

## NIH Submission Process for PIs and Scientists



Life Sciences' Manfred Auer and group

Learn about the NIH deadlines, late submissions, the process to submit changed/corrected proposals (before and after the NIH submission deadline), how to submit supplemental, additional, or corrected information, and the standard NIH email notifications.

**Presented by:**  
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## NIH Submission Process for PIs and Scientists



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## NIH eRA Commons

- NIH eRA Commons receives proposals after Grants.gov validation
- PIs request registration through an LBNL request page:
  - When completely new to NIH
  - To add LBNL as an affiliation, if joint appointee
  - When moved to LBNL from other institution where you had NIH affiliation

[http://www.lbl.gov/Workplace/CFO/spo/proposal\\_submit/pi\\_keypersonnel\\_reg.html](http://www.lbl.gov/Workplace/CFO/spo/proposal_submit/pi_keypersonnel_reg.html)
- PI completes PI profile in eRA Commons so proposals can be submitted & viewed in eRA Commons
- PI can delegate various roles to division staff with NIH eRA Commons “ASST” role (see NIH roles handout)
- No other registration is required.
  - LBNL and SPO are registered
  - Division staff responsible for proposals are registered



## NIH Electronic Deadlines

1. What is the submission deadline — the date/time the application is stamped as received by Grants.gov or the date/time the data is received by NIH? (NIH FAQ)

Applications must be **submitted to Grants.gov** by 5 p.m. local time (of the applicant institution/organization) on the submission/receipt date. If the submission/receipt date falls on a weekend or Federal holiday, the date will be extended to the next business day.



## NIH Policy on Late Submissions

- Missing the deadline is not an acceptable reason to submit a late application.
- See NOT-OD-08-027 NIH Policy on Late Submission of Grant Applications
  - Late submission deadline is two weeks after the regular standard submission deadline
  - Late submission deadline is one week after an expedited standard submission deadline
  - NIH will not consider accepting late applications for Special Receipt Dates for RFAs and PARs
- Late submissions require Cover Letter from PI with Late Submission Request and justification



## New NIH Policy on Late Submissions for Study Section Members

- Alternate Submission Process:
  - Continuous submission process
  - Applications will be reviewed no later than 120 days after receipt
  - Will be processed and assigned to NIH Institute Review Offices or CSR Integrated Review Groups using the standard referral guidelines
- See NOT-OD-08-026 Modified Application Submission, Referral and Review for Appointed NIH Study Section Members
- These submissions require Cover Letter from PI with specification of which Study Section the PI serves on





