

NIH Electronic Submission Overview

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Electronic Receipt of Grant Applications

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Today's Goals

- To provide a comprehensive understanding of the electronic submission process and the new SF424 Research & Related (R&R) application.
- To introduce participants to available resources that can be used to enhance applicant knowledge and spread that knowledge within their organizations.
 - Train-the-trainer

NIH's Electronic Receipt Goal

By the end of May 2007, NIH plans to:

1. Require electronic submission through Grants.gov for all NIH grant applications
2. 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)

Announced in the NIH Guide, Aug. 19, 2005:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-05-067.html>

Why transition to electronic receipt?

- It benefits our applicant community, creates efficiencies, and will ultimately make our jobs easier!
 - Eliminates the burden of paper-based data collection
 - Resulting efficiencies may allow NIH to shorten the cycle from application receipt to award
 - **AREA grants – An early win!**
 - Electronic submission creates a comprehensive repository of data that can be mined by knowledge management and other tools
 - Electronic validations improve data quality
 - Savings of >200,000,000 pieces of paper/year (estimated) and countless hours of human effort
 - Reductions of scanning, printing, and data-entry costs
 - Grant image is consistent, clear and in color

Why transition to SF424 (R&R)?

- SF424 (R&R) is the government-wide data set for research grant applications
 - Applicants can use standard forms regardless of the program or agency to which they are applying
 - Reduces administrative burden on the Federal grants community

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”

Why now?

- It's been a long time coming. It's time.
- OMB has set the following FY 2006 Goal for Agencies: Post 75% of Funding Opportunities in Grants.gov "Find" on "Apply"
- The PHS 398 OMB clearance expires in September, 2007

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

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.

Registration Requirements

- Both Grants.gov and eRA Commons 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!

Registration Requirements – Grants.gov

- **Applicant organizations** must complete one-time only registration
- Principal Investigators do not need to register with Grants.gov
- Good for electronic submission to all Federal agencies
- Detailed instructions at: <http://grants.gov/GetStarted>
 - Grants.gov registration requires institutions to:
 - Obtain a Data Universal Numbering System (DUNS) number
 - Register in Central Contractor Registry (CCR)
 - * New organizations should allow extra time for this step
- 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!

Registration Requirements – 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.

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

Registration Requirements – eRA Commons

- Organizations must include a DUNS number in their institutional profile that matches the DUNS number on the submitted application.
- NIH will consider starting the eRA Commons registration process **at least two weeks in advance** of the submission date a “good faith” effort to prepare for electronic submission. Applicants that make a “good faith” effort to register, will not be penalized for any NIH-caused registration processing delay.
- 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!

Submission Methods

Applicant organization can submit applications to NIH through Grants.gov in one of two ways:

1. Direct submission - using PureEdge Viewer
2. System-to-system – using (XML) data stream to communicate with Grants.gov
 - Can be created by institution OR
 - Institution can establish an agreement with a commercial Service Provider <http://era.nih.gov/ElectronicReceipt/sp.htm>


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.

Using standard forms to apply through Grants.gov is a very different model

- The application form and instructions will now be part of a package that NIH posts on Grants.gov along with each funding opportunity announcement (FOA).
- Applicants will download the application package for the specific funding opportunity announcement from within Grants.gov .
- This specific application package **MUST** be used to apply for the accompanying solicitation.
 - Some fields of application are pre-filled from announcement

Posting funding opportunity announcements

- Funding opportunities will continue to be posted in the NIH Guide 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 
 - 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 simultaneously be posted to Grants.gov along with the appropriate application package
 - Note that you must search Grants.gov by opportunity number rather than CFDA number for NIH opportunities.
- The new model changes how we use the NIH forms website



NIH Forms and Applications Page
<http://grants1.nih.gov/grants/forms.htm>

NIH Forms and Applications

- OER Home
- Funding Opportunities
- Applications & Forms
- Awarded Grants
- Grants Policy
- eRA
- About OER

