NIH Updates
R01 Applications must be submitted electronically
Use the S2S submission technique (if applicable)

This is a new process for everyone!

- WUSM is expecting a high volume of applications for these deadlines
- Due to the newness of electronic submissions and S2S, we anticipate an increase of questions and submission related issues.....SUBMIT EARLY!!!
- During the five days prior to the deadline and the day of the deadline, G&C's primary focus will be on processing applications and assisting with the electronic submission process
- Award set-up, JIT and other correspondence, etc. may be put on the back burner.
- If you have something that is urgent please let your Analyst know so that we can handle accordingly
Reminder:

- The new FOA for the R01 due February 5th, 2007 is out, be proactive and read ahead!!!

G&C Updates
Salary Increases

- If personnel are expected to get future and out-year salary increases, the increases should be entered in the PDS document.

- If there are budgetary constraints, you should reduce the salary being requested (i.e. show cost sharing), or reduce non-personnel categories.

- Please enter out year projections on the Direct Cost Summary tab, rather than entering detail for each year.

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Salary Increases (cont)

- There may be times where out-year detail is necessary, ~ (e.g. when effort changes from year to year)

- Bottom line, out-year projections are the easiest to enter and the easiest to review.
Salary Increases (cont.)

- For proposals adhering to the NIH salary cap
  ~ It is not necessary to enter detail in the out-years to show the cap.

- Out-year projections are preferred
  ~ Typically, the NIH salary cap is increased annually.

- Do not limit yourself to the cap that is in effect the time of the submission.

- NIH does not require the salary cap to be applied at the proposal stage.

- NIH does require that the applicable salary cap be utilized when charging against the award.
Reminder:

When dropping items off to G&C for review and signature, please provide the following:

- **Signature page(s):**
  The original and a copy of all page(s) that require Institutional signature.

- **All other page(s):**
  One copy of all other page(s).

- An original is not necessary as this will be G&C's copy.
G&C Website
New Items
Go to “http://grantsandcontracts.wustl.edu”
Click On “Application Process”
Click On “eSNAP Procedure”
G&C Website
Updated Items
Past G&C RA Forum Presentations
Go to “http://grantsandcontracts.wustl.edu”
Click on “Library”

Federal Consortium Template
Go to “http://grantsandcontracts.wustl.edu”
Click on “Forms & Letters”
Click on “External Forms & Letters”
Questions
eSubmission Update
1. Start and finish early. Allow time after your submission to correct potential errors.

2. Applications are due; 5pm local time of the due date.

3. Identify the FOA early….should be available at least (60) days prior to due date.

4. Read and understand the FOA instructions.

5. Coordinate work between Department Administrative Support and PI
   a. How will the Research Plan be handled?
   b. Who will attach the documents (Research Plan, Bio, Justification)?
   c. Who will submit?

6. All attachments to an NIH & NSF application must be in PDF format.

7. Attachment file names can not have special characters or spaces. Use letters, numbers & underscore(_) to separate words. (e.g. 012345_Grant_Good_Specific_Aims)

8. Attachment file names must be unique. No duplicate file names within an application.

9. NIH- Do your Research Plan as a single word document to verify page limits; convert Word doc to PDF, break the Research Plan into sections; per the FOA, upload/attach individual PDF sections to PDS.

10. SUBMIT EARLY!
Q) After logging onto NIH eRA Commons, how does a PI actually view the submitted application? What are the steps?

A) When the PI logs onto NIH eRA Commons, there is a light blue menu bar across the top of the screen. Click on "Status" and enter the appropriate search criteria, then a list of the applicable applications will appear. At that point, the PI can view their application.

Please note: If the PI omits their NIH eRA Commons user id from the credentials field, they will be unable to view that application.
Q) How does NIH retrieve application from Grants.gov?

