed peer review meetings to January 2014 Council meetings.
• Small number of applications will be reassigned to May 2014 council
• 11,000 applications were affected by these cancellations
• Pushes out award decisions/complicates normal award cycle
• NIH RPPR Phase II Pilot Training Webinar will be rescheduled at a later date.
  ▪ OCGA will reach out to potential participants when an updated schedule is available.
Federal Shutdown

Special Note of Thanks:

• Dr. Sally Rockey, Deputy Director for Extramural Research, NIH

http://nexus.od.nih.gov/all/2013/10/29/a-special-note-of-thanks/
Federal Shutdown

Special Note of Thanks:
- OCGA thanks you for your patience and understanding.
Using ASSIST for NIH Complex Applications: Plan, Prepare, Review and Submit

David Jaquez
Kathy Kawamura
Yessenia Sarmiento
S2S/ASSIST Grants Update

Electronic Submission of NIH Multi-project Applications
Using ASSIST for Electronic Submission

Who can use ASSIST?

- Anyone with a NIH Commons ID, and
- Role(s) of:
  - Signing Official (SO)
  - Administrative Official (AO)
  - Principal Investigator (PI)
  - Assistant (ASST)
  - Account Administrator (AA)
- Including those who are not affiliated with UCLA.
Using ASSIST for Electronic Submission

System Highlights

- Builds multiple single-project applications (cores, projects) within a complex (multi-project) application.
- Individual budgets roll-up into overall budget.
- Allows users to compile a complete PDF application for review prior to submission.
Using ASSIST for Electronic Submission

System Highlights

- Ability to manage user access to at various levels:
  - **Manage Access** – Add an Overall Component
    - Components: Entire Application, Overall, PIM, Core, & Project level.
    - Edit Rights: None/Edit/View: Budget, Non-Budget, &/or All data.
  - **Automatic Access** - PD/PI(s), Project/Core Lead(s), & SOs/AOs.
# ASSIST Grants Update

![Application Submission System & Interface for Submission Tracking (ASSIST)](image)

## User Access Summary

<table>
<thead>
<tr>
<th>User</th>
<th>Primary Organization</th>
<th>Project Type</th>
<th>Component ID</th>
<th>Title</th>
<th>Budget</th>
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<th>All</th>
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<td>Status Maint</td>
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</table>

Click on the User name to add access to other components for the user.
Using ASSIST for Electronic Submission

When should I get started?
• START NOW
  ▪ Review resources available from NIH.
  ▪ **Work with PI to identify team members and gather their Commons User IDs.**
  ▪ Create a checklist, setup regular meetings, and notify OCGA of upcoming proposal
  ▪ Initiate the proposal and create shell structure.
  ▪ Give team members access.
## ASSIST: Task List

### PAR-13-321 NCI PROGRAM PROJECT GRANT (P01) Applications

<table>
<thead>
<tr>
<th>R&amp;R Cover</th>
<th>Overall</th>
<th>Program integration</th>
<th>Project 1</th>
<th>Project 2</th>
<th>Project 3</th>
<th>Project 4</th>
<th>Core A</th>
<th>Core B</th>
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<td>SFLL (Disclosure of Lobbying Activities)</td>
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</table>

### Other Project Information

- Project Summary/Abstract (30 lines of text max)
- Project Narrative (relevance to public health; 2-3 lines)
- Bibliography & References Cited
- Facilities & Other Resources (separate from Equipment)
- Equipment (separate from Facilities and other Resources)
- Other Attachments (ex. Abbreviations) - no limit to # of docs added

### Senior/Key Personnel Profile

- Biosketch

### Research Plan

- Introduction to Application (resubmission/revision only) | n/a     | n/a                 | n/a       | n/a       | n/a       | n/a       | n/a    | n/a    |
- Specific Aims (1 page)
- Research Strategy (Overall/Project/Core; 12 pages; Program Integration 6 pages)
- Progress Report Publication Lists
- Protection of Human Subjects
- Inclusion of Women and Minorities
- Inclusion of Children
- Vertebrate Animals
- Select Agent Research
- Multiple PD/PI Leadership Plan
- Consortium/Contractual Arrangements
- Letters of Support
- Resource Sharing Plan(s)
- Appendix