## New NIH Policy on Late Submissions for Study Section Members

### Alternate Submission Process Eligibility:

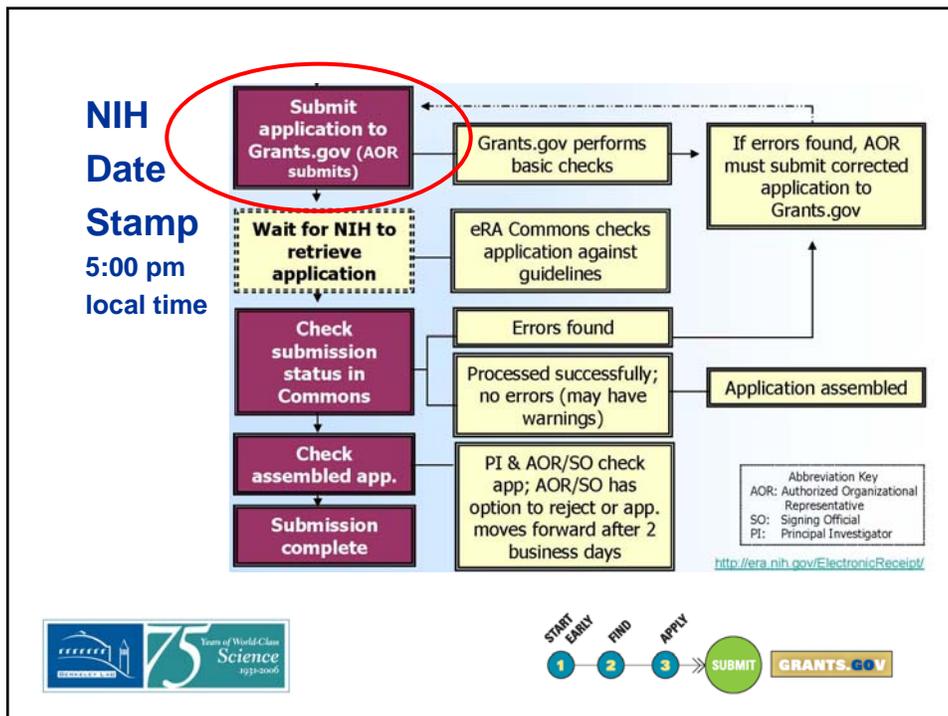
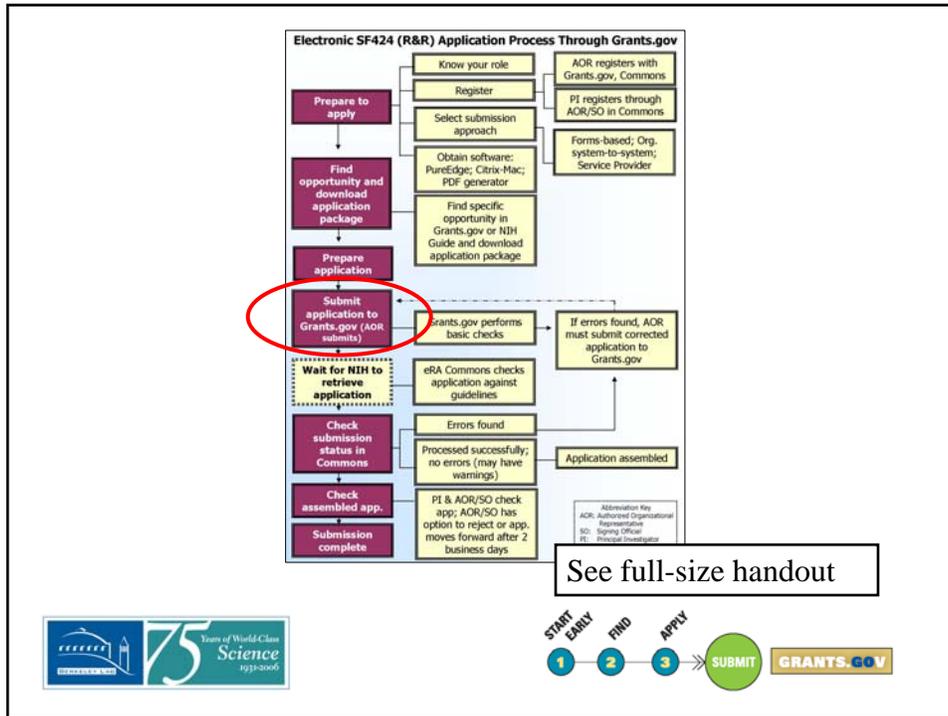
- Only appointed regular members (not temporary or ad hoc) of chartered CSR and other NIH study sections may take advantage of the continuous submission process
- This applies only to R01, R21 and R34 (including AIDS-related) applications
- This does NOT apply to applications for which appointed members have a role other than PD/PI, including sponsors for fellowship applications or mentors for career award applications
- This does NOT apply to people serving as reviewers for Federal agencies other than the NIH or private organizations
- Temporary or ad hoc members of CSR study section will be eligible for the late submission window
- If desired, appointed members of chartered study sections may request review by a standing study section (different from the one they are serving on), but those applications must conform to regular submission deadlines and the late window will apply.



