

Ready, Set, Submit!



GRANT APPLICATION PREPARATION & SUBMISSION

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August 2020

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FUNDING

POLICY & COMPLIANCE

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ABOUT OER

Open Mike

- Funding Longevity by Gender Among NIH-Supported Investigators
- We Want Your Feedback About Results Reporting for Basic Science Studies Involving Human Participants
- Trends in Diversity within the NIH-funded Workforce

Open Mike



Find Funding



How to Apply

How to Apply- Application Guide



About Grants

Navigate the NIH grants process from finding a funding opportunity to monitoring your award.

- Grants Process Overview
- Get Started
- How to Apply
- Application Referral and Review
- Pre-Award and Post-Award Processes
- Forms Library

Before Jumping Into the Application Process, Let's Cover Some Prepare to Apply Basics

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How to Apply - Application Guide

Use the application instructions found on this page along with the guidance in the funding opportunity announcement to submit grant applications to NIH, the Centers for Disease Control and Prevention, the Food and Drug Administration, and the Agency for Healthcare Research and Quality.

Important:

Access forms through the funding opportunity announcement.

Prepare to Apply

- Systems and Roles
- Register
- Understand Funding Opportunities
- Types of Applications
- Submission Options
- Obtain Software

Write Application

- Write Your Application
- Develop Your Budget
- Format Attachments
- Rules for Text Fields
- Page Limits
- Data Tables
- Reference Letters
- Biosketches

Submit

- Submit, Track, and View
- How We Check for Completeness
- Changed/Corrected Applications



Organization Registration

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Prepare to Apply

Systems and Roles

Register

Understand Funding Opportunities

Types of Applications

Submission Options

Obtain Software

Your organization must be registered in multiple systems to submit.
Start early – can take 6 weeks!

- **DUNS** – provides unique organization identifier (will be replaced with UEI-2021?)



SAM (System for Award Management) – needed to do business with government

- Requires annual renewal

- **Grants.gov** – required to submit grants
- **eRA Commons** – required to do business with NIH
- **SBA** (Small Business Administration) – required for SBIR/STTR applications



Application Attachments

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- Use simple PDF-formatted files for all attachments
 - Disable security features such as password protection
- Keep file names to 50 characters or less
- Filenames must be unique within the application
- Use meaningful filenames, especially for “Other Attachments”
- Do not include headers or footers
 - Section headings as part of the text (e.g., Significance, Innovation, Approach) are encouraged
- Follow specified page limits
- Follow guidelines for fonts and margins

Text Fields

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- Text fields support plain text with limited manual formatting
 - To format paragraphs, include a blank line between paragraphs
 - To format bulleted lists, start each list item on a new line with a "list item" character, such as a hyphen (-) or an asterisk (*), followed by a space and then the item text
- Much of your original formatting (font, bolding, bullets, subscript, superscript) will be lost when you cut and paste
 - Take advantage of application preview features if your submission method supports them
- Check application form instructions for character limits
 - Spaces and punctuation count against the limit

