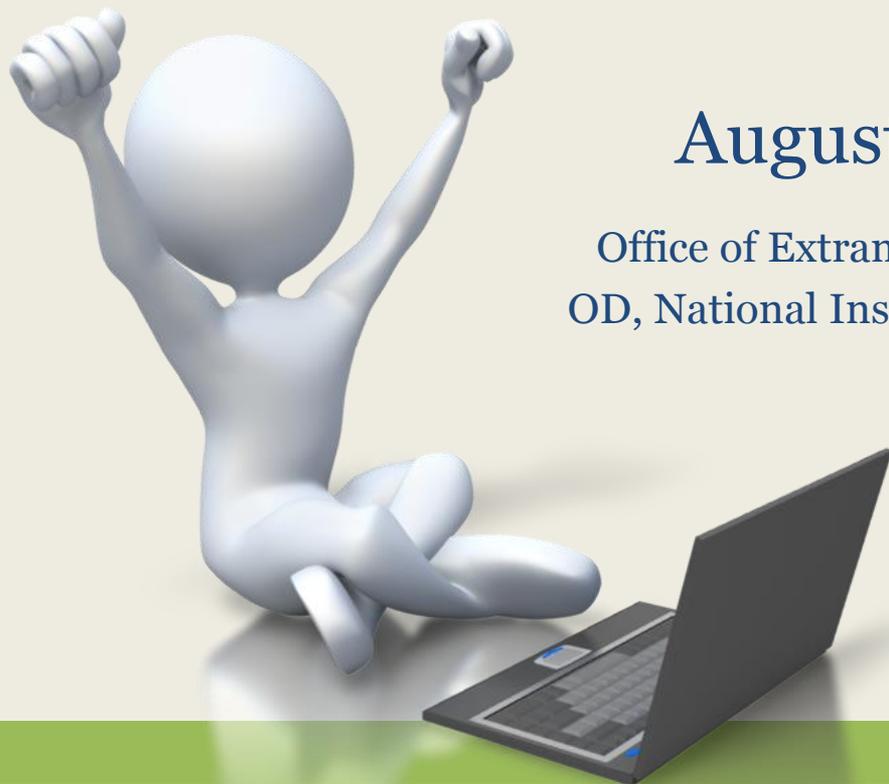


Successfully Submitting a Small Business Grant Application to NIH



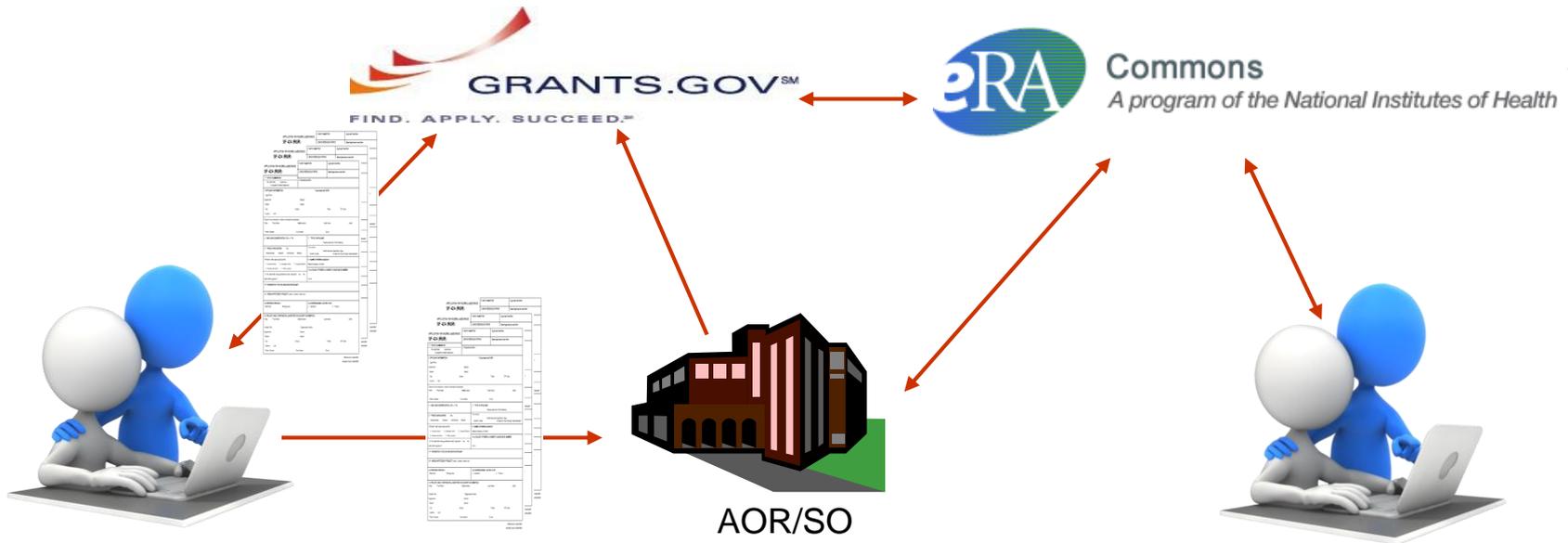
August 2014

Office of Extramural Research
OD, National Institutes of Health



High Level Process Overview

2



Find and download announcement, instructions and form package.

Prepare application per institution & agency guidelines.

Authorized Organization Rep. (AOR) submits application to Grants.gov.

eRA downloads application and verifies compliance with application instructions.

PI/SO check submission status and view assembled application in eRA Commons.

Prepare to Apply & Register

3

**REGISTRATIONS
SOFTWARE NEEDED
SUBMISSION PLAN**

Success depends upon previous preparation, and without such preparation there is sure to be failure.

-Confucius



Multiple Organization Registrations Required

4

Allow a minimum of **6 weeks**
to complete all registrations!



DUNS

5



- Dun & Bradstreet (D&B) provides a **free**, unique nine-digit identification number for your business/institution
 - Dun and Bradstreet Universal Numbering System (DUNS)
 - Begin the process at:
 - ✦ <http://fedgov.dnb.com/webform>
- After obtaining your DUNS, you can begin SAM, SBA Company and eRA Commons registrations



Telephone Number:
866-705-5711

System for Award Management



6

- System for Award Management (SAM) combines federal procurement systems and replaced Central Contractor Registry (CCR) in July 2012
- As part of SAM registration process, you will designate an E-Business Point-of-Contact (E-Biz POC)
 - SAM registration and E-Biz POC needed for Grants.gov registration
 - Annual renewal in SAM is needed to keep Grants.gov credentials active



Telephone Numbers:
US Calls: 866-606-8220
International Calls: 334-206-7828

SAM Support

7

SAM.gov is supported by the Federal Service Desk

○ <https://www.fsd.gov>

The screenshot displays the SAM.gov website interface. At the top left is the SAM logo with the text 'SYSTEM FOR AWARD MANAGEMENT'. To the right are login fields for 'USER NAME' and 'PASSWORD', a 'LOG IN' button, and links for 'Forgot Username?' and 'Forgot Password?'. A 'Create an Account' link is also present. Below the header is a navigation menu with 'HOME', 'SEARCH', 'HELP' (circled in red), 'EXTRACTS', and 'GENERAL INFORMATION'. The 'HELP' section is expanded, showing a sidebar with 'FAQs', 'User Guides', 'Demonstration Videos', and 'Exclusions Information' (all circled in red). The main content area is titled 'SAM User Help' and 'Top FAQs', featuring three numbered questions with bulleted answers.

