Proposal Development Update

NIH Transition to Adobe-B Forms

January 11, 2010
Agenda

- General Information and Timeline
- Recommended Method to Create Proposals
- Changes and Implementation in Proposal Development (PD)
- Breaking News
- New Features, Improvements, Resolved Issues
- Known Issues
- Resources
- Contact Information
General Information and Timeline

- NIH is transitioning from Adobe-A to Adobe-B forms for electronic submissions.
  - AHRQ, CDC, and FDA may use new formsets for proposals that use NIH mechanisms, e.g., R01s, but may not follow all content changes such as page limits.
  - Read all announcements carefully for specific detail.

- Same look and feel in PD.
- Some additional fields and text requirements.
- Page limit changes.
- Fewer uploads in Research Plan section.
General Information and Timeline

- Proposals with deadline dates on or after 1/25/10 must use Adobe-B forms.
  - NOT-OD-09-149

- Exception: PIs eligible for continuous submission may submit AIDS-related applications for the 1/7/10 Standard Deadline on Adobe-A forms until 2/7/10.
  - After 2/7, all electronic submissions use Adobe-B forms.
  - NOT-OD-10-002

REMEMBER!
Formset is based on deadline, not submission date.
Recommended Method for Proposal Creation

(See next slide for a screen shot.)

- Step 1 (continued): Choose “Neither of the above”.
- Step 3: Select Sponsor.
- Select Mechanism – R01, R03, etc.
  - If the mechanism is not listed, it is not available for system-to-system (S2S) submission from PD.
  - IMPORTANT: K’s (Career Development Awards) can be selected for S2S submission BUT should not be used until testing is finished – probably by 3/12 deadline.

- Contact the PennERA Help Desk for questions about mechanisms or sponsors accepting S2S.
Recommended Method for Proposal Creation

New Proposal Questionnaire

Step 0
Confirm you intend for the PI of this proposal to be Ford, Evelyn J - or - Change PI now please

Step 1
"New" or "Copy From Existing"?

Step 1 Continued....
I need to locate a funding Opportunity
I know this proposal is going to be submitted to Grants.Gov
Neither of the Above

Continue to Next Step

Step 2
"New Competing" or "Competitive Renewal"?

New Competing

Step 3
Select a Sponsor

0-9 ABCDEFGHIJKLMNOPQRSTUVWXYZ

NATIONAL INSTITUTES OF HEALTH

Select Mechanism NIH Research Project Grant Program (R01)

Validate Mechanism Rules on Proposal Creation Yes ☐ No ☐
Changes – Reminders and General Information

- Follow NIH SF424 Instructions
  - [http://grants.nih.gov/grants/forms.htm](http://grants.nih.gov/grants/forms.htm)
- Grants.gov and eRA Commons validations
  - PD generally prevents completion ONLY if the proposal will fail ELECTRONIC validations.
- About ZIP codes in addresses:
  - ZipCode + 4 = 9-digit zipcodes are required in Adobe formsets.
  - PD permits completion of tabs with 5-digit ZIPs.
  - No validation errors at the Commons.
Changes – Setup Questions

- Some funding opportunities (FOAs) will have both an Adobe-A and Adobe-B formset option.
- Parent Announcements currently have two announcements, one for each formset.
  - R01 Adobe-A Parent Announcement = PA-07-070.
  - R01 Adobe-B Parent Announcement = PA-10-067.
- Most other program announcements (PAs/PARs) will be or have been reissued for Adobe-B forms.
- Be sure to choose the correct FOA.
Changes – Setup Questions

Always check Grants.Gov Submission Information for accuracy but especially:

- Competition ID
- Close Date
- Form Version

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Changes – SF424 (R&R) Cover Page

- Added 4b. Agency Routing Identifier
  - Enter an identifying number when instructed by the sponsoring agency

![SF424 Cover Page](image)
Changes – SF424 (R&R) Cover Page

  - NIH proposals always had “N/A” in this field.
- Revised 14. Congressional District (CD) of applicant and project
  - CD of Project has been deleted.
  - Renumbered 13. Congressional District of Applicant.
  - Autopopulates in PD.
Changes – SF424 (R&R) Cover Page

Revised 16. Estimated Project Funding

- Adobe-A
  - 16a. Total Funds Requested
  - 16b. Total Federal & Non-Federal Funds
  - 16c. Program Income

- Adobe-B
  - 15a. Total Federal Funding Requested
  - 15b. Total Non-Federal Funds
  - 15c. Total Federal & Non-Federal Funds
  - 15d. Program Income

- Autopopulates from budget tabs and checklist.
Changes – SF424 (R&R) Cover Page

- **Added 18. SFLLL/explanatory document upload.**
  - SFLLL = Standard Form LLL, Disclosure of Lobbying Activities: Doesn’t need to be uploaded into PD.
  - Always check opportunity for special instructions for possible other uploads.