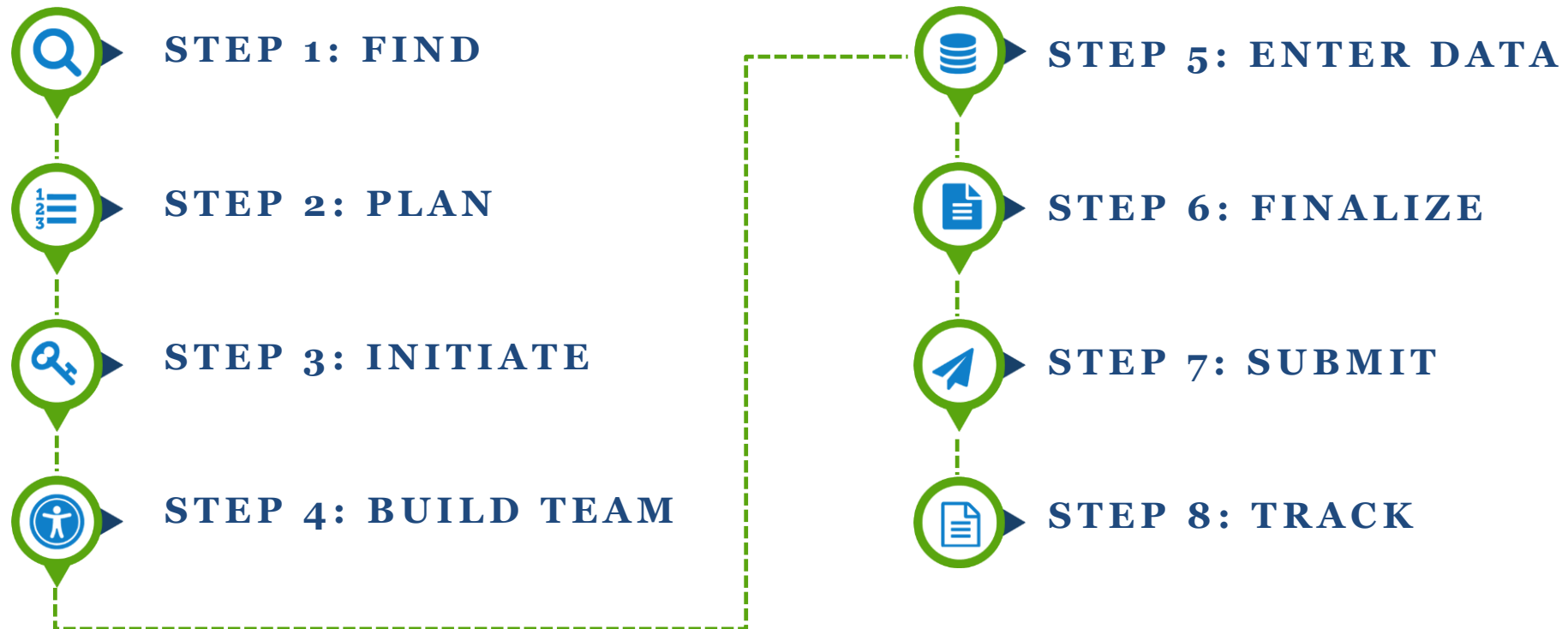
Grantsmanship

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- Avoid jargon
- Be focused - use a clear and concise writing style
- Spell out acronyms the first time they are used in each application section/attachment and note the appropriate abbreviation in parentheses
- Appeal to the reviewers and the funding ICs by using language that stresses the significance of your proposed work
- Align your application with the review criteria to maximize impact
 - FOA Section V. Application Review Information

Now Let's Talk About the Application Process

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Step 2: Plan for Your Submission

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- Identify team members
- Verify registrations are in place and active
- Determine application preparation responsibilities
 - Who will – prepare budget, gather data, create attachments, do data entry
- Make sure everyone is aware of process
 - Internal review & approval process
 - Post-submission responsibilities
 - ✦ How to deal with errors/warnings
 - ✦ Who will verify application in eRA Commons?

Access Application Forms via ASSIST

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Excerpt from single-project FOA in NIH Guide...

There are several options available to submit your application through Grants.gov. The following options to access the application forms for this opportunity.

1. Use the NIH ASSIST system to prepare, submit and track your application.

[Apply Online Using ASSIST](#)

2. Use an institutional system-to-system (S2S) solution to prepare and submit your application. Consult with your institutional officials regarding availability.

3. Use [Grants.gov](#) Workspace to prepare and submit your application and e-sign.

[Table of Contents](#)

U.S. Department of Health & Human Services

Contact Us Help Desk

Application Submission System & Interface for Submission Tracking (ASSIST)

[Apply Online Using ASSIST](#)

[Table of Contents](#)

Login

User Name

Password

[Login](#) [Cancel](#)

[Forgot Password/Unlink Account?](#)

Submit multi-project grant applications electronically to NIH and other Public Health Service Agencies...

The Application Submission System ; Interface for Submission Tracking (ASSIST) is used to prepare and submit multi-project grant applications electronically to NIH and other Public Health Service agencies. Prior to using ASSIST, applicants should identify a Funding Opportunity Announcement (FOA) to which they'd like to apply. FOAs are posted in the [NIH Guide for Grants ; Contracts](#) and/or in [Grants.gov](#) each of which has robust search capabilities. The FOA text will indicate whether ASSIST can be used to apply

Need Help?

Resources

- [APPLICATION GUIDE](#)
- [ASSIST USER GUIDE](#)

Actions ?

RETURN TO APPLICATION

MANAGE ACCESS

ADD OPTIONAL FORM

ADD NEW COMPONENT

DISPLAY COMPONENT STATUS

CHANGE COMPONENT ORDER

PREVIEW CURRENT FORM

VALIDATE COMPONENT

VIEW STATUS HISTORY

COPY APPLICATION

DELETE APPLICATION

Component Type

— Overall

Overall

+ Admin-Core

+ Core

+ Project

[Home](#) > [Search for Applications](#) > [Application Search Results](#) > [Application Information](#) > Component Information

◀ Hide Navigation

◀ Show Help

Overall

Summary

R&R Cover

Cover Page
Supplement

Other
Project
Information

Sites

Sr/Key
Person
Profile

Additional
Indirect
Costs

Research
Plan

Human
Subjects and
Clinical Trials

PHS 398 Research Plan

PHS398 Research Plan v4.0 ?

