

NIH Update on Electronic Receipt and Grants.gov

FDP May 23, 2005



Agenda

- Overview of NIH electronic receipt
- Plans and progress on Grants.gov integration
- 424RR transition
- Electronic receipt update
- Electronic receipt plans
- eRA eXchange activities and plans

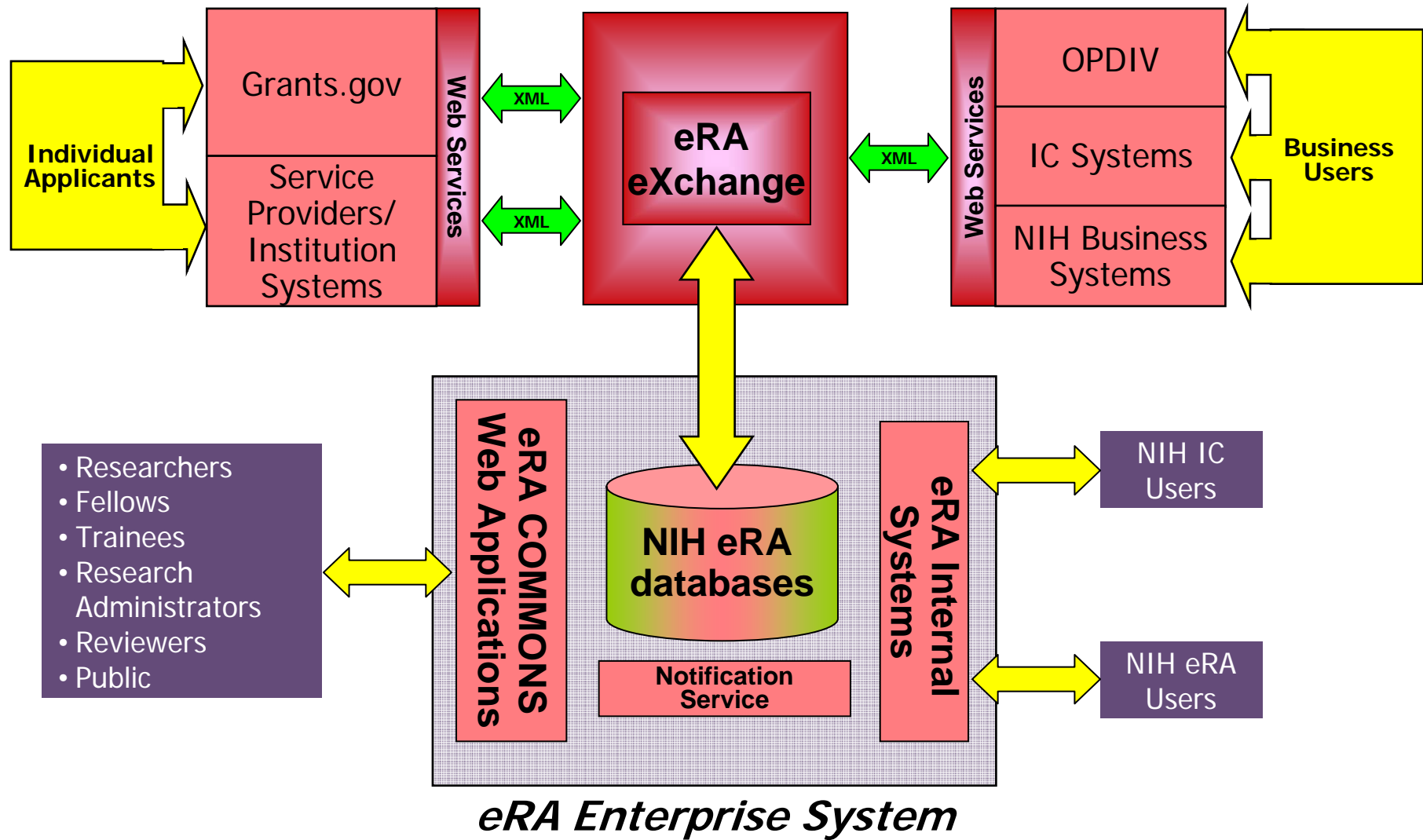
NIH Electronic Receipt Overview

- System-to-System exchange between NIH and Service Providers (SPs)
- Applicants prepare submission via SP system
 - Currently 6 SBIRs
 - In the future, will include:
 - Grants.gov Federal-wide storefront
 - More commercial companies via Grants.gov
 - Research institutions themselves via Grants.gov
- SP converts application to XML + attachments and transmits to eRA Exchange