## Changed/Corrected Proposals

- Any application submitted after the deadline requires a Cover Letter from PI or SPO
- Cover Letter should:
  - explain the reason for the changed/corrected submission
  - confirm the original deadline was met or include reason for late submission
- Cannot be used for supplemental information





## When will I miss an NIH deadline?

- Submitted so that confirmation has date stamp after 5:00pm on the deadline day
- Grants.gov did not validate and the corrected/changed proposal was submitted so that the confirmation has date stamp after 5:00pm on the deadline day



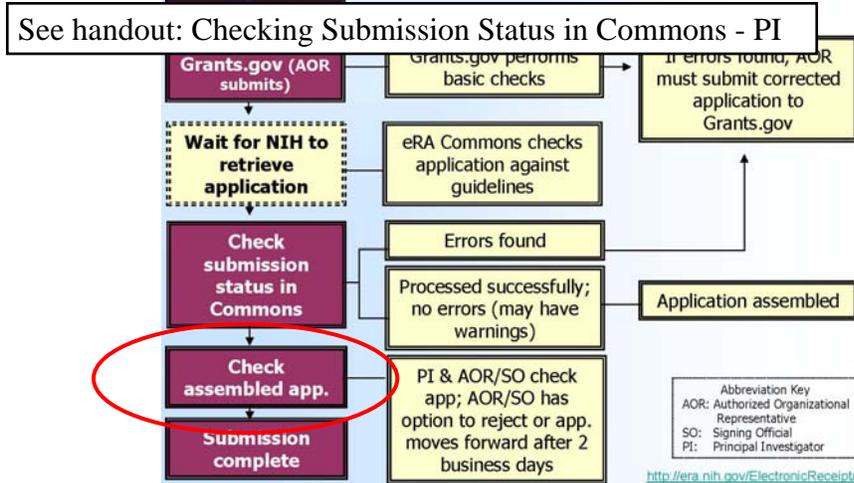
## Grants.gov vs. NIH Validations

- Can you explain the differences in the checks that Grants.gov does on the application and those done by NIH? (NIH FAQ)

The Grants.gov validations are minor and straightforward - things like checking to make sure no viruses are attached to the application and checking to ensure the DUNS number is correct. At the NIH level, the application is checked against business rules - such as whether you have an assurance number if the human subjects is marked "yes".



## PI Views App in eRA Commons



## NIH Errors and Warnings

- Could you detail what will be the validations (business rules) that an application will be checked for - such as page limits? (NIH FAQ)

The list of errors and warnings that an applicant may encounter during the validation process, along with tips to help you understand these better, are available on the [Prepare Application](#) page.

[http://era.nih.gov/ElectronicReceipt/files/SF424RR\\_Validation.pdf](http://era.nih.gov/ElectronicReceipt/files/SF424RR_Validation.pdf)



## NIH Email Notifications

Validated by NIH with no warnings or errors



**2-Day  
Viewing Window  
Starts**

Subject Line of Email	Sent	Sent to the following person(s)
Validations Complete/Check Assembled Application, Grants.Gov Tracking Number <tracking number>, PI <PI name>	After successful processing of a Grants.gov submission with no warnings or errors	SO*, PI, and any Multiple PIs on the application (using email address in the submission) with cc: to the Person to be Contacted**.



## NIH Email Notifications

Validated by NIH with warnings but no errors

Might choose to make changes – consult with Division Staff and SPO



**2-Day  
Viewing Window  
Starts**

Validations Complete/Check Assembled Application, Grants.Gov Tracking Number <tracking number>, PI <PI name> - Warnings Only	After successful processing of a Grants.gov submission with at least one warning but no errors.	SO*, PI, and any Multiple PIs on the application (using email address in the submission) with cc: to the Person to be Contacted**.
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## Errors/Warnings and the Submission Deadlines

- **NIH Errors/Warnings detected and corrected BEFORE submission deadline**
  - Change/Corrected Application
  - Provide Federal Reference #
- **NIH Errors/Warnings detected and corrected AFTER submission deadline**
  - Change/Corrected Application
  - Provide Federal Reference #
  - Cover letter required explaining:
    - which errors/warnings were corrected
    - time-stamp of original submission that met deadline



