

X-Spam-Checker-Version: SpamAssassin 3.1.6-ic (2006-10-03) on ic.ucsb.edu
X-Spam-Level:
X-Spam-Status: No, score=0.3 required=5.0 tests=HTML_FONT_BIG,HTML_MESSAGE
 autolearn=disabled version=3.1.6-ic
Approved-By: NIHElectronicSubmiss@MAIL.NIH.GOV
X-IronPortListener: NON_CES-Inbound
X-SBRS: 4.7
X-MS-Has-Attach:
X-MS-TNEF-Correlator:
Thread-Topic: NIH eSubmission Items of Interest - February 15, 2007
Thread-Index: AcdRKMtKJKmllxpsREevPLk+ua56JA==
X-OriginalArrivalTime: 15 Feb 2007 17:43:11.0368 (UTC)
 FILETIME=[C2E50880:01C75128]
Date: Thu, 15 Feb 2007 12:43:10 -0500
Reply-To: "NIH Electronic Submission (NIH/OD)"
 <NIHElectronicSubmiss@MAIL.NIH.GOV>
Sender: ESubmission Update to Organization Officials <NIH_ESUB_AOR_SO-
L@LIST.NIH.GOV>
From: "NIH Electronic Submission (NIH/OD)"
 <NIHElectronicSubmiss@MAIL.NIH.GOV>
Subject: NIH eSubmission Items of Interest - February 15, 2007
Comments: To: List NIH_ESUB_SYS2SYS-L <NIH_ESUB_SYS2SYS-L@list.nih.gov>,
 List NIH_ESUB_PI-L <NIH_ESUB_PI-L@list.nih.gov>
To: NIH_ESUB_AOR_SO-L@LIST.NIH.GOV
List-Help: <http://list.nih.gov/cgi-bin/wa?LIST=NIH_ESUB_AOR_SO-L>,
 <mailto:LISTSERV@LIST.NIH.GOV?body=INFO_NIH_ESUB_AOR_SO-L>
List-Unsubscribe: <mailto:NIH_ESUB_AOR_SO-L-unsubscribe-request@LIST.NIH.GOV>
List-Subscribe: <mailto:NIH_ESUB_AOR_SO-L-subscribe-request@LIST.NIH.GOV>
List-Owner: <mailto:NIH_ESUB_AOR_SO-L-request@LIST.NIH.GOV>
List-Archive: <http://list.nih.gov/cgi-bin/wa?LIST=NIH_ESUB_AOR_SO-L>
X-IC-Greylist: accepted (id 4)
X-Virus-Scanned: (ic.ucsb.edu) Sophos AV found no viruses in this message

NIH eSubmission Items of Interest – February 15, 2007

R01 Update

Well, we did it—we made it through the first electronic R01 receipt date! I'm not going to say it was easy (we all prepared for it for over a year), but all the planning and preparing paid off with a smooth transition. NIH and Grants.gov provided stable systems, user support and good processing times. However, the effort put in by you, the applicant community, really made it happen. The business process and cultural changes, the training, and the communications needed to pull this off cannot be overstated. Thank you!!

Here are some of the highlights of the February 5 receipt date:

- The applicant community proved to be well-prepared. A record number of applications were submitted before the deadline (almost 3,000); 70% submitted an error-free application on the first attempt and 94% submitted an error-free application within two attempts.
- NIH planned for 4,500-5,000 applications for the February 5 deadline. We received approximately 4,000 new R01 research grant applications. Similar numbers are expected in March for renewal (competing continuation), resubmission (amended/revision), and revised (competing supplement) applications.
- This receipt date showed an increase in the use of system-to-system transmission of application data

with over 10% of the R01 applications submitted using this method. (System-to-system solutions are developed by institutions or purchased from commercial service providers as a means to submit just the application data elements directly to Grants.gov rather than using downloaded application packages.)

- For system-to-system transmissions: 82% of the applications were error-free on the first attempt and 96% were error-free within two attempts.
- The average application size was 4.9MB and the largest R01 application received was 70.6MB.
- The eRA Commons performed well under the heavy load. eRA Commons experienced a new daily record of 19,283 logins on Feb. 5.
- The eRA Commons help desk, armed with additional resources to take support calls, was busy but the average wait time for service remained under three minutes.
- Although NIH has no way to track the total number of applications submitted using Macs, we do know that both the free Citrix service and the Mac-compatible form viewer were used to successfully submit R01 applications.