NIH Electronic Receipt Overview

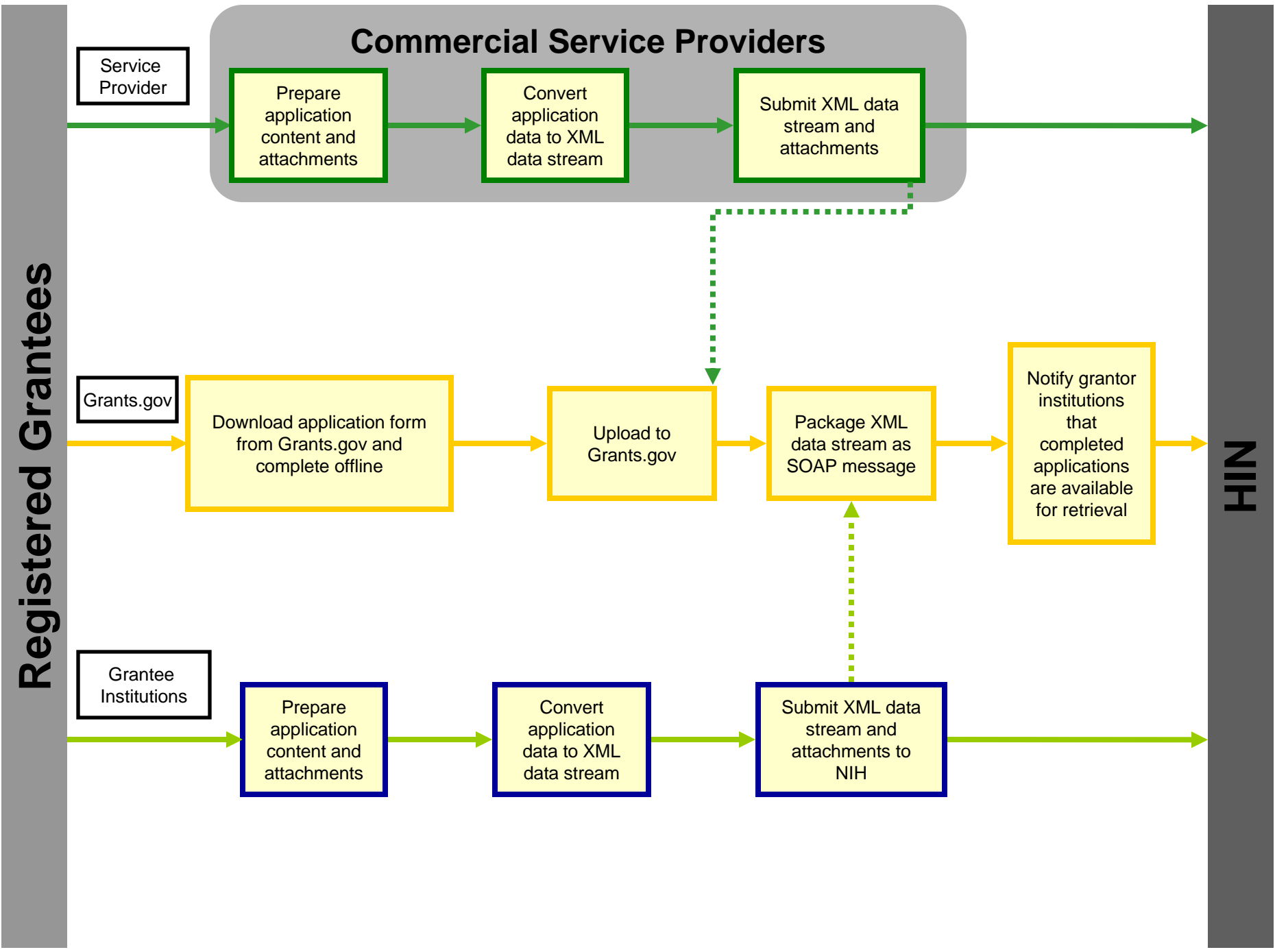
- Application passes through agency business validations
- Grant image or submission errors appear in eRA Commons
- Principal Investigator and Signing Official use Commons to verify application or resubmit
- Data moved into Receipt and Referral, Review, Grants Management, and other eRA Systems
- Grant image in grant folder is clear and in color
- SP and NIH maintain system-to-system exchange for other grant-related transactions

