

# Agenda for CWG Meeting January 8, 2003



1. eRA Project Status – John McGowan
2. Clinical Research/IRB Business Process –  
John McGowan/Steve Dowdy
3. Commons 2.0 – Tim Twomey
  - Status of development/deployment
  - Plans for future releases
    - eSNAP
    - X-Train
    - Other new functionality
  - Outreach/Training
4. Internet-Assisted Review – Dan Hall

# Agenda for CWG Meeting January 8, 2003



5. CGAP Datastream Approach and Models –  
JJ Maurer
6. Update on the SBIR eRA Initiative
7. Progress on Streamlining the Competitive  
Grant Application Process – David Wright, George  
Stone
8. Other Issues
  - NIH eRA Commons Implementation Planning at  
CWG Institutions



# 1. Status of the eRA Project

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JJ McGowan  
eRA Project Manager

## 2. Clinical Research – IRB Business Process



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JJ McGowan  
eRA Project Manager

# 3. Status of the Commons V2.0 Deployment



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Tim Twomey  
eRA Commons Coordinator

# Commons 2.0 Functionality

- New GUI Interface
- Registration – authentication using IPF#
- Accounts Administration –
  - Account creation – authentication
  - Account maintenance
- IPF (Institution Profile)
  - Maintain general IPF information
  - Assurances/certifications
  - Full user-defined organizational hierarchy
  - Maintain e-mail addresses (NGA, Notifications)
  - Assignment of applications to hierarchy(coming)



# Commons 2.0 Functionality



- PPF (Person Profile)
  - Create and maintain profile information
  - User-defined integration of organizational hierarchy within profile
- Grant Status
  - View status information
  - Full NIH contact information
  - Link to study section information
  - Link to NGA, Summary Statement, Abstract
  - Availability of pre-populated forms for renewals
- Demo Facility
  - Fully functional demo version of the system (partial)
- Single Point of Ownership for PPF and IPF

# Commons 2.0 Functionality



- eNotification
  - Notices to PI and Organization Officials on pending progress reports, FSR, other (coming)
  
- FSR
  - Submit new/revised FSR
  - View FSR status (due, late, received, etc.)
  - Replaces "dial-up" TSO system
  
- eSNAP — See slide
- IAR — See slides
- CGAP



# eSNAP Functionality



- Submission 45 days prior to anniversary
- No abstract updating
- Submission of Research Accomplishments
- Delegation of Submission to PI – controlled by SO
- Reconfiguration of e-SNAP questions
- Presentation of Personnel Data Page

# Internet Assisted Review



- Allows reviewers submit preliminary critiques and score prior to review meeting
- Facilitates meeting discussion and speeds up review process
- Integrates with NIH eRA Commons accounts

# Commons 2 Deployment Schedule

- Version 2.0.0.0 — 10/11/2002
- Version 2.1.0.0 — 11/01/2002
- Version 2.2.0.0 — 12/06/2002
- Version 2.2.1.0 — 01/10/2003
- Version 2.2.2.0 — 03/24/2003
- Version 2.3.0.0 — 07/12/2003

# Commons 2 Deployment Details



- Version 2.0.0.0 — 10/11/2002
  - Registration
  - Basic IFP/PPF
- Version 2.1.0.0 — 11/01/2002
  - eSNAP pilot (2 + orgs)
  - FSR pilot (2 orgs)

# Commons 2 Deployment Details



- Version 2.2.0.0 — 12/06/2002
  - “Push” registration
  - Bug fixes to eSNAP/FSR
  - Pilot release of IAR (internal testing)
  - FSR Pilot to CWG

As of 1/5/2003

67 Organizations registered

669 Active users

267 FSRs submitted

# Commons 2 Deployment Details



- Version 2.2.1.0 — 01/10/2003
  - Open registration (low key)
  - Basic screen/UI enhancements
  - Bug fixes/minor enhancements to eSNAP/FSR/IAR
  - FSR open to all registered organizations
  - IAR release to two study sections to pilot
  - eSNAP pilot to CWG (?)

# Commons 2 Deployment Details



- Version 2.2.2.0 — 03/24/2003
  - Enhanced demo/training facility
  - Improved account affiliation management
  - More UI enhancements for eSNAP
  - Expanded IAR pilot
  - Other fixes/enhancements

# Commons 2 Deployment Details



- Version 2.3.1.0 — 07/12/2003
  - X-Train Phase 1
  - Org hierarchy/grant assignment
  - Pop Tracking screens in eSNAP
  - eNotification for T5 progress reports
  - Other fixes/enhancements
  - IAR full production



# X-Train 1.5 Status



- 23 grantee organizations participating
- 289 trainee appointments processed since Oct. 1, 2001
- Outstanding issue
  - PI (PD) delegation & notification to minimize unauthorized submissions
    - To be implemented with NIH eRA Commons 2.0 Release 2 (tentatively November 2002)
- 2.0 Deployment — mid-FY2003 planned

# NIH eRA Commons Training and Outreach



1. On-line/content sensitive help
2. User guides (pdf)
3. “Cheat Sheets”
4. FAQs and other resources
5. Enhanced demo/training site
6. NIH eRA Commons support page

<http://era.nih.gov/commons>

# NIH eRA Commons Training and Outreach



## ■ National/Regional Meetings FY 2003

- February FRA IV New Orleans, LA
- March NIH eRA Commons Workshop Houston, TX
- April NIH Regional Seminar Palo Alto, CA
- April NCURA Region 4 Cincinnati, OH
- April SRA Northeast Section Providence, RI
- June NIH Regional Seminar Baltimore MD
- Others TBA

# Training/Outreach/Support



- **NIH eRA Helpdesk**  
866-504-9552 (Voice, Toll Free)  
301-402-7469 (Voice - Local)  
301-451-5675 (Fax)  
301-451-5939 (TTY)  
[commons@od.nih.gov](mailto:commons@od.nih.gov)

<https://commons.era.nih.gov>

**Commons - Netscape**

File Edit View Go Communicator Help

Back Forward Reload Home Search Netscape Print Security Shop Stop

Bookmarks Location: <http://impacwebdev2.oer.od.nih.gov:8059/commons/> What's Related

**NATIONAL INSTITUTES OF HEALTH**  
**eRA Commons**

Welcome Guest  
Institution: Not Affiliated  
Authority:

**Home** Links Help

**Commons Login** ?

\* indicates required field.

Username \*

Password \*

Login Reset

[Forgot Password?](#)

**System Notification**

1. You are now using Commons version 2.0.0

**About the Commons**

- [Scope and Purpose](#)
- [Frequently Asked Questions](#)
- [Grantee Organization Registration](#)
- [ERA Contacts](#)
- [Enter Commons Demo](#)

**NIH eRA**

NIH Commons Version 2 is now available and registration is open to all NIH grantee organizations.

**What's NEW on the COMMONS**

Registration and account information for most active organizations who had been registered in the previous version of NIH Commons, has been migrated to the new version. These institutions are asked to validate their institution information and account profile information upon receiving access to Commons to ensure that the migration was appropriately performed. All previously registered organizations should have been contacted by the NIH Commons User Support Staff by now with new logon information and passwords. If you think your organizations had been previously registered but you have not been contacted please contact the [NIH Commons Help Desk](#).

Other NIH grantee organizations who now want to register should go to the "Grantee Organization Registration" link on this page. Registrations must be requested by an "authorized organization official".

Commons now includes the following functionality which may be beneficial to your organization:

- Status** - This facility allows a Principal Investigator to review the current status of all

**Links**

- [Commons Support Page](#)
- [CRISP](#)
- [Edison](#)
- [eRA Home Page](#)
- [Loan Repayment Program](#)
- [National Institutes of Health](#)
- [NSF Fastlane](#)
- [OER Home Page](#)

Document: Done


# Grant Status

**Proposal Search Results - Netscape**

File Edit View Go Communicator Help

Back Forward Reload Home Search Netscape Print Security Shop Stop

Bookmarks Location: [tp://impacwebdev2.oer.od.nih.gov:8059/commons/status/proposalResults.jsp?sessionId=2416acc070fc4a8a9820c292a0a70acf](http://impacwebdev2.oer.od.nih.gov:8059/commons/status/proposalResults.jsp?sessionId=2416acc070fc4a8a9820c292a0a70acf) What's Related

 **NATIONAL INSTITUTES OF HEALTH**  
**eRA Commons**

Welcome pittsnap4  
Institution: UNIVERSITY OF PITTSBURGH AT PITTSBURGH  
Authority: FSR PI SO [Log-out](#)

[Home](#) [Administration](#) [Institution Profile](#) [Personal Profile](#) [Status](#) [eSNAP](#) [X-Train](#) [FSR](#) [Links](#) [Help](#)

[Search Proposals](#) | [PI Status](#) | [Search Type 5 Progress Reports](#)