We Welcome your Feedback

We'd love to hear about your electronic application experience. Please send comments or suggestions via email to NIH Electronic Submission at NIHElectronicSubmiss@mail.nih.gov.

Remember that there are some things NIH can change, and other things that aren't under NIH control.

Things under NIH control:

- Opportunity language
- Application guide instructions
- Content of agency-specific forms (labeled PHS 398)
- Language of eRA Commons errors/warnings
- Support concerns
- NIH requirements
- Overall process

Things not under NIH control:

- Decision to use Grants.gov
The Federal Office of Management and Budget (OMB) requires NIH to post opportunities and make available an electronic submission option through Grants.gov. NIH feels strongly that applications that are reviewed together should follow the same process and format; this translates into ALL NIH electronic applications using Grants.gov.
- Look, feel, content and navigation of the SF424 (R&R) forms
Grants.gov must meet the needs of ALL Federal agencies, not just NIH. So, NIH instructions and requirements that are not needed by other agencies cannot be included in the standard forms (labeled SF424 or R&R).
- Ability to print entire application or check for agency errors before submission

You are welcome to comment on any of the items above. We don't have authority to implement change in every area, but we can consider changes to areas under NIH control and raise awareness of concerns in areas outside of NIH control.

Type of Application Terminology

The March 5 receipt date for renewal, resubmission, and revision R01 applications is right around the corner. Remember, Grants.gov has brought us new terminology for the Type of Application field of the SF424 (R&R) Cover Component (box #8). NIH is trying to change all of its materials to correctly reflect the new terminology, but it will take some time. Please use the handy chart below as we work through this terminology change.

New Grants.gov Term	Old NIH Term	Notes
New	New	An application that is submitted for funding for the first time. Includes multiple submission attempts within the

		same round. (Type 1)
Renewal	Competing Continuation	Previous years of funding for the project have elapsed. Competing for additional years of funding to continue original project. (Type 2)
Revision	Competing Supplement	Request for additional funds for a current award to expand the scope of work. Applicants should contact the awarding agency for advice on submitting any revision/supplement application. (Type 3)
Resubmission	Revision or Amended Application	Application previously reviewed. A revised or amended application addresses reviewer feedback. (A1/A2)
Continuation	Progress Report	NIH does not use the SF424 (R&R) for Continuation Applications. (Type 5; Progress Reports are submitted directly to eRA Commons, not through Grants.gov.)

Note that in the PHS 398 paper world, when an applicant submitted a resubmission of a renewal they could indicate both types on their application. However in the new SF424 (R&R) world, only one option can be selected. In this example, the applicant would select "Resubmission".

What Do I Put In the Federal Identifier Field of the SF424 (R&R) Cover Component?

If "Type of Application" is "New", you can leave the Federal Identifier field blank on the first submission attempt. However, the Federal Identifier field becomes a required field when submitting a Changed/Corrected application to address errors/warnings. When submitting a Changed/Corrected "New" application, enter the Grants.gov tracking number of the previous submission attempt (e.g. GRANT00123456). If you are unable to find the tracking number, enter "N/A".

If "Type of Application" is "Renewal", "Revision" or "Resubmission", enter the IC and serial number of the prior grant number (e.g. CA123456). For these types of applications, there is no need to change the Federal Identifier field when submitting Changed/Corrected applications.

Resist the Temptation to Scan

I know it is a pain to have to turn an application that was originally prepared on a paper PHS 398 into an electronic SF424 (R&R) application, but unfortunately it must be done. If you are making the move from paper to electronic forms, please resist the temptation to scan sections of the paper forms. There are times when scanning simply can't be avoided, but (when possible) it is best to work from the original documents that can be appropriately edited for the current submission, converted to PDF format and attached to the new application. Additional benefits of working from original documents include clearer images and the ability to extract text from the application image. ([PDF Tips](#))

Rejection – It's All in the Intent

NIH noticed an increase in the number of applications that were "Rejected" prior to the February 5 R01 submission deadline. Some of the "Rejections" were to address identified Warnings, a few were to work through confirmed system issues and the rest...well, were not.

When is it OK to use the "Reject" option? It's all in the intent. The bottom line is applications should not be submitted until there is an expectation that they are ready to go forward barring any unforeseen issues. Since applicants have no way to view the entire application until they submit, it is reasonable that they might want to make adjustments after viewing the assembled application if still before the deadline.

NIH does not condone the submission of "works in progress" or "test" applications. We have pretty strong feelings on this point – just don't do it!

Sheri Cummins

Communications Coordinator
NIH Electronic Submission of Grant Applications
Contractor, LTS