Electronic Receipt



Service Providers

- Formatta Corp *Formatta Egrants Server*
- eRA Software Systems:
 - *GAMS (Grant Application and Management System) (product)*
 - *managegrants.com (service)*
- Cayuse, Inc. *GrantSlam*
- Clinical Tools *HealthProposal.net*
- Research & Management Systems (RAMS) *grantsERA*
- InfoEd International *Proposal Development*
- Federal Government *Grants.gov*



Benefits to NIH Electronic Receipt

- Data Quality
 - Service Provider and eRA business validations
 - PI and SO enter data
 - Use data from the Commons
- Integration with Grants.gov
- Leverage service providers and grants management systems at institutions
- Allows faster processing in Receipt and Referral and Review
- Grant image is clearer and in color on-line

Progress and Plans with Grants.gov

Integration with Grants.gov

- Use Federal-wide + PHS-specific forms
 - Grant image to be based on 424 Research and Related not PHS 398
 - Will focus on using SF424 when possible for more simple applications
- Handle simple modular and full-budget applications
 - Developed modular NIH-specific budget form
 - Will use 424RR budget form for full budgets
- Accommodate other HHS Operating Divisions migrating to eRA
 - Plans to modify Commons to provide status and verification ability to OpDivs grantees
- Several eRA Service Providers involved in Grants.gov Applicant S2S Interface pilot
- Pioneer awards will be accepted via Grants.gov again this year

Status of Grants.gov Integration

- **Completed**

- System-to-system testing with Grants.gov completed in August
- 398 PHS-specific forms and schema deployed by Grants.gov in April
- Validations for simple, modular applications defined
- 424RR-based grant image generation requirements completed
- Analyzed database changes, short-term changes approved
- Mechanism for returning errors and warnings via Commons deployed

Status of Grants.gov Integration

- **In progress**

- Refining Grants.gov system-to-system interface in eRA Development environment
- Implementing short-term databases changes and mechanism for storing XML in useful way until long-term changes complete
- Developing and testing validations and grant image
- Working with OpDivs to define their needs and priorities
- Outreach activities
- Preparing eRA and policy helpdesk to handle calls on Grants.gov submissions

Status of Grants.gov Integration

- **Planned: Grants.gov Release 1**

- Iteration 1 to be finished in May
- Test by Commons Working Group members using “dead” data on May 25
- Publish 424RR application guide in June
- Next iteration/production release in July
- Continue acceptance testing through Summer
- Live pilot in Fall – sooner if an opportunity can be identified
- Accept live applications in Fall 2005 for select grant mechanisms

- Transition to 424 Research & Related Forms set

424RR Transition Working Group

- Providing guidance on 424RR and Grants.gov ramp up
- Includes OpDivs, Review, Policy, eRA, and Grants.gov representation
- Develop plan and guidance on Transitioning to the 424RR forms set and phasing out the PHS398 as it existing today
- Established about 2 months ago