SAM
SYSTEM FOR AWARD MANAGEMENT

USER NAME PASSWORD **LOG IN**

[Forgot Username?](#) [Forgot Password?](#) [Create an Account](#)

HOME SEARCH **HELP** EXTRACTS GENERAL INFORMATION

Help

- FAQs
- User Guides
- Demonstration Videos
- Exclusions Information

SAM User Help

Top FAQs

- 1. Can I use my CCR Username and Password to log into SAM?**
 - No and Yes
 - You must create an account in SAM. If you want to use the same username and password that you used in CCR, you may.
- 2. Does it cost anything to register in or to use SAM?**
 - No
- 3. Do I need to create a SAM account?**
 - It depends
 - You DO NOT need an account in SAM if you want to search publicly available information. If it was publicly available in CCR, ORCA, or EPLS, it is publicly available in SAM
 - You DO need an account in SAM if
 - You want to see more than publicly available information. Accounts that are associated with a

Grants.gov

8



- Federal-wide portal to find and apply for Federal grant funding
- Used by all 26 Federal grant-making agencies
- Prior to registering in Grants.gov you must obtain a DUNS number and register in SAM
- E-Biz POC approves Authorized Organization Representatives (AORs) to submit applications
- No registration needed to find opportunities or download forms



Telephone Numbers:

US Calls: 1-800-518-4726

International Calls: 606-545-5025

eRA Commons

9



- Agency system that allows applicants, grantees and Federal staff to share application/grant information
- Used by NIH and a few other HHS divisions
 - AHRQ, CDC, FDA
- As part of registration process, you will designate a Signing Official (SO)
 - Registers or affiliates Project Directors/Principal Investigators (PD/PIs)
- NIH 2-week “good faith effort” for Commons registration

Support:



Commons

A program of the National Institutes of Health

eRA Commons Registration - Tips

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- If a PD/PI already has an eRA Commons account, affiliate that account to your organization rather than creating a new account
- Don't combine Principal Investigator (PI) and Signing Official (SO) roles on the same account
 - Other combinations are fine
 - ✦ E.g., PI and Internet Assisted Review (IAR) roles are OK together
 - A person needing both the PI and SO roles should have two separate accounts - one for scientific roles (e.g., PI and IAR) and another for administrative roles (e.g., SO)
- Make sure the contact PD/PI listed on the application is affiliated with the applicant organization



SBA Company Registry

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- All SBIR and STTR applicants are required to register with the Company Registry Database
 - <http://www.sbir.gov/registration>
 - Applies to all HHS SBIR/STTR programs, including NIH, CDC, FDA, and ACF
- Attach proof of registration in the Other Project Information, Other Attachments section of the application
 - See section IV.2 of your FOA instructions for details



FAQs:

<http://www.sbir.gov/faq/general>

Obtain Software

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- Adobe Reader required to prepare/submit Grants.gov application forms
- PDF conversion program
 - All application attachments must be converted to PDF format
- Grants.gov download software page
 - http://www.grants.gov/help/download_software.jsp



Make a Submission Plan

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- Application preparation responsibilities
- Sharing applications in progress
- Internal review & approval process
- Internal deadlines
- Post-submission responsibilities
 - How to deal with errors/warnings
 - Who will verify application in Commons?



Make a plan before you need one!

Find & Initiate an Application

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**FINDING OPPORTUNITIES
DOWNLOADING APPLICATION PACKAGE
APPLICATION INSTRUCTIONS**



Success is where preparation and opportunity meet.

-Bobby Unser

Find an Opportunity

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Office of Extramural Research
National Institutes of Health

HOME ABOUT GRAINTS FUNDING FORMS & DEADLINES GRAINTS POLICY NEWS

GRANTS & FUNDING

About Grants

- Grants Process Overview
- Grant Application Basics
- Types of Grant Programs
- How to Apply
- Peer Review Process
- Award Management
- Foreign Grants Information
- Funding Strategies

Electronic Grants

- Electronic Research Admin (eRA)
- eRA Commons
- Applying Electronically

FUNDING

Search NIH Guide for Grants and Contracts

Grants.gov

FIND. APPLY. SUCCEED.™

HOME ABOUT SEARCH GRAINTS APPLICANTS GRANTORS SYSTEM-TO-SYSTEM FORMS OUTREACH

Find Grants

SEARCH Grants.gov for your federal grants by keywords or more specific criteria. All discretionary grants offered by the 26 federal grant-making agencies can be found on Grants.gov. You do not have to register with Grants.gov to find grant opportunities.

Find Open Grant Opportunities

Funding Opportunity Number	Opportunity Title	Agency
DARPA-BAA-14-25	Innovative Systems for Military Missions	DARPA - Tactical Technology Office

NIH Guide for Grants & Contracts

Grants.gov Search Opportunity



Small Business Innovation Research (SBIR)
Small Business Technology Transfer (STTR)

SBIR/STTR HOME

ABOUT

FUNDING

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NIH SBIR/STTR Funding Opportunity Announcements

- Funding Opportunity Announcements
- Omnibus SBIR & Omnibus STTR
- Direct Phase II
- Targeted FOAs
- SBIR Phase I Contract
- FAQs

New to SBIR/STTR
WHERE TO START

Having a working knowledge of the different the basics of how the NIH grant numbering s application process easier.

A funding opportunity announcement (FOA)

Grant Solicitations of the NIH, CDC, FDA and ACF

- STTR Omnibus Funding Opportunity Announcement (PA-14-072)
- Program Descriptions and Research and Appendix A (SBA approved topics for budget waivers)

(1 MB) (350 KB)

September 7, 2014
 January 7, 2015

The SBIR/STTR website provides direct links to omnibus and other funding opportunity announcements.

SBIR: PA-14-071

STTR: PA-14-072

Funding Opportunity Announcement (FOA)

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Carefully read full announcement.

Funding Opportunity Title	PHS 2014-02 Omnibus Solicitation of the NIH, CDC, FDA and ACF for Small Business Innovation Research Grant Applications (Parent SBIR [R43/R44])
Activity Code	R43/R44 Small Business Innovation Research (SBIR) Grant - Phase I, Phase II, and Fast Track
Announcement Type	Reissue of PA-13-234
Related Notices	<ul style="list-style-type: none"> • June 23, 2014 - Notice of CDC/NCCDPHP Participation in PA-14-071 • June 3, 2014 - Notice NOT-14-074 supersedes instructions in Section • May 12, 2014 (NOT-OD-14-089) - Updated Grant Application Form and due dates on or after August 5, 2014. • February 5, 2014 - See Notice NOT-OD-14-048: NIH Implements SBIR/STTR Reauthorization Act of 2011.
Funding Opportunity Announcement (FOA) Number	PA-14-071
Companion Funding Opportunity	PA-14-072 STTR R41/R42 - Phase I, Phase II, and Fast Track
Number of Applications	See Section III. 3. Additional Information on Eligibility .
Catalog of Federal Domestic Assistance (CFDA) Number(s)	93.061, 93.084, 93.103, 93.113, 93.121, 93.135, 93.136, 93.172, 93.173, 93.213, 93.233, 93.242, 93.262, 93.273, 93.279, 93.283, 93.286, 93.307, 93.350, 93.351, 93.361, 93.393, 93.394, 93.395, 93.396, 93.399, 93.595, 93.647, 93.837, 93.838, 93.839, 93.941, 93.846, 93.847, 93.853, 93.855, 93.856, 93.859, 93.865, 93.866, 93.867, 93.879, 93.977, 93.135
Funding Opportunity Purpose	This Funding Opportunity Announcement (FOA) issued by the National Administration (FDA) and the Administration for Children and Families (ACF) awarding components identified in this FOA are encouraged. Descriptions and Research Topics for NIH, CDC, FDA and ACF.
Key Dates	
Posted Date	January 17, 2014
Open Date (Earliest Submission Date)	March 5, 2014
Letter of Intent Due Date(s)	Not Applicable
Application Due Date(s)	Standard dates apply, by 5:00 PM local time of applicant organization. Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.
AIDS Application Due Date(s)	Standard AIDS dates apply, by 5:00 PM local time of applicant organization. Applicants are encouraged to apply early to allow adequate time to make any corrections to errors found in the application during the submission process by the due date.
Scientific Merit Review	Standard dates apply
Advisory Council Review	Standard dates apply
Earliest Start Date	Standard dates apply
Expiration Date	January 8, 2015