### R&R Budget

- Budget Justification (only 1 file) | n/a     |

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*n/a - Not Applicable*
S2S Grants Update

Electronic Submission of NIH Multi-project Applications
Assist References/Guidelines

Application Content

• SF424 RR – Version C (7/25/13)
  ▪ Section 4 & 5: basis for all Data Entry & Uploads
  ▪ Section 9: supplemental instructions for MPA (multi-project applications)

• Funding Opportunity Announcement
  ▪ aka (PA, PAR, RFA, etc.)
  ▪ FOA specific content information (supersedes SF424RR)
Assist References/Guidelines

Assist System

- NIH Assist User Guide (9/14/13)

- How to USE the Assist system
  - (does not address “what” should be in the application)
Initiate Application

- Initiation based on FOA (similar to Grants.gov & Cayuse)
# Assist Application Information

## Application Information

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<tr>
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<tr>
<td>PD/PI Name:</td>
<td>ZACK, JEROME A.</td>
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<td>Organization:</td>
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## FOA Information

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<td>Opportunity Title:</td>
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<td>Agency:</td>
<td>National Institutes of Health</td>
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<td>CFDA Number:</td>
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<td>Competition ID:</td>
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<td>Opportunity Open Date:</td>
<td>08/25/2013</td>
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<td>Opportunity Close Date:</td>
<td>09/07/2016</td>
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<tr>
<td>Agency Contact:</td>
<td>eRA Commons Help Desk  Monday to Friday 7 am to 8 pm ET  E-mail: <a href="mailto:helpdesk@od.nih.gov">helpdesk@od.nih.gov</a>  Phone: 1-866-504-9552</td>
</tr>
</tbody>
</table>
Navigation

• Breadcrumbs at the top of each page to help with easy Navigation

• Tab to toggle between screens within Components
Application Shell

Highlights

• Cannot Change Order of “Components”
• Able to “Abandon” Component
• Refer to FOA for specific information re: Component Order & Content
Component – Overall Component

Overall Component

- List the PD/PI
- Does not contain R&R Budget
- Budget automatically generated based on Core/Project budgets
Add Component

“Short Name” (internal to Assist)

Reminder: Add Component in order!
Component – Project / Core

Project

Project / Core

- Data fields similar to other SF424 RR applications in Grants.gov/ Cayuse
- New Assist term: Core / Project Lead
- Auto-Validates after pressing “Save”
• Cannot change order of Sr/Key Persons like in Cayuse
Project / Core

“Add Period” - Budget will pre-propulated based on previous period entry
Research Plan

Assist Content has similar layout and requirements to other SF424 applications
Assist - Actions

Highlights

- PD/PI Automatically has “Edit” rights
- Project/ Core Lead default to “Edit” rights for assigned Project / Core
- eCommons username Required each “User”
- Suggest being judicious with “Edit” rights, utilizing “View” rights when possible
Manage Access

User Access Summary

- Access Level: None, Edit, View
- Access by Component: Entire Application, Project/Core
- Access Sections: Component, Budget, Non-Budget, All
- Authority: Access Maintenance, Status Maintenance
Manual Data Entry

Highlights

• Information not pre-populated like Cayuse
  ▪ Applicant Information
    • Refer to OCGA’s website “Commonly Needed Information”
  ▪ OCGA Administrative Contact Information
  ▪ PI / Project Lead / Core Lead – Sr./Key Person Profile
Preparing your Application for Submission

Validate Often

- As you prepare your application you can, and should, validate at any time during preparation of your application.

