

NIH Submission Process for Division Staff

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.



Life Sciences' Manfred Auer and group

Presented by:
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NIH Submission Process for Division Staff

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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.



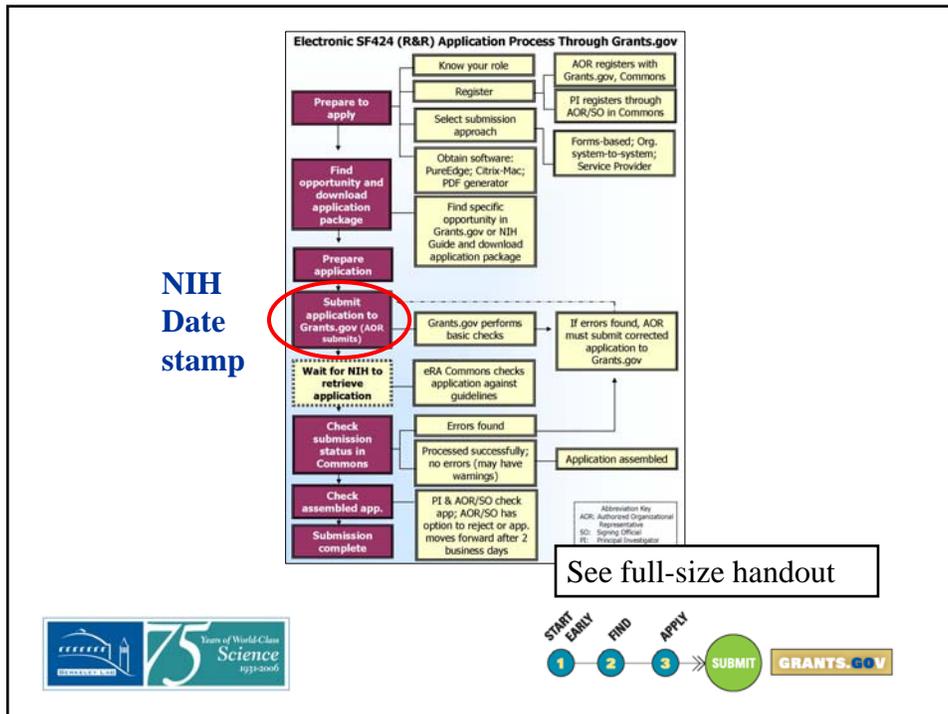
NIH Policy on Late Submissions

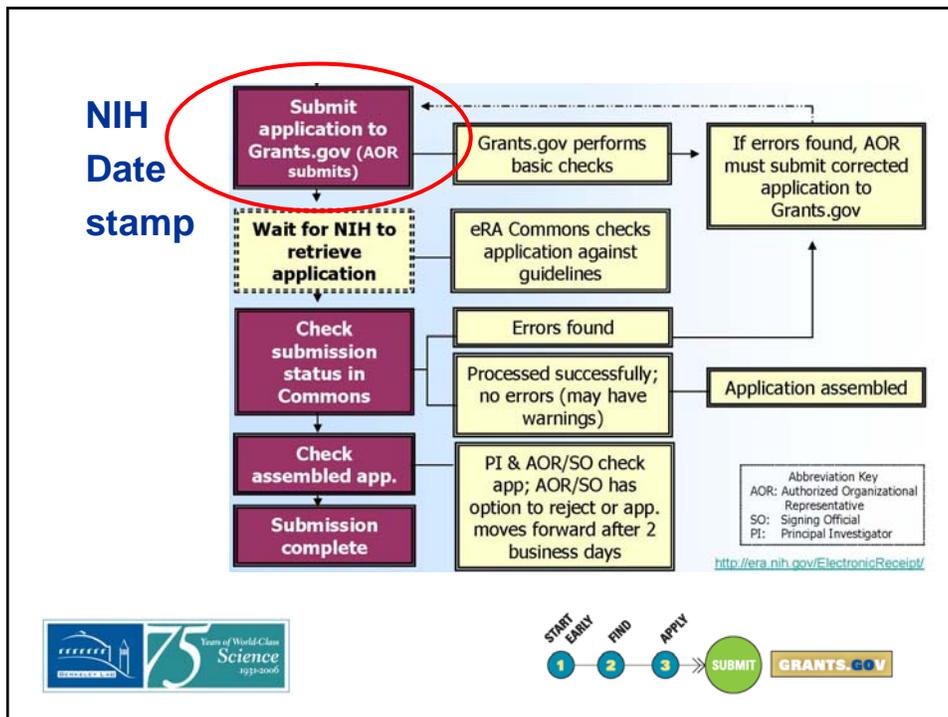
- Missing the deadline is not an acceptable reason
- See NIH Notices:
 - NOT-OD-08-027
NIH Policy on Late Submission of Grant Applications
 - NOT-OD-08-026
Modified Submission, Referral and Review for Appointed NIH Study Section Members
- Late submissions require Cover Letter from PI with Late Submission Request and justification



Changed/Corrected Proposals

submitted after deadline
 require Cover Letter
 from PI or SPO
 explaining the reason
 for the changed/corrected submission
 and confirmation
 the original deadline was met.





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".



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)

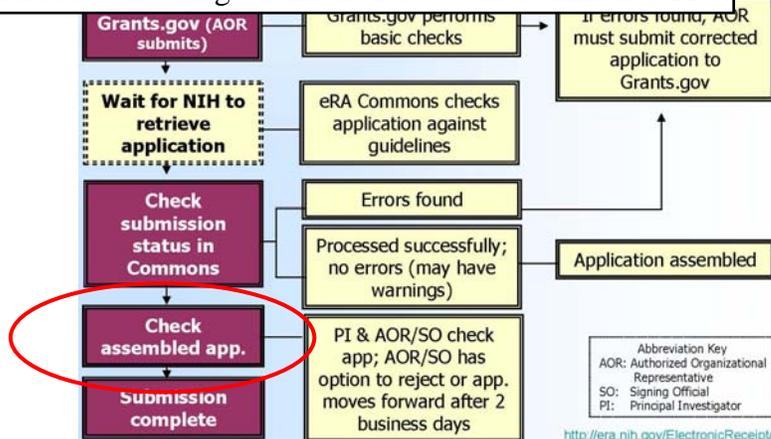
The list of errors and warnings that an applicant may encounter during the validation process, along with tips to help you understand these better, are available on the [Prepare Application](#) page.

http://era.nih.gov/ElectronicReceipt/files/SF424RR_Validation.pdf



PI Views App in eRA Commons

See handout: Checking Submission Status in Commons - PI



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 !
Errors 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> - System Error	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

When SPO "pulls back" a proposal to make corrections

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

- **Electronic SF424 (R&R) Application Process Through Grants.gov**
- **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>
- **NIH eSubmission Tips for Investigators**
- **Checking Submission Status in Commons – PI**
- **NIH eRA Exchange Services Notes, Tips and Validations for Grants.gov Components (Table of Contents) – October 10, 2008** http://era.nih.gov/ElectronicReceipt/files/SF424RR_Validation.pdf



Questions