Related Notices: Check for updates to FOA.

Standard SBIR/STTR Due Dates: April/August/December 5

Standard AIDS Due Dates: May/September/January 7

FOA-Specific Application Information

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- Read and follow all announcement instructions
- Pay special attention to Section IV. Application and Submission Information
 - Includes any FOA-specific submission instructions
 - Instructions in FOA supersede instructions in the application guide

Table of Contents

[Part I Overview Information](#)

[Part II Full Text of Announcement](#)

[Section I. Funding Opportunity Description](#)

1. Research Objectives

[Section II. Award Information](#)

1. Mechanism of Support
2. Funds Available

[Section III. Eligibility Information](#)

1. Eligible Applicants
 - A. Eligible Institutions
 - B. Eligible Individuals
2. Cost Sharing or Matching
3. Other - Special Eligibility Criteria

[Section IV. Application and Submission Information](#)

1. Request Application Information
2. Content and Form of Application Submission
3. Submission Dates and Times
 - A. Submission, Review, and Anticipated Start Dates
1. Letter of Intent
- B. Submitting an Application Electronically to the NIH
- C. Application Processing
4. Intergovernmental Review
5. Funding Restrictions
6. Other Submission Requirements

Download Application Package

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Excerpt from announcement text

Required Application Instructions

It is critical that applicants follow the instructions in the [SF424 \(R&R\) SBIR/STTR Application Guide](#) except where instructed to do otherwise (in this FOA or in a Notice from the [NIH Guide for Grants and Contracts](#)). Conformance to all requirements (both in the Application Guide and the FOA) is required and strictly enforced. Applicants must read and follow all application instructions in the Application Guide as well as any program-specific instructions noted in [Section IV](#). When the program-specific instructions deviate from those in the Application Guide, follow the program-specific instructions. **Applications that do not comply with these instructions may be delayed or not accepted for review.**

Apply for Grant Electronically

A compatible version of [Adobe Reader](#) is required for download. For Assistance downloading this or any Grants.gov application package, please contact Grants.gov Customer Support at <http://www07.grants.gov/contactus/contactus.jsp>.

Links to Grants.gov Download Application Package page for the FOA

CFDA	Opportunity Number ↑	Competition ID	Competition Title	Agency	Instructions & Application
	PA-14-071	FORMS-C	Use for due dates on or after August 5, 2014	National Institutes of Health	Download

Download link brings you to Grants.gov page to download application instructions and application forms package.

Application Guide

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U.S. Department of Health and Human Services
Public Health Service

SF424 (R&R) SBIR/STTR Application Guide for NIH and Other PHS Agencies

A guide developed and maintained by NIH for preparing
and submitting SBIR/STTR applications via Grants.gov to
NIH and other PHS agencies using the SF424 (R&R)

Forms Version C application packages

Updated May 8, 2014

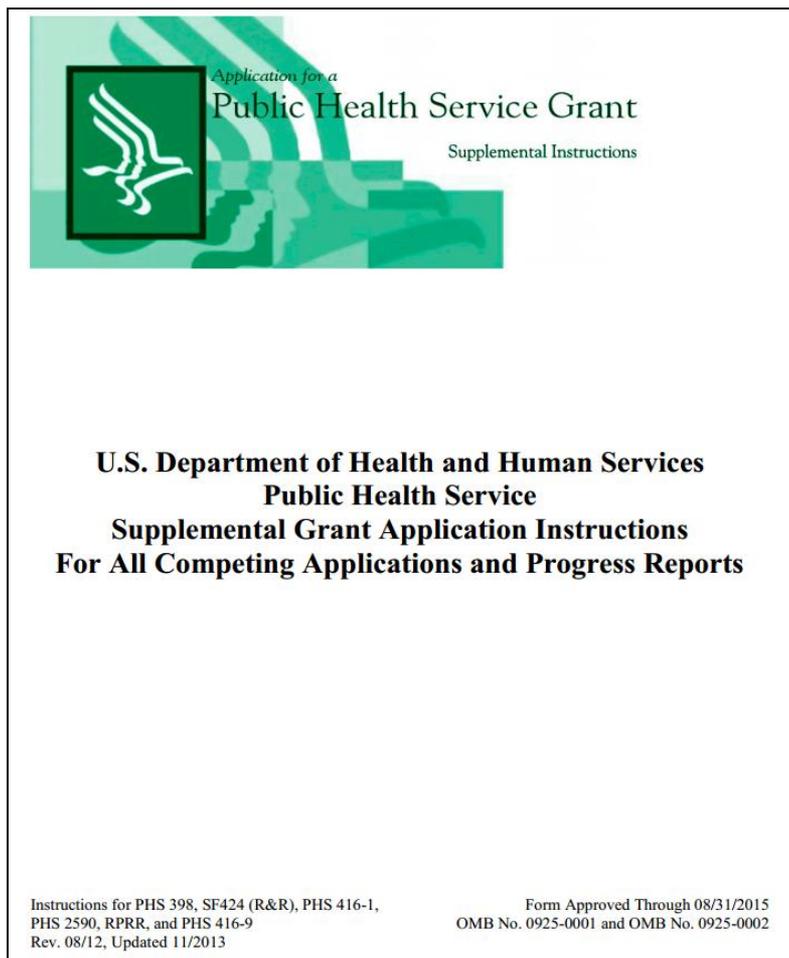
- Read and follow application guide instructions
 - Part I: Instructions for Preparing and Submitting an Application
- Agency-specific instructions are marked with the HHS logo



<http://grants.nih.gov/grants/funding/424/index.htm>

Supplemental Instructions

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Refer to Supplemental Instructions as needed

- Part II: Supplemental Instructions for Preparing the Protection of Human Subjects Section of Research Plan
- Part III: Policies, Assurances, Definitions and Other Information

<http://grants.nih.gov/grants/funding/424/index.htm>

Preparing Your Application

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WORKING WITH GRANTS.GOV'S DOWNLOADABLE FORMS AVOIDING COMMON ERRORS

*A smart man makes a mistake, learns from it,
and never makes that mistake again.
But a wise man finds a smart man
and learns from him how to avoid
the mistake altogether.*

-Roy H. Williams, Businessman



Working with Grants.gov's Downloadable Forms

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Application Form Screen - Top



GRANTS.GOV™

Grant Application Package

Opportunity Title:	PHS 2014-02 Omnibus Solicitation of the NIH, CDC, FDA a
Offering Agency:	National Institutes of Health
CFDA Number:	
CFDA Description:	
Opportunity Number:	PA-14-071
Competition ID:	FORMS-C
Opportunity Open Date:	05/13/2014
Opportunity Close Date:	01/07/2015
Agency Contact:	eRA Commons Help Desk Monday to Friday 7 am to 8 pm ET http://grants.nih.gov/support/

Make sure you have the correct application package.