Draft Milestones for 424RR Transition

- June 2005 Publish 424RR Application Guide for pilots
- Fall 2005 Begin pilot live 424RR apps using Grants.gov
- March 2006 PHS 398 Revision Committee Forms
- May 2007 PHS 398 Revision to OMB due; Goal is to clear PHS-specific forms to 424RR and NIH instructions
- Sept 2007 Open 424RR Submission for “all” applications
- May 2008 Mandate 424RR+PHS-specific for “all” apps

Plan for transition to 424RR

Potential strategies:

- Target specific mechanisms and/or RFAs to pilot and move toward requiring Grants.gov submission
- Potential targets are R03 and SBIRs
- Other HHS Operating Divisions (OpDivs) identifying opportunities

Decisions to make:

- Accept paper 424RR-based forms?
- Different forms in same peer review group for same mechanism?

Electronic Receipt Update

Electronic Receipt Open submission

- January 2005 opened submission for:
 - Simple (R01, R03, R21)
 - Types:
 - New (Type 1)
 - Competing Continuations (Type 2)
 - Revisions
 - Modular budget without consortia

Electronic Receipt Open submission

- For May 2005 opened submission for:
 - Modular budget -- consortia accepted
 - Modified system to accommodate new PHS398 form
- Continue piloting Full-budget application

Outreach and Support

- Improved Partnership and Submitting Grants Electronically on the eRA website
 - Information about Service Providers
 - Applicant Orientation to electronic receipt
 - Plans with Grants.gov
- Outreach activities:
 - Brochure on e-receipt
 - Link on OER website
 - Newsletter articles and press releases
 - Presentations at council meetings, extramural conferences, etc.
- Expanded electronic receipt technical support

Electronic Receipt Plans

E-Receipt-Commons Demo Facility

- New environment that integrates eRA electronic receipt system with Commons Demo Facility
- Facilitate “end-to-end” training on e-submission by eRA staff and Service Providers
- Will be integrated with Grants.gov Acceptance Testing site
- Facilitate remote testing of e-submission
- To be deployed in May

Potential new mechanisms for next year

- All new mechanisms to be developed using Grants.gov forms and submission process
 - Other R's
 - Construction grants (424)
 - Mandatory/blocks grants (important for some OpDivs)
 - Form 5161-based applications (used heavily by some OpDivs)
 - Pioneer Awards
 - SBIR
 - STTR

Potential New Capabilities over the Next Year

Corrections to e-applications

- Full replacement, addenda, and replacement of PDF attachments
- Enable changes to structured data in e-apps via the eXchange involves regenerating grant image
- Begin with verification-to-review, then extend from to review-to-award

Digital Signatures

- Current PI verification process is not sustainable long-term approach
- Would be needed for multiple PI if signatures required
- Follow directions from federal wide e-authentication efforts

eRA eXchange

eRA eXchange

- Grants.gov is the avenue for competing grant application submission, eXchange will provide complementary transactions
- Leverage research institution grants systems and commercial service providers
- Work in conjunction with Commons to deliver electronic grants-related functionality to the community
- Avenue for exchanging data with other Federal systems



eRA eXchange Target Architecture

- Move to ebXML standards-based architecture:
 - ebMS message handler using Hermes (open source)
 - Registry using OMAR (open source)
- Will facilitate handling increases in service providers and transactions and change management
- Need to handle multiple messaging formats
 - Grants.gov not ebXML compliant
- Existing transactions/processes remain for foreseeable future
- New NIH transactions to be ebXML compliant

Examples of Potential New Transactions

System-to-system NGA

- First major outgoing transaction

System-to-system Streamlined Non-competing Application Process

- eRA plans to make e-submission of SNAPs mandatory in October 2006
- Alternative to eSNAP

Data Retrieval by Grantees

- Grantee institutions to retrieve data from IMPACII to populate their systems

For more info on e-Receipt

Visit "Submitting Grants Electronically"
on the eRA website:

http://era.nih.gov/Projectmgmt/SBIR/sbir_grants.htm

- Applicant Orientation
- Plans with Grants.gov
- Information about Service Providers
- Service Providers Orientation

Questions or Comments?

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