



Electronic 901 Working Group Minutes

Date: Friday May 27, 2005
Time: 1:00–3:00 p.m.
Location: Rockledge 1, Room 2198
Advocate: Ellen Liberman

Change Request Prototype Page: <http://erawebdev.od.nih.gov/UI/e901/index.asp>

Action Items

1. (Daniel Fox) Reverse locations of Principal Investigator (PI) Number and Grant Number fields
2. (Daniel Fox) Add “if known” to the label of “In reference to Grant Number” field
3. (Daniel Fox) Make Organization or University Field mandatory
4. (Daniel Fox) Make Project Title mandatory
5. (Daniel Fox) Add “if known” to the Commons PI User field
6. (Daniel Fox) Add “if known” to the Program Class Code field
7. (Daniel Fox) Make Anticipated Receipt Date mandatory
8. (Daniel Fox) Take out the words “Used W/51” listed next to default wording “Accept application that exceeds \$500,000” next to ARA Type.
9. (Daniel Fox) Change text on default next to ARA Type from “Accept application that exceeds \$500,000” to “Accept application that requests \$500,000 or more.”
10. (Daniel Fox) Add PI look up feature in the form of a link next to the PI Name field. When clicked, it will enable a search by Last Name/First Name on the Person Profile Records within the eRA database and present a list to the user. If the user selects a person, information about the person will automatically populate the following fields: Last name, First name, Middle Initial, Organization or University and Commons PI User ID.
11. (Daniel Fox) Eliminate the Grant Number look-up and match at the time of ARA submission. This step is not needed at submission time.
12. (Daniel Fox) Ensure that Anticipated Receipt Date does not exceed four months from current date of ARA. Display an error if it does.
13. (Daniel Fox) Allow search for ARAs to display ARAs going back eight months (two council rounds).
14. (Daniel Fox) Replace Grant Number and PI Commons User ID field with Submitting IC and ARA Type fields on the List of ARAs screen.

15. (Daniel Fox) Add ability to cancel ARA submission on List of ARAs screen. Also, add ability to go back from List of ARAs screen.
16. (Daniel Fox, Suzanne Fisher) Change the list of values within the ARA Types. Email Suzanne Fisher a list of existing items and she will send back a modified list for inclusion in Requirements.
17. (Daniel Fox) Skip Division of Receipt and Referral approval in the approval chain of command before the ARA is placed in the matching folder. The last approver of ARA within the approval chain of command for ARAs automatically triggers the change of status to “Pending Match.”
18. (Daniel Fox) Archive ARA in “Pending Match” state that has not been matched after eight months. Archiving should be done in a way that preserves the information, but makes it unavailable to the user.
19. (Daniel Fox) Add notification to the submitter and the Referral Liaison when an ARA is matched to the Grant.
20. (Daniel Fox) Add notification to the submitter and Referral Liaison if ARA in pending match is not matched within four weeks of the submission date.
21. (Daniel Fox) Add email notification to the submitter and the Research Liaison of the IC that submitted the ARA when an Assignment Change Request is processed on the Grant that has a matched ARA.
22. (Daniel Fox) Have an error message displayed preventing the user from submitting or approving the ARA request and directing the user to contact the eRA Help Desk when, at the time of submission or approval of an ARA, the system cannot locate the next-in-command person in the approval chain (because an IC has failed to designate such a person).

Documents

1. [ARA process](#)

Review Action Items from Last Meeting

1. (Daniel Fox) Email list of Request Types for the First Pilot to the group. **Done.**
2. (Daniel Fox) Change “View” on the My Notifications page to “Process.” **Done.**
3. (Daniel Fox) Review, write up the process and create mock-ups of the ARA process to go over at the next meeting. **Done.**

Review Business Process for Awaiting Receipt of Application (ARA) requests

Daniel Fox

Daniel Fox showed the group a diagram that explains the sequence of steps in the Awaiting Receipt of Application process as eRA plans to implement it. An ARA form is usually submitted when there is an expression of interest on the part of some Institute, Center or Agency in a particular pending application. SRAs, IRG chiefs, Referral Liaisons at Institutes and Division of Receipt and Referral chiefs will be able to submit an ARA. When they log in to the system, they will see an ARA link on the left side of the screen that when clicked, will take them to the Submit ARA Request screen.

Review ARA User Interface and Process

Daniel Fox

Daniel walked the group through the Submit ARA Request screen and the group recommended the following changes to the screen:

1. Reverse locations of Principal Investigator (PI) Number and Grant Number fields
2. Add “if known” to the label of “In reference to Grant Number” field
3. Make Organization or University Field mandatory
4. Make Project Title mandatory
5. Add “if known” to the Commons PI User field
6. Add “if known” to the Program Class Code field
7. Make Anticipated Receipt Date mandatory
8. Take out the words “Used W/51” listed next to default wording “Accept application that exceeds \$500,000” next to ARA Type.
9. Change text on default next to ARA Type from “Accept application that exceeds \$500,000” to “Accept application that requests \$500,000 or more.”
10. Add PI look up feature in the form of a link next to the PI Name field. When clicked, it will enable a search by Last Name/First Name on the Person Profile Records within the eRA database and present a list to the user. If the user selects a person, information about the person will automatically populate the following fields: Last name, First name, Middle Initial, Organization or University and Commons PI User ID.
11. Eliminate the Grant Number look-up and match at the time of ARA submission. This step is not needed at submission time.
12. Ensure that Anticipated Receipt Date does not exceed four months from current date of ARA. Display an error if it does.
13. Allow search for ARAs to display ARAs going back eight months (two council rounds).
14. Replace Grant Number and PI Commons User ID field with Submitting IC and ARA Type fields on the List of ARAs screen.
15. Add ability to cancel ARA submission on List of ARAs screen. Also, add ability to go back from List of ARAs screen.