FOA information is automatically populated and not editable.

This opportunity is only open to organizations, applicants who are submitting grant applications on behalf of a company, state, local or tribal government, academia, or other type of organization.

Application Filing Name:

Select

Mandatory Grants.gov fields highlighted with red box. Not all fields required by NIH will be highlighted.

Working with Grants.gov's Downloadable Forms

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Application Form Screen - Bottom

Save the package locally.

Mandatory	Save	Save & Submit	Check Package for Errors
SF424 (R & R)			
PHS 398 Research Plan			
SBIR/STTR Information			
Research and Related Senior/Key Person Profile (Expanded)			
Research And Related Other Project Information			
Research & Related Budget			
Project/Performance Site Location(s)			
PHS 398 Cover Page Supplement			
Optional			
<input type="checkbox"/> R & R Subaward Budget Attachment(s) Form 5 YR 30 ATT			
<input type="checkbox"/> Planned Enrollment Report			
<input type="checkbox"/> PHS 398 Cumulative Inclusion Enrollment Report			

Complete the **SF 424 (R&R)** form first—info from this form pre-populates fields in other forms in the package.

See application guide to determine which **Optional** forms you need to complete.

Tips

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- Follow FOA-specific (e.g., special attachments, specific section headings) and application guide requirements
 - eRA systems will catch many, but not all errors – some items are checked by staff post-submission
- Take advantage of posted ‘Additional Format Pages’
 - <http://grants.nih.gov/grants/funding/424/index.htm>

Additional Format Pages		
NIH requires all text attachments in an SF424 (R&R) application to be PDF. However, to avoid system errors, applicants should create text attachments using word processing software and then convert to PDF using PDF-generating software. While Word samples are provided below, applicants will need to convert the finished product to PDF before attaching within an SF424 (R&R) application. Do not use the PDF samples from the PHS398 application page. Those are fillable-PDF forms which will cause an error in the electronic submission of an SF424 (R&R) applications.		
Additional Format Pages	Date Posted	File Link/Format/Size
Biographical Sketch Format Page – Adobe Forms Version B (use also for Fellowship Sponsor/Co-Sponsors)	11/13/2009	MS Word (36 KB)
Biographical Sketch Format Page – Forms Version C (use also for Fellowship Sponsor/Co-Sponsors) – Build it using SciENcv!	07/25/2014	MS Word (29 KB)



Avoid Common Errors

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- Make sure the DUNS number on the SF424 (R&R) cover form matches the DUNS number used for all registrations.
- Submitter must be authorized to submit applications for organization DUNS.

APPLICATION FOR FEDERAL ASSISTANCE SF 424 (R&R)		3. DATE RECEIVED BY STATE <input type="text"/>	State Application Identifier <input type="text"/>
1. TYPE OF SUBMISSION <input type="checkbox"/> Pre-application <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application		4. a. Federal Identifier <input type="text"/>	<input type="text"/>
2. DATE SUBMITTED <input type="text"/>	Applicant Identifier <input type="text"/>	b. Agency Routing Identifier <input type="text"/>	<input type="text"/>
5. APPLICANT INFORMATION		c. Previous Grants.gov Tracking ID <input type="text"/>	<input type="text"/>
Legal Name: <input type="text"/>		Organizational DUNS: <input type="text"/>	<input type="text"/>

Avoid Common Errors

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Watch out for fields required by NIH that are not marked required on forms used federal-wide.



[View Burden Statement](#) OMB Number: 4040-0010
Expiration Date: 08/31/2011

Project/Performance Site Location(s)

Project/Performance Site Primary Location I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

* Street1:

Street2:

* City: County:

* State:

Province:

* Country:

* ZIP / Postal Code: * Project/ Performance Site Congressional District:

Primary site DUNS is required by NIH

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Project Director/Principal Investigator

Prefix: [] * First Name: [] Middle Name: [] * Last Name: [] Suffix: []

Position/Title: [] Department: []

Organization Name: [] Division: []

* Street1: [] Street2: []

* City: [] County: [] * State: [] Province: []

* Country: [USA:] * Zip / Postal Code: []

* Phone Number: [] Fax Number: [] * E-Mail: []

Credential, e.g., agency login: [**Enter PI Commons Username**]

* Project Role: [PD/PI] Other Project Role Category: []

* Attach Biographical Sketch: [] Add Attachment Delete Attachment View Attachment

Attach Current & Pending Support: [] Add Attachment Delete Attachment View Attachment

eRA Commons username must be supplied in the *Credential* field

PROFILE - Senior/Key Person 1

Prefix: [] * First Name: [] Middle Name: [] * Last Name: []

Position/Title: [] Department: []

Organization Name: [] Division: []

* Street1: [] Street2: []

* City: [] County: [] * State: [] Province: []

* Country: [USA:] * Zip / Postal Code: []

* Phone Number: [] Fax Number: [] * E-Mail: []

Credential, e.g., agency login: [**Enter PI Commons Username**]

* Project Role: **Select PD/PI for each PI** Other Project Role Category: []

* Attach Biographical Sketch: [] Add Attachment Delete Attachment View Attachment

Attach Current & Pending Support: [] Add Attachment Delete Attachment View Attachment

Reset Entry Select to attach additional Senior/Key Person Forms NEXT PERSON

For multiple PD/PI applications, select the PD/PI role for each PI and provide their eRA Commons username in the *Credential* field

Avoid Common Errors

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Close Form Print Page About

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Project Director/Principal Investigator

Prefix	* First Name	Middle Name	* Last Name	Suffix
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Position/Title: <input type="text"/>		Department: <input type="text"/>		
Organization Name: <input type="text" value="Organization Name"/>		Division: <input type="text"/>		
* Street1: <input type="text"/>		Street2: <input type="text"/>		
* City: <input type="text"/>	County: <input type="text"/>	* State: <input type="text"/>	Province: <input type="text"/>	
* Country: <input type="text" value="USA"/>	* Zip / Postal Code: <input type="text"/>			
* Phone Number <input type="text"/>		Fax Number <input type="text"/>		
Credential, e.g., agency login: <input type="text"/>				
* Project Role: <input type="text" value="PD/PI"/>	Other Project Role Category: <input type="text"/>			
* Attach Biographical Sketch	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment
Attach Current & Pending Support	<input type="text"/>	Add Attachment	Delete Attachment	View Attachment

PROFILE - Senior/Key Person 1

Prefix	* First Name	Middle Name	* Last Name	Suffix
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Position/Title: <input type="text"/>		Department: <input type="text"/>		
Organization Name: <input type="text"/>		Division: <input type="text"/>		
* Street1: <input type="text"/>		Street2: <input type="text"/>		
* City: <input type="text"/>	County: <input type="text"/>	* State: <input type="text"/>	Province: <input type="text"/>	
* Country: <input type="text" value="USA"/>	* Zip / Postal Code: <input type="text"/>			
* Phone Number <input type="text"/>		Fax Number <input type="text"/>		* E-Mail <input type="text"/>
Credential, e.g., agency login: <input type="text"/>				
* Project Role: <input type="text"/>	Other Project Role Category: <input type="text"/>			

NIH requires the Organization name for all Sr/Key listed.