- Notices:**
- NEW** [Revised PHS 416-1 \(Ruth L. Kirschstein National Research Service Award Application\) Now Available](#) - 12/09/2005
 - NEW** [Revised PHS 416-9 Continuation Progress Report \(For the Ruth L. Kirschstein National Research Service Award\) Now Available](#) - 12/09/2005
 - NEW** [Revised PHS 416-5, PHS 416-7, PHS 6031 AND PHS 6031-1 Forms For The Ruth L. Kirschstein NRSA Now Available](#) - 12/09/2005
 - [NIH Response to Hurricane Katrina Disaster - Information for Investigators and Institutions](#) - 09/14/2005
 - [NIH Announces Plans to Eliminate Mailing of Paper Notifications: Summary Statements & Peer Review Outcome Letters](#) - 09/08/2005
 - [NIH Announces Initial Plans to Transition to the SF424\(R&R\) Application and Electronic Submission through Grants.gov](#) - 08/19/2005
 - [Small Business Innovation Research Program and Small Business Technology Transfer Research Program Electronic Registration](#) - 08/19/2005
 - [Links to Selected Extramural Policy Notices \(1993 - Present\)](#)

| Research Grants | | |
|-------------------------------------|--------------------|---|
| Forms / Applications / Instructions | Revision Dates | Description / Comments |
| SF424 (R&R) | 10/2005 NEW | Standard Form 424 (Research & Related) Grant Application Forms See Electronic Submission Page and Related NIH Guide Notices . |
| PHS 398 | 09/2004 | Competing - Public Health Service Grant Application <i>Apply for: Research Grants, Career Awards (K Series), Institutional NRSA (Training), SBIR and S</i> See 04/15/2005 , 03/16/2005 and 11/2/2004 NIH Guide Notices. See Notable Changes (06/13/2005). |
| PHS 2590 | 09/2004 | Noncompeting - Progress Report for a Public Health Service Grant See 04/15/2005 and 11/2/2004 NIH Guide Notices, and Notable Changes (12/13/2005). |

SF424 (R&R) Application and Electronic Submission Information

<http://grants2.nih.gov/grants/funding/424/>

SF424 (R&R) Application and Electronic Submission Information

The SF424 (R&R) will be used for electronic submission gradually replacing the PHS 398. This page provides preview versions of guides and practice application packages for preparing your [Submission of Grant Applications](#) page for more information.

Preview versions of the instructions and application packages are being made available to allow you an opportunity to review and become familiar with them. We welcome comments and feedback to GrantsInfo@nih.gov.

NOTE: The guides are not yet final and the application packages are for practice only and not to be used to submit any applications. When a Funding Opportunity Announcement (FOA) is posted, you will use that application package to apply for the opportunity.

Sections on this Page: [[Instructions and Other Information](#)] [[Application Packages](#)] [[Additional Format Pages](#)] [[Contacts](#)]

Application Guides

| Instructions and Other Information | Date Posted | MS Word File | PDF File |
|--|-------------|-------------------------|---------------------|
| Grants.gov Application Guide SF424 (R&R) | 10/27/2005 | MS Word | PDF |
| Grants.gov SBIR/STTR Application Guide SF424 (R&R) | 11/10/2005 | MS Word | PDF |
| eRA Assembly of the SF424(R&R) Application (An informational document describing the system-generated grant image of a SF424 (R&R Application) once submitted and received by the agency) | 10/12/2005 | MS Word | n/a |

SAMPLE Application Packages

These Application Packages are SAMPLES only. Do not try to use these for applying to any Funding Opportunity Announcement (FOA).

The appropriate application package and instructions are linked to each FOA.

You may search for an appropriate FOA either in the [NIH Guide for Grants and Contracts](#) or [Grants.gov](#) – FIND and APPLY.