- **Deleted 21. Additional Congressional Districts upload.**
  - Information is now provided on Performance Sites tab.
Changes – Performance Sites

- Added DUNS number and CD for each performance site:
  - Mandatory for FFATA* reporting requirements.
  - NIH Commons validation additions/changes are currently unknown but expect these will be evolving in the coming weeks and months.

- PD adds consortium site sections as subcontract sections are created in Budget Items.

- Be sure to enter all the Penn-associated sites before creating subcontracts.

* Federal Funding and Accountability Transparency Act
Changes – Other Project Information

  - Remember to enter approval dates, if known, on Approvals tab.
- Added 5a. and 5b. Historic Places questions.
- Renumbered International Activity questions from 5a-c to 6a-c.
Changes – Other Project Information, Resources

- Content changes implemented by NIH. See page 7 of Details of Application Changes. [http://enhancing-peer-review.nih.gov/docs/application_changes.pdf](http://enhancing-peer-review.nih.gov/docs/application_changes.pdf)
- There is no specific NIH template for this section.
- No changes in PD.
  - Separate tab from Other Project Information tab.
  - Uploading Facilities and Equipment documents is recommended.
  - Manual entry is still available.
Changes – Senior/Key Person Form

- Added Project Roles of Co-Investigator and Post Doctoral Scholar.
  - Selected in Budget Items or Personnel tab detail screens.
- Added Degree Type and Year.
  - Entered on Personnel tab.
  - Optional.
  - If the PI is an Early Stage Investigator this may be important information if s/he has not updated Commons profile information.
Changes – Senior/Key Person (continued)

Contact Information For - MS REBECCA J AABERG

Salut: MS  
First: REBECCA  
Middle: J  
Last: AABERG  
Title: 
Address: 
RM 1202 HARNWELL  
3820 LOCUST WALK MB 0383  
City: PHILADELPHIA  
State: Pennsylvania  
Zip: 19104-0134  
County: 
Country: U.S.A.  
Phone: 2154177723  
Fax: 
Email: pennera_notifications@pobox.upe  
eERA Commons User Name: 

Role: Other (Specify)  
Degree Type: 
Degree Year: 

Save  Close
Changes – Senior/Key Person Form

- Content changes to Biosketch for Key Personnel implemented by NIH.
  - Added Personal Statement (Section A).
  - Current Parts A-C are now B-D.
  - Publications limited to 15.
  - Page limit is the same – 4 pages.
  - No PD changes required – upload on Personnel tab.
Changes – Research Plan

- Three uploads are replaced by one!
  - “White space” issues are gone!
  - For content issues, investigators should review the Funding Opportunity Announcement, NIH’s SF424 instructions, and especially Details of Application Changes.

- URLs for these documents are found in the Resources section at the end of this presentation.
Changes – Research Plan (continued)

- Page limits
  - Introduction = 3 pages.
    - Resubmissions* and Renewals only.
      (* Resubmission is the current terminology describing proposals that were not funded and are being submitted again with a revised project plan.)
  - Specific Aims = 1 page.
  - Research Strategy
    - If current limit < 25 pages, new limit = 6 pages.
    - If current limit = 25 pages, new limit = 12 pages.
    - If current limit > 25 pages, check the opportunity notice.
Changes – PHS 398 Cover Page*

- Renamed Cover Page Supplement
  - Tab name in PD is still PHS 398 Cover Page.
- New Investigator question has been eliminated.
  - NIH determines this status from Commons data.
Breaking News

- Error correction window expanded temporarily
  - NIH has expanded the error correction window from two to five days.
  - Notice NOT-OD-10-042
  - Includes submission deadlines of 1/25/10 through 5/7/10.
  - Two-day error correction window returns for submission deadlines on or after 5/8/10.
New Features

- **E-forms (PI Certification, Transmittal)**
  - When user marks form “completed”, form is saved and checked in as one step.
  - When user enters an incomplete e-form, it is checked out and ready to edit.
  - Unchecking the Completed box also checks out and makes the form ready to edit again.

- Users can view name of person who submitted the proposal to Grants.Gov.

- Sections for additional performance sites are automatically created after a site is added.
New Features (continued)

Personnel

- “Position” has been deleted.
- Redundant information (e.g., Graduate Student, Faculty, etc.)
- Find Name, select Personnel Type, indicate Effort.

![Select Existing Staff](image-url)
New Features (continued)

- Personnel (continued)
  - Project Role can be selected in two locations – Budget Items *and* Personnel detail screens.
  - Do not have to uncomplete Budget Items to change role!
New Features (continued)

- **Budget**
  - Automatic line-by-line F&A rate calculation option has been added.