16. Skip Division of Receipt and Referral approval in the approval chain of command before the ARA is placed in the matching folder. The last approver of ARA within the approval chain of command for ARAs automatically triggers the change of status to “Pending Match.”
17. Archive ARA in “Pending Match” state that has not been matched after eight months. Archiving should be done in a way that preserves the information, but makes it unavailable to the user.
18. Change the list of values within the ARA Types. Email Suzanne Fisher a list of existing items and she will send back a modified list for inclusion in Requirements.

Update on No. 17: Suzanne sent this final modified list of values within the ARA Types to Daniel:

- Accept application that requests \$500,000 or more
- Letters of reference
- Material to add with application (includes letters of support, checklist, etc).
- Miscellaneous
- Permanent ARA (only DRR can use this category)
- Replacement pages
- Request for a waiver
- Request for an assignment from IC
- Request for an assignment from IRG
- Request for an assignment from Other
- Request for an assignment from PI
- Request to withdraw application.
- Take to.....

Discussion—The group requested that a search by category on ARAs listed would be very helpful. Daniel noted that such a search function would require an additional search screen. He suggested it be implemented sometime in the future, not with the current crop of changes.

Suzanne Fisher noted that she would like to see the screen that a Referral Officer sees when having to make a match between an ARA and a grant or not. Daniel noted that would involve a few changes in the Receipt and Referral module to get a view of the ARA screen, but it is not part of the 901 Task order. Lana Diggs said that she would coordinate Suzanne’s request with Diana Dixon, whose purview R&R falls under.

Action: (Daniel Fox) Implement the above 17 changes

ARA Email Notifications

The ARA matching process will take place at the Division of Receipt and Referral. The Receipt and Referral user will enter a grant application and search for unmatched ARAs that match the last name of the PI on the grant application. If a match is found, the system will display a list of ARAs and the R & R user will select an ARA and match the ARA to the grant application. The R & R user will then set the status of the ARA chosen to “Matched.”

At this stage, the group agreed that the system should handle the following email notifications/actions:

1. When ARA is matched to the Grant, the submitter and the Referral Liaison should be notified.
 2. If ARA in pending match is not matched within four weeks of the submission date, the submitter and Referral Liaison should be notified.
 3. When an Assignment Change Request is processed on the Grant that has a matched ARA, the email should go out to the submitter and the Research Liaison of the IC that submitted the ARA.
- The group also decided that if, at the time of submission or approval of an ARA, the system cannot locate the next-in-command person in the approval chain (because an IC has failed to designate such a person), an error message will be displayed preventing the user from submitting/approving the ARA request and informing them to contact the eRA Help Desk.

Action: (Daniel Fox) Implement the above four changes

ARA Issue Paper

Lana Diggs

Lana went over a list of ARA issues culled from a set of minutes from Electronic ARA/901 Working Group meetings held in late 2003 and early 2004. The group’s comments, if any, are listed in italics in parenthesis next to the issue:

- Review ARA types (*Already discussed.*)
- Add Program Class Code to the ARA form
- For ARAs that do not get a match, notify or do not match after four weeks
- Retention period — six months. (*The group agreed to retain it for eight months before having the ARAs archived*)
- Dueling ARAs (*Both parties should get notified*)
- Track Requests:
 - ARA statuses —Submitted, Pending, Matched, Referral Outcome, No Match, Archived (*No match is same as Pending Match*)
 - Council Date Query — “All” is the default
 - Add Receipt Date range (This is a future enhancement)
- Ability to identify “blanket” exemptions by IC and mechanism —May not be in the scope of ARAs
- Negative ARAs—IC does not want the application
- OPDIV data view
- Integration of paper components of ARA — Scanning? (*It is up to the submitter how to attach. Still need to have file system*)
- Email Notification for events:

1. ARA has been submitted
2. ARA has been matched to an application
3. ARA has been approved by Referral Liaison
4. CSR has assigned the Primary/Secondary IC and Review locations
5. ARA has not been matched (four weeks)

(The group agreed that numbers 2 and 5 are important notifications)

- Match ARA/Grant logic:
 - Grant Number, if available
 - PI and Institution
 - Just PI
- PI may not exist in database during ARA initiation
- Narrative statement vs Annotation boxes
- Post Processes
- Recommendation to use ARAs for Conference Grants

Next steps

Lana Diggs noted that this is the last meeting of the Electronic 901 Working Group. The group was very appreciative of the cake she brought to their previous meeting to mark the milestone. In the next two months, Lana said she hoped to get developers on board to develop a pilot starting at the end of October/beginning of November. It would be a limited pilot dealing with 901s for Change of IC and dual ICs. The duration of the pilot would be two months, ending in December. The developers would then start on enhancements, developing other types of 901s and ARAs. The goal is to complete development by the end of April 2006 and move into production. Lana noted that there will be a window when paper and electronic 901s will co-exist. There is no timeline for a complete transition to electronic; that will probably happen only when grant applications move to an all electronic mode.

Attendees

Diggs, Lana	Hayunga, Eugene	Roberts, Luci
Fisher, Suzanne	Melchior, Christine	Stesney, Jo Ann
Fox, Daniel	Noronha, Jean	Subramanya, Manju