Agenda

UC & UC San Diego Updates (or Refreshers)
• Any Questions on the New MOU Process?
• HS SPPO Staff Assignments – Updated!
• HS-TSC New Rate + 3% Escalation Requested
• Reminder: Placeholder in ePD for Final Application
• Reminder: Upcoming HRPP Town Hall Meeting
• PI Exceptions Overview

NIH Updates (or Refreshers)
• RPPR: SNAP vs. non-SNAP
• New Applications Requirements:
  • Training Grant Applications
  • Human Subjects Change
• When You Have a Sub Within a Sub
UC & UC San Diego Updates (or Refreshers)

Erika Wilson
Senior Director, HS SPPO
Any Questions on the New MOU Process?

- There is a new MOU form and process for PIs that have dual effort at UC San Diego and the VA. It is now an electronic form that the Fund Manager completes, submits, and routes/monitors for signatures from UC San Diego and VA signatories in OnBase.

- If you need OnBase access to submit/process a UCSD VA MOU form, please click on the following link to submit your access request: http://hsrsc.ucsd.edu/help/. Please be sure to select OnBase as the system you need help with.

- For more information: https://medschool.ucsd.edu/vchs/research-services/hssppo/review/Pages/UCVA-Appointments.aspx
The HS SPPO Staff Review Assignments has been updated. To locate the assignment list, please go here: https://medschool.ucsd.edu/vchs/research-services/hssppo/review/Pages/Analyst-Review-Assignments.aspx.
HS-TSC New Rate + 3% Escalation Requested

- As of July 1, 2018, the new HS-TSC rate should be $111 per month per projected FTE or fractional proportion based on FTE effort.
- When budgeting out years, include a 3% escalation rate.
- For more information: https://medschool.ucsd.edu/vchs/research-services/hssppo/resources/Pages/Health%20Sciences%20Technology%20Services%20Charge%20(HS-TSC).aspx
Reminder: Placeholder in ePD for Final Application

- One of the minimum requirements for proposal submission in ePD is to include a placeholder for the final proposal, under the Uploaded Attachments Tab.
  - The ePD Record is the official institutional record. HS SPPO does not have full edit rights to ePD. The only rights HS SPPO has, besides approving, is the right to replace attachments in the Uploaded Attachments Tab section. This is why HS SPPO requests a placeholder to be added to the ePD Record.
- For more information what the minimum requirements are for all types of NIH and NIH flow-through applications that go through HS SPPO: https://medschool.ucsd.edu/vchs/research-services/hssppo/review/application-prep/Pages/default.aspx
Reminder: Upcoming HRPP Town Hall Meeting

Town Hall Meeting with the UC San Diego Human Research Protections Program (HRPP)

UC San Diego HRPP and the session will provide information on IRB modernization initiatives and recent changes to federal regulations, as well as a question and answer section. **If you have specific questions for the HRPP, please email these to rci@ucsd.edu, and these will be provided anonymously to the HRPP in advance of the session** (questions may also be asked at the session).

Date: Wednesday, January 30, 2019
Time: 12:30 – 2:00 p.m.
Location: ACTRI Auditorium

Please **register** at the UC Learning Center no later than 1/25/2019. The UC Learning Link for this meeting is here: [https://ucsd.us12.list-manage.com/track/click?u=bf030833fed28e23d67249d08&id=3609c75a58&c=2e81340e8a](https://ucsd.us12.list-manage.com/track/click?u=bf030833fed28e23d67249d08&id=3609c75a58&c=2e81340e8a)
A PI Exception is used when a proposal is being submitted by an individual (usually an academic) whose title is not automatically PI eligible.
<table>
<thead>
<tr>
<th>PI Eligible</th>
<th>Not PI Eligible</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor, all ranks</td>
<td>No affiliation w/ UC San Diego</td>
</tr>
<tr>
<td>Professor-in-Residence, all ranks</td>
<td>Assistant Project Scientist</td>
</tr>
<tr>
<td>Adjunct Professor, all ranks, salaried</td>
<td>Associate Project Scientist &amp; Project Scientist</td>
</tr>
<tr>
<td>Clinical Professor, all ranks, salaried at 50% or more</td>
<td>Associate Physician &amp;</td>
</tr>
<tr>
<td>Professor of Clinical X, all ranks,</td>
<td>Associate Physician Diplomate</td>
</tr>
<tr>
<td>Research Scientist, all ranks</td>
<td>Clinical Professor salaried at less than 50% &amp; no VA 8th</td>
</tr>
<tr>
<td>Research Scientist, all ranks</td>
<td>Clinical Professor, non-salaried (Volunteer)</td>
</tr>
<tr>
<td>Adjunct Professor, non-salaried, any rank</td>
<td>Adjunct Professor, non-salaried, any rank</td>
</tr>
</tbody>
</table>
PI Exception Current Process