## Proposal Search Results

Date: 01/06/2003

Search Criteria

PI Last Name: johnson Grant Number: \*\*\*\*MH\*\*\*\*\*,\*\*\*\*\*

**Proposal Report** 1 - 9 out of 9 records

Grant Number	Proposal Title	PI Name	Grant Status	Budget Start Date	Summary Links
<a href="#">1R03MH059061-1</a>	COGNITIVE DISSOCIATIONS IN WILLIAMS SYNDROME	JOHNSON, SUSAN C	AWARDED	07/01/1998	<a href="#">Notice of Grant Award</a>
<a href="#">2K02MH000944-6A1</a>	MECHANISMS OF BLOCK OF NMDA ACTIVATED CHANNELS	JOHNSON, JON W	AWARDED	09/01/1999	<a href="#">Notice of Grant Award</a>
<a href="#">2R01MH045817-11</a>	Interaction of Ions with NMDA Receptors	JOHNSON, JON W	PENDING	04/01/2002	
<a href="#">5K02MH000944-7</a>	MECHANISMS OF BLOCK OF NMDA ACTIVATED CHANNELS	JOHNSON, JON W	AWARDED	09/01/2000	<a href="#">Notice of Grant Award</a>
<a href="#">5K02MH000944-8</a>	MECHANISMS OF BLOCK OF NMDA ACTIVATED CHANNELS	JOHNSON, JON W	PENDING	09/01/2001	<a href="#">Progress Report Face Page</a>
<a href="#">5R01MH045817-10</a>	MECHANISMS OF BLOCK OF NMDA-ACTIVATED CHANNELS	JOHNSON, JON W	AWARDED	12/01/2000	<a href="#">Notice of Grant Award</a>
<a href="#">5R01MH045817-7</a>	MECHANISMS OF BLOCK OF	JOHNSON, JON	AWARDED	12/01/2000	

Document: Done

# Grant Status – Details

Status Information - Netscape

File Edit View Go Communicator Help

Back Forward Reload Home Search Netscape Print Security Shop Stop

Bookmarks Location: <http://impacwebdev2.ocr.od.nih.gov:8059/commons/status/genericStatusInformation.jsp?sessionId=2416acc70fc4a8a9820c292a0a70acf> What's Related

## Status Information

**Status:** Study Section review pending.

**Institution Name:** UNIVERSITY OF PITTSBURG at Dogbreath

**School Name:** FACULTY OF ARTS AND SCIENCES

**School Category:** SCHOOLS OF ARTS AND SCIENCES

**Division Name:** NONE

**Department Name:** NEUROSCIENCES

**PI Name:** JOHNSON, JON W

**Grant #:** 2R01MH045817-11

**Proposal Title:** Interaction of Ions with NMDA Receptors

**Proposal Receipt Date:** 07/01/2001

**Last Status Update Date:** 07/16/2001

**Current Award Notice Date:**

### Status History

Effective Date	Status Message	Primary Institute or Center Assignment												
		<table border="1"> <thead> <tr> <th>Institute Name</th> <th>Institute Center Assignment Date</th> </tr> </thead> <tbody> <tr> <td>NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES</td> <td>07/11/2002</td> </tr> <tr> <th colspan="2">Dual Institute or Center Assignment</th> </tr> <tr> <th>Institute Name</th> <th>Institute Center Assignment Date</th> </tr> <tr> <td>NATIONAL HEART, LUNG, AND BLOOD INSTITUTE</td> <td>07/04/2002</td> </tr> <tr> <td>NATIONAL INSTITUTE OF MENTAL HEALTH</td> <td>07/05/2001</td> </tr> </tbody> </table>	Institute Name	Institute Center Assignment Date	NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES	07/11/2002	Dual Institute or Center Assignment		Institute Name	Institute Center Assignment Date	NATIONAL HEART, LUNG, AND BLOOD INSTITUTE	07/04/2002	NATIONAL INSTITUTE OF MENTAL HEALTH	07/05/2001
Institute Name	Institute Center Assignment Date													
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES	07/11/2002													
Dual Institute or Center Assignment														
Institute Name	Institute Center Assignment Date													
NATIONAL HEART, LUNG, AND BLOOD INSTITUTE	07/04/2002													
NATIONAL INSTITUTE OF MENTAL HEALTH	07/05/2001													

Application Information		Study Section	Advisory Council(AC) Information
Award Document Number:	R1MH45817C	Init. Review Group:	MDCN-3
FSR Accepted Code:	N	Council Meeting Date(YYYYMM):	200201
Snap Indicator Code:			Meeting Location: Humming Bird Complex 3 123 Jeevan Ave.3 Monica International Inc.1 Fairfax 3
			Meeting Date: 09/16/2001
			Meeting Time: 0600

### Contacts

Administration	Name	Phone	Email
Scientific Review Administrator(SRA)	Lang, Michael A.	(301) 435-1265	
Grants Management Specialist(GMS)	Smith, Bonnie	(301) 443-3483	
Program Official(PO)	Brady, Linda S.	301-443-5288	

Document: Done

# 4. Internet Assisted Review (IAR) and Institution Administration



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Dan Hall  
NIH eRA Commons Lead Analyst



# Internet Assisted Review (IAR)



## **Internet Assisted Review**

Allows Reviewers to submit critiques and preliminary scores for applications they are reviewing for all to see.


- IAR was deployed on 12/6/2002
- Piloting two meetings (January – March)
- Full production in July 2003

# IAR List of Applications




List of Applications - Microsoft Internet Explorer

File Edit View Favorites Tools Help



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
**National Institutes of Health**  
INTERNET ASSISTED REVIEW



Welcome pittsnapiar  
Institution: [UNIVERSITY OF PITTSBURGH AT PITTSBURGH](#)  
Authority: IAR PI [Log-out](#)

[Home](#)
[Administration](#)
[Institution Profile](#)
[Personal Profile](#)
[Status](#)
[eSNAP](#)
[X-Train](#)
[IAR](#)
[Links](#)
[Help](#)

## List of Applications

**Meeting Title:** Sample Panel Name  
**Meeting Identifier:** ZDK1 GRB-D (01)  
**Meeting Phase:** EDIT

**Meeting Dates:** 12/24/2002-12/25/2002  
**Critiques Due:** 12/31/2002 02:00 PM  
Eastern Standard Time / Eastern Daylight Time

[View Critique Options:](#) [View My Critiques](#)  
[List Application Options:](#) [List All Applications](#) [List My Assignments Only](#)

[Back to List of Meetings](#)

Application	PI Name	New PI	Title	Role	Action
1 U19 DK061197-01/Core 1 My Assignment Role: Pri 1 <a href="#">View All Critiques - [PDF]</a>	Unknown		Cell Culture and Characterization Core	Pri 1 Sec 1 Dis 1 Unassigned	<a href="#">[submit]</a> <a href="#">[view]</a> <a href="#">[delete]</a>   <a href="#">[view]</a>
1 U19 DK061209-01/Project 1 My Assignment Role: Dis 1	HERRERA, PEDRO L		Developmental Biology of Pancreatic Precursor Cell Lineages		<a href="#">[submit]</a>
<b>You must submit your critique before you can read others.</b>					
1 U19 DK061209-01/Project 2 My Assignment Role: Dis 1	Meda, Paolo		Connexins in beta-Cell Development, Differentiation, Growth and Secretion		<a href="#">[submit]</a>
<b>You must submit your critique before you can read others.</b>					
1 U19 DK061209-01/Project 3 My Assignment Role: Sec 1	Wollheim, Claes		Hepatic Dval Cell, HNF-3 beta and HNF-1 alpha in Beta Cell differentiation		<a href="#">[submit]</a>
<b>You must submit your critique before you can read others.</b>					
1 U19 DK061209-01/Project 6 My Assignment Role: Pri 1	Ferber, Sarah		Generating Functional Pancreatic beta-Cells in Liver		<a href="#">[submit]</a>
<b>You must submit your critique before you can read others.</b>					
1 U19 DK061209-01/Project 7 My Assignment Role: Sec 1	Maechler, Pierre		Characterization of a New Glucose-Responsive Human beta-Cell Line: HBS-37		<a href="#">[submit]</a>
<b>You must submit your critique before you can read others.</b>					

