Electronic Receipt Timeline

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Commons Working Group
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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.
   1. SF424 Research and Research-Related (SF424 (R&R))
   2. 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

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:
  - Numerous funding mechanisms
  - Tens of thousands of applications ranging widely in size and complexity

- 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 communication, training and outreach
  - Acceptance of change by NIH staff
  - Acceptance of change by our research partners in the extramural community.

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We are already seeing the benefits of electronic submission

- Resulting efficiencies may allow NIH to shorten the cycle from application receipt to award

  - Shortened application to award cycle for AREA grants – an early win!

- Electronic validations improve data quality

- Reductions of scanning, printing, and data-entry costs

- Grant image is clearer and in color

- Electronic submission enhances our repository of data that can be mined by knowledge management and other tools

Why transition to SF424 family of forms?

- SF424 consolidates forms currently used by Federal grant-making agencies
    - Applicants can use standard forms regardless of the program or agency to which they are applying.
    - Reduces administrative burden on the Federal grants community.

- SF424 (R&R) is the government-wide data set for research grant applications

Why transition? It's the law…

- **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 "Find" on Grants.gov "Apply"

- The PHS 398 OMB clearance expires in September, 2007

NIH's Transition Strategy

- NIH will transition by individual research program/funding mechanism

- <u>ALL</u> applications in response to these announcements for transitioned mechanisms <u>will require</u> electronic submission through Grants.gov on the 424 family of forms

- Mechanisms not yet transitioned will continue to require submission on PHS 398 on paper or through service providers

- NIH will announce plan to transition mechanisms in NIH Guide for Grants and Contracts

- Funding Opportunity Announcements will be posted in Grants.gov "Apply", generally 2 months before the submission date.

SF424 (R&R) Grant Application Package

■ SF424 (R&R) includes the following set of standard components:

- R&R Application/Cover Component
- R&R Project/Performance Site Location(s) Component
- R&R Other Project Information Component
- R&R Senior/Key Person Component
- R&R Budget Component
- R&R Personal Data Component (NIH will not use)
- R&R Sub-award Budget Attachment Component

SF424 (R&R) Grant Application Package

- In addition to the standard components, the following "agency specific" components will be used by NIH as part of our application package:

  - PHS 398 Cover Letter File
  - PHS 398 Cover Page Supplement
  - PHS 398 Research Plan
  - PHS 398 Modular Budget
  - PHS 398 Checklist

- NIH requires additional data collection to accommodate the unique information required for review of its biomedical research portfolio.

NIH Timeline:
Submission of Grant Applications through Grants.gov
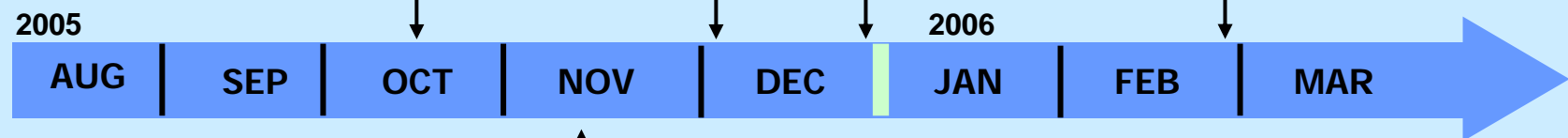## Using SF424 Family of Grant Application Forms

Post SBIR/STTR and R13/U13 Announcements on Grants.gov

Submit SBIR/STTR via Grants.gov *(12/1/05)*

Post R15 Announcements on *Grants.gov*

Submit R13 & U13 via Grants.gov *(12/15/05)*

Submit R15 via Grants.gov *(2/25/06)*

2005

AUG	SEP	OCT	NOV	DEC	**2006** JAN	FEB	MAR

Post full schedule with all remaining mechanisms

NIH Timeline:
Submission of Grant Applications through Grants.gov Using SF424 Family of Grant Application Forms (cont.)
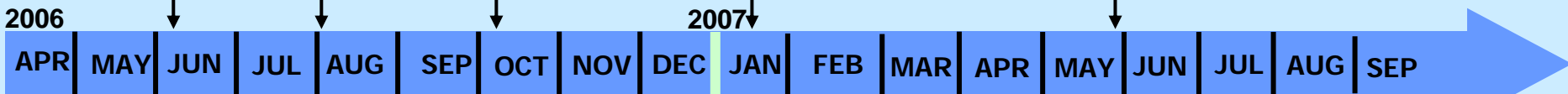
Submit R03 & R21 via Grants.gov *(6/1/06)*

