

Interacting with NIH Electronically

Megan Columbus, Scarlett Gibb, Russell Wyland

Discussion Topics

Transitioning to electronic submission

```

    graph TD
      A[Prepare to Apply] --> B[Find Opportunity and download application package]
      B --> C[Prepare application]
      C --> D[Submit application to Grants.gov (AOR submits)]
      D --> E[Check submission status in Commons]
      E --> F[Verify the application]
      F --> G[Submission Complete]
      G --> H[Finding help]
  
```

THE PROCESS

2

Discussion Topics

Transitioning to electronic submission

```

    graph TD
      A[Prepare to Apply] --> B[Find Opportunity and download application package]
      B --> C[Prepare application]
      C --> D[Submit application to Grants.gov (AOR submits)]
      D --> E[Check submission status in Commons]
      E --> F[Verify the application]
      F --> G[Submission Complete]
      G --> H[Finding help]
  
```

THE PROCESS

3

Transitioning to Electronic Submission

By the end of September 2007, NIH plans to:

- Require electronic submission through Grants.gov for all NIH grant applications
- Transition from the PHS 398 application form to SF424 family of forms data set
 - SF424 Research and Research-Related (SF424 (R&R))
 - SF424 Discretionary (of limited use for NIH)

Revised Timeline:
http://era.nih.gov/ElectronicReceipt/files/Electronic_receipt_timeline_Ext.pdf

Announced in the NIH Guide, Aug. 19, 2005:
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html>

4

Why Transition to Electronic Submission?

- Eliminate burden of paper-based data collection
- Leverage efficiencies to shorten the cycle from application receipt to award
- Improve data quality with electronic validations
- Reduce scanning, printing, and data-entry costs
- Create consistent, clear and color grant image

5

Why Transition?

- Public Law (PL) 106-107
 - Federal Financial Assistance Management Improvement Act of 1999
 - Improve the effectiveness and performance of Federal financial assistance programs
 - Simplify Federal financial assistance **application** and reporting requirements
 - Improve the delivery of services to the public
- President's Management Agenda (2002)
 - "Agencies to allow applicants for Federal Grants to apply for, and ultimately manage, grant funds online through a common web site, simplifying grants management and eliminating redundancies . . ."

6

This is a Huge Transition for All of us!

- The simultaneous transition to electronic application submission and a new set of application forms is a huge initiative for NIH with an aggressive time table
- It involves:
 - Many funding mechanisms
 - Tens of thousands of applications ranging widely in size and complexity
 - Numerous communications from NIH staff and applicant organizations regarding the new submission process and application form set
- The transition relies upon many pieces for its success:
 - Technical development of eRA and Grants.gov systems
 - Trans-agency resolution of policy and operational issues
 - Lots of communications, training and outreach
 - Acceptance of change by NIH staff
 - Acceptance of change by our research partners in the extramural community.

7

Multiple Systems Working Together

- Grants.gov – the Federal government's single on-line portal to find and apply for Federal grant funding.
 - Used by all 26 Federal grant-making agencies.
- eRA Commons – the NIH electronic Research Administration system that allows applicants/grantees to electronically receive and transmit application and award information.
 - Used by NIH and other HHS components.

Important! Each system has its own registration requirements and validation process.

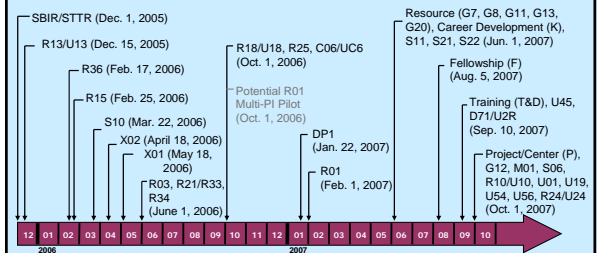
8

NIH's Transition Strategy

- NIH will transition by individual research program/funding mechanism
- **ALL** applications in response to these announcements for transitioned mechanisms will require electronic submission through Grants.gov on the SF424 family of forms
- Mechanisms not yet transitioned will continue to require paper PHS 398 submission
- NIH will announce plans to transition mechanisms in the NIH Guide for Grants and Contracts

9

NIH Planned Transition Dates of Mechanisms for Electronic Submission using the SF424 (R&R)