Avoid Common Errors

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Include all required attachments

- Whether an attachment is required or not is often based on how you answer specific questions throughout the application
 - ✦ Examples:
 - Human Subjects = Yes, then Human Subjects section of the PHS 398 Research Plan is required
 - Vertebrate Animals = Yes, then Vertebrate Animals attachment is required
 - More than one entry on the R&R Sr/Key Person Profile form with the role of “PD/PI,” then the Multiple PD/PI Leadership Plan attachment on the PHS 398 Research Plan form is required



PHS 398 Research Plan

Please attach applicable sections of the research plan, below.

OMB Number: 0925-0001

1. Introduction to Application
(for RESUBMISSION or REVISION only)

Limited to 1 page. Required for Resubmission and Revision applications.

2. Specific Aims

Required. Limited to 1 page.

Attachment

Delete Attachment

View Attachment

3. *Research Strategy

Required. Phase 1 SBIR/STTR: limited to 6 pages. Phase II: SBIR/STTR and Fast Track SBIR/STTR: limited to 12 pages.

Attachment

4. Progress Report Publication List

Add Attachment

Delete Attachment

View Attachment

Human Subjects Sections

Attachments typically required if Human Subjects= Yes on the Other Project Information form.

5. Protection of Human Subjects

Required if Human Subjects is Yes.

6. Inclusion of Women and Minorities

Required if Human Subjects is Yes and

7. Inclusion of Children

Required if Human Subjects is Yes and

Other Research Plan Sections

8. Vertebrate Animals

Required if Vertebrate Animals is Yes

9. Select Agent Research

Add Attachment

10. Multiple PD/PI Leadership Plan

Required if more than one PD/PI is specified on the Grant Strategy Form

11. Consortium/Contractual Arrangements

Add Attachment

Delete Attachment

View Attachment

12. Letters of Support

Add Attachment

Delete Attachment

View Attachment

13. Resource Sharing Plan(s)

Add Attachment

Delete Attachment

View Attachment

Annotated form sets are a great resource for helping identify many conditional requirements.

Annotated form sets:

<http://grants.nih.gov/grants/ElectronicReceipt/communication.htm>

Avoid Common Errors

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All application attachments must be in PDF format

- Use simple PDF-formatted files
 - ✦ Do not use Portfolio or similar feature to bundle multiple files into a single PDF
 - ✦ Disable security features such as password protection
- Keep file names to 50 characters or less
- Use meaningful filenames
- Do not include headers or footers
 - ✦ Section headings as part of the text (e.g., Significance, Innovation, Approach) are encouraged
- Follow guidelines for fonts and margins



PDF Guidelines:

http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm

Avoid Common Errors

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Section of Application	Activity Codes	Page Limits * (if different from FOA, FOA supersedes)
Introduction to Resubmission and Revision Applications	For all Activity Codes (including each applicable component of a multi-component application)	1
Specific Aims	For all Activity Codes that use an application form with the Specific Aims section (including each component of a multi-component application)	1
Research Strategy	For Activity Code DP1	5
	For Activity Codes R03, R13, U13, R13, U13, R21, R36, R41, R43, SC2, SC3, X01 ¹	6
	For Activity Code DP2	10
	For Activity Codes R01, R15, R18, U18, R21/R33, R24, U24, R28, R33, R34, U34, R42, U42, R44, U44, DP3, DP5, G08, G11, G13, SC1, SI2, U01, UH2, UH3, UG1, UC4, UH2/UH3, X01 ¹ , X02, RC2, UC2, RC4, RF1, UF1, U2C	12
	For all other Activity Codes	Follow FOA instructions
Commercialization Plan	For R42 and R44	12
Biographical Sketch	For all Activity Codes except DP1 and DP2	4

Follow specified page limits for attachments.



Page Limits:

http://www.grants.nih.gov/grants/forms_page_limits.htm#other

Changes from NIH SBIR/STTR Reauthorization

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In the Other Attachments section of the R&R Other Project Information form, include:

- Attach proof of your SBA registration
- If your organization is venture capital backed, attach the “SBIR Application VCOC Certification.pdf” found on the NIH SBIR forms page (<http://grants.nih.gov/grants/forms.htm#sbir>)

SBIR/STTR Reauthorization Act Of 2011: NIH Implementation Of Key Changes (What to Expect and When)

<http://grants.nih.gov/grants/funding/sbir/reauthorization.htm>

RESEARCH & RELATED Other Project Information

OMB Number: 4040-0001
Expiration Date: 6/30/2016

1. Are Human Subjects Involved? Yes No

1.a. If YES to Human Subjects

Is the Project Exempt from Federal regulations? Yes No

If yes, check appropriate exemption number. 1 2 3 4 5 6

If no, is the IRB review Pending? Yes No

IRB Approval Date:

Human Subject Assurance Number:

2. Are Vertebrate Animals Used? Yes No

2.a. If YES to Vertebrate Animals

Is the IACUC review Pending? Yes No

IACUC Approval Date:

Animal Welfare Assurance Number:

3. Is proprietary/privileged information included in the application? Yes No

4.a. Does this Project Have an Actual or Potential Impact - positive or negative - on the environment? Yes No

4.b. If yes, please explain:

4.c. If this project has an actual or potential impact on the environment, has an exemption been authorized or an environmental assessment (EA) or environmental impact statement (EIS) been performed? Yes No

4.d. If yes, please explain:

5. Is the research performance site designated, or eligible to be designated, as a historic place? Yes No

5.a. If yes, please explain:

6. Does this project involve activities outside of the United States or partnerships with international collaborators? Yes No

6.a. If yes, identify countries:

6.b. Optional Explanation:

7. Project Summary/Abstract

8. Project Narrative

9. Bibliography & References Cited

10. Facilities & Other Resources

11. Equipment

12. Other Attachments

R&R Other Project Information form

Other Attachments section

Submit

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SUBMITTING AN APPLICATION ON-TIME SUBMISSION



*I love deadlines. I like the whooshing
sound they make as they fly by.*

-Douglas Adams



Submit Application (AOR only)

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Mandatory	Save	Save & Submit	Check Package for Errors
SF424 (R & R)			
PHS 398 Research Plan			
SBIR/STTR Information			
Research and Related Se			
Research And Related Ot			
Research & Related Budo			
Project/Performance Site			
PHS 398 Cover Page Sup			
Optional			
<input type="checkbox"/> R & R Subaward Budget			
<input type="checkbox"/> Planned Enrollment Repor			
<input type="checkbox"/> PHS 398 Cumulative Inclusion Enrollment Report			

Save & Submit button will not become active until application is saved and mandatory information is completed.

Check Package for Errors button only checks to make sure the application meets Grants.gov requirements. Agency requirements checked upon submission.

Submit Application

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The screenshot shows a browser window titled "JavaScript Window" with a close button in the top right corner. The Grants.gov logo is at the top left. The main content area contains a "Warning Notice" section with two paragraphs of text. Below this is an "Instructions" section with a single line of text. Underneath are two input fields labeled "User Name:" and "Password:". At the bottom right of the form are two buttons: "Login" and "Cancel". A red warning message "Warning: JavaScript Window" is visible at the bottom left of the window.