Post R01 Announcements on Grants.gov

Submit R01 via Grants.gov *(10/1/06)*

Post NRSA (T&F), Careers & Complex Grants Announcements on Grants.gov

Submit all Mechanisms via Grants.gov

2006
APR | MAY | JUN | JUL | AUG | SEP | OCT | NOV | DEC | **2007** JAN | FEB | MAR | APR | MAY | JUN | JUL | AUG | SEP

OMB Clearance for PHS398 form Expires

What's next?

Our plans are a work in progress. Many other mechanisms will be added to our timeline as we work towards full transition…Stay tuned!

What does this mean for the other HHS ODIVS who are using eRA?

- AHRQ will join NIH as we transition.

- SAMHSA, CDC, FDA, and HRSA are still working with us to integrate into our eRA systems.

  - Our goal is capitalize on opportunities to include the OPDIVs when possible given the current status of their integration.

What is NIH doing to get ready for electronic receipt?

- A lot of planning and preparation!
  - Coordinating closely with Grants.gov
  - Technical development
  - Infrastructure planning
  - Coordination with service providers
  - Interagency forms development
  - Coordination of forms development with the Grants.gov forms factory
  - Application guide development
  - Planning for transitioning mechanisms and posting of funding announcements

What is NIH doing to get ready for electronic receipt? (cont.)

- Increasing staffing for help desks
- Coordinating activities of help desks
- Providing Grants.gov with a Citrix "solution" for PC emulation for Macs. (see http://www.grants.gov/GrantsGov_UST_Grantee/!SSL!/WebHelp/MacSupportforPureEdge.pdf for info on PureEdge support for the Mac)
- Talking to other agencies for lessons learned
- Developing communication plans to manage the change both internally and externally.

- Lots of contingency planning!

Getting Started – Registration

Grants.gov and eRA Commons registration is required

Grants.gov Registration

- One time only registration good for electronic submission to all Federal agencies
- Registration on Grants.gov required <u>only for institutions</u>
  - Detailed instructions at: http://grants.gov/GetStarted

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

Getting Started – Registration

Grants.gov and eRA Commons registration is required

eRA Commons Registration

- Allows NIH to receive applications electronically from Grants.gov and validate them against NIH business rules.

- Provides a way for NIH and registered users to communicate electronically after submission.

  - Both organizations and PIs need to register
  - One time only registration
  - Detailed instructions at:
    https://commons.era.nih.gov/commons

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Getting Started

- Download PureEdge Application Viewer from Grants.gov
  http://www.grants.gov/DownloadViewer

- Make sure you have an application to convert documents to .pdf format
  http://grants.gov/assets/PDFConversion.pdf

Electronic Submission Options

- Direct to Grants.gov using PureEdge Forms Viewer (downloaded from Grants.gov site)

- Establish an electronic system that allows the institution to submit to Grants.gov using system-to-system (XML) data stream
  - Can be created by institution OR
  - Institution can establish an agreement with a commercial service provider

Where to look for more information

- **NIH eRA's Electronic Receipt Web site:**
  - http://era.nih.gov/ElectronicReceipt/

- **NIH Guide Notices:**
  - http://grants1.nih.gov/grants/guide/index.html

- **Professional Society Meetings**

- **Booths at Major Scientific Meetings**

Where to go for Help

- Grants.gov registration and submission questions
  - Grants.gov Customer Service
  - Visit: http://www.grants.gov/CustomerSupport

- Forms transition and questions on NIH's overall plan for electronic receipt
  - NIH GrantsInfo.gov
  - E-mail: grantsinfo@nih.gov

- NIH eRA Commons registration and post submission questions on Commons functionality
  - Support Page: http://era.nih.gov/commons/index.cfm
  - Help Desk
    - E-mail: commons@od.nih.gov
    - Phone: 1-866-504-9552 OR 301-402-7469