Internet

# NIH Requirements for IAR



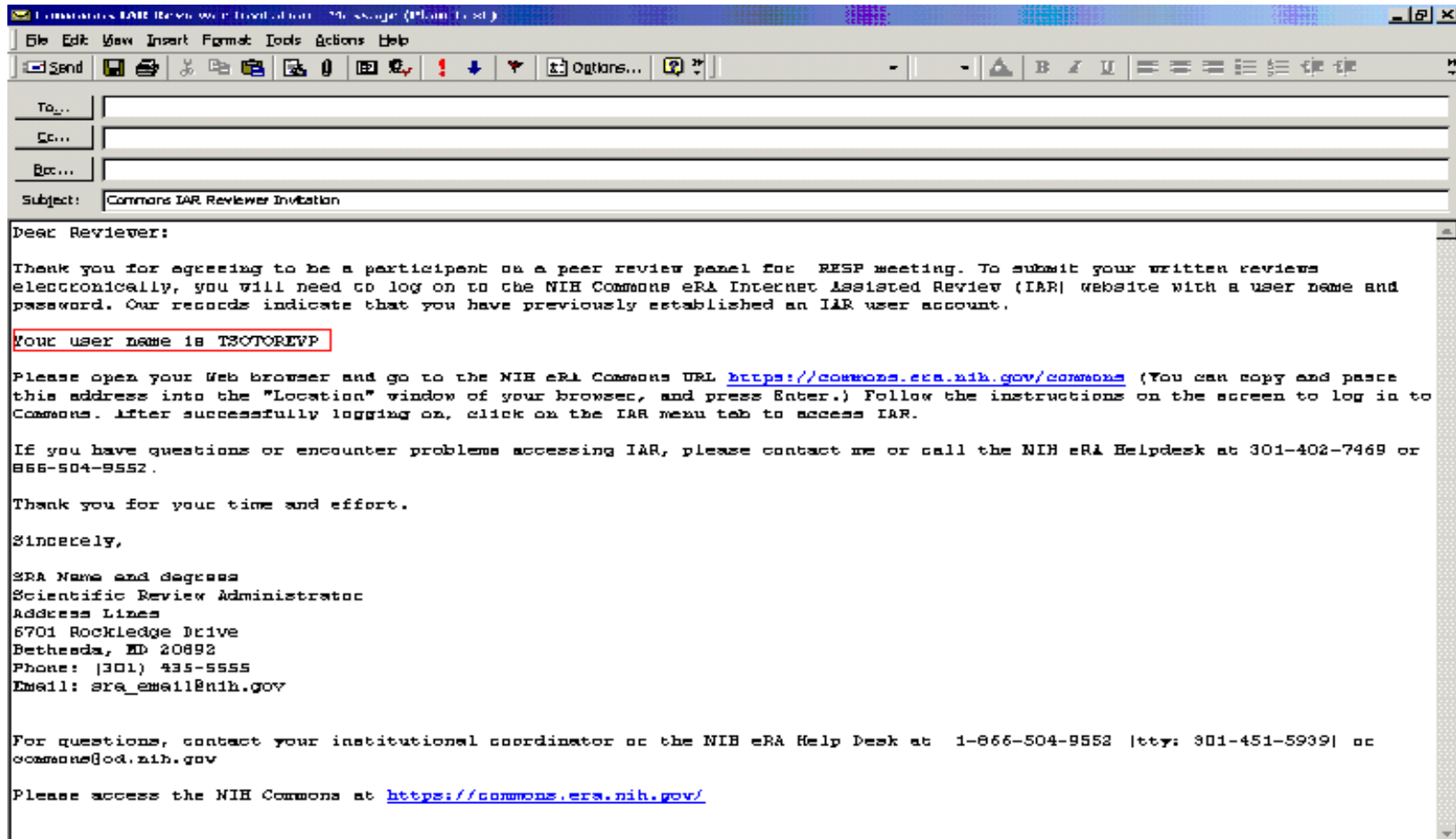
- One UserID/Password
- Single sign-on with NIH eRA Commons
- Support both Affiliated and Unaffiliated Accounts (> 80% of Reviewers are PIs)

# IAR Account Creation Process



- SRA initiates an invitation to a meeting
- If Reviewer has an NIH eRA Commons account:
  - An invitation to the meeting is sent
- If a Reviewer doesn't have an account:
  - An email containing an account registration URL is sent

# Email for Reviewers with NIH eRA Commons Accounts



# Email for Reviewers without NIH eRA Commons Accounts



Commons IAR Reviewer Invitation Message (Plain Text)

File Edit View Insert Format Tools Actions Help

Reply Reply to All Forward Print Forward Stop Forward Forward

From: Soto, Tracy (NIH/OD) Sent: Mon 11/25/2002 4:58 PM  
To: Soto, Tracy (NIH/OD)  
Cc:  
Subject: Commons IAR Reviewer Invitation

Dear Reviewer:

Thank you for agreeing to be a participant on a peer review panel for ZDK1 GRB-D (01) meeting. To submit your written reviews electronically, you will need to log on to the NIH Commons eRA Internet Assisted Review (IAR) website with a user name and password. To establish that user name and password, we have set up a special URL (address on the Internet) that is unique to you. Open your Web browser and go to the URL <http://impacwebdev2.od.nih.gov:8060/commons/inicReviewAcct.do?code=8887f308b1be319d>

(You can copy and paste this address into the "Location" window of your browser, and press Enter.) Follow the instructions on the screen to enter information about yourself and select your user name and password.

After submitting your registration request, you should receive an email within 24 hours indicating that your account is active.

Once your account is active, you may log in to IAR. If you have questions or problems setting up your account, please call or email the NIH eRA Helpdesk at 301-402-7469 or 866-504-9552 or commons@od.nih.gov.

Thank you for your time and effort.

Sincerely,

NEAL MUSTO, Ph.D., MD  
Scientific Review Administrator  
REVIEW BRANCH, DEA, NIDDK  
ROOM 750, 6707 DEMOCRACY BOULEVARD  
NATIONAL INSTITUTES OF HEALTH  
BETHESDA, MD 20892-6600

Phone: (301) 594-7798  
Email: sotr@od.nih.gov

For questions, contact your institutional coordinator or the NIH eRA Help Desk at 1-866-504-9552 (tty: 301-451-5939) or commons@od.nih.gov

Please access the NIH Commons at <http://impacwebdev2.od.nih.gov:8060/commons>

# Create Account Page



Create a New Account - Microsoft Internet Explorer

Address: http://impacwebdev2.oer.od.nih.gov:8060/commons/account/IARAccountCreate.jsp;jsessionid=42d6362f0e7e4e4c92a6b8d2697163b6

NATIONAL INSTITUTES OF HEALTH  
**eRA Commons**

Welcome Guest  
Institution:  
Authority:

Home Links Help

## Create a New Account ?

**Account Form**

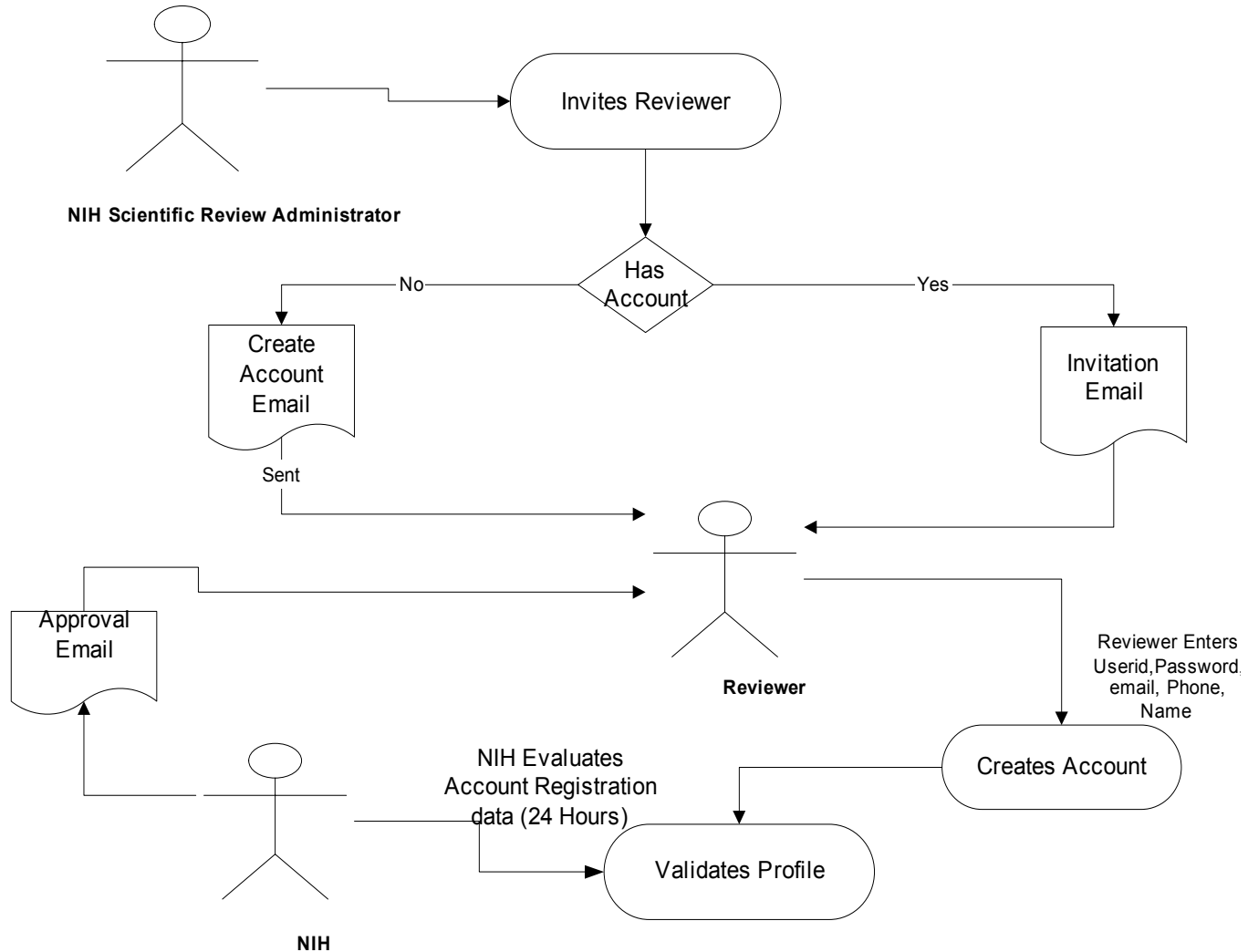
- Please enter the required fields to create an account.
- \* indicates required field.