Warning Notice
This is a U.S. Government computer system, which may be accessed and used only for authorized Government business by authorized personnel. Unauthorized access of the use of this computer system may subject violators to criminal, civil, and/or administrative action.

All information on this computer system may be intercepted, recorded, read, copied, and disclosed by and to authorized personnel for official purposes, including criminal investigations. Such information includes sensitive data encrypted to comply with confidentiality and privacy requirements. Access or use of this computer system by any person, whether authorized or unauthorized, constitutes consent to these terms.

Instructions
To submit your application, please enter your Username and Password in box below and then press the Login button.

User Name:

Password:

Login Cancel

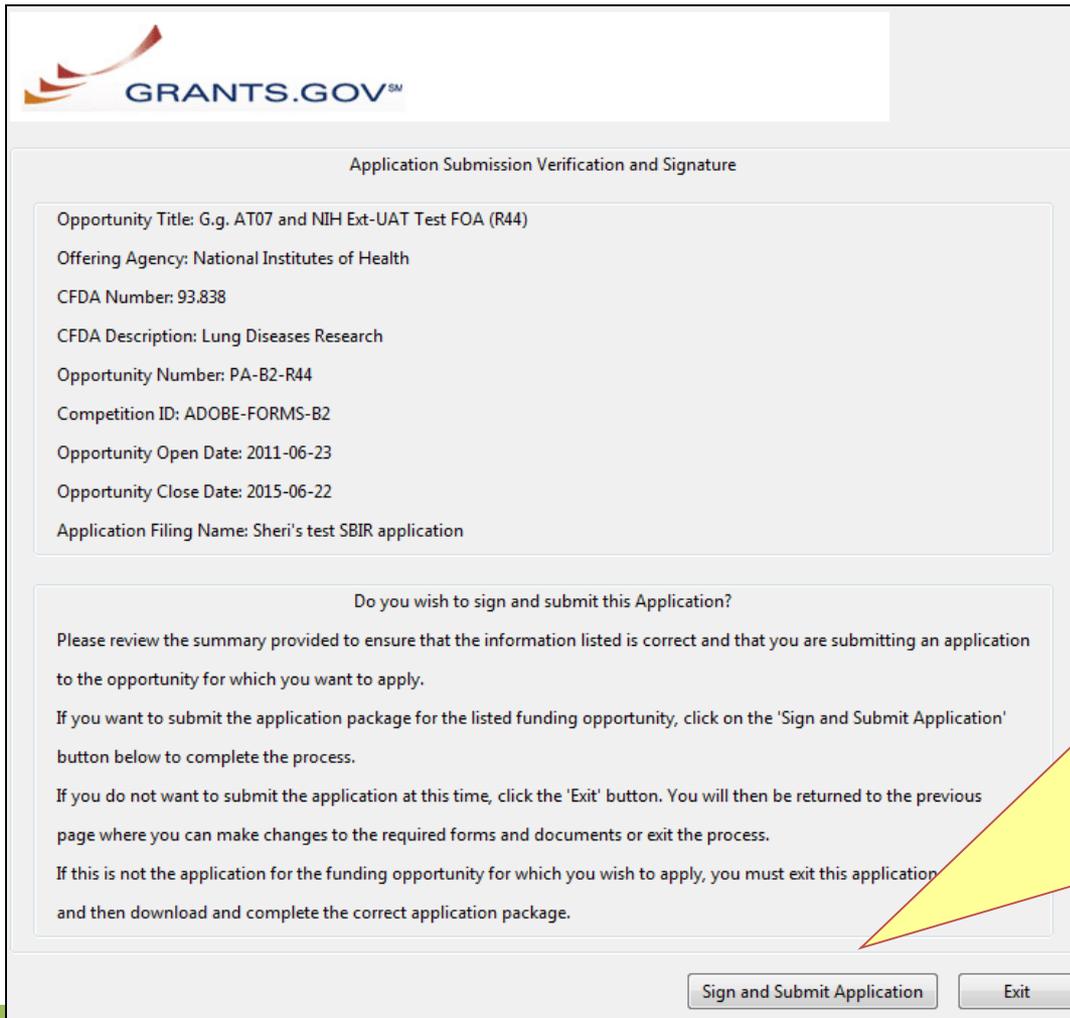
Warning: JavaScript Window

AORs: Enter your Grants.gov username and password—you must be fully registered to successfully submit an application.

Only AORs can submit!

Submit Application

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The screenshot shows the Grants.gov interface for application submission verification. At the top left is the Grants.gov logo. The main heading is "Application Submission Verification and Signature". Below this, a summary box lists the following information:

- Opportunity Title: G.g. AT07 and NIH Ext-UAT Test FOA (R44)
- Offering Agency: National Institutes of Health
- CFDA Number: 93.838
- CFDA Description: Lung Diseases Research
- Opportunity Number: PA-B2-R44
- Competition ID: ADOBE-FORMS-B2
- Opportunity Open Date: 2011-06-23
- Opportunity Close Date: 2015-06-22
- Application Filing Name: Sheri's test SBIR application

Below the summary box is a section titled "Do you wish to sign and submit this Application?". It contains the following text:

Please review the summary provided to ensure that the information listed is correct and that you are submitting an application to the opportunity for which you want to apply.

If you want to submit the application package for the listed funding opportunity, click on the 'Sign and Submit Application' button below to complete the process.

If you do not want to submit the application at this time, click the 'Exit' button. You will then be returned to the previous page where you can make changes to the required forms and documents or exit the process.

If this is not the application for the funding opportunity for which you wish to apply, you must exit this application and then download and complete the correct application package.

At the bottom of the form are two buttons: "Sign and Submit Application" and "Exit".

Click Sign and Submit Application button to record electronic signature and initiate submission process to Grants.gov.

Submit Application

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[Home](#) > [Apply for Grants](#) > Confirmation

Confirmation

Thank you for submitting your grant application package via Grants.gov. Your application is currently being processed by the Grants.gov system. Once your submission has been processed, Grants.gov will send email messages to advise you of the progress of your application through the system. Over the next 24 to 48 hours, you should receive two emails. The first will confirm the receipt of your application by the Grants.gov system, and the second will indicate that the application has either been successfully validated by the system prior to transmission to the grantor agency or has been rejected due to errors.

Please do not hit the back button on your browser.

If your application is successfully validated and subsequently retrieved by the grantor agency from the Grants.gov system, you will receive an additional email. This email may be delivered several days or weeks from the date of submission, depending on when the grantor agency retrieves it.

You may also monitor the processing status of your submission within the Grants.gov system by using the following steps:

1. Go to <http://www.grants.gov>
2. Click on the "Track Your Application" link on the left side navigation bar on the Grants.gov homepage.
3. Login to the system using your AOR User Id and password
4. Click on the "Check Application Status" link on the left side navigation bar.

Note: Once the grantor agency has retrieved your application from Grants.gov, you will need to contact them directly for any subsequent status updates. Grants.gov does not participate in making any award decisions.

IMPORTANT NOTICE: If you do not receive a receipt confirmation and either a validation confirmation or a rejection email message within 48 hours, please contact us. The Grants.gov Support Center can be reached by email at support@grants.gov, or by telephone at 1-800-518-4726. Always include your Grants.gov tracking number in all correspondence. The tracking numbers issued by Grants.gov look like GRANTXXXXXXX.

the system:

Grants.gov Tracking #

Date/Time Stamp - due 5 p.m. local time of the applicant organization on deadline date

TRACK MY APPLICATION – To check the status of this application, please

http://at07web.grants.gov/web/grants/applicants/track-my-application.html?tracking_num=GRA

It is suggested you Save and/or Print this response for your records.