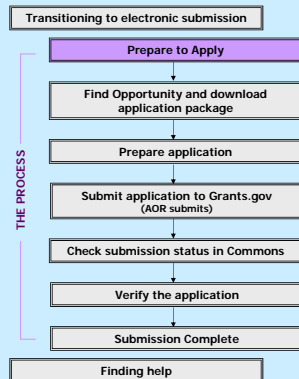


Current as of February 21, 2006. Visit the Web site for the latest version: <http://era.nih.gov/ElectronicReceipt/>

Mechanism Abbreviation Key:		
C06/UC6	Research Facilities Construction Grants	R21/R33
DP1	NIH Director's Pioneer Award Program	R24/U24
D71/U2R	International Training Cooperative Agreement/Phase 2 of PHS mechanism D71	R25
G	Resource Program	R34
F	Research Program	R36
P	Research Project Grant Program	SBIR
R01	Small Grant Programs	STTR
R03	Research Project Grant Program	S06/S10/S11
R10/U10	Small Grant Programs	S21/S22
R13/U13	Cooperative Clinical Research Grants	U
R15	Support for Conferences & Scientific Meetings	X01
R18/U18	Academic Research Enhancement Awards (AREA)	X02
	Research Demonstration and Dissemination Projects	
		Epiology/Development Research
		Resource Related Research Projects
		Education Projects
		Clinical Trial Planning Grant Program
		Research Dissertation Grant Program
		Small Business Innovation Research
		Small Business Technology Transfer
		Biomedical Research
		Health Disparities Endowment Grants
		Cooperative Agreement Awards
		High Throughput Screening
		Preapplication

10

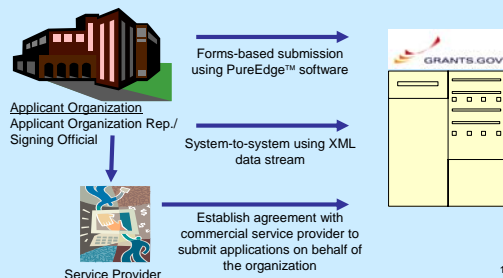
Discussion Topics



11

Choose Submission Method

- The applicant organization's business office will need to decide how their organization will submit grants electronically to Grants.gov.



12

Registration Requirements

- Both Grants.gov (organizations only) and eRA Commons (organizations and PIs) registration is required for electronic submission.
- These are separate processes that can be done simultaneously.
- All registrations must be completed prior to application submission.
- Failure to complete the required registrations prior to application submission may result in delay of review assignment and funding consideration.**

It is critical for institutions to begin these registrations at **least 2-4 weeks before** applications are due!

13

Registration – Grants.gov



- Applicant organizations** must complete one-time only registration
- Principal Investigators do not need to register with Grants.gov
- Detailed instructions at: <http://grants.gov/GetStarted>
- Registration not required to find funding opportunity or download application package, only to submit completed application

It is critical for institutions to begin this registration process at **least 2-4 weeks before** applications are due!

14

Registration – eRA Commons



- Applicant institutions must complete one-time only registration.
- Principal Investigators (PIs) must work through their institutions to register.
 - The PI must hold a PI account and be affiliated with the applicant organization.
 - PIs currently registered only for Internet Assisted Review (IAR) must work through their institutions for full eRA Commons registration.
- PI and Signing Official (SO) need separate accounts in eRA Commons since both need to verify the application.
- See <http://era.nih.gov/ElectronicReceipt/preparing.htm> for additional information.

It is critical for institutions to begin this registration process at **least 2-4 weeks before** applications are due!

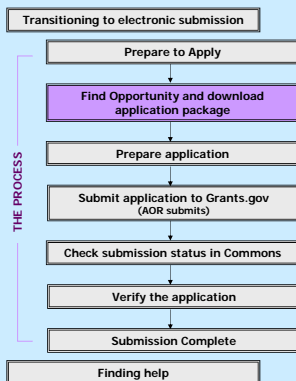
15

Software Requirements

- PureEdge viewer downloaded (free) from Grants.gov site at <http://www.grants.gov/DownloadViewer>
- PDF generation software
 - Grants.gov lists some available tools and software <http://www.grants.gov/assets/PDFConversion.pdf>.
- MAC users will need to use PC emulation software or download free CITRIX client application to take advantage of the CITRIX service offered by Grants.gov in partnership with NIH. <http://www.grants.gov/MacSupport>
 - PureEdge has committed to providing a platform independent viewer by November 2006. PureEdge viewer downloaded (free) from Grants.gov site at <http://www.grants.gov/DownloadViewer>