The Validate Application action is only available from the Application Information screen.
Preparing your Application for Submission

Application Validation Results

- Each Error or Warning indicates the Component or Form where the problem exists.
- If Errors or Warning are detected for a component in Complete status, it can be put back into Work in Progress status to correct errors/warnings.
Preparing your Application for Submission

Finalize Each Component

- Once you are satisfied that a component is ready to be included in the final application (error free, warnings addressed), update the component status to Final.
- All components must be marked Final before an application can be prepared for submission.
Preparing your Application for Submission

- Change the overall application from *Work in Progress* to *All Components Final* from the Application Information screen.
Preparing your Application for Submission

Before an application can be submitted, it must pass validations.

Application Errors and Warnings Results

- All Validations Passed

When all validations are passed, application status automatically updates to All Components Validated.
Preparing your Application for Submission

- Once all departmental/PI reviews are complete, change the application status to *Ready for Submission* and notify OCGA that proposal is ready for final review and submission.
Preparing your Application for Submission

1. Application Information Screen
   Validate Application - preliminary

2. Within Individual Components
   Address Errors and/or Warnings

3. Within Individual Components
   Change Status for each component to Final

4. Application Information Screen
   Change Application Status to Final

5. Application Information Screen
   Validate Application – final
   All validations Passed?

   - NO
     Status will automatically change to All Components Validated

   - YES
     Application Information Screen
     Change submission status to Ready for Submission

6. Notify OCGA that application is ready for submission

7. OCGA performs final review and submits
Preparing your Application for Submission

• Error-free applications must be submitted by 5:00 p.m. pacific time.
• Connectivity and submission time can be very unstable on deadline days.
• Submit early (days, not minutes) to address unforeseen issues and view your application image in the Commons.
Preparing your Application for Submission

What does OCGA need and when?

- At least **five days** prior to the deadline (minimum requirements for review):
  - Copy of (or link to) program announcement (FOA)
  - All form fields complete and validated for each component and overall application
  - Final draft of Project Summary (Abstract) for each component and overall application
  - Final budget and justification for each component and overall application
  - Completed EPASS with PI signature
  - Signed subaward documents (if applicable)
Preparing your Application for Submission

What does OCGA need and when?

- For final review and submission
  - Final application in *Ready for Submission Status*
  - EPASS with *all* required signatures
  - PI Exception letter (if applicable)
  - All UCLA Investigators have reported in eDGE
Using ASSIST for Electronic Submission of NIH Complex Applications

Resources:

• ASSIST: public.era.nih.gov/assist

• Online help: era.nih.gov/erahelp/ASSIST/

• Applying Electronically Website for Multi-project Applications: grants.nih.gov/grants/ElectronicReceipt/com_index.htm

• Video of Webinar for Applicants, Tuesday, August 8, 11:30 – 1:00: http://grants.nih.gov/grants/webinar_docs/webinar_20130813.htm

• Annotated form set: grants.nih.gov/grants/ElectronicReceipt/files/annotated_multi-project.pdf
Using ASSIST for Electronic Submission of NIH Complex Applications

QUESTIONS
Today’s Topics

- NIH Domestic Awards to Transition to Subaccounts – Yoon Lee
- PAMS Status – Yoon Lee
- Effort Reporting Status – Maurice Taylor
NIH Domestic Award Transition to Subaccounts

- NIH Notice (NOT-OD-13-120) released on September 26, 2013
- Most of payments for NIH domestic awards are currently made via pooled accounts (G) in Payment Management System (PMS).
- In accordance with DHHS directive to Agencies, NIH will transition all domestic awards payments to the PMS subaccounts (P) by the end of FY15.
- NIH determined phased implementation in response to feedback from the grantee community.
  - FY14 (10/01/2013 – 09/30/2014): All new awards including competitive renewal
  - FY15 (10/01/2014 – 09/30/2015): Non-competing continuation awards
- NIH will indicate “PMS account type”, P, on the NoA under the fiscal information section.