**Account Information**

User Name *	<input type="text" value="tsotorev"/>
Password *	<input type="password" value="*****"/>
Re-type Password *	<input type="password" value="*****"/>
First Name	<input type="text" value="tracy"/>
Middle Name	<input type="text" value="lynn"/>
Last Name *	<input type="text" value="soto"/>
Phone *	<input type="text" value="301-594-1520"/>
E-mail *	<input type="text" value="powrtoy88@hotmail.com"/>
Organization	<input type="text"/>
Birth Date	(mm dd yyyy) <input type="text" value=""/> / <input type="text" value=""/> / <input type="text" value=""/>
SSN	(123456789) <input type="text"/>

Submit Reset Cancel

# IAR Account Registration





# How this Affects Institution Administrators (SO, AO, AA)

- Two states of an IAR account:
  - Affiliated with an institution
  - Unaffiliated with an institution
- Institution administrators manage these states by:
  - Create the initial accounts in NIH eRA Commons or affiliate reviewers to their institution
  - Remove institution affiliation through “delete account” (IAR accounts are not deleted)



# Unaffiliated Reviewer



Change Password - Microsoft Internet Explorer

File Edit View Favorites Tools Help

NATIONAL INSTITUTES OF HEALTH  
**eRA Commons**

Welcome danhalliar2  
Institution: Not Affiliated  
Authority: IAR [Log-out](#)

Home Administration Personal Profile IAR Links Help

Accounts |  
Change Password |

## Change Password ?

This will change your password  
\* indicates required field

Change Password Form

Old Password: \*

New Password: \*

Retype New Password: \*

Submit Clear Cancel

[\[ Contact Us | Privacy Notice | Disclaimer | Accessibility \]](#)

National Institutes of Health (NIH)  
9000 Rockville Pike  
Bethesda, Maryland 20892

Department of Health and Human Services

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Screen Rendered: 01/06/2003 06:48:15 EST  
Screen Id: ADM1013

http://impacwebdev2.oer.od.nih.gov:8059/commons/changeAcctPassword.do?mode=edit&menu\_itemPath=Administration.Accounts.Change+Pa

Internet

Start | [Taskbar Icons] | 6:48 AM

# Affiliated Reviewer

Commons - Microsoft Internet Explorer

File Edit View Favorites Tools Help

NATIONAL INSTITUTES OF HEALTH  
**eRA Commons**

Welcome pittsnapiar  
Institution: [UNIVERSITY OF PITTSBURGH AT PITTSBURGH](#)  
Authority: IAR PI [Log-out](#)

Home Administration Institution Profile Personal Profile Status eSNAP X-Train IAR Links Help

**System Notification**

- You are now using Commons version 2.0.0

**About the Commons**

- [Scope and Purpose](#)
- [Frequently Asked Questions](#)
- [Grantee Organization Registration](#)
- [ERA Contacts](#)
- [Enter Commons Demo](#)

**What's NEW on the COMMONS**

NIH Commons Version 2 is now available and registration is open to all NIH grantee organizations.

Registration and account information for most active organizations who had been registered in the previous version of NIH Commons, has been migrated to the new version. These institutions are asked to validate their institution information and account profile information upon receiving access to Commons to ensure that the migration was appropriately performed. All previously registered organizations should have been contacted by the NIH Commons User Support Staff by now with new logon information and passwords. If you think your organizations had been previously registered but you have not been contacted please contact the [NIH Commons Help Desk](#).

Other NIH grantee organizations who now want to register should go to the "Grantee Organization Registration" link on this page. Registrations must be requested by an "authorized organization official".

Commons now includes the following functionality which may be beneficial to your organization:

- Status** - This facility allows a Principal Investigator to review the current status of all their grant applications and review detailed information associated with the grant. Institution Officials (i.e. Signing Official (SO) or Administrative Official (AO) associated with the institution) are able to see a summary view of grant applications, review the Notice of Grant Award, and access the Progress Report face page.
- eSNAP** - This facility allows an institution to review non-competing grant data and perform a progress report submission online.
- X-Train** - Through the Commons, our X-Train application is available for institutions registered to use X-Train.
- Internet Assisted Review (IAR)** - IAR allows a Reviewer to submit critiques and preliminary scores for applications they are reviewing. Allows Reviewers, SRAs, and GTAs to view all critiques in preparation for the meeting. IAR creates a preliminary summary statement body containing submitted critiques for the SRA or GTA.

**Links**

- [Commons Support Page](#)
- [CRISP](#)
- [Edison](#)
- [eRA Home Page](#)
- [Loan Repayment Program](#)
- [National Institutes of Health](#)
- [NSF Fastlane](#)
- [OER Home Page](#)

Done Internet

# Process for Affiliating Reviewer's Accounts



- Today
  - Requires NIH eRA Commons UserID and email
- March 2003
  - Integrated into "Maintain Accounts"

# Manage Institution Accounts



Account List - Microsoft Internet Explorer

File Edit View Favorites Tools Help

NATIONAL INSTITUTES OF HEALTH  
**eRA Commons**

Welcome pittso  
Institution: UNIVERSITY OF PITTSBURGH AT PITTSBURGH  
Authority: FSR SO [Log-out](#)

Home Administration Institution Profile Personal Profile Status eSNAP FSR Links Help

Accounts |  
Create Account | Create Affiliation | Maintain Account | Delegate Submit | Change Password |

## Account List ?

Search Criteria

User Name:

First Name:

Last Name:

Role:

Hold down Ctrl button to do multiple select.

Results per page:

Account Search Results 1 - 47 out of 47 records Prev 1 Next All

User's Name	User ID	Email Address	Role	Action
alsdk, alksk	PURPLE	halld@od.nih.gov	SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>
alslsls, lskslksk	ACHENG	halld@od.nih.gov	SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>
Bandy, Bill	BANDYB	TWOMEYT@OD.NIH.GOV	AO FSR SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>
BRENT, DAVID	PITTSNAP4	twomeyt@od.nih.gov	FSR PI SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
Chicchirichi, David	CDAVID	Chicchid@nidcd.nih.gov	FSR PI	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
Crouch, Michael	CROUCH	halld@od.nih.gov	FSR SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>
DETRE, KATHERINE	PITTSNAP5	wrightd@od.nih.gov	FSR PI SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
Evan, Glen	GEVANS	evansg@od.nih.gov	PI SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
Fitzgerald, Steve	STEVEF	fitzgeralds@od.nih.gov	PI SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
Geaney, Stefanie	STEFANIE	geaneys@od.nih.gov	SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>
gibb, scarlett	SGIBB2	gibbs@od.nih.gov	FSR SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>
Griffith, Bartley	DWRIGHT	wrightd@od.nih.gov	FSR PI	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
GUPTA, PHALGUNI	GSTONE	stoneg@od.nih.gov	FSR PI	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
Hall, Dan	DANHALLTESTSSN	halld@od.nih.gov	PI	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>   <a href="#">Delegate PI</a>
hall. dan	HALLD TST	halld@od.nih.gov	SO	<a href="#">View</a>   <a href="#">Edit</a>   <a href="#">Delete</a>

Done Internet



# 5. CGAP Data Stream Approach and Models

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eRA CGAP Lead Analyst

# Major Phases

- **Phase 1:** Standard XML documentation, technology and application-receipt flow
- **Phase 2:** Application receipt and validation
- **Phase 3:** Business-to-government flow and interchange infrastructure
- **Phase 4:** Integration with bi-directional communications on IPF, PPF, FSR and potentially other requests

# Phase 1: Applications Only



- Analyze and document the e-application standard
- Submit for comments
- Define the technical architecture for
  - Receiving
  - Storing
  - Integrating e-apps into the NIH business flow
- Define the business flows to process e-Apps



# Phase 2: Receipt of e-Applications



- Define and implement the transaction receipt and format validation
- Prototype and **TEST** the receipt function with external partners
- Define downstream impact of e-Applications
- Integrate feedback from comments and tests