16

Discussion Topics

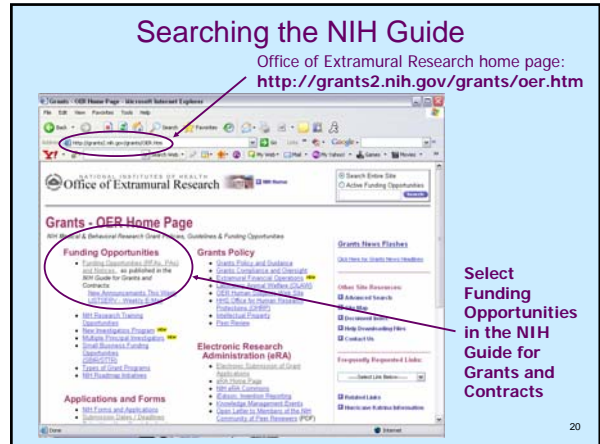
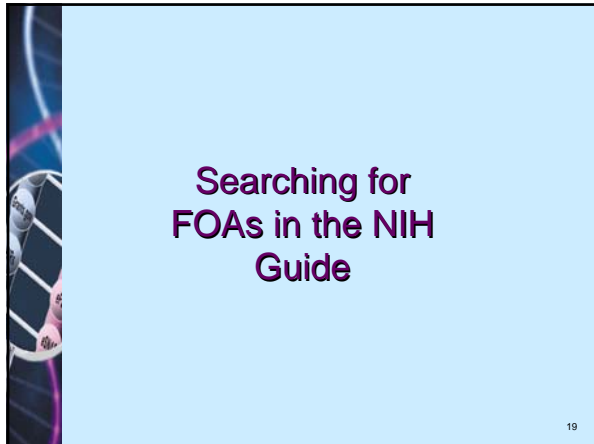


17

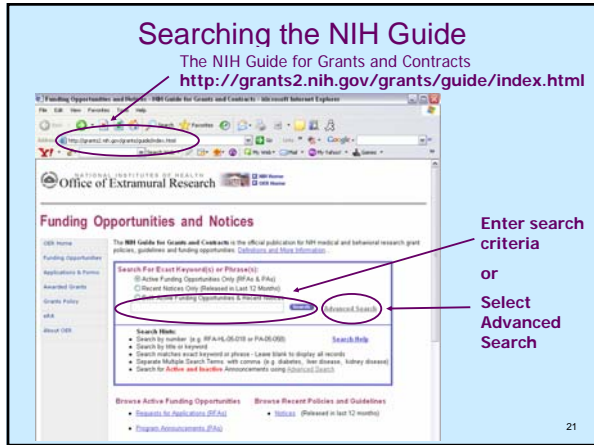
Funding Opportunity Announcements

- NIH will continue to use RFAs and PAs, but all solicitations will be referred to as funding opportunity announcements (FOA) in Grants.gov
- FOAs will continue to be posted in the NIH Guide for Grants and Contracts (<http://grants2.nih.gov/grants/guide/>)
 - Button added to the NIH Guide announcements allowing applicants to access the Grants.gov application package directly from the NIH Guide
- FOAs will simultaneously be posted to Grants.gov along with the appropriate application package
- All **grant applications must be submitted in response to an FOA**. "Investigator Initiated" applications will now be submitted, via grants.gov, to parent announcements that are mechanism (e.g. R01, R21, R44, etc.) specific.