### Fiscal Information
- CFDA Number: 93.859
- EIN: XXXXXXXXXXX
- Document Number: RGM103580A
- PMS account Type: P (Subaccount)
- Fiscal Year: 2014

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<th>IC</th>
<th>CAN</th>
<th>2013</th>
<th>2014</th>
<th>2015</th>
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<td>GM</td>
<td>XXXXXX</td>
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Payment Management System (PMS)

- Centralized grants payment and cash management system operated by the Division of Payment Management HHS.
- PMS service is provided to a number of the HHS and the federal non-HHS agencies.
- NIH is one of the federal agencies using PMS service.
- EFM draws cash for NIH awards through PMS on a weekly basis.
- PMS pooled account (G accounts)
  - Draw down funds from a pooled account in aggregate
  - NIH Domestic grantee organizations
- PMS subaccounts (P subaccounts)
  - Draw down funds from award specific accounts
  - NIH Foreign grantee organizations
Implementation Timeline

• FY14 implementation plan for awards with new document numbers
  ▪ All domestic awards with new document numbers issued during FY14 (10/01/13-9/30/14) will be transitioned from the pooled accounts to the subaccounts.
    • Type 1: New awards
    • Type 2: Renewal (a.k.a. Competing continuation)
    • Type 4, 6, 7, and 9
  ▪ All subsequent non-competing continuation awards will be issued in the subaccounts.

• Anticipated FY15 implementation plans for Type 5 and Type 8 awards
  ▪ All non-competing continuation awards that have not yet been transitioned to the subaccounts will be transitioned in FY15 (10/01/04-9/30/15).
    • Type 5: Non-competing continuation
    • Type 8: Change of NIH awarding IC for a non-competing record

• Anticipated FY14 and 15 implementation plans for Type 3 awards
  ▪ All competitive revisions and supplements (Type 3) issued to domestic awards in FY14 and FY15 will be issued in the same account as the parent award – either pooled or subaccount depending on timing.
Anticipated FY15 implementation plans for Type 5 and Type 8 awards, continued

- During the transition period, Type 5 and Type 8 will be issued as Type 4. (funded extension)
  - This will enable NIH to separately track obligations and payments for grants that span Federal FYs 2014 and 2015.
  - NIH will return to the standard use of the type 4s, 5s, and 8s after the transition.

- Project period end will be changed.
  - NIH will break single competitive segment into two “administratively shortened” competitive segments.

<table>
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<th>Original project period</th>
<th>“Administratively shortened” project periods</th>
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<tr>
<td>7/01/13 – 6/30/18 (PMS pooled account)</td>
<td>7/01/13 – 6/30/15 (PMS pooled account)</td>
</tr>
<tr>
<td></td>
<td>7/01/15 – 6/30/18 (PMS subaccount)</td>
</tr>
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</table>

- NIH will not issue a revised Notice of Awards for the changed project period.
  - Change will be reflected in the eRA commons.
Implication to Cash Draw and Reporting

- Change in cash draw in PMS
  - EFM currently draws cash from a pooled account.
  - EFM will start drawing cash from subaccounts for new and continuing awards as NIH establishes them in the PMS subaccounts in FY14 and FY15 respectively.

- No Change in FFR cash transaction reporting
  - EFM currently submits quarterly FFR cash transaction data to Division of Payment Management (DPM).
  - EFM will continue to submit quarterly FFR cash transaction data to Division of Payment Management (DPM).
Implication to FFR Expenditure Reporting

- Award needs to be closed in the pooled account to be transitioned to the subaccount.
- For continuing award being transitioned to the subaccounts in FY15, FY14 award is the final year in the pooled account and the final FFR is required for the “administratively shortened” competitive segment.

- Example:
  Original project period: 7/01/13 – 6/30/18
  Revised project periods: 7/01/13 – 6/30/15 & 7/01/15 – 6/30/18

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<th>FFR – Expenditure Reporting Requirement</th>
<th>Standard Process</th>
<th>Process during Transition</th>
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<td>*SNAP</td>
<td>FFR required at the end of the competitive segment, (e.g. 6/30/18)</td>
<td>FFR required at the end of the first “competitive segment” (e.g. 6/30/15) AND FFR required at the end of original project period (e.g. 6/30/18)</td>
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<td>FFR required annually at the end of the budget period (e.g. 6/30/13, 6/30/14, … 6/30/18)</td>
<td>FFR required annually at the end of the budget period (e.g. 6/30/13, 6/30/14, … 6/30/18)</td>
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*SNAP – Streamlined Non-competing Award Process
http://era.nih.gov/services_for_applicants/reports_and_closeout/esnap.cfm
Accommodating Transition of Domestic Awards to PMS Subaccounts: Changes to Continuing Awards in FY15