Print/save your confirmation screen info.

On-time Submission

Error-free

applications must be accepted by Grants.gov with a time stamp **on or before 5:00 p.m.** local time of the submitting organization **on the due date.**

- Important reminders:
 - **NIH recommends submitting early (days, not minutes!)** to allow time for correcting any errors found during the application viewing window prior to the due date
 - NIH's late policy does not allow corrections after the due date
 - All registrations must be completed before the due date



Dealing with System Issues

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You **must** follow NIH's standard 'system issue' procedure if you run into problems beyond your control that threaten your on-time submission:
<http://grants.nih.gov/grants/ElectronicReceipt/support.htm#guidelines>

You're Not Finished Yet...

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Application



Successfully

- submitted to NIH

Submitting to Grants.gov is NOT the last step in the process!

Track & View Application

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**TRACKING YOUR APPLICATION IN ERA COMMONS
VIEWING YOUR APPLICATION IN COMMONS
REJECTING AN APPLICATION
SUBMISSION COMPLETE – HAPPY DANCE!**



Trust, but verify.

-Ronald Reagan

Time to Go to eRA Commons...

45

eRA Commons:

<https://public.era.nih.gov/commons>

The screenshot shows the eRA Commons website interface. At the top, there is a header with the text "Electronic Research Administration" and "Sponsored by National Institutes of Health". The main logo reads "eRA Commons". To the right, there are logos for the "NATIONAL INSTITUTES OF HEALTH" and "OER", along with links for "Contact Us" and "Help".

The main content area is divided into three columns:

- Left Column:** "Commons Login" section with a help icon. It includes a note "*Required field(s)", input fields for "*Username" and "*Password", "Login" and "Reset" buttons, and a link for "Forgot Password/Unlock Account?". Below this is the "Federated Institutions/Organizations" section with a dropdown menu currently showing "N/A".
- Middle Column:** "Welcome to the Commons" section. It features a "System Notification Message" box stating "All systems are currently available." Below this is a "Scheduled Commons Maintenance" notice with a link to the "eRA Scheduled Maintenance Calendar". At the bottom of this column is the "Support Related Resources" section, which lists several links: "Electronic Submission" (linking to "Avoiding Common Errors"), "Online Resources" (linking to "Self Help Resources"), "Electronic Application Submission" (linking to "Applying Electronically website"), and "eRA Home Page" (linking to "FAQs", "User Guides", and "eRA website").
- Right Column:** "Register Grantee Organization" link, "About the Commons:" section with links for "Frequently Asked Questions" and "Latest Release Notes", and "Additional Links" section with links for "RePORT", "Grants.gov", "iEdison", "National Institutes of Health", "Public Access Policy Page", and "Loan Repayment Program".

Track Application - Commons

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Home Admin Institution Profile Personal Profile **Status** RPPR xTrain Admin Supp eRA Partners
Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

Status

[Recent/Pending eSubmissions](#)

- Applications that require action
- Applications that are available to view (during two business day correction window) prior to submission completion
- Applications that have been refused by Signing Official

Select Recent/Pending eSubmissions

[List of Applications/Grants](#)

- Funded Grants
- Successfully submitted applications, both paper and electronic
- Review assignment status, review results, summary statements, and Notices of Award
- Other Commons features (e.g., Just In Time, eSNAP, Closeout, Financial Status Report) for previously submitted applications/grants

Search by Grants.gov Tracking Num

- Enter the Grants.gov Tracking Number into the following box for easy access to a specific grant application

Grants.gov Tracking Number:

Or provide Grants.gov tracking number from confirmation screen or email notification

Track Application - Commons

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Home Admin Institution Profile Personal Profile **Status** RPPR xTrain Admin Supp eRA Partners
Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

Status Result - Recent/Pending eSubmissions ?

The following list of applications represents a recent/pending eSubmission. To see a complete list of your Recent/Pending eSubmissions, please click Recent/Pending eSubmissions.

Indicates eSubmission Error

do not see a complete list of your

1 - 1 of 1 1

Grants.gov Tracking #	Application ID	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Status Date	Show All Prior Errors
GRANT00572570		eSubmission Error	Incredible Research Project	MONEY, CHER D	2013-09-03 12:03:46	Show Prior Errors and Warnings

Export to Excel

Grants.gov tracking #

Errors/Warnings for Prior Failed eSubmissions

GRANT00572570 2013-09-03

ERROR

Senior/Key Person Cher Money, listed on the 424 RR Detailed Budget Page for budget year 1, must include effort of a value greater than zero in calendar months, academic months, or summer months. Note: use either calendar months or a combination of academic and summer months. For information about calculating person months, see http://grants.nih.gov/grants/policy/person_months_faqs.htm. (5.9.1)

ERROR

The DUNS Number for the Primary Location is required on the Project/Performance Site Location(s) form. Please make sure the 'Submit an application as an individual' selection is not checked. (2.19.1)

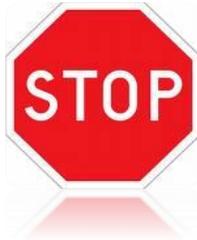
WARNING

SBIR and STTR applicants applying to solicitations issued after 1/28/2013 are required to register with SBA through the <http://www.sbir.gov/registration> web site and must attach their registration confirmation files to their applications. The confirmation file (with the original file name from the SBA) must be attached as a PDF file to the Other Attachments section of the R Other Project Information form. Please follow application guide and FOA instructions for the registration attachment on this requirement. If applying to SBIR/STTR solicitations issued prior to 1/28/2013, please ignore this warning. This warning will not stop your application from being received and processed and will not affect its peer review. However, you will be required to submit the SBA registration confirmation prior to award. (3.18.36)

WARNING

No degrees are listed in the Commons Profile or have been submitted on the RR Senior/Key Profile form for the Contact PD/PI. If the degrees listed in the eRA Commons are not current, please update them in the eRA Commons. Instructions on updating profile information are available at <http://commons.era.nih.gov/commons-help/216.htm>. (4.29.1)

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 the discretion of the applicant



View Application Image

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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 notification
 - ✦ Email can be unreliable – proactively check eRA Commons for status



APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)

1. TYPE OF SUBMISSION
 Pre-application Application Change/Corrected Application

2. DATE SUBMITTED
Application Identifier: []

3. APPLICANT INFORMATION
Legal Name: []
Street: []
City: [] County: [] Parish: []
State: []
Country: [] * ZIP / Postal Code: []
Phone: [] * Fax Number: []
Email: []

4. EMPLOYER IDENTIFICATION (BIB) or (PI)
Small Business Organization Type: Women Owned Socially and Economically Disadvantaged

5. TYPE OF APPLICANT
 New Reapplication Renewal Continuation Revision, mark appropriate boxes:
 Increase Award Decrease Award Increase Duration Decrease Duration

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
- SO can Reject application within viewing window and **submit a Changed/Corrected application before the submission deadline**

If you can't **VIEW** it, we can't **REVIEW** it!