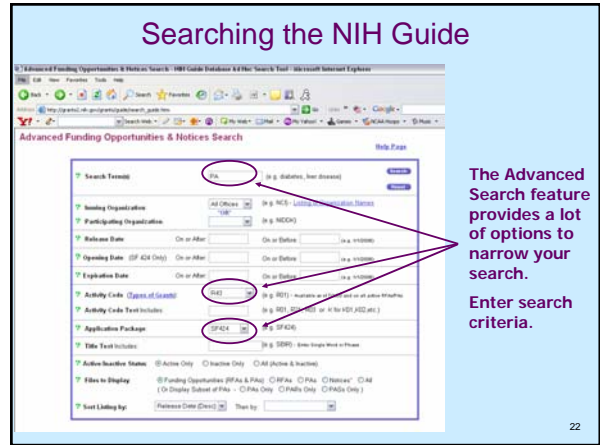
18



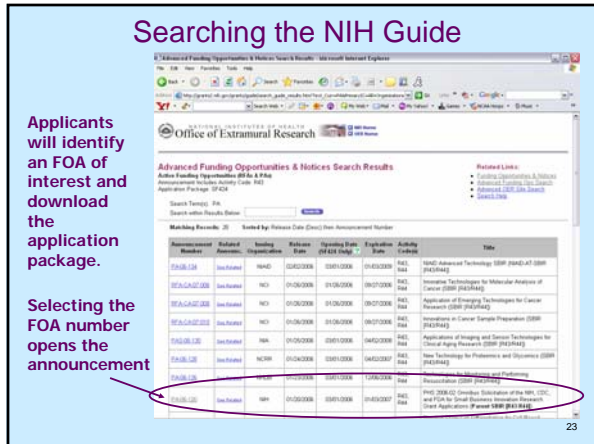
Select Funding Opportunities in the NIH Guide for Grants and Contracts



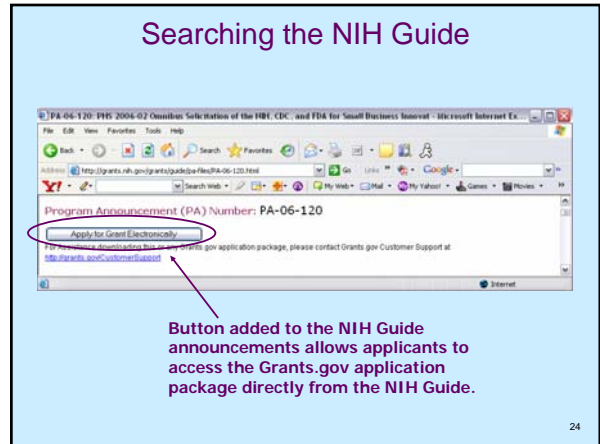
Enter search criteria
or
Select Advanced Search



The Advanced Search feature provides a lot of options to narrow your search.
Enter search criteria.



Applicants will identify an FOA of interest and download the application package.
Selecting the FOA number opens the announcement



Button added to the NIH Guide announcements allows applicants to access the Grants.gov application package directly from the NIH Guide.

Searching the NIH Guide

Download Grant Applications - Microsoft Internet Explorer

GRANTS.GOV™

Selected Grant Applications for Download

Download the application and its instructions by selecting the corresponding download link. Save these files to your computer for future reference and use. You do not need internet access to read the instructions or complete the application unless you use them from your computer.

Before you can view and complete an application package, you must have the following items installed: (Click Here to download the latest Adobe Flash® plug-in and view the download details.)

Review a list of the agency awards currently available for the CFDA grant Funding Opportunity Number that you entered. To download the application instructions or package, click the corresponding download link. You will then be able to view the files on your computer for future reference and use.

CFDA	Opportunity Number	Competition ID Title	Agency	Instructions and Application Package

Download FOA instructions and applications package from Grants.gov

25

Searching for FOAs in Grants.gov Find

26

Grants.gov Find

www.grants.gov

GRANTS.GOV™

FIND. APPLY. SUCCEED.™

Grants.gov allows organizations to view online job and application information for more than 8000 federal agencies. Grants.gov is the single access point for over 1000 grant programs offered by all federal grant-making agencies. The full Department of Health and Human Services is proud to be the managing partner for Grants.gov, an initiative that is being an unprecedented step in the grant community.

Navigation of Grants.gov is simple. Use the colored tabs and links at the top of the screen to access primary sections of the site or the links in the left and below to access information or help topics.

Find Grant Opportunities

- Search for Grant Opportunities
- Access the most requested information and features
- Download Active Grants in XML Format

Apply For Grants

- Search for Grants Through Grants.gov
- Search for Grants Through Grants.gov
- Complete grant applications online
- Complete grant applications online
- Complete a Grant Application Package
- Search a Grant Application Package
- Check the Status of an Application Submitted on Grants.gov

Easy access to Find from every page

27

Grants.gov Find

Grants.gov - Find Grant Opportunities - Search Grant Opportunities - Microsoft Internet Explorer

Address: http://www.grants.gov/search/searchHome.do

FIND grant opportunities

Grants.gov provides organizations with the ability to search for grant opportunities. The Office of Federal Financial Management recently issued a guidance document requiring that all Federal agencies post grant opportunities online as of November 7.

To begin your search for grant opportunities, access [Search Grant Opportunities](#) below. To register to receive all email notifications of new grant postings from Grants.gov, access [Grants.gov eNotify](#) below.