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When the FY15 year award is issued, the project period end date is changed to match the budget period end date. This makes the FFR expenditure data for this year the final FFR expenditure data and allows NIH to close the accounting record in the old system. Final Invention Statement and Final Progress Report not required at this time.

Note: Fellowships do not require FFR expenditure data reporting.

Paid via PMS “G” (pooled) accounts.

Paid through PMS using “P” subaccount, which requires cash quarterly report.

Progress report submitted and reviewed as a type 5. At time of release of the FY15 award, system converts the type 5 to a type 4 and increases document number.

Closeout of original competitive segment (years 1-5) within 90 days after end of the last budget period.
Carryover Authority During Transition

- Carryover authority will not be changed.
  - If the original award was issued with automatic carryover authority:
    - OFM will automatically* authorize the carryover of unobligated balance reported on the FFR in the PMS subaccount.
  - If the original award was issued without automatic carryover authority:
    - Prior approval will still need to be obtained before funds are available in the PMS subaccount.
- Carryover funds will not be available in the PMS subaccounts until the final FFR for the prior year(s) of the competitive segment is submitted.

* In accordance with existing policy, the GMO will review unobligated balance in excess of 25% of the total authorized amount for the budget period and may request additional information form the grantee.
Payment Request After 90 days

- Payment request in PMS subaccounts 90 days beyond the project period end date
  - To promote more timely closeout of funds, PMS will now hold payment requests for funds in the subaccounts for the awards that are 90 days or more beyond the project period end date.
  - Fund requests will not be processed until NIH has approved the payment request from the grantee.
  - Final FFR AND the final payment request must be submitted within 90 days after the project period end date.

- To be in compliance with 90 day closing and ensure reimbursement
  - EFM will review the current draw schedule to ensure request of the final payment be made within 90 days after the project end date.
  - Timely submission of closeout packet (COP) to EFM is essential for EFM to process the final FFR and process the final payment request within 90 days.
    - No change on the due dates for COP to EFM: 60 days after the project end date.
    - For the awards transitioning in FY15 that will have two “administratively shortened” project periods, a COP is required for the final FFR for each project period.
Resources

• NIH Notice for award payment transition to subaccounts:

• NIH FAQs for award payment transition to subaccounts:
  http://grants.nih.gov/grants/payment/faqs.htm
PAMS Pilot Status

- Pilot Go Live: Monday, January 6, 2014
- Testing is in progress
- Pilot group training is in progress
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L1 – Overview Lecture Part 1  
L2 – Overview Lecture Part 2  
H – Hands-on  
RAF: Post Award Management System
PAMS Training

RAF: Post Award Management System

PAMS Overview – Part 1, MRL 1-441
Nov 12, 2013

PAMS Overview – Part 1 @ Kinross - 210
Nov 13, 2013
PAMS Project Timeline

- Aug: Application Development
- Sep: Testing
- Oct: Training
- Nov: Pilot Deployment
- Dec: Go Live Jan 6th
Effort Reporting Update

- Open Period Release
  - Spring 2013 – Summer 2013
  - Deadline February 7, 2014

- Closed Period Rate as of 7/29/13 Deadline
  - On-time Submission
    - 83%
  - UCLA’s overall completion rate
    - 98%

- As of 11/14/13
  - UCLA’s overall Work-N-Process rate
    - 93% certification
# Effort Reporting Statistics

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ERS Support

• Outreach Support
• Help Desk: ershelp@research.ucla.edu
  ▪ Connie Brown
  ▪ Leticia Calderon
Q&A
“SEE YOU AT 100%!!!”