OMB Number: 0925-0001
Expiration Date: 03/31/2020

Edit

View Burden Statement

* Required field(s)

Introduction

1. Introduction to
Application
(for Resubmission and
Revision applications)

Add Attachment

Delete Attachment

View Attachment

Research Plan Section

2. Specific Aims

Specific-Aims.pdf

Replace Attachment

Delete Attachment

View Attachment

- * 3. Research Strategy

Research-Strategy.pdf

Replace Attachment

Delete Attachment

View Attachment

4. Progress Report
Publication List

Add Attachment

Delete Attachment

View Attachment

Other Research Plan Section

5. Vertebrate Animals

Vertebrate-Animals.pdf

Replace Attachment

Delete Attachment

View Attachment

6. Select Agent Research

Add Attachment

Delete Attachment

View Attachment



Step 3: Initiate Application

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- Login to your submission system and initiate your application and access the application forms

ASSIST	Workspace
Initiate Application	Create Workspace



Step 5: Enter Data

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Follow All Guidance

Handy Resource

Precedence / Importance

- Notices in NIH Guide for Grants & Contracts
- Funding Opportunity Announcement
 - Section IV. Application and Submission Information
- [How to Apply - Application Guide](https://grants.nih.gov/grants/how-to-apply-application-guide.html)

Annotated form sets

PHS 398 Research Plan

OMB Number: 0925-0001
Expiration Date: 3/31/2020

Introduction

1. Introduction to Application (for Resubmission and Revision applications) Limited to 1 page. Overall: Required for resubmission and revision applications. Other components: optional unless otherwise stated in funding opportunity announcement. Add Attachment Delete Attachment View Attachment

Research Plan Section

2. Specific Aims Required for all components. Limited to 1 page. Delete Attachment View Attachment

3. *Research Strategy Required for all components. See Section IV of the funding opportunity announcement for Overall and component page limits. Typically 6, 12 or 30 pages.

4. Progress Report Publication List Add Attachment Delete Attachment View Attachment

Other Research Plan Section

5. Vertebrate Animals Overall: Not collected. Other components: Required if Vertebrate Animals is Yes on the Other Project Information form. View Attachment

6. Select Agent Research Add Attachment Delete Attachment View Attachment

7. Multiple PD/PI Leadership Plan Overall: Required if more than one PD/PI is specified on R&R Sr/Key Person Profile form.

8. Consortium/Contractual Arrangements Can include in Overall, other components, or both unless specific instructions provided in the funding opportunity announcement.

9. Letters of Support Can include in Overall, other components, or both unless specific instructions provided in the funding opportunity announcement.

10. Resource Sharing Plan(s) Can include in Overall, other components, or both unless specific instructions provided in the funding opportunity announcement.

11. Authentication of Key Biological and/or Chemical Resources Overall: Optional unless otherwise stated in FOA. Other components: Required if project involves key biological and/or chemical resources. Recommend 1 page, but no system validation enforcement of page limit.

Appendix

12. Appendix Add Attachments Delete Attachments View Attachments

DO NOT use Appendix attachments to circumvent page limits in other sections of the application. Applications will be withdrawn and not reviewed if they are submitted with appendix material that are not specifically listed in notice NOT-OD-17-098 or the FOA as allowed or required.

Allows for up to 10 appendices. See Application Guide and announcement for restrictions.

Appendices are stored separately in the eRA Commons (not as part of the application image) and are accessible to appropriate agency staff and peer reviewers.

<https://grants.nih.gov/grants/how-to-apply-application-guide.html>

Walk-through of Submission Process

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DEMO

(USING ASSIST, BUT STEPS AND CONCEPTS APPLY TO ALL)





Step 7: Submit Your Application

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- Follow steps for your submission method
- Only folks with Grants.gov AOR (Authorized Organization Representative) credentials can submit
- All NIH applications route through Grants.gov
- Your Grants.gov timestamp is used to determine “on-time” submission

[Check for Status Updates](#)

Updates to status detected. Refer below for details on update.