Search Grant Opportunities

- Basic Search
- Advanced Search
- Receive Grant Opportunity Emails
- Selected Notices based on Funding Opportunity Number
- Selected Notices based on Advanced Criteria

Choose Basic Search or one of the other search options

28

Grants.gov Find

Grants.gov - Find Grant Opportunities - Search Grant Opportunities - Microsoft Internet Explorer

GRANTS.GOV™

Search Grant Opportunities

Basic Search | Advanced Search

To perform a basic search for a grant, complete the "Advanced Search" or "Simple" by Funding On the "Search by CFDA Number" field, and then click the "Search" button.

Access [Search Tips](#) for helpful search strategies, and click the [Help](#) button in the upper right corner of the screen.

Keyword Search:

Search by Funding Opportunity Number:

Search by CFDA Number:

Search [Clear Form]

Enter your search criteria.

Or enter opportunity number. Do not use CFDA number for NIH opportunities.

29

Grants.gov Find

Grants.gov - Find Grant Opportunities - Search Results Grant Opportunities - Microsoft Internet Explorer

GRANTS.GOV™

Search Results

Sort: Relevance, Descending | Sort by Date

Results 1-20 of 208

Class Code	Opportunity Title	Agency	Funding Number
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120
	2008-01-01 Contract Solicitation of the NIH, CDC, and CCR for Small Business Innovation Research Grant Applications (Phase II) (R01) (R)	National Institutes of Health	PH-08-120

Choose an FOA of interest

30

Download Application Package & Instructions

Select Apply for Grants tab

Select link to download application package and instructions

31

Download Application Package & Instructions

Enter the FOA you want to download

32

Download Application Package & Instructions

Download specific FOA

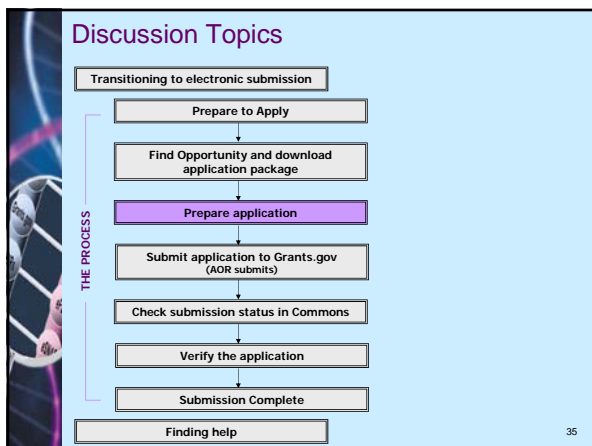
33

Download Application Package & Instructions

Register to receive notification of changes to application package

Download the application instructions and package from this location

34



Preparing an Application

- Only the specific application package associated with an FOA can be used to apply.
 - Some fields of the application are pre-filled from the announcement.
- The forms must be filled out according to the accompanying application guide and any specific guidelines in the announcement.

Carefully read and follow all NIH instructions!

36

Preparing an Application

Select "Save" to save the application package to your local hard drive.

All mandatory Grants.gov fields are high-lighted and denoted with an asterisk. See Application Guide for additional NIH requirements.

37

Preparing an Application

All Mandatory Documents must be completed in order to submit the application

Optional documents may or may not need to be filled out – refer to the agency specific instructions

NIH will use agency-specific forms labeled PHS 398

38

Preparing an Application

To open a form, highlight the form and then select "Open Form"

39

Preparing an Application

Select this icon to receive field-sensitive help

This DUNS Number must match the DUNS Number used for the Institution's Grants.gov registration and the DUNS Number that is registered with the eRA Commons

40

Preparing an Application

Submit button will not become activated until the following has been completed:

- * All **Mandatory Fields** have been completed
- * All **Mandatory Documents** have been completed and moved to the Completed box
- * All **applicable Optional Documents** have been completed and moved to the Completed box
- * **Only a AOR/SO can submit a grant!**

Helpful Hint: To get the "Submit" button activated, use the "Check Package for Errors" Button to find uncompleted Mandatory Fields

41

Preparing Text Attachments

- NIH only accepts attachments in PureEdge or PDF format.
 - Do **not** submit attachments in other formats such as Microsoft Word, Word Perfect, etc.
- ** Second most common Error made by applicants to-date. ****
- Do not put special characters in file names.
- Disable all security features in the PDF document.
- Do not include active links in any PDF document.
- Do not send PDF documents with editable fields (fields that can be changed).