# Phase 3: Applications and B2B



- Define the business-to-government interchange
- Define and prototype error and change processing for e-Applications
- Define and prototype acceptance and referral by NIH
- Define and prototype registration, delegation of authority, security
- TEST the application receipt
- PILOT a limited set of live applications

# Phase 4: PPF, IPF integration



- Implement changes in business processes downstream from Receipt and Referral
- Define and implement PPF, IPF bi-directional transactions
- Define a receipt stream for FSR, e-SNAP
- Construct the production quality systems for e-Applications
- TEST exchange with external partners
- Prepare for production release of CGAP
- PILOT with gradual increase in volume

# Target Timetable



- **Phase 1: Now to end of January 2003**
  - Standard XML documentation, technology and application-receipt flow
  - *Inception, tech architecture and analysis*
- **Phase 2: February – April 2003**
  - Application receipt and validation
  - *Build and test the receipt of XML stream*
- **Phase 3: May – July 2003**
  - Business-to-government flow and interchange infrastructure
  - *Complete design and build business-to-government exchange*
  - *Pilot*
- **Phase 4: August – November 2003**
  - Integrate with bi-directional communications on IPF, PPF, FSR and potentially other requests
  - *Build out the integrated system for e-Applications: Test and gradual introduction*

# Short-Term Actions



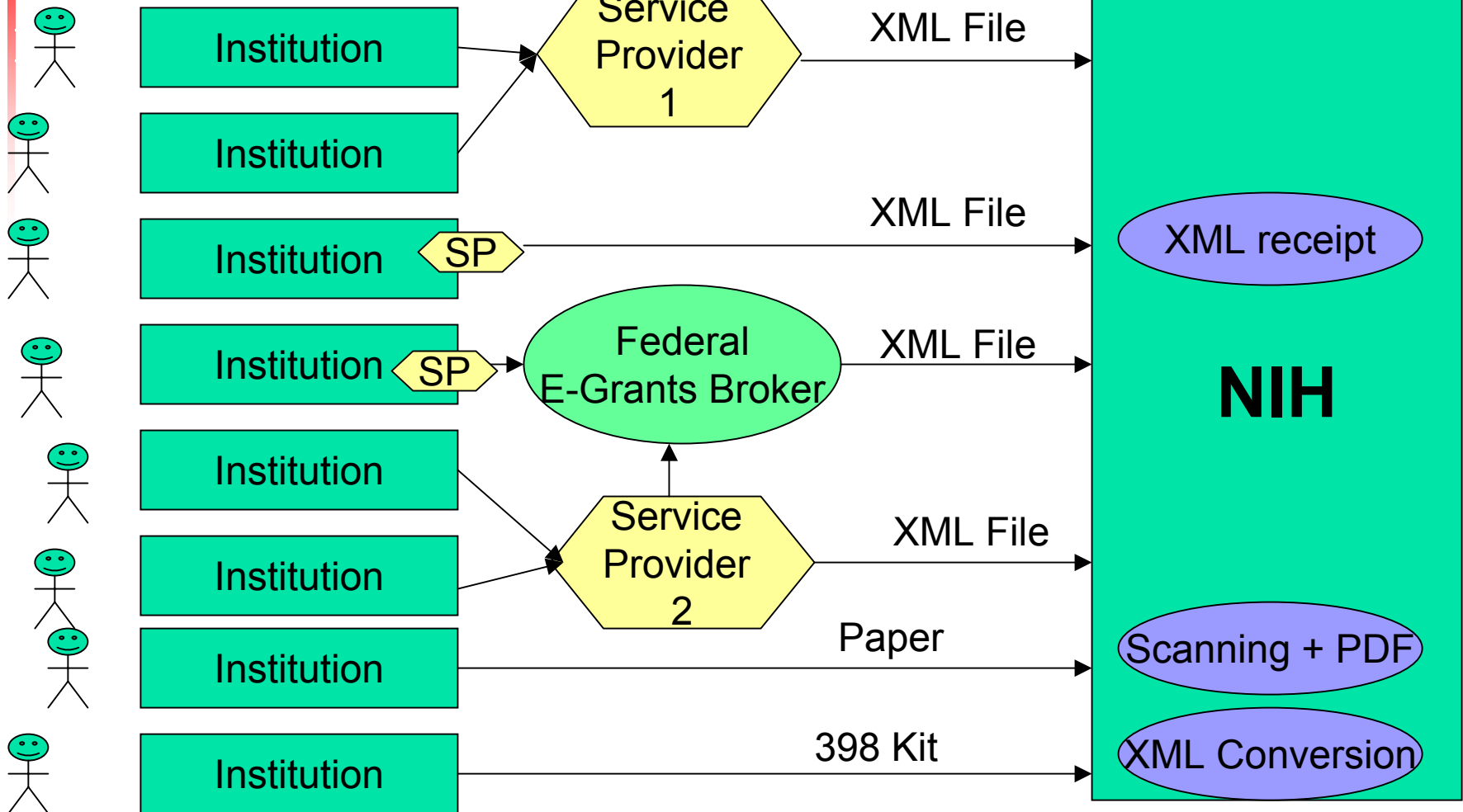
- More detailed plan under development
- Activated focus group for e-Receipt and Referral
  - List internal issues to be addressed
- Activated the SBIR listserv and communicate approach
- Technical solution for packaging, transport and storage of XML + docs started
- Resources assigned
- Test hardware procured, received, to be configured

# Receipt and Exchange Models

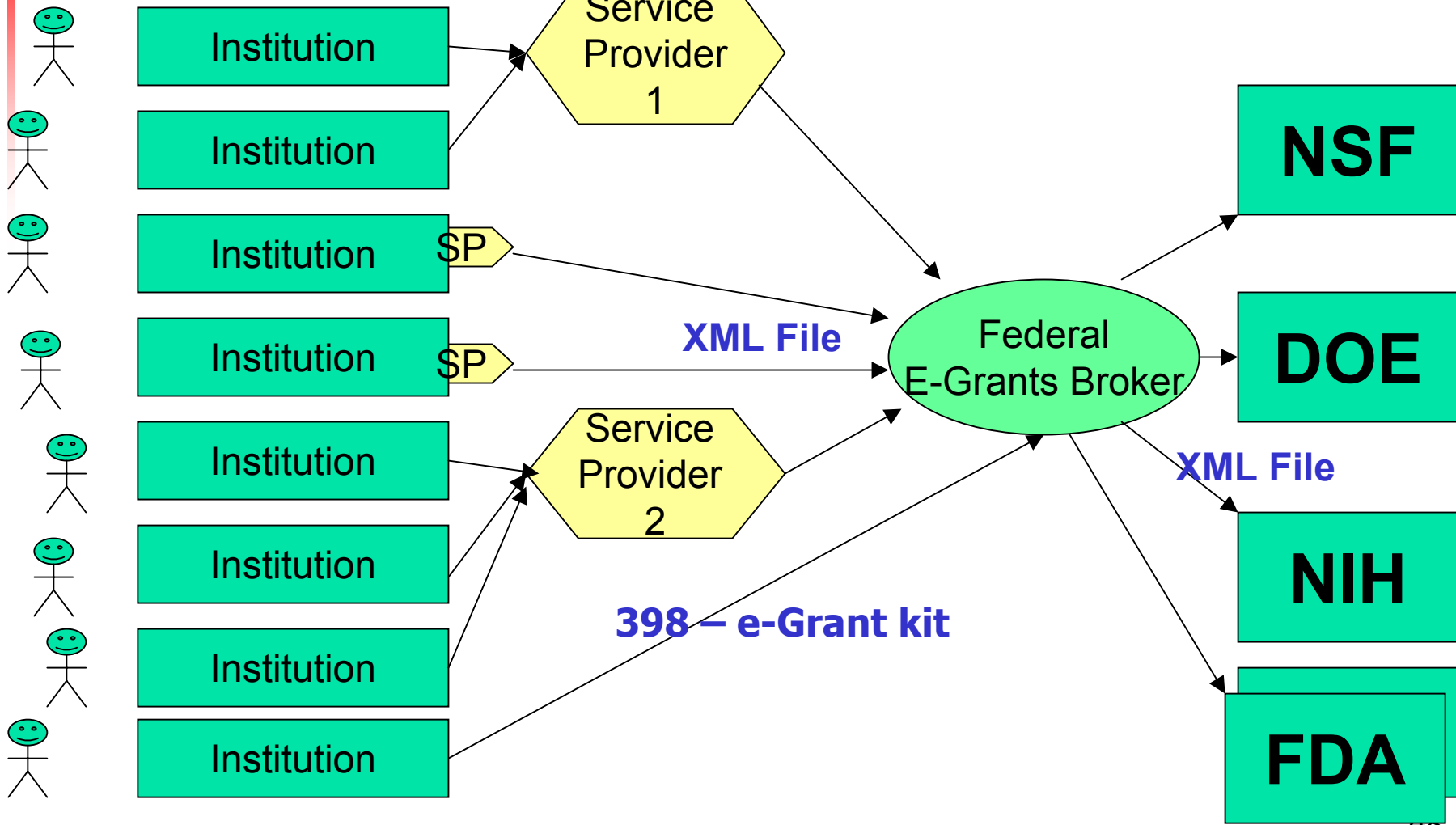


- Receipt Sources
  - Current model
  - Future model
- Exchange architecture
  - One-way communications versus
  - Exchange protocol
- Critical architectural decision