A) Grants.gov sends a notification to NIH when an application has completed the Grants.gov validation process.
   ~ NIH retrieves applications dynamically
   ~ There is not a set time for NIH to retrieve applications
   ~ Time frame is dependent on volume
Recent PDS Enhancements

Extended Hours:

The PDS system is now available following the RAS Operating Hours. The PDS system will be available 24 hours a day, 7 days a week, with the following exceptions:

Monday        4:00am-6:00am
Monday-Friday  9:00pm-9:20pm
Saturday      5:00pm-Sunday 8:00am
The Federal Identifier block is now available for review/maintenance via the Cover Page 424 D tab. It will appear at the top of the page, next to the Employer ID and Congressional Districts:

This block will be pre-populated when the proposal is initially generated per Grants.gov business rules, as follows:

- **NEW** project applications should leave this field blank

- When submitting a Changed/Corrected application for a “New” application
  ~ Enter the Grants.gov tracking number.

- **NEW** example: Initially, the Federal Identifier will be left blank. If the proposal must be submitted a second time (via Grants.gov), when the Type of Submission is set to “Changed/Corrected Application”, this field will be set to the previous Grants.gov Tracking ID

- If this is a Continuation, Revision, or Renewal application, enter the assigned Federal Identifier number (for example, award number)—even if submitting a changed/corrected application.

- **RESUBMISSION** example: the pre-populated content of the Federal Identifier will depend on the proposal having been copied from the previously submitted proposal. The system will use the Agency Number (assigned to the previous submission) from the proposal chosen to copy.

**NOTE:** Regardless of its initial setting, the Federal Identifier should be reviewed and if for any reason it does not contain the required value, manually correct prior to submission.
The E-mail address for the ‘Person to be contacted’
~ Applicant Information block (see Tab Page C) will now be populated with the HRMS e-mail address of the individual generating the PDS document.
~ If for some reason an individuals’ e-mail address is not found, the e-mail address of the respective institutional office (Research Office or Grants & Contracts) will be utilized.
~ This specific e-mail address is currently used only by the agency (i.e. NIH, NSF –not Grants.gov) and may be changed by the department/division administrators as needed.

The Project Director/Principal Investigator block is populated with the PD/PI e-mail address and should not be changed unless it is incorrect.

The Authorized Representative block is populated with the respective institutional office (RO or G&C) address and should only be changed if directed by those offices to do so.
Recent PDS Enhancements (cont.)

Budget:

- NAVIGATION:
  ~ When selecting from the Budget Categories page, the system will now proceed to the first category that has been selected.
  ~ Previously, it always started on the Personnel tab even though it may not have been selected.

- BUDGET DETAIL:
  ~ The Calendar/Academic/Summer months are calculated based on the Percent of Effort applied to each line of Budget Detail.
  ~ Since these are the product of the calculation and may only be influenced by changing the Percent of Effort, and/or the FTE percentage, these columns will turn a color if manually changed.

- COGNIZENT FEDERAL AGENCY:
  ~ Block H: Indirect Cost portion on the Grants.gov detailed budget forms (ex: RR_Budget), the Cognizant Federal Agency is now represented by the complete contact address.
  ~ Previously listed only as Department of Health and Human Services is now printed as: DHHS, Division of Cost Allocation-Central States Field Office, Rm. 732, 1301 Young Street, Dallas, TX 75202, 214-767-3261
Recent PDS Enhancements (cont.)

Comments:

- Proposal Comments:
  ~ May now be entered via a new “Comments” tab that has been added as part of the main Proposal Menu (between the SeniorKey ATT and Submission Status tabs).
  ~ This is in addition to the Comments tabs that are already available in the Cover Page, Budget and Compliance portions of the proposal.
Recent PDS Enhancements (cont.)

Building and Previewing Forms:

- **Build Forms**
  - Assembles all of the data elements and attachments that have been collected for each proposal.
  - Builds the electronic files that will be submitted.
  - Uses those files to populate the required and optional forms that are included in the Funding Opportunity Announcement (FOA).
  - Forms are representative of how the agency will view this collection of proposal information.
  - To review/print utilize the Preview buttons next to each form on the Proposal Menu page.
  - The cycle of Building and Previewing forms will likely occur several times during the course of preparing the application and must be executed after the final set of changes and prior to the submission.
Recent PDS Enhancements (cont.)

- There are system messages written to the Comments section of the proposal capturing the date/time of when the Build Forms process was executed and who ran the process. Up to this point, a message was captured each time the process ran. Experience has shown us this can occur many times which tends to needlessly add to the volume of comments. Now the system will maintain only 1 comment per document indicating the last time the process was manually executed.