Check out <http://era.nih.gov/ElectronicReceipt/> for additional information on avoiding common errors.

42

Advice from Experience

- Read and follow all application instructions!
 - Failure to follow instructions has resulted in applicants having to submit corrected applications.
 - There are application fields not marked as mandatory on the federal-wide form but that are required by NIH
 - For example, the credential field of the R&R Senior/Key Person Profile component MUST contain the PI's assigned eRA Commons User ID for NIH to process the application submission.

Important!

**** Most common Error made by applicants to-date. ****

43

RESEARCH & RELATED Senior/Key Person Profile

PI eRA Commons User ID must be supplied here for successful submission

44

Discussion Topics

THE PROCESS

- Transitioning to electronic submission
- Prepare to Apply
- Find Opportunity and download application package
- Prepare application
- Submit application to Grants.gov (AOR submits)
- Check submission status in Commons
- Verify the application
- Submission Complete
- Finding help

45

Submit Application to Grants.gov

The application will connect automatically to the Internet and to Grants.gov

Enter your Grants.gov username and password – you must be fully registered to successfully submit

46

Submit Application to Grants.gov

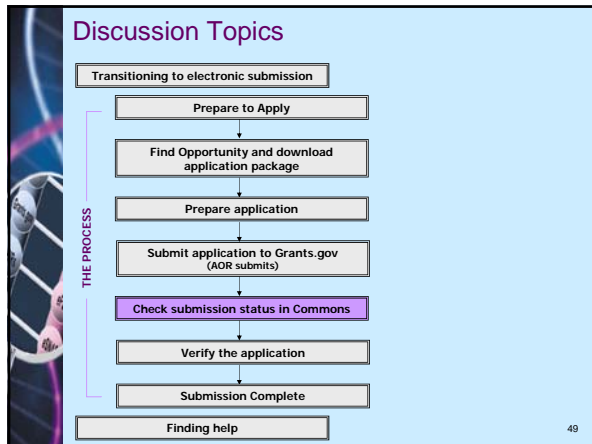
Scroll to the bottom of the confirmation screen to receive:

- Grants.gov Tracking Number
- Date/Time Stamp (grants are due 8 p.m. ET on day of submission deadline)

47

Post-Grants.gov Submission...grant application is now with eRA Commons

48



Check Submission Status in Commons

- Once the application has been submitted, Grants.gov and eRA Commons will send a series of status Email notifications.
- Grants.gov sends notifications to the AOR only; eRA Commons sends notifications to the AOR/SO and the PI.
 - A full list of notification messages can be found at: http://era.nih.gov/ElectronicReceipt/tips_tools.htm#5.
- Email can be unreliable – applicants should proactively check the status of their applications in eRA Commons after submission.

Grants.gov will process the app. and send an email within 2 business days after submission. eRA Commons will process the app. and send an email within 2 business days after availability in Grants.gov.

50

Viewing Application Errors/Warnings

1. Click the Status tab to view the PI Status.
 2. Find application that shows "eSubmission Error" in Application Status.
 3. Follow the link on the Application ID to see specific error/warning messages.

51

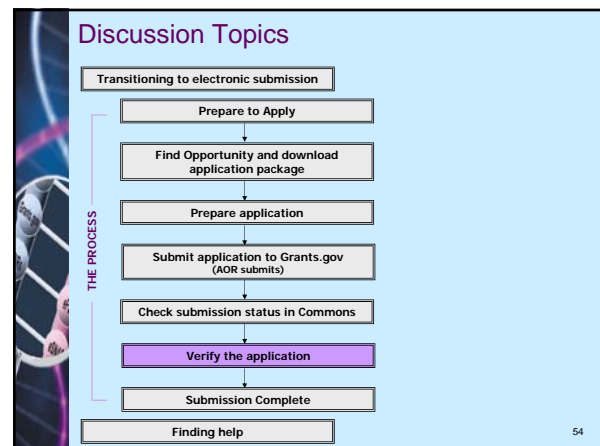
Viewing Application Errors/Warnings

52

Errors and Warnings

- Warnings** can be fixed at the applicant's discretion but **do not require action** for the application to move on.
- Errors must be addressed before the application can move on.**
- After making all corrections, the entire changed/corrected application must be resubmitted through Grants.gov.
- Once all errors are corrected, a grant image is generated and made available for verification by the PI and AOR/SO.