# Current: Multi-Source Receipts

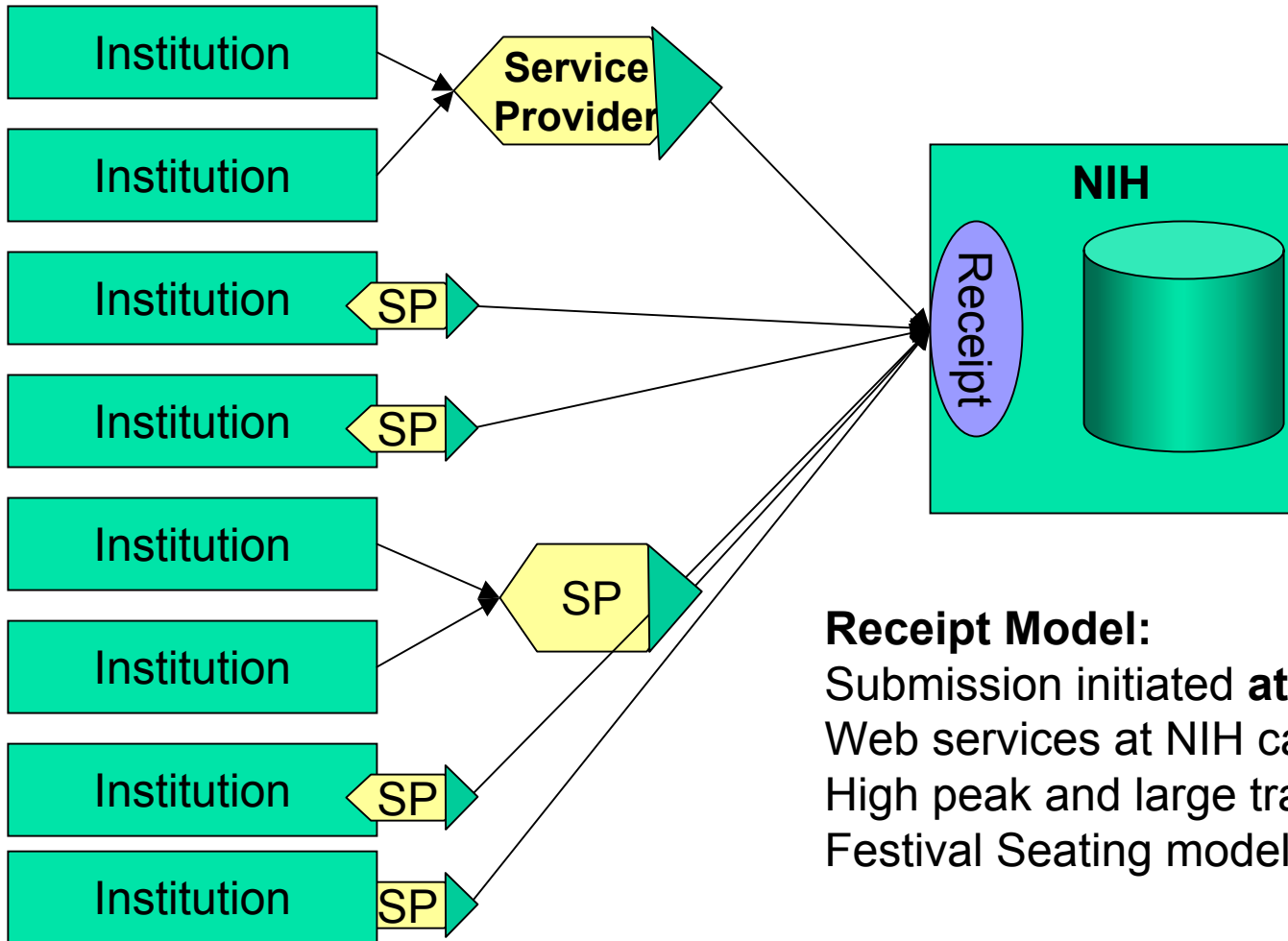


# Single Source Receipt for NIH





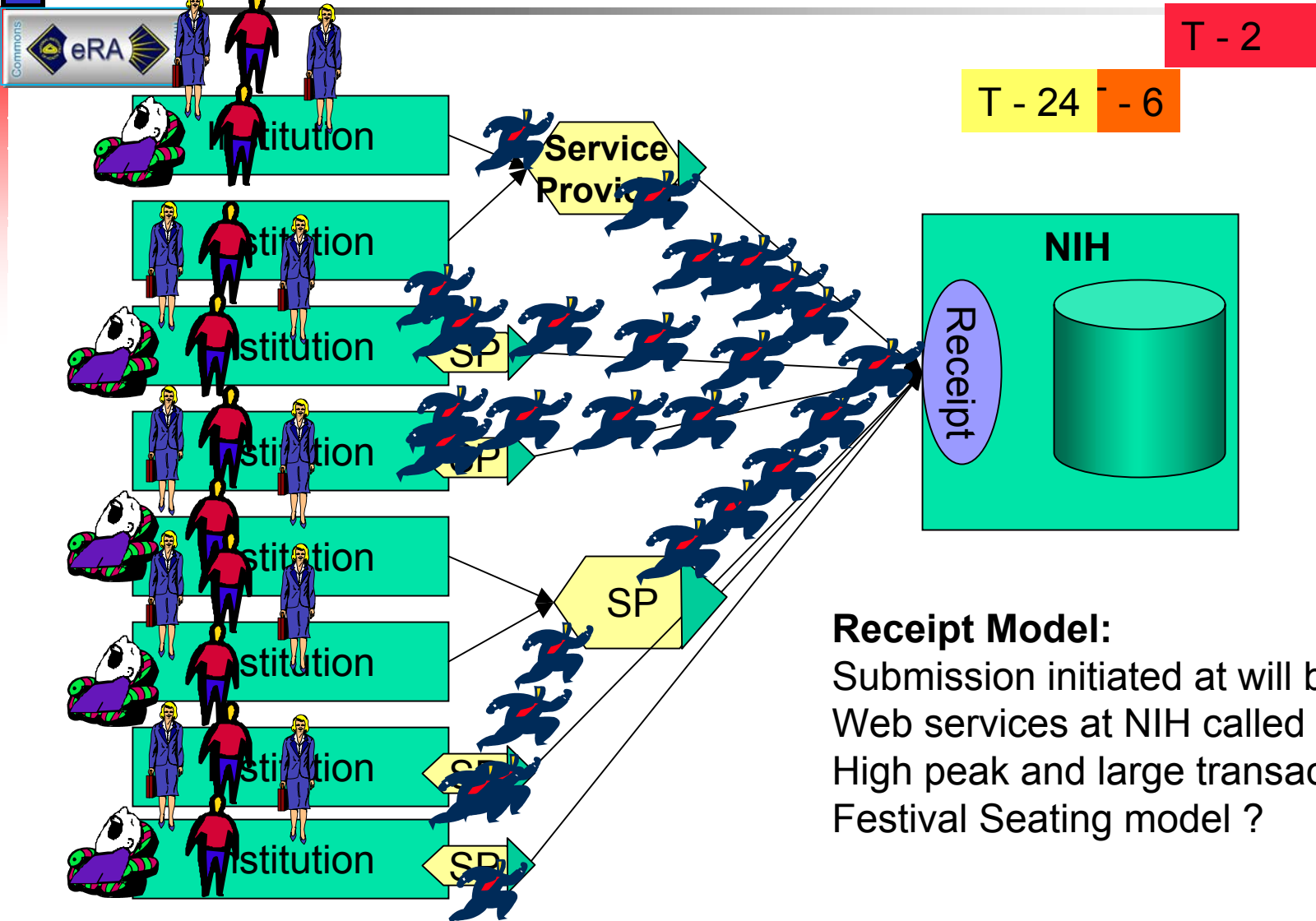
# One-Way Communications



## Receipt Model:

Submission initiated **at will** by SP  
Web services at NIH called by Submitter  
High peak and large transactions  
Festival Seating model ?

# One-way Communications



## Receipt Model:

- Submission initiated at will by SP
- Web services at NIH called by Submitter
- High peak and large transactions
- Festival Seating model ?