SF424 (R&R) Application and Electronic Submission Information

<http://grants2.nih.gov/grants/funding/424/>

Grants.gov Application Guide SF424 (R&R)

Grants.gov SBIR/STTR Application Guide SF424 (R&R)

11/10/2005

eRA Assembly of the SF424(R&R) Application

(An informational document describing the system-generated grant image of a SF424 (R&R Application) once submitted and received by the agency)

10/12/2005

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| Application Package | Comments |
|----------------------------|--|
| Modular | To be used for programs where only modular budgets apply (e.g., AREA/R15 Grants) |
| Non-modular ** | To be used for programs where only non-modular budgets apply (e.g., Conference/R13 Grants) |
| Modular and Non-modular ** | To be used for programs where modular and non-modular budgets apply (e.g., R01 grants) |
| SBIR ** | To be used for the SBIR programs only. |
| STTR ** | To be used for the STTR programs only. |

* You will need to download and install [PureEdge Viewer](#), prior to downloading an Application Package.

** Subaward component is not fully operational in these Application Packages.

Electronic Receipt: How it works

Applying for Grants at Grants.gov:

- Step 1: Search for and identify a grant opportunity in the NIH Guide for Grants and Contracts or on Grants.gov.
- Step 2: Download the grant application package.
- Step 3: Complete the application. Be sure to save a copy of the application locally on your computer.
- Step 4: The Authorized Organizational Representative (AOR) submits the application to Grants.gov either directly or through a Service Provider. **All required registrations must be completed prior to submission.**

Electronic Receipt: How it works

Applying for Grants (cont.):

- Step 5: Grants.gov performs basic form validation and virus check on submitted application.
- Step 6: Track the status of the submitted application package at Grants.gov until you are notified via email that NIH has received it.
- Step 7: eRA software performs NIH business rule validation on submitted application.
- Step 8: NIH notifies Principal Investigator (PI) and Signing Official (SO) by email to check the eRA Commons for results of NIH validations check.

Electronic Receipt: How it works

Apply for Grants (cont.):

Step 9: The PI and SO find out if the grant application passed or failed the rule check, and:

- If it passed, PI and SO must verify the application in eRA Commons to complete the application submission process.
- If it failed, all errors must be corrected and the entire corrected application must be submitted to Grants.gov.

Step 10: After verification, the eRA Commons saves the data and grant image, and NIH begins processing the application.

Step 11: Applicants can track the progress of their application in eRA Commons.

Expected Turnaround Times

- Registration – can take several weeks to complete; start 2-4 weeks in advance of submission date
- Grants.gov response to application submission - up to 2 business days
- eRA Commons response to application submission - up to 2 business days
- Principal Investigator (PI) and Authorized Organization Representative (AOR)/Signing Official (SO) Verification of application - within 2 business days of availability in eRA Commons