ASSIST

Submission Date:	Mon Mar 02 13:02:30 EST 2015
Submitting AOR:	Workshop Participant
ASSIST Submission Status:	Submitted
Submission Status Date:	Mon Mar 02 13:02:34 EST 2015

Grants.gov

Grant.gov Tracking #:	GRANT00604633
Grants.gov Received Date:	Mon Mar 02 13:02:34 EST 2015
Grants.gov Processing Status:	Agency Tracking Number Assigned
Grants.gov Status Date:	Mon Mar 02 13:05:59 EST 2015

Agency

[View Agency Submission Errors and Warnings](#)

Agency Tracking #:	3689345 (To View Commons Status Details)
Agency Status:	PROCESSED
Agency Status Date:	Mon Mar 02 13:05:59 EST 2015

[Close](#)

Grants.gov Tracking #

Date/Time Stamp
– always recorded
in Eastern Time

On-time Submission

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- Deadline = 5 p.m. local time of submitting organization on the due date
 - All registrations and SAM renewal must be completed before the deadline
 - Application must be free of all federal system-identified errors (Grants.gov & eRA)
 - NIH's late policy does not allow corrections after the deadline
 - **NIH recommends submitting early** to allow time to correct any unexpected errors or submission issues



Pop Quiz

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The appropriate measurement for “**early**” in the context of application submission is...

a) Minutes

b) Hours

c) Days ←



Measure early on a calendar not a clock.



Step 8: Track Your Application

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- eRA Commons Status is an integral part of your submission
 - Applications that pass Grants.gov validations are picked up by eRA Commons and checked against many application guide and opportunity instructions
- Authorized users can check eRA Commons Status for processing results
 - Signing Officials (SOs)
 - Administrative Officials (AOs)
 - Principal Investigators (PIs)
 - Delegated Assistants (ASSTs)
- E-mail notifications sent



Email is Unreliable – Proactively Track Your Application

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Many email notifications are sent throughout the process

- DO NOT depend solely on email notifications
- It is YOUR responsibility to proactively check your application status in eRA Commons



Errors & Warnings

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Corrective submissions must be made BEFORE the submission deadline and overwrite previous submissions



- Errors stop application processing and must be corrected

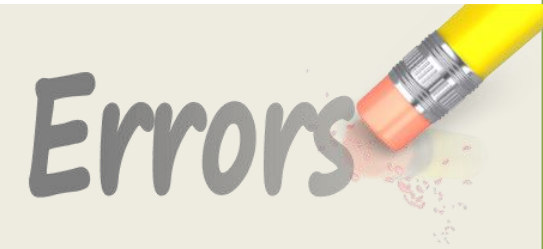


- Warnings do not stop application processing and are corrected at your discretion based on your circumstances

Correcting Errors Found After Submission

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To correct *system-identified* errors found after submission:



- Make corrections to local copy of the application
- Update SF424 (R&R) form
 - Check “Changed/Corrected” as “Type of Submission”
 - Enter “Previous Grants.gov Tracking ID” (e.g., GRANT12345678) in field 4c
- Submit the entire Changed/Corrected application back through Grants.gov **before** the deadline
- Track submission through to eRA Commons

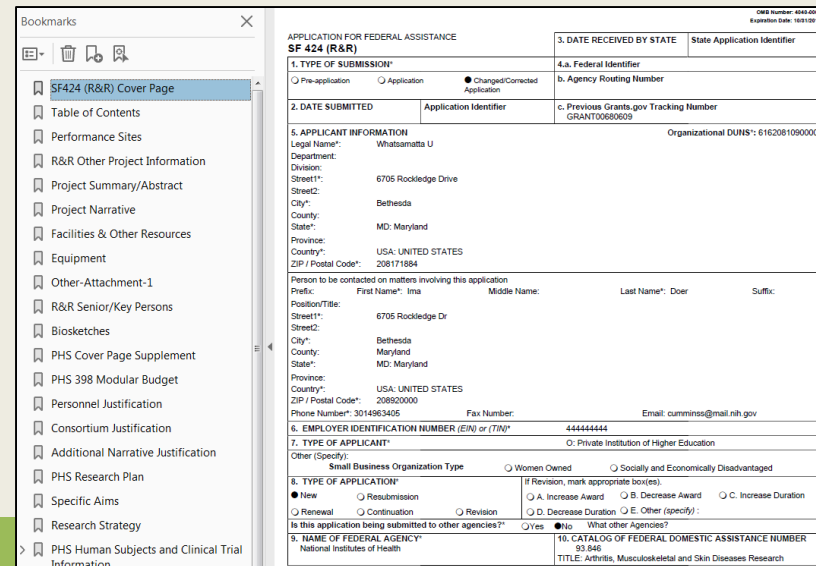
NOTE: Reviewers do not see applicant warnings, nor can they tell how many submission attempts were needed to complete the submission process

Application Assembled & Posted in eRA Commons

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Once an error-free application is received by NIH, the eRA system will:

- Assemble the grant application image
- Insert headers (PI name) and footers (page numbers) on all pages
- Generate Table of Contents and bookmark important sections
- Post the assembled application image in the PD/PI's eRA Commons account
- Send notifications