# "Ticket" Process



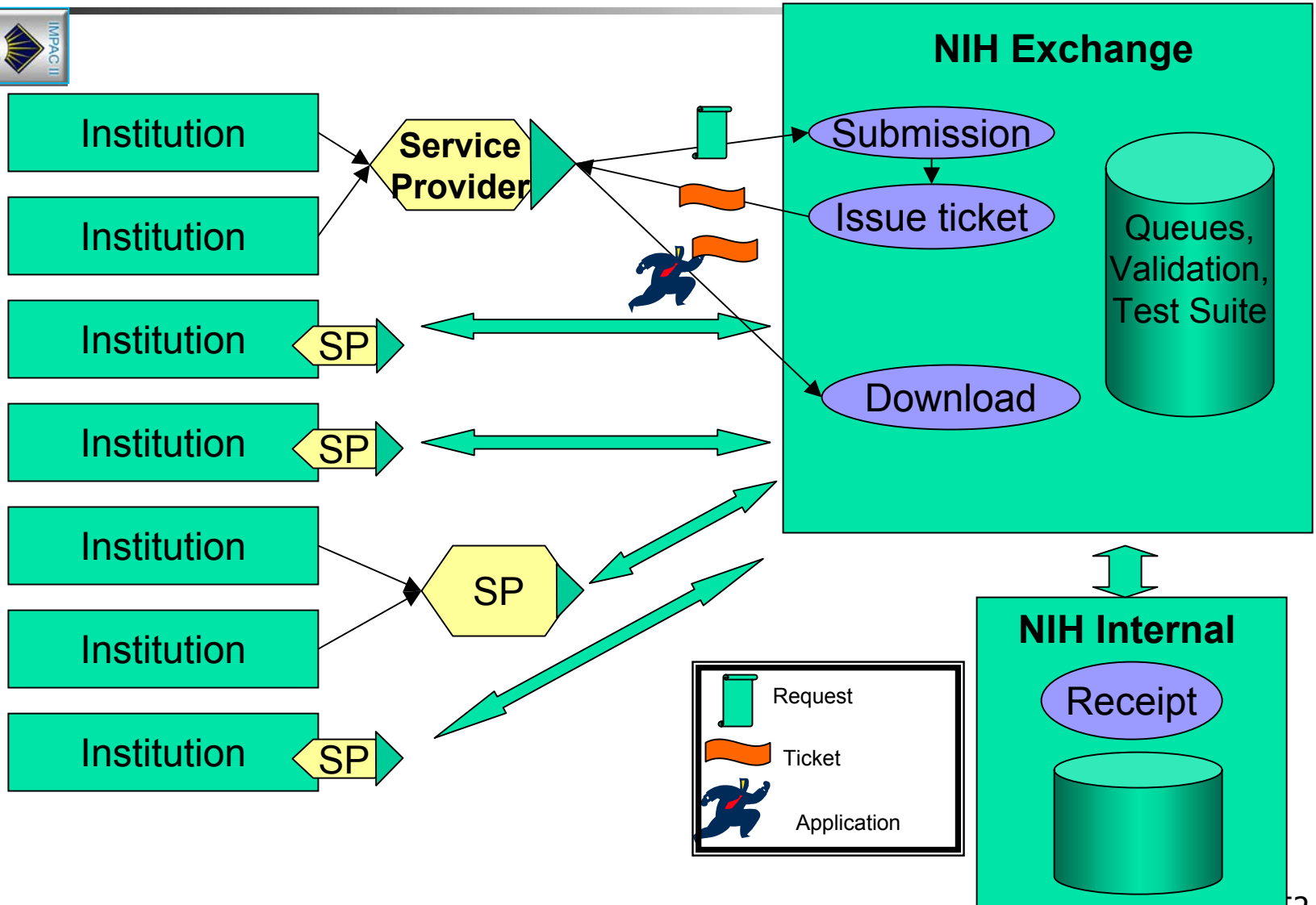
## Submission

- Request for submission issued with application identifier and file characteristics
- NIH issues an accession number and a place in queue
- NIH records submission request and file characteristics