## Errors/Warnings and the Submission Deadlines

- **NIH Errors/Warnings detected BEFORE submission deadline, but not corrected until AFTER submission deadline**
  - Change/Corrected Application
  - Provide Federal Reference #
  - Cover letter required explaining:
    - which errors/warnings were corrected
    - time-stamp of original submission that met deadline



## Actions for PI, Staff, and SPO

- **Purely administrative warnings**
  - Before deadline, SPO or staff might decide to make the correction
  - After the deadline, Decision made by PI to correct warnings (or not)
  - “rejected” by SPO
  - corrected
  - Resubmitted by SPO through grants.gov



## Actions for PI, Staff, and SPO

- **Science warnings**
  - Decision made by PI to correct warnings
  - “rejected” by SPO
  - corrected by Division PI and staff
  - Resubmitted by SPO through grants.gov



## NIH Email Notifications

**NOT Validated by NIH – contains errors**

**Action required  
to continue !  
Error stop the submission  
Process and must be corrected**



ACTION REQUIRED TO CONTINUE NIH GRANT APPLICATION SUBMISSION, Grants.gov tracking number <tracking number>, PI <PI name> - Errors and/or Warnings	After processing of a Grants.gov submission through the Exchange, if at least one error has been generated.	SO* & PI, with cc: to the Person to be Contacted**.
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## NIH Email Notifications

**NOT Validated by NIH – NIH cannot identify the PI**

**Action required  
to continue !  
NIH can't even check for other errors or warnings**



ACTION REQUIRED TO CONTINUE NIH GRANT APPLICATION SUBMISSION, Grants.gov tracking number <tracking number>, PI <PI name> - Missing or Invalid eRA Commons Username	After processing of a Grants.gov submission through the Exchange if the Commons account was missing or invalid.	SO* & PI, with cc: to the Person to be Contacted**.
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## NIH Email Notifications

**NOT Validated by NIH – System Errors are not subject to late policy – require assistance from NIH Help desk**



ACTION REQUIRED TO CONTINUE NIH GRANT APPLICATION SUBMISSION, Grants.gov tracking number <tracking number>, PI <PI name> - <b>System Error</b>	After NIH receives the application but system errors prevent NIH processing	SO* & PI, with cc: to the Person to be Contacted**.
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## Content Changes

- **Changes to content can be made if application is “rejected” and change/corrected proposal can still meet the submission deadline**
  - Determination to make a change to content at this point is determined by Division policies and practices
  - SPO won’t “reject” the application in eRA Commons until the change/corrected application is ready to submit



## Content Changes

- **Changes to content after the submission deadline are subject to the NIH late policy**
  - Determination to make a change to content at this point is determined by Division policies and practices
  - SPO won't "reject" the application in eRA Commons until the change/corrected application is ready to submit
  - PI must write cover letter justifying the late submission



## NIH Email Notifications

- “eRA Commons: SO has refused electronic application”**
- This is when SPO “pulls back” a proposal to make corrections
  - This is **NOT** being rejected by NIH

eRA Commons: SO has refused electronic application - PI: [PI Last Name, First Name]	If the SO rejects the application.	PI on the application; SO who refused application
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## NIH Email Notifications

**Two Business Days have passed  
Viewing window is over**

eRA Commons: NIH has auto verified electronic application AN # [Accession num]; PI: [PI Last Name, PI First Name]; Title: [Project Title]	Two business days after an error-free application is assembled in eRA Commons	PI on the application; SO at email address that was received on the eSubmission data stream
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## Supplemental Information

- **How will supplemental/additional/correction material submitted after application submission be accommodated?**  
(NIH FAQ)

**The current practice will not be altered at this time. This supplemental/additional/correction material may only be submitted with the permission of the assigned Scientific Review Administrator (SRA), and the submission is made directly to the SRA**



## Resources

- Register at eRA Commons
- NOT-OD-08-027 NIH Policy on Late Submission of Grant Applications  
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-027.html>
- NOT-OD-08-026 Modified Submission, Referral and Review for Appointed NIH Study Section Members  
<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-08-026.html>



## Questions