53



Verify the Application

- In order to complete the submission process, both the AOR/SO and PI must verify the application within two business days of its availability in eRA Commons.
- If either the AOR/SO or PI do not verify the application, the submission will be considered incomplete and will not move on to the Center for Scientific Review for review and funding consideration.

55

PI/SO Status Result

ID	Grant Number	PI Name	Status	Date
2R01A1047041-04A1	Sept29-phc-OSC	Michaels, Sean	Pending	11/08/2005
AN 2812896	Sept29-phc-OSC	Callaway, Mark U.	Retrieved	12/11/2005
TN 35126	Sept29-phc-OSC	Jessely, Martin	Submission Error	11/15/2008

The Status Result box for a PI and an SO are identical.

56

PI and SO Need to Verify Application

Applicants can view application as the reviewer will see it. Applicants can print the entire application.

Verify eApplication

Application Information
 Grant Number: AN 2812896
 PI Name: Callaway, Mark U.
 Proposal Title: Sept29-phc-OSC

Other Relevant Documents
[Application](#)
[CDMP Agreement](#)
[CDMP Application Cover Letter](#)

Verify Application

Principal Investigator (Program Director, Associate): I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties.

I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

Refused - I cannot verify the content of the submission at this time.

Comment:

Save Cancel

The default option is "Refused." Be sure to check the "Certify" button if the application is acceptable.

57

Transmittal Sheet

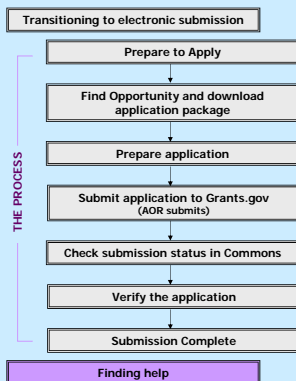
Transmittal Sheet

Institution Name: Taker University
 Proposal Title: Sept29-phc-OSC
 PI Name: Callaway, Mark U.
 Grant Number: 000000-00
 Accession Number: 2812896
 Proposal Receipt Date:

Both the SO and the PI need to verify the application before receiving the Transmittal Sheet.

58

Discussion Topics



59

Where to find more information

Electronic Submission Website at: <http://era.nih.gov/ElectronicReceipt/>

NIH Office of Extramural Research
 Electronic Submission of Grant Applications

Electronic Submission
 Paper No More. Use eRA!


Big changes are coming to grants submission at the National Institute of Health and the Agency for Healthcare Research and Quality. Both NIH and AHRQ will soon require all competing research grant applications to come in electronically via the web portal of Grants.gov on a new SF 424 Research and Related (RAR) application.

Common Mistakes: We are planning in the changes to take of great program mechanisms, beginning with the Dec. 1, 2005 submission date for small business (SMB) applications and commencing in May 2007 when all grant programs will be submitted electronically on the new form (see [Transition Plan](#)).

Applicants should carefully note the transition date for the grant mechanism in eRA Commons, which is the date they wish to apply.

- Once a grant mechanism is transitioned to the electronic mode and the grant opportunity is posted on Grants.gov, applicants will be able to download and begin working on their application package. For instance, a grant opportunity is posted Oct. 17, applicants will be able to download and begin working on the application package on or after Oct 17. However, they cannot submit the application until the funding opportunity's open date. That grant opportunity may have an open date of Nov. 7 for a Dec. 1 submission deadline. In that case,


60



Finding Help

- General information on Electronic Submission and the SF424 (R&R):
 - <http://era.nih.gov/ElectronicReceipt>
- Grants.gov registration, submission and Pure Edge behavior questions:
 - Visit: <http://www.grants.gov/CustomerSupport>
 - Grants.gov Customer Service
 - E-mail: support@grants.gov
 - Phone: 1-800-518-4726
- eRA Commons registration and post submission questions on Commons functionality
 - Support Page: <http://era.nih.gov/commons/index.cfm>
 - eRA Commons Help Desk
 - Web support: <http://ithelpdesk.nih.gov/eRA/>
 - E-mail: commons@od.nih.gov
 - Phone: 1-866-504-9552 OR 301-402-7469
- Forms transition and questions on NIH's overall plan for electronic receipt
 - NIH Grants Information
 - E-mail: grantsinfo@nih.gov
 - Phone: 301-435-0714

61



Questions?

Thank you!

62