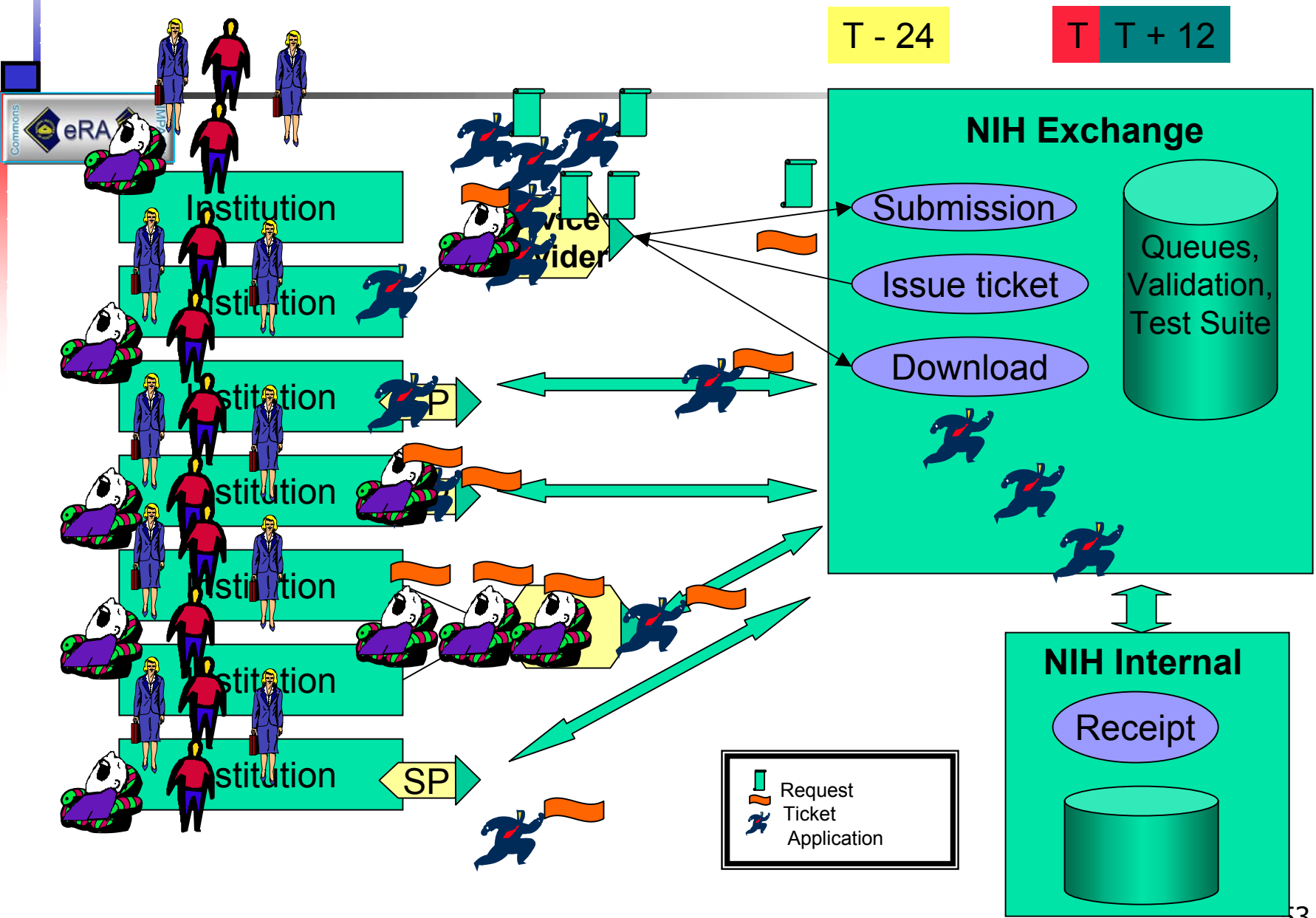
## Later

- NIH signals for download
- SP sends file or NIH gets it
- NIH processes file

# "Ticket" Process



# "Ticket" Model



T - 24

T T + 12

 Request  
 Ticket  
 Application

# Exchange



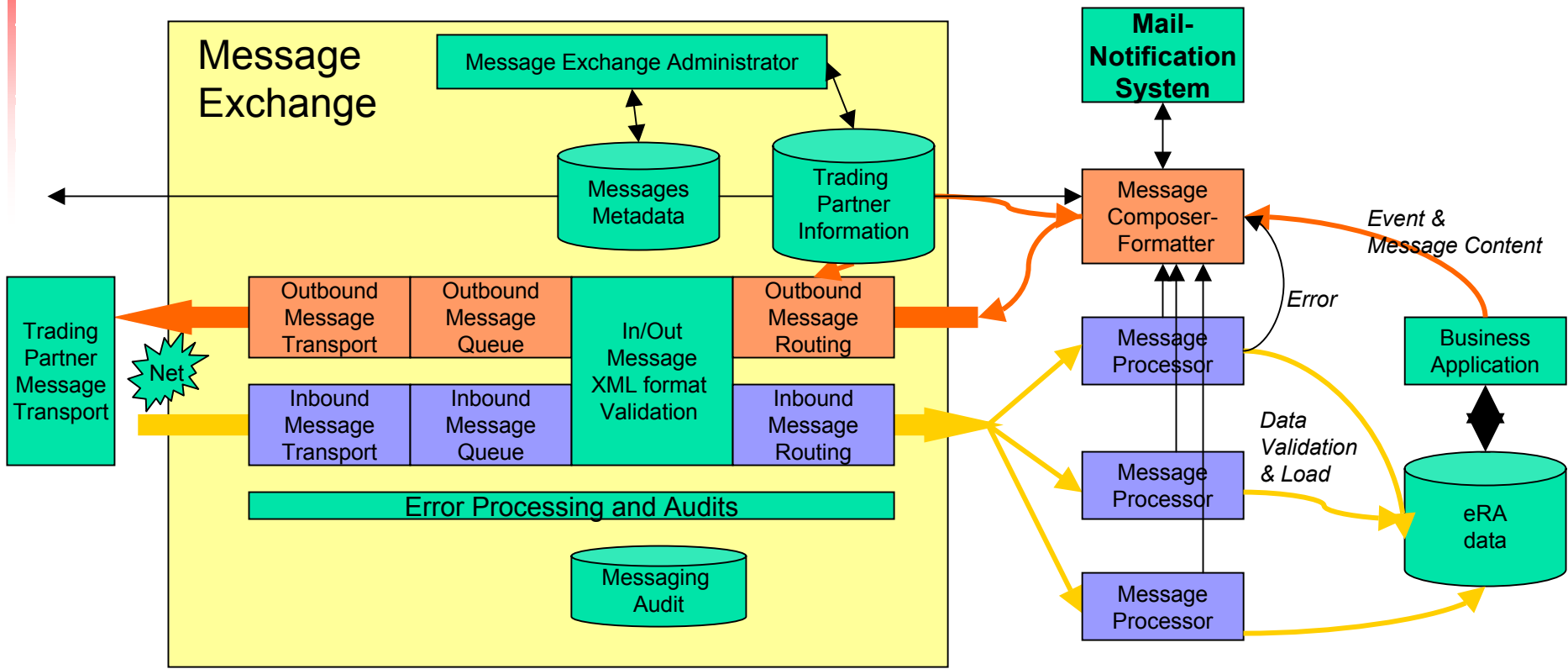
- Two-way communications
- A protocol to send and receive messages
- A “handshake” computer to computer
- Controlled transfer of the large transaction

# Messages—Web Services



- A message is an XML file sent and received by a computer
- A message may have attachments
- Each message type has its own XML schema and workflow paths
- Example message types are:
  - Form 398 with PDF project plan and CV attachments
  - Appendices to a Form 398
  - Request for submission of 398
  - Queue ticket
  - Notification of receipt of XML file
  - Notification of acceptance of application by NIH
  - Notification of IRG and IC assignment
  - FSR, E-SNAP, Profile Submission
  - Protocols
  - and so on

# Functional Components of the Exchange





# Components

- Trading partner agreement
- Message transport
- Message queues
- Message validation
- Message metadata
- Trading partner database
- Message content processors
- Notification, audits, error processing



# Issues



- Approach not validated with E-Grants
- Each service provider must have a listener
- Each service provider must write the interfaces to their own systems and NIH exchange
- Standards may change
- Protocol and technology not defined
  - SOAP with attachments ?
  - ebXML? Or JAX APIS, COTS product?

# Major Tech Drivers



- Avoid a huge peak a few times a year
- Minimize footprint at the service-provider site
- Pick a standard that may be stable
- Look ahead for B-2-G interchanges and other transactions

# Advantages of Exchange



- Commercial models exist
- Lots of standard components exist
- No huge peak load problem to solve
- Generalized interface suitable for streamlining all exchanges
  - Post-receipt processes can be automated
- Could be kept relatively simple and nimble

# Questions to Audience



- Is it feasible?
  - Can NIH send a message, computer to computer, to an institution or service provider and expect an answer (not e-mail) ?
  - Will institutions or SP write interfaces in a specific protocol or using a set of web services?

# Question about Applications Transfers



- Model 1: *Submitter says: Here it is, go get it when you are ready.*
  - With submission Service Provider (SP) indicates where the file is. Later NIH initiates transfer.
- Model 2: *NIH says: It's your turn, give it to me.*
  - When place in queue is reached, NIH requests transfer and SP initiates transfer (synchronized).
- Model 3: *Submitter asks: Is it my turn yet ? ..... OK, here it is.*
  - SP polls the NIH exchange for place in queue, when green light then SP initiates transfer.

# 6. eRA SBIR Initiative Status



- NIH issued RFA for eRA SBIR initiative on Jan. 29, 2002
- Six awards
  - ERA Software Systems, Inc.
  - Research and Management Systems, Inc.
  - InfoEd International
  - Cayuse, Inc.
  - Clinical Tools, Inc.
  - Formatta Corporation
- Initial meeting with awardees to establish initial milestones took place on Nov. 13, 2002
- Program Contact: Dr. Amy Swain, NCRR  
<SwainA@NCRR.NIH.gov>



# 7. Streamlining the CGAP

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Progress on CWG-derived Action Items



# IPF, EIN, Congressional District



## ■ IPF/DUNS

- Critical for identification of submitting institution
- Provisions must be made for new institutions
- Electronic process requires this information (validated) for submission

## ■ EIN

- Required for award financials
- Associated with IPF
- Could be made part of the organizational hierarchy to relieve submission burden

## ■ Congressional District

- Used by NIH for reporting to Congress
- Validated by NIH according to zip code
- Submission requirement not necessary

# Abstract: ASCII vs. Rich Text



- Used for Receipt and Referral & CRISP
  - Rich text to facilitate referral process
  - ASCII only to facilitate manual indexing for CRISP
  - Current auto-index pilot software requires ASCII
- Questions posed to reviewers/applicants with assistance from CSR
- How do we define "Rich Text"
  - Benefits for expression of Greek characters
  - Mathematical equations?
  - Other graphics?

# Addresses & Signatures



- **Box 9 – Applicant Organization**
  - Basic requirement of IPF
  - No need for repeated submission
- **Box 12 – Administrative Official**
  - Required: GMOs use as first point of contact for negotiations and awards
- **Box 14 – PI Signature**
  - Required: legally binds PI
  - Precedent exists for electronic delegation, i.e., NSF
- **Box 15 – SO Signature**
  - Required: legally binds Institution
  - Precedent exists for electronic delegation, i.e., NSF and iEdison

# Percent Effort



- Required to determine if effort is reflective of scope (42CFR, 52h)
  - Can be provided in budget-justification narrative
- Required to support administrative regulations and cost principles (45 CFR, 74.25)
  - Provided via budget page
    - Allows for costs analysis and monitoring of reduction in effort relative to date of award
- Maintain narrative for determination of scope
- Submission as JIT for administrative regulations and cost principles

# Budget and Other Support



- Itemized Budget Information
  - Used by GMOs to assess liability of cost, assess reasonableness for scope of work – requires detail
  - Used by reviewers to assess reasonableness of scope of work – required minimal detail
- Other Support
  - Used to assess experience and expertise
  - Used by review and program to identify potential scientific & budgetary overlap
- Consider overall simplification consistent with modular applications

# Text-based Information



- PDF will be standard file format for application materials
- Issues
  - Image/print quality
  - File conversion
  - PDF versioning
- Recommendation to develop conversion service
  - Ensure quality
  - Accommodate file conversion (Word, WordPerfect, ASCII text)
  - Model after/partner with NSF

# The Research Plan: Formatting the Submission



- Research Plan
  - Sections A-D must be in a separate file to allow validation of formatting
  - Others sections to be submitted as one or more separate files.
- Formatting validation rules to be determined and in place prior to submission
  - Validation of page limits and fonts
  - Adherence to data requirements and business rules
- Leniency with formatting violations
  - NIH to provide warning with time for correction

# Appendices



- Streamlining of receipt via JIT submission directly to the SRA
- CSR to support receipt of paper-based appendix material directly to SRA after application assignment



# Appendices...cont.



- Streamlining via submission of electronic documents
  - PDF documents
    - Converted files (MS Word, WordPerfect, text) once conversion service in place
  - Upload document through NIH eRA Commons Status module
  - Preference for submission of single, multi-component file
- Process must ensure receipt of “documents” by all relevant NIH staff
  - Reviewers, IC GMO, IC Program
- Potential for “push” notification to PI
  - Notification of application assignment, SRA contact information, due date of materials

# Biosketch & Citations



- Content and format of biosketch
  - Support for standard content and format for ease of analysis by reviewers/GMO
  - Support for optional content and format to accommodate PIs to excerpt from c.v.
- Questions posed to reviewers/applicants with assistance from CSR

# Biosketch & Citations



- Citation Options
  - Utility in PPF to select citations & download in PDF to embed in the stream
  - JIT upload via eRA Status interface when assignment has been made (similar to electronic appendix materials)
  - JIT association (via institutional or third-party software) via eRA Status interface when assignment has been made
  - Consider using number of citations rather than page length to standardize length