1. The PI Exception Form must be fully completed & signed by the PI and their Department Chair.

2. The seven (7) questions on the PI Exception Form answered completely.

3. The PI’s Biographical Sketch or Curriculum Vitae (CV) must be included.

4. Submit the PI Exception package to HS SPPO at least ten (10) business days before the deadline:
   a. NIH proposals submitted through HS SPPO.
   b. All non-NIH proposals submitted through OCGA or SIO.

PI Exception Blank Form: https://blink.ucsd.edu/_files/ocga/forms/PI%20Exception.pdf
In this box enter the ePD #, unless a UCSD # has been created, then use the UCSD #.
Answer ONLY the first seven (7) questions.

Please attach a curriculum vitae or bio-bibliography, a two-to-three sentence description of the proposed research, and the department’s responses to the following questions in sequence:

1. How will the project or program contribute to the “basic academic plan” and/or research programs of the department or organized research unit?

2. What are the qualifications of the individual to undertake the proposed project or program? If the proposed PI is a project scientist, discuss their demonstrated strong potential for conducting independent research. If sole-PI status is requested, state why no regular faculty or research scientist is to act as Co-PI with the applicant.

3. What are the unit’s plans for future appointment status of the individual through the end date of the proposed grant period and afterwards?

4. Does adequate space for the project exist within the unit for the duration of the project?

5. What fund sources are budgeted to provide the balance of the individual’s salary when less than 100% salary is requested in the proposal?

6. What fund source will provide services, e.g., secretarial support, supplies, duplication and telephones?

7. If the proposed project or program is not funded, what are the future plans for the individual requesting this exception to policy?

8. (SIO only) Other than research expertise, which is expected of all academic participants in a research project, how would granting of PI status benefit the proposed effort?

Please Note: Request must be submitted to the appropriate Vice Chancellor or Dean 10 working days prior to the agency due date.
# PI Exception Form

I understand that the approval of this exception to policy does not imply that the University will extend or increase my current appointment period, nor does it obligate the University to do so.

## Prepared By

### Alice Abernathy

- **Name**: Alice Abernathy
- **Phone Number**: 858-534-0000
- **E-mail Address**: Alice_Abernathy@ucsd.edu

## Approval Signatures

### Paul W.S. Anderson signature

- **Date**: 08/26/10

### Alice Abernathy Signature

- **Signature of Proposed PI**: Alice Abernathy
- **Date**: 08/25/10

### Condition

Approval is contingent upon appointment to the proposed title and favorable endorsement by the Affirmative Action Coordinator.

Office of Research Affairs 10/2007
PI Exception Form Tips

- The response to the seven questions should be written by the PI’s sponsor, since the PI (and the Fund Manager) cannot discuss what the department’s plans are for them.
- Responses to the seven questions 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 preferred.
- Question 4 should be specific (Dr. X’s lab, or building and room number) & consistent with the space information which will be filled in on the ePD Record.
- Question 5, 6, and 7 should be specific and state the appropriate fund and/or index number(s), if applicable.
  - Note for Question 7: statements like “will apply for other grants”, etc. are not acceptable.
Effective 09/07/2010

- As indicated in the following table, certain appointment types are not required at time of submission, but instead at time of award.

- Additionally, **Blanket PI Exceptions** will be **approved for Assistant Project Scientists for the duration of one year**.
Currently, When is the PI Exception Reviewed?