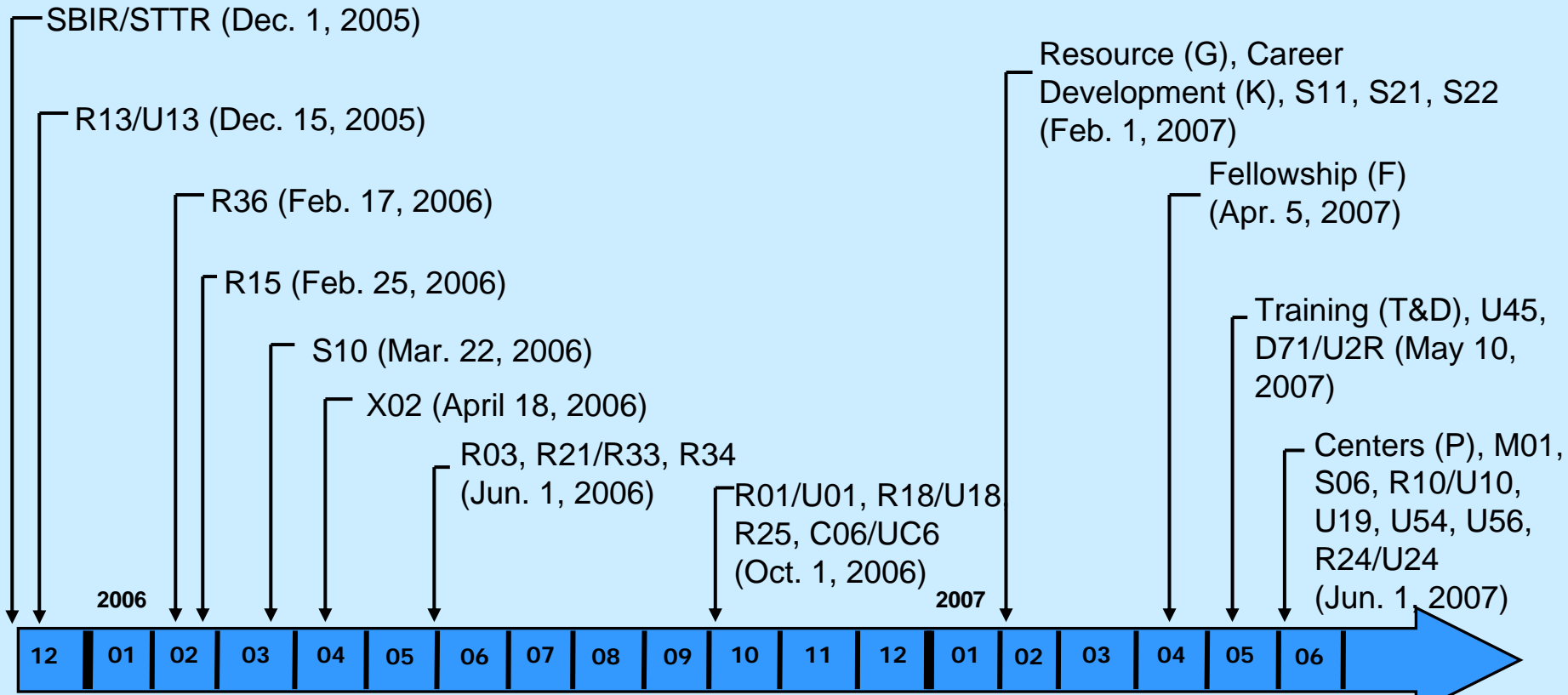
NIH's Transition Strategy

- 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 NIH Guide for Grants and Contracts

Important Announcement Dates

- Funding Opportunity Announcements will be posted in Grants.gov “Apply”, generally 2 months before the submission date.
 - Release Date – the date an application is posted. Posting announcement allows downloading of application package and the ability to start working on the application.
 - Opening Date - the first date the completed application can be submitted to Grants.gov.

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



Current as of January 5, 2006. Visit the Web site for the latest version: <http://era.nih.gov/ElectronicReceipt/>

Mechanism Abbreviation Key:

| | | | |
|---------|---|-------------|---------------------------------------|
| C06/U06 | Research Facilities Construction Grants | R21/R33 | Exploratory/Development Research |
| D71/U2R | International Training Cooperative Agreement/ Phase 2 of FIC mechanism D71 | R24/U24 | Resource Related Research Projects |
| R01 | Research Project Grant Program | R25 | Education Projects |
| R03 | Small Grant Programs | R34 | Clinical Trial Planning Grant Program |
| R10/U10 | Cooperative Clinical Research Grants | R36 | Research Dissertation Grant Program |
| R13/U13 | Support for Conferences & Scientific Meetings | SBIR | Small Business Innovation Research |
| R15 | Academic Research Enhancement Awards (AREA) | STTR | Small Business Technology Transfer |
| R18/U18 | Research Demonstration and Dissemination Projects | S06,S10,S11 | Biomedical Research |
| | | S21,22 | Health Disparities Endowment Grants |
| | | U | Cooperative Agreement Awards |
| | | X02 | Preapplication |

Completed Transitions

- Small business (SBIR/STTR)
 - Transitioned on December 1, 2005 submission date
 - Over 1800 applications received

- Conference grants (R13)
 - Transitioned on December 15, 2005 submission date
 - Over 150 applications received

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!