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### New Features (continued)

**Budget**

- Detail for modular budget base and F&A rate calculations can be entered by user if needed.

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<td>286,000</td>
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*Total Funds Requested: $86,000.00*
New Features (continued)

Routing and Approval

- Anyone with appropriate access can now submit a proposal to routing and approval.
  - After clicking , certification option appears. (See next slide for certification text.)
  - Submitter is required to accept appropriate permission.
  - No re-authentication is required to submit the proposal.

- No re-authentication is required to approve a proposal in the Reviewer Dashboard.
  - Only those who are authorized to approve are able to access the dashboard. No additional authentication is needed if a user has authenticated earlier in a currently active session.
New Features (continued)

Routing and Approval (continued)

Submitter is not PI:

I certify that I have permission of the Principal Investigator to submit this proposal on their behalf for Review and Approval, and that the Principal Investigator has completed the PI Certification eForm. I understand that any false, fictitious or fraudulent statements or claims will cause the proposal to be disapproved and returned to the PI and may subject me to criminal, civil or administrative penalties and disciplinary action by the University of Pennsylvania.

- Accepted  - Declined
  Continue

Submitter is PI:

I certify that the information included in this proposal record is true, accurate and complete as of this date. I understand that any false, fictitious or fraudulent statements or claims may subject me to criminal, civil or administrative penalties. I agree to accept responsibility for the conduct of this project and for provision of required reports if a grant or contract is awarded as a result of this application. If an award is made, I will administer it in accordance with the policies of the sponsor and the University.

- Accepted  - Declined
  Continue
Resolved Issues

- “Ghost” uploads (duplicate uploaded file names).
- Disappearing personnel
  - Personnel names were disappeared from Personnel tab but were still displayed in Budget Items.
- Erroneous multiple PIs
  - More than one person was “flagged” as a PD/PI even though proposal was not a multi-PI project.
Known Issues

Analysis, repair, and testing is ongoing – watch your e-mail for updates!

- The title field has been temporarily removed from both the Transmittal and PI Certification e-forms.
- The “copy from existing” function is currently not available to create a proposal.
- Degree information added to PHS 398 Cover Page tab may not be retained.
  - Please remind investigators to review and update their PennERA profiles to agree with Commons profiles.
Known Issues (continued)

- Approvals tab
  - Values are not present in Approval Review Type and Approval Review Category.
    - “Type” is used to select the type of review, such as “Review-Initial Review”.
    - Categories are Full, Expedited, Exempt, Administrative.
      - Exempt question and number are entered on Other Project Information tab
  - Does not prevent completion of the Approvals tab.
  - Does not appear to cause problems with submission.
  - Contact the Help Desk immediately if you experience any problems as a result of this issue.
Known Issues (continued)

- Approvals tab (continued)
  - Minimum requirements for internal review and for S2S submissions:
    - Select an approval type (e.g., humans, lab animals, etc.).
    - Click on “continue”.
    - Enter any information known to you or choose Save.
    - Click in Add/Edit Approvals section to close the data entry area and add the choice to the Approvals list.
Unknown Issues

- If an operation/function doesn’t work as it has in the past, or you’re not sure a new feature is working correctly:
  - Don’t retry an action or data entry more than one or two times.
  - Send the Help Desk the exact text or a screen shot of any error message.
  - Always give us the proposal number you are working on, even if you think that you are asking a general question.
Resources

- Adobe-B forms summary of changes

- Details of application changes
  http://enhancing-peer-review.nih.gov/docs/application_changes.pdf

- NIH Notices
  □ From original announcement, you can link to subsequent notices and other reference materials.
Resources

- NIH Forms and Applications
  http://grants.nih.gov/grants/forms.htm
  (Starting point for linking to all forms and instructions.)

- Find DUNS numbers for other institutions:
  https://www.bpn.gov/CCRSearch/Search.aspx

- Find Congressional Districts (CD)
  https://writerep.house.gov/writerep/welcome.shtml
  (Don’t let the title of this site confuse you: You can look up any CD as long as you have the ZIP Code.)
PennERA End User Support

- **Web**
  - A web form is available to enter information that will automatically be directed to subject matter and technical experts. Click on the Support icon visible in any PennERA browser window.

- **E-mail**
  - Questions can be e-mailed to PennERAhelp@lists.upenn.edu.

- **Online Reference Materials**
  - Reference materials are available at http://www.upenn.edu/researchservices/PennERA.html
Contact Us

- Other questions, comments, or suggestions?
  - Send an email to pennera@lists.upenn.edu