<table>
<thead>
<tr>
<th>Appointment Type</th>
<th>PI Exception Processed/Reviewed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic Administrator/Coordinator</td>
<td>Time of Submission</td>
</tr>
<tr>
<td>Adjunct Professor</td>
<td>Time of Award</td>
</tr>
<tr>
<td>Clinical Professor</td>
<td>Time of Award</td>
</tr>
<tr>
<td>New Appointment</td>
<td>Time of Award</td>
</tr>
<tr>
<td>Postgraduate Research/Post Doc Fellows</td>
<td>Time of Submission</td>
</tr>
<tr>
<td>Assistant Project Scientist</td>
<td>Time of Award</td>
</tr>
<tr>
<td>Associate or Full Project Scientist</td>
<td>Time of Submission</td>
</tr>
</tbody>
</table>
PI Eligible Resources

PPM 150-10: Eligibility to Submit Proposals for Extramural Support –
http://adminrecords.ucsd.edu/PPM/docs/150-10.html

Principal Investigator (PI) Eligibility –
https://blink.ucsd.edu/research/finding-funding/pi-eligibility.html
NIH Updates (or Refreshers)

Erika Wilson
Senior Director, HS SPPO
## RPPR: SNAP vs. non-SNAP

<table>
<thead>
<tr>
<th>SNAP</th>
<th>Non-SNAP</th>
</tr>
</thead>
<tbody>
<tr>
<td>If an award is issued under the SNAP (Streamlined Noncompeting Award Process) provisions, the progress report is due the 15th of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/15). If the 15th falls on a weekend or Federal holiday, the due date is automatically extended to the next business day. Grantees should consult the NoA to determine when SNAP procedures apply.</td>
<td>If an award is not issued under the SNAP provisions, the progress report is due the first of the month preceding the month in which the budget period ends (e.g., if the budget period ends 11/30, the due date is 10/1).</td>
</tr>
<tr>
<td>At UC San Diego, PI’s have been granted the right to submit these types of RPPRs without the assistance of the departmental or central SPOs. Thus, they are not entered into ePD.</td>
<td>PI’s do not have the right to submit these types of RPPRs without the assistance of the departmental or central SPOs. Thus, they are entered into ePD and HS SPPO submits on their behalf.</td>
</tr>
</tbody>
</table>
RPPR: SNAP vs. non-SNAP

- Where in the NoA is it identified whether or not SNAP or non-SNAP?
  - Section III – Terms and Conditions.
    - SNAP: one of the terms will state the following: “This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).”
    - Non-SNAP: one of the terms will state the following: “This grant is excluded from Streamlined Noncompeting Award Procedures (SNAP).”
NOT-OD-19-029 – Harassment and Discrimination Protections in NIH Training Applications

• The Letters of Support section of institutional training (T) applications must include a letter on institutional letterhead signed by a key institutional leader that describes the institutional commitment to ensuring that proper policies, procedures, and oversight are in place to prevent discriminatory harassment and other discriminatory practices.

• This letter will be required effective with the January 25 deadline for T Series applications.

• UCOP RPAC has secured a letter from UC Provost Michael Brown to meet this new requirement. The letter from the Provost can be found here: https://www.ucop.edu/research-policy-analysis-coordination/_files/nih-training-provost-letter.pdf.
New Application Requirements: Human Subject Change


• Individuals of all ages are expected to be included in all NIH-defined clinical research unless there are scientific or ethical reasons not to include them. Applications for research involving human subjects must address the age-appropriate inclusion or exclusion of individuals in the Inclusion of Women, Minorities, and Children section of the proposed research project.

When You Have a Sub Within a Sub

- What do you do when you have a sub (Tier 1) within a sub (Tier 2) in ASSIST?
- Step 1: Have the sub’s sub (Tier 2) complete the SF424 R&R Subaward Budget Form. The sub’s sub’s (Tier 2) PI would also be considered a Consortium PI.
- Step 2: Have the sub’s sub (Tier 2) flatten this PDF (print to PDF), then add the PDF of the sub’s sub’s (Tier 2) Budget Justification to this PDF.
- Step 3: Have the sub (Tier 1) add this flattened PDF to the end of their Budget Justification and upload it into their SF424 R&R Subaward Budget Form. Which will in turn be added to our ASSIST application, under Subaward Budgets.
- Step 4: Do not forget to add this sub’s sub as a Site/Performance Location in ASSIST as well as to the Sr/Key Person Profile and Facilities and Resources sections, where applicable.
UC San Diego Health

Health Sciences SPO

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