Advice from Experience

- Register now to be prepared
- Allow time for corrections
- See it through to verification in eRA Commons to complete the application process
- When seeking support, be prepared to provide identifying information for your application and organization
- Network with colleagues at other institutions to strategize ways to implement the change to NIH e-submission at your organization

Next Steps for NIH

- We are analyzing all available data from completed submission rounds to identify areas for improvement. Some examples of things we will be working on:
 - Help desk staffing
 - Educating NIH staff
 - Revising text in application guide for clarity and to provide additional guidance
 - Reviewing business rules enforced by the system
 - Outreach to the applicant community

- We are looking for opportunities to streamline the process
 - Re-evaluation of verification process
 - Registration

- Comments and feedback are welcome!
<http://era.nih.gov/ElectronicReceipt/feedback.htm>

Where to find more information

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

The screenshot shows a web browser window displaying the NIH Office of Extramural Research website. The browser's address bar shows the URL <http://era.nih.gov/ElectronicReceipt/>. The website header includes the NIH logo and the text "NIH Office of Extramural Research" and "Electronic Submission of Grant Applications".

Electronic Submission
Paper No More, Use 424 (R&R)

Big changes are coming to grants submission at the National Institutes 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 (R&R) application.

Current Status: We are phasing in the changes by type of grant program (mechanism), beginning with the Dec. 1, 2005 submission date for small business (SBIR/STTR) applicants and culminating 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 (e.g. R01, U45, etc.) for which 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, if 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,

NIH is ready for Electronic Submission. Are You?
[Register Now!](#)
[What's new on the website](#) **NEW**

The left sidebar contains a navigation menu with the following items:

- Home
- [Comments & Feedback](#) **NEW**
- [Drivers for Change](#)
- [Strategy and Timeline](#)
- [Preparing for Electronic Submission](#)
- [Applying through Grants.gov](#)
- [SF424 \(R&R\)](#)
- [FAQ](#)
- [Related NIH Guide Notices](#)
- [Service Providers](#)
- [Communication Resources/Outreach](#)
- [Training](#)

The browser's taskbar at the bottom shows several open applications, including "Inbox - Micr...", "Thanks for t...", "RE: Thanks ...", "ESub_Lesso...", "Electronic_S...", and "Electronic S...". The system clock shows 4:14 PM.

Tools to Educate Yourself and Your Communities

- Training <http://era.nih.gov/ElectronicReceipt/training.htm>
 - Video library
 - Overview of NIH Transition
http://helix.od.nih.gov/oervideo/grantsgov/sf424_application/index.html
 - A Walk Through the SF424 (R&R)
http://helix.od.nih.gov/oervideo/grantsgov/A_Walk_Through_SF424/index.html
 - Registration in the eRA Commons Demo
http://era.nih.gov/virtualschool/external/c101_GranteeRegistrationProcess.htm
 - SF424 (R&R) application guides, sample application packages and related resources
<http://grants2.nih.gov/grants/funding/424/index.htm>
 - Grants.gov's How to Complete An Application Package Demo
<http://www.grants.gov/CompleteApplication#demo>
 - Archive of this January 11, 2006 training session.

Tools to Educate Yourself and Your Communities (Cont.)

- Demo Facility – By April, we plan to have an end-to-end demo facility for applicants to “practice” the entire process from finding an opportunity in Grants.gov through verifying a submitted application in the eRA Commons.
- Frequently Asked Questions
<http://era.nih.gov/ElectronicReceipt/faq.htm>
- Electronic Submission Timeline
http://era.nih.gov/ElectronicReceipt/strategy_timeline.htm
- Tips and Tools
http://era.nih.gov/ElectronicReceipt/tips_tools.htm
- Communications and Outreach resources (brochures, presentations, drop-in newsletter articles)
<http://era.nih.gov/ElectronicReceipt/communication.htm>

Where to go for 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
 - 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



Get informed!

Spread the word!

Thank you!