- Since it is critical for the Build Forms to be executed prior to submission, this process has now been incorporated into the Submit function and will be completed just ahead of the transmission of the electronic proposal to Grants.gov.
Recent PDS Enhancements (cont.)

Proposal Submission:

- Authorized Representatives for the University
  - The Research Office and Grants & Contracts are the signature officials and continue to have the ability to submit.
  - The authorizations are now captured electronically (by way of capturing all approvals) and the function of the actual submission may now be distributed.
  - The process of submitting the proposal is now available for use directly by individuals within each department and division.
  - Like any other application function the permission to do so is granted via the security associated with each individuals’ User ID and requires completion of security forms (i.e. Authorization/Access Forms).
    - Visit the Systems & Procedures AIShelp website
    - Navigate to Security Access Forms and then to Proposal Development System to acquire the appropriate forms.
Prepare to Apply

- Make sure PI is registered in eRA Commons as a PI.
- Make sure PI is affiliated with Washington University in eRA Commons.
- Create PDS document.
- If not already available, acquire Adobe Acrobat or other software to do PDF conversions.
- Applications must be submitted error free to grants.gov by 5pm local time on the due date. Allow plenty of time so you’re ready to submit well before the due date.

Find Opportunity & Download

- Locate the funding opportunity in grants.gov.
- Register to receive notification of changes.
- Download package into PDS for S2S submission or onto the desktop for PureEdge submission. PDS will support the majority, if not all NIH & NSF applications that require Electronic Submission except those involving sub-award detailed budgets.
- Download application instructions.
Prepare Application

- Use application guide for agency / application specific required forms & fields.
- Complete budget and administrative forms.
  ~ University constants, e.g. DUNS number, Employer Identification (EIN) are provided by PDS (Tabs 424 C & D). For PureEdge, data can be copied from PDS or is available online at [http://proposalhelp.wustl.edu/](http://proposalhelp.wustl.edu/)
  ~ For NIH applications, For the PI, their eRA Commons User ID must be in the “Credential” field on the Senior/Key Person Profile.
  ~ Senior/Key Person Profile can contain up to 40 people (not 8) before additional attachments are required.
  ~ When the budget forms appear in the “optional” section, the forms used are optional not the budget itself.
  ~ Typically it allows for a modular or detailed budget.
- Get central admin review & approval.
- Convert science (research plan, biosketches, etc) to PDF format and attach to application.
- A cover letter is required for applications transmitted after the stated time and date.
- Prior to pushing the “Submit” button, utilize the PDS “Validation” button
Submit to Grants.gov

- S2S applications may be submitted to Grants.gov by anyone who has been authorized by their appropriate College/School/Division level.
- PureEdge applications must be sent to G&C or RO for submission.
- Be prepared for a “busy signal” from grants.gov. Successful submission may take more than one attempt.

Check Submission status

- Grants.gov sends status email to AOR only. PI & DAs can check status of PDS submissions via “Check Ggov Status” button.
- SO, PI & DA will receive status email from NIH. Need to utilize e-mail address via the Tab 424C
- PI has (2) working days to review assembled application within NIH eRA Commons before the application moves on.
- Rejection of applications must be done by SO
  ~ Reason for rejection must be provided to G&C/RO by PI/DA
Application Errors/Warnings?

- Errors stop the application and must be corrected.
- Warnings do not require action and need not be fixed for the application to be processed.
- To correct NIH errors, modify the application to correct the errors only and resubmit to Grants.gov with “Type of Submission” changed from “New” to “Changed/Corrected Application”.
- Grants & Contracts / Research Office must be notified if you wish to submit again.
- NSF errors are corrected through FastLane and do not need to be resubmitted thru Grants.gov.

Common eSubmission Errors

- PI’s eRA Commons User ID missing from Credentials field.
- PI not affiliated with WU in eRA Commons.
- Attachments not in PDF format.
- Missing attachments
- Attachments (research plan, biosketches, etc) exceed stated page limits.
- For resubmissions, Federal Identifier of previous submission has the wrong format.
- Duplicate file names
- File names inappropriately named