View Application Image in Commons

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Home Admin Institution Profile Personal Profile **Status** RPPR xTrain Admin Supp eRA Partners
Recent/Pending eSubmissions List of Applications/Grants Search by Grants.gov Tracking Num

Status Result - Recent/Pending

Status is Pending Verification

The following list of applications represents a result of the search by Grants.gov Tracking # or a list of all Recent/Pending eSubmissions. If you do not see a complete list of your Recent/Pending eSubmissions, please click **Recent/Pending eSubmissions** menu tab again.

1-1 of 1 1

Grants.gov Tracking #	Application ID	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Status Date	Show All Prior Errors
GRANT00572577	AN:3043474	Pending Verification	Amazing Research Project	MONEY, CHER D	2013-09-03 12:35:07	Show Prior Errors and Warnings

Application ID links to detailed status info

Status Information

General Grant Information
Status:

Other Relevant Documents
[e-Application](#)
[eSubmission Cover Letter](#)
[Additions for Review \(0 documents\)](#)

Status History
Effective Date

Application Information
Reference Letter(s)

View Appendices and Cover Letter

This list shows Reference Letters associated with this particular Grant Application. Principal Investigator can see a list of all Reference Letters within Personal Profile - Reference Letters section on eRA Commons

Contacts
Administration Name Phone Email

View Application Image in Commons

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Bookmarks

- SF424 (R&R) Cover Page
- Table of Contents
- Performance Sites
- R&R Other Project Information
- Project Summary/Abstract
- Project Narrative
- Facilities & Other Resources
- Equipment
- R&R Senior/Key Persons
- Biosketches

OMB Number: 4040-0001
Expiration Date: 08/30/2018

APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)

1. TYPE OF SUBMISSION*		3. DATE RECEIVED BY STATE	State Application Identifier
<input type="radio"/> Pre-application <input type="radio"/> Application <input checked="" type="radio"/> Changed/Corrected Application		4.a. Federal Identifier	
2. DATE SUBMITTED		b. Agency Routing Number	
Application Identifier		c. Previous Grants.gov Tracking Number GRANT00580365	
5. APPLICANT INFORMATION			Organizational DUNS*: 616208109
Legal Name*: Whatsamatta U			
Department:			
Division:			
Street1*: 123 My st			
Street2:			
City*: my city			
County:			
State*: MD: Maryland			
Province:			
Country*: USA: UNITED STATES			
ZIP / Postal Code*: 208921234			
Person to be contacted on matters involving this application			
Prefix:	First Name*: can	Middle Name: b	Last Name*: group Suffix:
Position/Title:			
Street1*: my st			

TIP: Carefully review the entire application. This is your chance to view/print the same application image that will be used by Reviewers!

Reject eApplication

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Pls: If the application image in the eRA Commons does not properly reflect the submitted material, work with your SO to reject the application!

Must have SO role

The screenshot shows the eRA Commons interface. At the top, the logo reads "Electronic Research Administration eRA Commons Sponsored by National Institutes of Health". The user is logged in as "workshop" with the authority "SO". The navigation menu includes "Home", "Admin", "Institution Profile", "Personal Profile", "Status", "eSNAP", "xTrain", "Links", "eRA Partners", and "Help". The "Status" section is active, with a sidebar menu containing "General Search", "Just In Time", "Pending Progress Report", "Recently Awarded", "Recent/Pending eSubmissions" (highlighted with a red arrow), and "Closeout". The main content area displays the "Recent/Pending eSubmissions" search form with the following fields:

Recent/Pending eSubmissions	
Accession Number	<input type="text"/>
Grants.gov Tracking #	<input type="text"/>
eSubmission Status	Pending Verification <input type="button" value="v"/>
Received Date	From <input type="text"/> <input type="button" value="calendar"/> To <input type="text"/> <input type="button" value="calendar"/> (MM/DD/YYYY) (MM/DD/YYYY)
<input type="button" value="Search"/> <input type="button" value="Clear"/>	

Enter Search Criteria

Click Search

Select *Recent/ Pending eSubmissions*

Reject eApplication

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Home Admin Institution Profile Personal Profile **Status** RPPR xTrain Admin Supp eRA Partners

Status Result - Recent/Pending eSubmissions Search ?

Tips and Notes:

- PD/PI column shows Contact PI for multi-PI grants.

Application ID	Grants.gov Tracking #	eSubmission Status	Proposal Title	PD/PI Name	eSubmission Status Date	Show All Prior Errors	Action
AN:3043474	GRANT00572577	Pending Verification	Amazing Research Project	MONEY, CHER D	2013-09-03 12:35:07	Show Prior Errors and Warnings	Transmittal Sheet Reject eApplication

Application Information

Grant Number: AN:3043474
PI Name: MONEY, CHER D
Proposal Title: Amazing Research Project

Reject eApplication

Required Comment:

Enter comment to be sent with e-mail notification

Submission Complete!

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- If no action is taken during 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



Finding Help

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HELP DESKS ON-LINE RESOURCES & WEB SITES



Help Desks

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eRA Commons Help Desk

- Web:
<http://grants.nih.gov/support/>
- Phone: 1-866-504-9552
- TTY: 301-451-5939
- Hours : Mon-Fri, 7a.m. to 8 p.m. ET

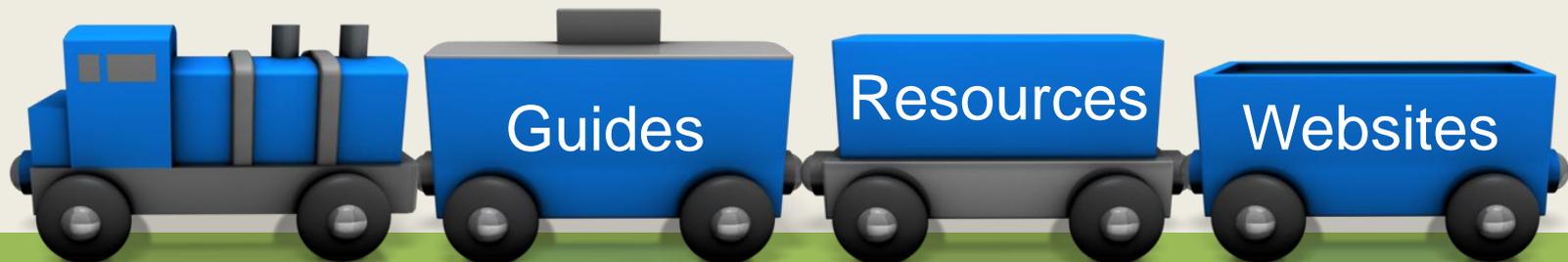
Grants.gov Contact Center

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

Take Advantage of Available Resources to Avoid Common Errors

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- Application guide, supplemental instructions, format pages:
 - <http://grants.nih.gov/grants/funding/424/index.htm>
- Annotated Form Set:
 - <http://grants.nih.gov/grants/ElectronicReceipt/communication.htm#forms>
- Avoiding Common Errors Web page:
 - http://grants.nih.gov/grants/ElectronicReceipt/avoiding_errors.htm
- PDF Guidelines:
 - http://grants.nih.gov/grants/ElectronicReceipt/pdf_guidelines.htm



Web Sites

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- eRA Commons:
<https://commons.era.nih.gov/commons/>
- Electronic Research Administration:
<http://era.nih.gov/>
- Applying Electronically:
<http://grants.nih.gov/grants/ElectronicReceipt/>
- NIH About Grants:
<http://grants.nih.gov/grants/oer.htm>
- NIH SBIR/STTR site
<http://sbir.nih.gov/>



Questions?