The screenshot displays the eRA Commons application assembly interface. On the left is a 'Bookmarks' sidebar with a list of application sections: SF424 (R&R) Cover Page, Table of Contents, Performance Sites, R&R Other Project Information, Project Summary/Abstract, Project Narrative, Facilities & Other Resources, Equipment, Other-Attachment-1, R&R Senior/Key Persons, Biosketches, PHS Cover Page Supplement, PHS 398 Modular Budget, Personnel Justification, Consortium Justification, Additional Narrative Justification, PHS Research Plan, Specific Aims, Research Strategy, and PHS Human Subjects and Clinical Trial Information. The main area shows the 'APPLICATION FOR FEDERAL ASSISTANCE SF 424 (R&R)' form. The form includes sections for: 1. TYPE OF SUBMISSION (Pre-application, Application, or Changed/Corrected Application), 2. DATE SUBMITTED, 3. DATE RECEIVED BY STATE, 4. FEDERAL IDENTIFIER, 5. APPLICANT INFORMATION (Legal Name, Department, Division, Street, City, County, State, Province, Country, ZIP/Postal Code), 6. EMPLOYER IDENTIFICATION NUMBER (EIN) or (TIN), 7. TYPE OF APPLICANT (Small Business Organization Type, Women Owned, or Socially and Economically Disadvantaged), 8. TYPE OF APPLICATION (New, Renewal, or Continuation), 9. NAME OF FEDERAL AGENCY, and 10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER. The form is populated with example data for a grant application from the National Institutes of Health.

Application Viewing Window

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- Applicants have **two (2) business days** to view the assembled application image before the application automatically moves forward for further processing

ASSIST	Workspace
View Submission Status Details link	Must login to eRA Commons directly and access the application's detailed status screen

- SO can Reject application within viewing window to prevent it from moving forward to NIH staff
 - Can submit a Changed/Corrected application **before** the submission deadline

Submission Complete!

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- If you don't reject within the two business day viewing window, the application automatically moves forward for further processing at NIH
- Any subsequent application changes are subject to the NIH policy on late submission of grant applications and the NIH policy on post-submission application materials



Application Checks (Validations)

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- We *really* care about the details
- Multiple levels of application checks for completeness
 - Grants.gov
 - eRA systems
 - Agency staff



Sample Validations

Grants.gov

- Active System for Award Management (SAM) registration
- Submitter has AOR role for DUNS on application
- Submission made to active opportunity and application package
- Virus check
- Filenames include only appropriate characters

eRA Systems

- Fields required by agency, but not required federal-wide
 - [R&R Sr/Key form](#)
 - ✦ Credential for PD/PIs
 - ✦ Organization name for all sr/key
 - ✦ Biosketch for all sr/key
 - [Performance Site form](#)
 - ✦ DUNS for primary site
- Attachments in PDF format
- Adherence to page limits in our [Table of Page Limits](#)
- All appropriate attachments included

Agency Staff

- Fit with NIH/Institute mission
- Eligibility
- “Overstuffing”
- On-time submission
- Adherence to funding opportunity announcement specific instructions
- Font and margin guidelines
- Simultaneous review of essentially same application

Resources

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Help Desks

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eRA Service Desk

- Web:
<https://grants.nih.gov/support/>
- Phone: 1-866-504-9552
- Hours : Mon-Fri, 7a.m. to 8 p.m. ET

Grants.gov Contact Center

- Toll-free: 1-800-518-4726
- Hours : 24x7 (Except Federal Holidays)
- Email : support@grants.gov
- Resources:
<https://www.grants.gov/web/grants/support.html>

Online Resources & Websites

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- NIH Grants and Funding
<https://grants.nih.gov/grants/oer.htm>
- How to Apply – Application Guide
<https://grants.nih.gov/grants/how-to-apply-application-guide.html>
- Annotated form set
<https://grants.nih.gov/grants/how-to-apply-application-guide/resources/annotated-form-sets.htm>
- Preparing Your Application Using ASSIST
<https://grants.nih.gov/grants/how-to-apply-application-guide/prepare-to-apply-and-register/submission-options/assist.htm>

Stay Connected – Subscribe to Listservs

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- eRA-Information-L
 - For administrators, principal investigators and the people that support them
 - Used by NIH to notify the community of information related to eRA Commons, ASSIST and eSubmission
- NIH_ESUB_SYS2SYS-L
 - For technical personnel involved in system-to-system solution development and planning
 - Used to exchange information related to the implementation of system-to-system solutions for grant application preparation and submission to NIH



Questions?

